

A. Introduction

1. Title: Interchange Transaction Tagging

2. Number: INT-001-0

3. Purpose:

To ensure that Interchange Transactions, certain Interchange Schedules, and intra-Balancing Authority Area transfers using Point-to-Point Transmission Service are Tagged in adequate time to allow the transactions to be assessed for reliability impacts by the affected Reliability Coordinators, Transmission Service Providers, and Balancing Authorities, and to allow adequate time for implementation.

4. Applicability:

4.1. Purchase-Selling Entities.

4.2. Balancing Authorities.

5. Effective Date: April 1, 2005

B. Requirements

R1. The Load-serving Purchasing-Selling Entity shall be responsible for ensuring Tags are submitted for:

R1.1. All Interchange Transactions that are between Balancing Authority Areas

R1.2. All transfers that are entirely within a Balancing Authority Area using Point-to-Point Transmission Service (including all grandfathered and “non-Order 888” Point-to-Point Transmission Service).

R1.3. All Dynamic Schedules at the expected average MW profile for each hour.

R2. The Sink Balancing Authority shall be responsible for ensuring a Tag is provided:

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

R2.2. To replace unexpected generation loss, such as through prearranged reserve sharing agreements or other arrangements. If the duration of the Emergency Transaction to replace the generation loss is less than 60 minutes, then the Transaction shall be exempt from Tagging.

R2.3. All bilateral inadvertent interchange payback.

R3. The Purchasing Selling Entity responsible for submitting the Tag shall submit all Tags to the Sink Balancing Authority according to timing tables in Attachment 1-INT-001-0.

R4. The Balancing Authority or Purchasing-Selling Entity responsible for submitting the Tag shall include the reliability data listed in Attachment 2-INT-001-0 in the Tag.

R5. Each Purchasing-Selling Entity with title to an Interchange Transaction shall have, or shall arrange to have, personnel directly and immediately available for notification of Interchange Transaction changes. These personnel shall be available from the time that the title to the Interchange Transaction is acquired until the Interchange Transaction has been completed.

C. Measures

M1. A Balancing Authority shall provide documentation to show all scheduled interchanges between Balancing Authority Areas were Tagged.

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D. Compliance

Not Specified.

E. Regional Differences

1. [WECC Tagging Dynamic Schedules and Inadvertent Payback Waiver](#) effective on November 21, 2002.
2. [MISO Energy Flow Information Waiver](#) effective on July 16, 2003.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	August 8, 2005	Removed “Proposed” from Effective Date	Errata

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Attachment 1-INT-001-0 — Tag Submission and Response Timetables for New Transactions

Eastern Interconnection – New Transactions

The table below represents the Tag submission and assessment deadlines within the Eastern Interconnection. These are default requirements; some regulatory or provincially-approved provider practices may have requirements that are more stringent. Under these instances, the more restrictive criteria shall be adhered to. The table describes the various minimum submission and assessment timing requirements.

Table 1: Eastern Interconnection – Timing Requirements

Transaction Duration	PSE Submit Deadline*	Actual Tag Submission Time	Provider Assessment Time	Time to Start of Transaction
Less than 24 Hours	20 Minutes prior to start	≤1 Hour prior to start	≤ 10 Minutes from Tag receipt	≥ 10 Min
		>1 to <4 hours prior to start	≤20 Minutes from Tag receipt	≥ 40 Min
		≥ 4 Hours prior to start	≤ 2 Hours from Tag receipt	≥ 2 Hours
24 Hours or longer	4 Hours prior to start	Any	≤ 2 Hours from Tag receipt	≥ 2 Hours
*Start time references are for start of the Transaction not the start of the Ramp.				

Tag submission timing requirements are based on the duration of the Transaction. Tags representing Transactions that run for less than one day (24 hours) must be submitted at least 20 minutes prior to the start of the Transaction (excluding Ramp time). Tags representing Transactions running for one day or more (24 hours or more) must be submitted at least four hours prior to the start. Tags submitted that meet these requirements shall be considered “on-time” and may be granted conditional approval. Tags submitted that do not meet these requirements shall be considered “late,” and consequently will be denied if not explicitly approved by all parties.

Tag assessment timing requirements are based on the submission time of the Tag, as well as the duration. Hourly Tags submitted one hour or less prior to start must be evaluated in ten minutes. Hourly Tags submitted more than one hour but less than four hours prior to start must be evaluated in 20 minutes. Tags of a duration less than 24 hours that are submitted four hours or more prior to start must be evaluated in two hours. Tags of duration 24 hours or more must be evaluated in two hours.

1) Eastern Interconnection — Reallocation During a Transmission Loading Relief (TLR) Event

During a NERC TLR event, Transactions may be submitted to replace existing Transactions with a lower transmission priority. The new Transaction Tag must be received no later than 35 minutes prior to the top of the hour to allow time for Reliability Coordinator to assess the impact of reallocation.

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Western Interconnection – New Transactions

The table below represents the Tag submission and assessment deadlines within the Western Interconnection. These are default requirements. The tables describe the various minimum submission and assessment timing requirements.

Table 2: Western Interconnection – Timing Requirements

Transaction Start/Submittal Time	Late Status Deadline	Actual Tag Submission Time*	Provider Assessment Time	Approval/Denial Notes	Time to Start of Transaction*
Start 00:00 next day or beyond when submitted prior to 18:00 of the current day	15:00 day prior to start	Any	3 hours	Passive approval if submitted before deadline, else passive denial. Deferred denial	≥ 6 Hours
Start 00:00 next day and submitted between 18:00 and 23:59:59 on day prior to start – OR – start within current day		≥ 4 Hours prior to start	2 Hours from Tag receipt	Passive approval Deferred denial	≥ 2 Hours
		<4 Hours to ≥1 Hour prior to start	20 minutes from Tag receipt	Passive approval Deferred denial	≥ 40 Min
		<1 hour to ≥30 minutes prior to start	10 minutes from Tag receipt	Passive approval Deferred denial	≥ 20 Min
		<30 minutes to ≥20 minutes prior to start	10 minutes from Tag receipt	Passive approval Deferred denial	≥ 10 Min
	20 minutes prior to start	<20 minutes prior to start	5 minutes from Tag receipt	Passive denial. Deferred denial	Submission time minus maximum time of 5 minutes

Notes/Clarification:

All clock times are in Pacific Prevailing Time (PPT).

Tags falling under the criteria in the first row are deemed pre-schedule Tags.

Tags falling under the criteria in the remaining rows are deemed real-time Tags.

Pre-schedule Tags submitted between 15:00 and 18:00 will be assigned LATE composite status.

Real-time Tags submitted after 20 minutes prior to the start of the Transaction will be assigned LATE composite status.

*Start-time references are for start of the Transaction, not the start of the Ramp.

Tag submission timing requirements are based on the type and duration of the Transaction. Tags representing Transactions that run for less than one day (24 hours) within the current day must be submitted at least 20 minutes prior to the start of the Transaction (excluding Ramp time). Tags representing Transactions that are pre-scheduled to start the next day must be submitted by 1500 PST the

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day prior to the day the Transaction is to start. Tags submitted that meet these requirements shall be considered “on-time” and may be granted conditional approval. Tags submitted that do not meet these requirements shall be considered “late,” and consequently will be denied if not explicitly approved by all parties.

Tag assessment timing requirements are based on the submission time of the Tag, as well as the duration. Hourly Tags submitted one hour or less prior to start must be evaluated in ten minutes. Hourly Tags submitted more than one hour but less than four hours prior to start must be evaluated in 20 minutes. Tags of a duration less than 24 hours that are submitted four hours or more prior to start must be evaluated in two hours. Tags submitted for pre-scheduled service starting the next day or a future day must be evaluated in three hours.

Attachment 2-INT-001-0 — Required Tag Data

The following is the reliability information necessary to assess a Transaction:

1. Physical path — the description of physically scheduling parties, always containing a generation segment, at least one transmission segment, and a Load segment.
2. Generation — the physical characteristics of the energy source.
3. Resource service point — the physical point at which the energy is being generated. This may vary in granularity, depending on local practices.
4. Energy profile — energy to be produced by the generator for each time segment of the Transaction.
5. Transmission — the physical characteristics of a wheel (import, export, or through).
6. Transmission Service Provider — the identity of the Transmission Service Provider that is wheeling the energy.
7. Point of receipt — valid point of receipt for scheduled transmission reservation.
8. Point of delivery — valid point of delivery for scheduled transmission reservation.
9. Scheduling entity(ies) — entities that are physically scheduling interchange on behalf of the Transmission Service Provider in order to provide wheeling services. Typically this is the Balancing Authority providing a service for the Transmission Service Provider, but several Balancing Authorities may be supporting a regional transmission service.
10. Loss provision — the manner in which losses are accounted when they are not scheduled as in-kind megawatt distributions through the original transaction or through a separately Tagged transaction.
11. POR and POD profiles — schedule of energy flow imported at the Point of Receipt and Exported at the Point of Delivery.
12. Transmission reservation number — reference to a particular transmission reservation being used to provide transmission capacity to support the transaction being described.
13. Transmission reservation profile — information describing the transmission reservation commitment.
14. Transmission product — the firmness of service associated with the transmission reservation being used.
15. Load — the physical characteristics of the energy sink.
16. Resource service point (sink) — the physical point at which the energy is being consumed. This may vary in granularity, dependent on local practices.
17. Energy profile — energy to be consumed by the Load for this Transaction.
18. Contact information of person representing the Purchasing-Selling Entity responsible for the Tag.

The following information is required to modify a Transaction:

19. The Transaction being curtailed or reloaded.
20. All necessary profile changes to set the maximum flow allowed for the transaction during the appropriate hours.
21. A contact person that initiated the curtailment or reload.

A. Introduction

1. Title: Interchange Information

2. Number: INT-001-2

3. Purpose:

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

4. Applicability:

4.1. Purchase-Selling Entities.

4.2. Balancing Authorities.

5. Effective Date: January 1, 2007

B. Requirements

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

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

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

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

R2.2. For each bilateral Inadvertent Interchange payback.

C. Measures

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

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

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring.

1.2. Compliance Monitoring and Reset Time Frame

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

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

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

1.3. Data Retention

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

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

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

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

1.4. Additional Compliance Information

None.

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

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

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

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

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

E. Regional Differences

- 1. [WECC Tagging Dynamic Schedules and Inadvertent Payback Waiver](#) effective on November 21, 2002.
- 2. [MISO Energy Flow Information Waiver](#) effective on July 16, 2003.

Version History

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

A. Introduction

1. Title: Interchange Transaction Tag Communication and Reliability Assessment

2. Number: INT-002-0

3. Purpose:

To ensure that Interchange Transaction information is provided to all entities needing to make reliability assessments and to ensure all affected reliability entities assess the reliability impacts of Interchange Transactions before approving or denying a Tag. To communicate the approvals and denials of the Tag and the final composite status of the Tag.

4. Applicability:

4.1. Balancing Authorities

4.2. Transmission Service Providers

5. Effective Date: April 1, 2005

B. Requirements

R1. The Sink Balancing Authority shall ensure that all Tags and any modifications to Tags are provided via a secure network to the following entities on the Scheduling Path:

R1.1. Sink and Source Balancing Authority for the Transaction.

R1.2. Intermediate Balancing Authorities on the Schedule Path.

R1.3. Transmission Service Provider(s) on the Schedule Path.

R1.4. Reliability analysis services (IDC or other regional reliability tools).

R1.5. Transmission Operators and Reliability Coordinators who may receive the information through Reliability analysis services.

R2. Transmission Service Providers on the Scheduling Path shall be responsible for assessing and approving or denying the Interchange Transaction based on established reliability criteria and adequacy of Interconnected Operating Services and transmission rights as well as the reasonableness of the Interchange Transaction Tag. The Transmission Service Provider shall verify and assess:

R2.1. Valid OASIS reservation number or transmission contract identifier.

R2.2. Transmission priority matches reservation.

R2.3. Energy profile fits within OASIS reservation.

R2.4. OASIS reservation accommodates all Interchange Transactions.

R2.5. Connectivity of adjacent Transmission Service Providers.

R2.6. Loss accounting.

R3. Balancing Authorities on the Scheduling Path shall be responsible for assessing and approving or denying the Interchange Transaction. The Balancing Authority shall verify and assess:

R3.1. Transaction start and end time.

R3.2. Energy profile (ability to support the magnitude of the transaction).

R3.3. Ramp (ability of generation maneuverability to accommodate).

R3.4. Scheduling path (proper connectivity of adjacent Balancing Authorities).

R4. Each Balancing Authority and Transmission Service Provider on the Scheduling Path shall communicate their approval or denial of the Interchange Transaction to the Sink Balancing Authority.

R5. Upon receipt of approvals or denials from all of the individual Balancing Authorities and Transmission Service Providers, the Sink Balancing Authority shall communicate the composite approval status of the Interchange Transaction to the Purchasing-Selling Entity and all other Balancing Authorities and Transmission Service Providers on the Scheduling Path and through the Reliability analysis service to affected Transmission Operators and Reliability Coordinators.

C. Measures

Not specified.

D. Compliance

Not specified.

E. Regional Differences

1. [MISO Scheduling Agent Waiver](#) dated November 21, 2002.
2. [MISO Enhanced Scheduling Agent Waiver](#) dated July 16, 2003.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	August 8, 2005	Proposed Effective Date	Errata

A. Introduction

1. Title: Interchange Transaction Implementation

2. Number: INT-003-0

3. Purpose:

To ensure Balancing Authorities confirm Interchange Schedules with Adjacent Balancing Authorities prior to implementing the schedules in their Area Control Error (ACE) equations. To ensure Balancing Authorities incorporate all confirmed Schedules into their ACE equations.

4. Applicability

4.1. Balancing Authorities.

5. Effective Date: April 1, 2005

B. Requirements

R1. Each Receiving Balancing Authority shall confirm Interchange Schedules with the Sending Balancing Authority prior to implementation in the Balancing Authority's ACE equation.

R1.1. The Sending Balancing Authority and Receiving Balancing Authority shall agree on:

R1.1.1. Interchange Schedule start and end time.

R1.1.2. Energy profile.

R1.1.3. Ramp start time and duration (Balancing Authorities shall use the Ramp duration established for their Interconnection unless they agree to an alternative Ramp duration.) Default Ramps durations are as follows:

- Default Ramp duration for the Eastern Interconnection shall be 10 minutes equally across the Interchange Schedule start and end times.
- Default Ramp duration for the Western Interconnection shall be 20 minutes equally across the Interchange Schedule start and end times.
- Ramp durations for Interchange Schedules implemented for compliance with NERC's Disturbance Control Standard (recovery from a disturbance condition) and Interchange Transaction curtailment in response to line loading relief procedures may be shorter than the above defaults, but must be identical for the Sending Balancing Authority and Receiving Balancing Authority.

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.

R1.3. Balancing Authorities that implement Interchange Schedules that cross an Interconnection boundary shall use the same start time and Ramp durations.

R2. Balancing Authorities shall implement Interchange Schedules only with Adjacent Balancing Authorities.

R3. Balancing Authorities shall begin and end Interchange Schedules at a time agreed to by the Source Balancing Authority, Sink Balancing Authority, and Intermediate Balancing Authorities.

R4. The Sink Balancing Authority shall be responsible for initiating implementation of each Interchange Transaction as tagged. Upon receiving composite approval from the Sink

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Balancing Authority, each Balancing Authority on the scheduling path shall enter confirmed Schedules into its Automatic Generation Control ACE equation.

- R5.** Balancing Authorities shall operate such that Interchange Schedules do not knowingly cause any other systems to violate established operating criteria.
- R6.** Balancing Authorities shall operate such that the maximum Net Interchange Schedule between any two Balancing Authorities does not exceed the lesser of:
 - R6.1.** The total capacity of both the owned and arranged-for transmission facilities in service for any Transmission Service Provider along the path, or
 - R6.2.** The established network Total Transfer Capability between Balancing Authorities, which considers other transmission facilities available to them under specific arrangements, and the overall physical constraints of the transmission network.

C. Measures

Not specified.

D. Compliance

Not specified.

E. Regional Differences

1. [MISO Scheduling Agent Waiver](#) dated November 21, 2002.
2. [MISO Enhanced Scheduling Agent Waiver](#) dated July 16, 2003.
3. [MISO Energy Flow Information Waiver](#) dated July 16, 2003.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	August 8, 2005	Removed “Proposed” from Effective Date	Errata

A. Introduction

1. **Title:** **Interchange Transaction Implementation**
2. **Number:** INT-003-2
3. **Purpose:**
To ensure Balancing Authorities confirm Interchange Schedules with Adjacent Balancing Authorities prior to implementing the schedules in their Area Control Error (ACE) equations.
4. **Applicability**
4.1. Balancing Authorities.
5. **Effective Date:** January 1, 2007

B. Requirements

- R1. Each Receiving Balancing Authority shall confirm Interchange Schedules with the Sending Balancing Authority prior to implementation in the Balancing Authority's ACE equation.
 - R1.1. The Sending Balancing Authority and Receiving Balancing Authority shall agree on Interchange as received from the Interchange Authority, including:
 - R1.1.1. Interchange Schedule start and end time.
 - R1.1.2. Energy profile.
 - 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.

C. Measures

- M1. Each Receiving and Sending Balancing Authority shall have and provide upon request evidence that could include, but is not limited to, interchange transaction tags, operator logs, voice recordings or transcripts of voice recordings, electronic communications, computer printouts, or other equivalent evidence that will be used to confirm that each Interchange Schedule's start and end time, and energy profile were confirmed prior to implementation in the Balancing Authority's ACE equation. (Requirement R1, R1.1, R1.1.1 & R1.1.2)
- M2. Each Receiving and Sending Balancing Authority shall have and provide upon request evidence that could include, but is not limited to, interchange transaction tags, operator logs, voice recordings or transcripts of voice recordings, electronic communications, computer printouts, or other equivalent evidence that will be used to confirm that it coordinated the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in Requirement 1.2.

D. Compliance

1. **Compliance Monitoring Process**

1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring.

1.2. Compliance Monitoring and Reset Time Frame

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

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

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

1.3. Data Retention

Each Balancing Authority shall keep 90 days of historical data (evidence).

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

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

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

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance for Balancing Authorities:

2.1. Level 1: There shall be a separate Level 1 non-compliance, if either of the following conditions exists:

2.1.1 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.

2.1.2 One instance of not coordinating the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2

- 2.2. **Level 2:** There shall be a separate Level 2 non-compliance, if either of the following conditions exists:
 - 2.2.1 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.
 - 2.2.2 Two instances of not coordinating the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2
- 2.3. **Level 3:** There shall be a separate Level 3 non-compliance, if either of the following conditions exists:
 - 2.3.1 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.
 - 2.3.2 Three instances of not coordinating the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2
- 2.4. **Level 4:** There shall be a separate Level 4 non-compliance, if either of the following conditions exists:
 - 2.4.1 Four or more 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.
 - 2.4.2 Four or more instances of not coordinating the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2.

E. Regional Differences

- 1. [MISO Scheduling Agent Waiver](#) dated November 21, 2002.
- 2. [MISO Enhanced Scheduling Agent Waiver](#) dated July 16, 2003.
- 3. [MISO Energy Flow Information Waiver](#) dated July 16, 2003.

Version History

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

A. Introduction

1. **Title:** **Interchange Transaction Modifications**
2. **Number:** INT-004-0
3. **Purpose:** To allow modifications to Interchange Transactions to address potential or actual System Operating Limit (SOL) or Interconnection Reliability Operating Limit (IROL) violations or other reliability conditions. To ensure Dynamic Transfers are adequately tagged to be able to determine their reliability impacts.
4. **Applicability**
 - 4.1. Balancing Authorities
 - 4.2. Reliability Coordinators
 - 4.3. Transmission Operators
 - 4.4. Purchasing-Selling Entities
5. **Effective Date:** April 1, 2005

B. Requirements

- R1.** If a Reliability Coordinator, Transmission Operator, or Source or Sink Balancing Authority, due to a reliability event, needs to modify an Interchange Transaction that is in progress or scheduled to be started, the entity shall, within 60 minutes of the start of the emergency Transaction, modify the Interchange Transaction tag, and shall communicate the modification to the Sink Balancing Authority. Reliability events may include:
 - R1.1.** Transmission Loading Relief procedure curtailment — Eastern Interconnection.
 - R1.2.** Interconnection, regional, or local overload relief or congestion management procedures.
 - R1.3.** SOL or IROL potential or actual limit violation.
 - R1.4.** Loss of generation.
 - R1.5.** Loss of Load.
- R2.** A Generator Operator or Load Serving Entity may request the Host Balancing Authority to modify an Interchange Transaction due to loss of generation or Load.
 - R2.1.** When a loss of generation necessitates curtailing Interchange Transactions, the Source Balancing Authority shall coordinate the modifications to the appropriate tags.
 - R2.2.** When a loss of Load necessitates curtailing Interchange Transactions, the Sink Balancing Authority shall coordinate the modifications to the appropriate tags.
- R3.** Upon receipt of modification to an Interchange Transaction as described in Requirement R1, the Sink Balancing Authority (Source Balancing Authority in the case of a loss of generation) shall communicate the modified information about the Interchange Transaction, including its composite approval status, to all Balancing Authorities and Transmission Service Providers on the Transaction path and the Purchasing-Selling Entity responsible for the Transaction.
- R4.** 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.

R5. 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 occur:

R5.1. The average energy profile in an hour is greater than 250 MW and in that hour the actual hourly integrated energy deviates from the hourly average energy profile indicated on the tag by more than $\pm 10\%$.

R5.2. 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.

R5.3. 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.

C. Measures

M1. The Sink Balancing Authority shall provide evidence that the responsible Purchasing-Selling Entity revised a tag when the deviation exceeded the criteria in Requirement R5.

D. Compliance

1. Compliance Monitoring Process

Periodic tag audit as prescribed by NERC. For the requested time period, the Sink Balancing Authority shall provide the instances when Dynamic Schedule deviation exceeded the criteria in Requirement 5 and shall provide evidence that the responsible Purchasing-Selling Entity submitted a revised tag.

1.1. Compliance Monitoring Responsibility

Regional Reliability Organization.

1.2. Compliance Monitoring Period and Reset Timeframe

One calendar year without a violation from the time of the violation.

1.3. Data Retention

Three months.

1.4. Additional Compliance Information

Not specified.

2. Levels of Non-Compliance

2.1. Level 1: Not specified.

2.2. Level 2: Not specified.

2.3. Level 3: Not specified.

2.4. Level 4: Not specified.

E. Regional Differences

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

Standard INT-004-0 — Interchange Transaction Modifications

Version History

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0	April 1, 2005	Effective Date	New
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Attachment 1-INT-004-0

Interchange Transaction Modifications

Curtailments, reloads, market-initiated modifications, and other Transaction modifications that affect energy profiles must be received by and evaluated within certain times. The following tables describe the submission and evaluation requirements for such changes.

Modification requests received by the deadlines specified below shall be considered “on time,” and are eligible for passive approval. Modification requests received past the deadlines shall be considered “late,” and are considered denied unless explicitly approved by all parties.

Table 1: Eastern Interconnection — Modifications

Modification Type	Requestor Submission Deadline***	Actual Submission Time***	Evaluation Time
Reliability (Curtailments or Reloads)	20 minutes prior to modification start**	Less than 30 minutes to start	10 minutes
		30 minutes or more prior to start	15 minutes
Market — Committed transmission reservation(s) Reductions	N/A	N/A	N/A
Market — Committed transmission reservation(s) Increases, Energy Reductions, Energy Increases*	20 minutes prior to modification start**	Less than 30 minutes to start	10 minutes
		30 minutes or more prior to start	15 minutes
***Start time references are for start of the Transaction not the start of the Ramp.			

Table 2: Western Interconnection — Modifications

Modification Type	Requestor Submission Deadline***	Actual Submission Time***	Evaluation Time
Reliability (Curtailments or Reloads)	25 minutes prior to modification start**	Less than 30 minutes to start	10 minutes
		30 minutes or more prior to start	15 minutes
Market — Committed transmission reservation(s) Reductions	N/A	N/A	N/A

Standard INT-004-0 — Interchange Transaction Modifications

Market — Committed transmission reservation(s) Increases, Energy Reductions, Energy Increases*	25 minutes prior to modification start**	Less than 30 minutes to start	10 minutes
		30 minutes or more prior to start	15 minutes
***Start time references are for start of the Transaction not the start of the Ramp.			

*See Special Exception for Cancellations below.

**If received after deadline, requires active approval or will be passively denied

Special Exception for Cancellations

A cancellation is defined as setting both committed transmission reservation(s) and energy flow to zero for the duration of the Transaction prior to the start of a Transaction but following that Transaction’s approval. In the event that a Purchasing-Selling Entity submitting the tag elects to cancel a Transaction, the following timelines should be utilized:

Table 3: Special Exception for Cancellations Submission and Evaluation Timing

Region	Submission Deadline*	Evaluation Time
Eastern Interconnection	15 minutes prior to transaction start	If received by deadline, no evaluation required. Request is automatically approved.
		If not received by deadline, request is not eligible for special exception for cancellations, and must be processed normally.
Western Interconnection	20 minutes prior to transaction start	If received by deadline, no evaluation required. Request is automatically approved.
		If not by deadline, request is not eligible for special exception for cancellations, and must be processed normally.
*Start time references are for start of the Transaction not the start of the Ramp.		

A. Introduction

1. **Title:** **Dynamic Interchange Transaction Modifications**
2. **Number:** INT-004-1
3. **Purpose:** To ensure Dynamic Transfers are adequately tagged to be able to determine their reliability impacts.
4. **Applicability**
 - 4.1. Balancing Authorities
 - 4.2. Reliability Coordinators
 - 4.3. Transmission Operators
 - 4.4. Purchasing-Selling Entities
5. **Effective Date:** January 1, 2007

B. Requirements

- 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.
- 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:
 - R2.1. The average energy profile in an hour is greater than 250 MW and in that hour the actual hourly integrated energy deviates from the hourly average energy profile indicated on the tag by more than $\pm 10\%$.
 - 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.
 - 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.

C. Measures

- M1. The Sink Balancing Authority shall provide evidence that the responsible Purchasing-Selling Entity revised a tag when the deviation exceeded the criteria in INT-004 Requirement 2.

D. Compliance

1. **Compliance Monitoring Process**

Periodic tag audit as prescribed by NERC. For the requested time period, the Sink Balancing Authority shall provide the instances when Dynamic Schedule deviation exceeded the criteria in INT-004 R2 and shall provide evidence that the responsible Purchasing-Selling Entity submitted a revised tag.

 - 1.1. **Compliance Monitoring Responsibility**

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

One calendar year without a violation from the time of the violation.

1.3. Data Retention

Three months.

1.4. Additional Compliance Information

Not specified.

2. Levels of Non-Compliance

2.1. Level 1: Not specified.

2.2. Level 2: Not specified.

2.3. Level 3: Not specified.

2.4. Level 4: Not specified.

E. Regional Differences

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

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New

A. Introduction

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

B. Requirements

- R1. Prior to the expiration of the time period defined in the Timing Table, Column A, the Interchange Authority shall distribute the Arranged Interchange information for reliability assessment to all reliability entities involved in the Interchange.
 - R1.1. When a Balancing Authority or Reliability Coordinator initiates a Curtailment to Confirmed or Implemented Interchange for reliability, the Interchange Authority shall distribute the Arranged Interchange information for reliability assessment only to the Source Balancing Authority and the Sink Balancing Authority.

C. Measures

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

D. Compliance

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

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

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

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

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

Subsequent to the initial compliance review, compliance may be:

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

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

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

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

2. Levels of Non-Compliance

- 2.1. Level 1:** One occurrence¹ of not distributing information to all involved reliability entities as described in R1.
- 2.2. Level 2:** Two occurrences¹ of not distributing information to all involved reliability entities as described in R1.
- 2.3. Level 3:** Three occurrences¹ of not distributing information to all involved reliability entities as described in R1.
- 2.4. Level 4:** Four or more occurrences¹ of not distributing information to all involved reliability entities as described in R1 or no evidence provided.

E. Regional Differences

None

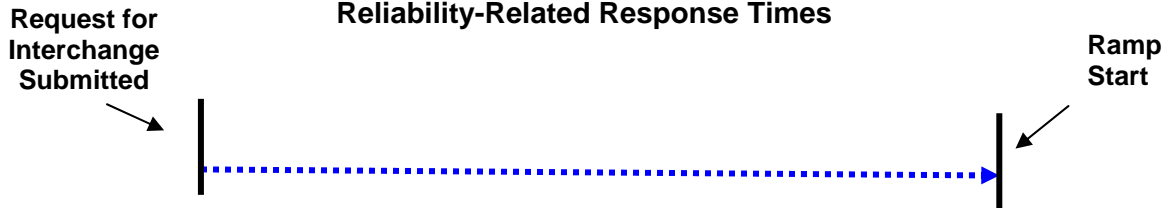
Version History

Version	Date	Action	Change Tracking

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

Timing Table

Interchange Timeline with Minimum Reliability-Related Response Times



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

A. Introduction

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

B. Requirements

- R1. Prior to the expiration of the reliability assessment period defined in the Timing Table, Column B, the Balancing Authority and Transmission Service Provider shall respond to a request from an Interchange Authority to transition an Arranged Interchange to a Confirmed Interchange.
 - R1.1. Each involved Balancing Authority shall evaluate the Arranged Interchange with respect to:
 - R1.1.1. Energy profile (ability to support the magnitude of the Interchange).
 - R1.1.2. Ramp (ability of generation maneuverability to accommodate).
 - R1.1.3. Scheduling path (proper connectivity of Adjacent Balancing Authorities).
 - R1.2. Each involved Transmission Service Provider shall confirm that the transmission service arrangements associated with the Arranged Interchange have adjacent Transmission Service Provider connectivity, are valid and prevailing transmission system limits will not be violated.

C. Measures

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

D. Compliance

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

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

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

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

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

Subsequent to the initial compliance review, compliance may be:

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

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

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

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

2. Levels of Non-Compliance

- 2.1. **Level 1:** One occurrence¹ of not responding to the Interchange Authority as described in R1.
- 2.2. **Level 2:** Two occurrences¹ of not responding to the Interchange Authority as described in R1.
- 2.3. **Level 3:** Three occurrences¹ of not responding to the Interchange Authority as described in R1.
- 2.4. **Level 4:** Four or more occurrences¹ of not responding to the Interchange Authority as described in R1 or no evidence provided.

E. Regional Differences

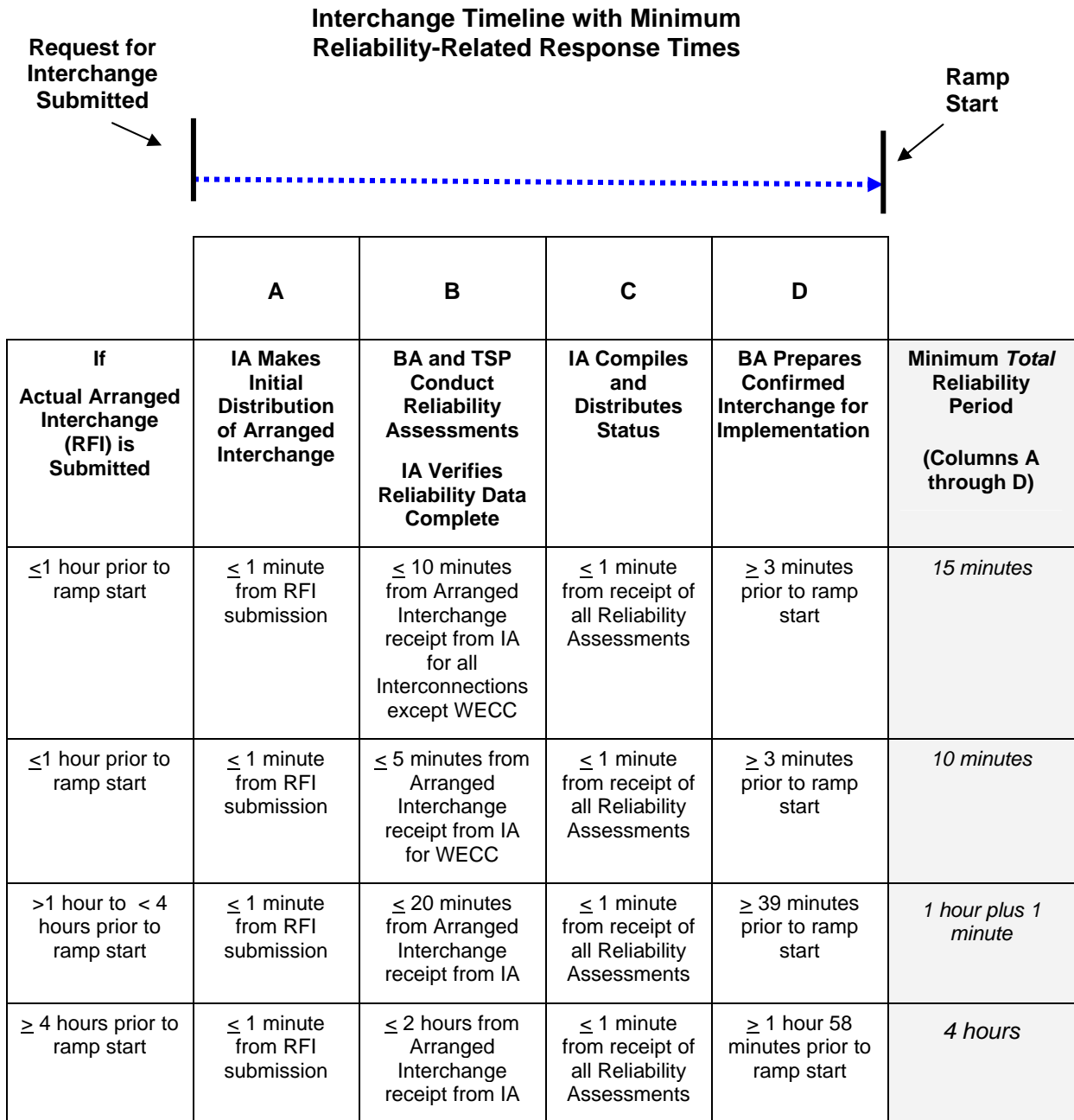
None

Version History

Version	Date	Action	Change Tracking

¹ This does not include instances of not responding due to extenuating circumstances approved by the Compliance Monitor.

Timing Table



A. Introduction

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

B. Requirements

- R1. The Interchange Authority shall verify that Arranged Interchange is balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange by verifying the following:
 - R1.1. Source Balancing Authority megawatts equal sink Balancing Authority megawatts (adjusted for losses, if appropriate).
 - R1.2. All reliability entities involved in the Arranged Interchange are currently in the NERC registry.
 - R1.3. The following are defined:
 - R1.3.1. Generation source and load sink.
 - R1.3.2. Megawatt profile.
 - R1.3.3. Ramp start and stop times.
 - R1.3.4. Interchange duration.
 - R1.4. Each Balancing Authority and Transmission Service Provider that received the Arranged Interchange information from the Interchange Authority for reliability assessment has provided approval.

C. Measures

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

D. Compliance

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

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

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

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

1.4. Additional Compliance Information

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

Subsequent to the initial compliance review, compliance may be:

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

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

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

2. Levels of Non-Compliance

- 2.1. **Level 1:** One occurrence¹ where Interchange-related data was not verified as defined in R1.
- 2.2. **Level 2:** Two occurrences where Interchange-related data was not verified as defined in R1.
- 2.3. **Level 3:** Three occurrences where Interchange-related data was not verified as defined in R1.
- 2.4. **Level 4:** Four or more occurrences where Interchange-related data was not verified as defined in R1.

E. Regional Differences

None

¹ This does not include instances of not verifying due to extenuating circumstances approved by the Compliance Monitor.

Version History

Version	Date	Action	Change Tracking

A. Introduction

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

B. Requirements

- R1. Prior to the expiration of the time period defined in the Timing Table, Column C, the Interchange Authority shall distribute to all Balancing Authorities (including Balancing Authorities on both sides of a direct current tie), Transmission Service Providers and Purchasing-Selling Entities involved in the Arranged Interchange whether or not the Arranged Interchange has transitioned to a Confirmed Interchange.
 - R1.1. For Confirmed Interchange, the Interchange Authority shall also communicate:
 - R1.1.1. Start and stop times, ramps, and megawatt profile to Balancing Authorities.
 - R1.1.2. Necessary Interchange information to NERC-identified reliability analysis services.

C. Measures

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

D. Compliance

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

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

The Performance-Reset Period shall be twelve months from the last non-compliance to R1.
 - 1.3. **Data Retention**

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

1.4. Additional Compliance Information

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

Subsequent to the initial compliance review, compliance will be:

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

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

- 1.4.5** For compliance audits and spot checks, relevant data and system log records for the audit period which indicate the Interchange Authority's distribution of all Arranged Interchange final status and Confirmed Interchange information to all entities involved in an Interchange per R1. The Compliance Monitor may request up to a three-month period of historical data ending with the date the request is received by the Interchange Authority
- 1.4.6** For specific complaints, only those data and system log records associated with the specific Interchange event contained in the complaint which indicate that the Interchange Authority distributed the Arranged Interchange final status and Confirmed Interchange information to all entities involved in that specific Interchange.

2. Levels of Non-Compliance

- 2.1. Level 1:** One occurrence¹ of not distributing final status and information as described in R1.
- 2.2. Level 2:** Two occurrences¹ of not distributing final status and information as described in R1.
- 2.3. Level 3:** Three occurrences¹ of not distributing final status and information as described in R1.
- 2.4. Level 4:** Four or more occurrences¹ of not distributing final status and information as described in R1 or no evidence provided.

E. Regional Differences

None

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

Version History

Version	Date	Action	Change Tracking

Timing Table



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

A. Introduction

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

B. Requirements

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

C. Measures

- M1. The Balancing Authority shall provide evidence that Implemented Interchange matches Confirmed Interchange as submitted by the Interchange Authority.
- M2. Evidence shall demonstrate that the Interchange was implemented in the Balancing Authority's Area Control Error (ACE) equation, or the system that calculates the ACE equation. Evidence may be on a net basis or an individual Interchange basis.
- M3. Balancing Authorities that are interconnected with a direct current tie shall demonstrate that the Interchange was implemented in the ACE equation or modeled as an equivalent generator/load within its area.

D. Compliance

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

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

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

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

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

Subsequent to the initial compliance review, compliance may be:

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

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

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

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

2. Levels of Non-Compliance

- 2.1. **Level 1:** One occurrence¹ of not implementing a Confirmed Interchange as described in R1.
- 2.2. **Level 2:** Two occurrences¹ of not implementing a Confirmed Interchange as described in R1.
- 2.3. **Level 3:** Three occurrences¹ of not implementing a Confirmed Interchange as described in R1.
- 2.4. **Level 4:** Four or more occurrences¹ of not implementing a Confirmed Interchange as described in R1 or no evidence provided.

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking

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

A. Introduction

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

B. Requirements

- R1. The Balancing Authority that experiences a loss of resources covered by an energy sharing agreement shall ensure that a request for an Arranged Interchange is submitted with a start time no more than 60 minutes beyond the resource loss. If the use of the energy sharing agreement does not exceed 60 minutes from the time of the resource loss, no request for Arranged Interchange is required.
- R2. For a modification to an existing Interchange schedule that is directed by a Reliability Coordinator for current or imminent reliability-related reasons, the Reliability Coordinator shall direct a Balancing Authority to submit the modified Arranged Interchange reflecting that modification within 60 minutes of the initiation of the event.
- R3. For a new Interchange schedule that is directed by a Reliability Coordinator for current or imminent reliability-related reasons, the Reliability Coordinator shall direct a Balancing Authority to submit an Arranged Interchange reflecting that Interchange schedule within 60 minutes of the initiation of the event.

C. Measures

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

D. Compliance

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

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

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

1.3. Data Retention

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

1.4. Additional Compliance Information

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

Subsequent to the initial compliance review, compliance may be:

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

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

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

2. Levels of Non-Compliance

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

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

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

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

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

- 2.3.1 Three occurrences of not submitting an Arranged Interchange as described in R1.
- 2.3.2 Three occurrences of not directing the submittal of a new or modified Arranged Interchange as described in R2 or R3.
- 2.4. **Level 4:** There shall be a level three non-compliance if any of the following conditions is present:
 - 2.4.1 Four or more occurrences of not submitting an Arranged Interchange as described in R1.
 - 2.4.2 Four or more occurrences of not directing the submittal of a new or modified Arranged Interchange as described in Requirements 2 or 3.
 - 2.4.3 No evidence provided.

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking