

## ***Violation Risk Factor Tool Test Plan***

The goal of the test is to evaluate the concepts proposed by the NERC Standards Committee Process Subcommittee (SCPC) for the creation of improved Violation Risk Factors (VRF). The intent of the tools is to assist drafting teams in objectively assigning VRFs among standards. The concept is to peg the VRFs to NERC's definition of "Adequate Level of Reliability".

The test also evaluates an SCPS proposal for a 5-level VRF. The additional tiers provide greater granularity for the compliance process. The intent is to enable the Industry and Compliance Staff to focus on those things that most impact reliability and to allow streamlining of the compliance process for minor infractions.

Volunteers from the NERC Standards Interface Subcommittee and the Compliance Elements Drafting Resource Pool and others are asked to test the two proposed tools on 3-5 standards and record their results on the test worksheet. These results will be compiled to determine consistency:

- Among individuals.
- Between the two proposed tools.

Volunteers are also asked for their opinions on the two tools, the proposed methodology, and for suggestions to improve the process and tools.

### ***Tasks for Volunteers***

- Scan the *Improved VRF Definitions* document to get an understanding of the proposal of evaluating a new 5 Tier approach to assigning VRFs.
- First, put your own assessment of the proper 3-tier (using today's definitions) in "column I" of the "VRF Test Plan Matrix".
- Use the two VRF tools to create 5 tier VRFs for 3-5 standards and record them in columns G & H respectively in the "VRF Test Plan Matrix".
- Also record the 3-tier VRF generated by Tool 2 in column H.
- Answer the feedback questions at the end of this plan.
- When complete, send the test plan matrix and the feedback questions to [tbilke@midwestiso.org](mailto:tbilke@midwestiso.org)

### ***Running the Tools***

#### **Tips for Running the Test**

- Run the test on each tool just once for each requirement using your judgment. Do not rerun the tools in an attempt to get a different answer or to get the tools to match.
- If the tool doesn't generate results, it's probably because your security settings are preventing you from running macros in the spreadsheet. To enable them, you should choose Tools>Options>Security>Macro Security and then set the security level to Medium. This will prompt you when opening Excel whether or not you want to run macros.

## Tool 1

- Tool 1 has a set of eight questions. Each answer cell has a “pull down”. Select the most appropriate answer for the given requirement.
- After answering the questions, click the “get risk result” button. Record the “total risk” answer in the test matrix.
- Click the “clear data” before moving on to the next requirement to be evaluated.

NO.	Question	Answer
1	Violating the requirement once could lead to cascading	
2	Violating the requirement once could burden others	
3	Violating this requirement would impede restoration	
4	Violating the requirement once could damage major equipment	
5	violating the requirement once could result in loss of customer load	
6		
7	Time horizon of the requirement	
8	The requirement procedural or administrative	
9	The requirement is explanatory	
10	<b>Total risk</b>	

*Use this Section to Create a Record*

Standard Number	
Standard Name	
Requirement	
Requirement Text	
File name	

Figure 1 Tool 1

## Tool 2

- Tool 2 has eight questions, each of which is followed by a set of radio buttons. Answer each question for the requirement in question by selecting the appropriate button.
- Record the resultant Final 5-Tier VRF and the 3-Tier VRF in the test plan matrix.
- Hit the Reset button before moving on to the next requirement.

