

## 'Operations' Sanctions Table

Type of Operations Requirement	Level 1 – a violation is not expected to adversely impact electrical state/capability of BES or ability to monitor/control BES.	Level 2 - a violation could directly and adversely impact electrical state/capability of BES or ability to monitor/control BES – unlikely to contribute to BES instability, separation, or a cascading sequence of failures.	Level 3 - a violation could contribute to impeding restoration, damaging equipment or non-consequential load loss or could contribute to BES instability, separation, or a cascading sequence of failures.	Level 4 – a violation could directly cause BES instability, separation, or a cascading sequence of failures.
<b>Performance-based</b>				
Such as but not limited to: <ul style="list-style-type: none"> <li>• Perform action involving Elements and Facilities</li> <li>• Perform communications about Elements and Facilities</li> <li>• Set relays/coordinate relay settings</li> <li>• Perform maintenance</li> <li>• Implement a process, procedure, or plan</li> <li>• Develop ratings and limits</li> </ul>	\$3000 - \$125000	\$75000 - \$300000	\$15000 - \$625000	\$25000 - \$1000000
<b>Risk-based</b>				
Such as but not limited to: <ul style="list-style-type: none"> <li>• Develop an action plan</li> <li>• Conduct a study to support development of a process, procedure, or plan</li> <li>• Provide/distribute data, information, process, procedure, or plan</li> <li>• Verify/maintain/test a process, procedure, plan</li> </ul>	\$2000 - \$75000	\$4000 - \$200000	\$6000 - \$410000	\$10000 - \$675000

Capability-based				
Such as but not limited to: <ul style="list-style-type: none"> <li>• Have a process, procedure, or plan</li> <li>• Verify that personnel authority exists</li> <li>• Verify that agreement exists</li> <li>• Verify personnel qualifications</li> <li>• Verify Facility meets criteria</li> <li>• Verify accuracy of data</li> </ul>	\$1000 - \$30000	\$2000 - \$100000	\$3000 - \$200000	\$5000 - \$335000

## ‘Cyber Security’ Sanctions Table

Type of Cyber Security Requirement	Level 1 – a violation could adversely affect Low Impact BES Cyber Systems; but would not be expected to expose the electrical state or the capability of the BES; or the ability to effectively monitor and control the BES.	Level 2 - a violation could adversely impact Medium Impact BES Cyber Systems; a violation could adversely expose the electrical state or the capability of the BES; or the ability to effectively monitor and control the BES - A violation of the requirement is unlikely to lead to BES instability, separation, or cascading failures.	Level 3 - a violation could adversely impact High Impact BES Cyber Systems; a violation could contribute to impeding restoration, damaging equipment or non-consequential load loss or could contribute to BES to instability, separation, or a cascading sequence of failures.	Level 4 – a violation could directly expose the BES to instability, separation, or a cascading sequence of failures.
<b>Performance-based</b>				
Such as but not limited to: <ul style="list-style-type: none"> <li>• Act to protect cyber assets</li> <li>• Other</li> </ul>	\$3000 - \$125000	\$75000 - \$300000	\$15000 - \$625000	\$25000 - \$1000000
<b>Risk-based</b>				
Such as but not limited to: <ul style="list-style-type: none"> <li>• Implement a cyber security process, procedure, plan</li> <li>• Implement a cyber security program</li> <li>• Distribute a cyber security plan</li> <li>• Verify/maintain/test a cyber security process, procedure, plan</li> </ul>	\$2000 - \$75000	\$4000 - \$200000	\$6000 - \$410000	\$10000 - \$675000

Capability-based				
<p>Such as but not limited to:</p> <ul style="list-style-type: none"> <li>• Have a cyber security process, procedure policy or plan</li> <li>• Have a cyber security program</li> <li>• Provide education on cyber security</li> <li>• Verify qualifications of personnel</li> <li>• Categorize BES Cyber Systems and Assets</li> <li>• Verify existence of authority</li> <li>• Verify that an agreement exists</li> </ul>	\$1000 - \$30000	\$2000 - \$100000	\$3000 - \$200000	\$5000 - \$335000

## 'Planning' Sanctions Table

Type of Planning Requirement	Level 1 - a violation would not be expected to adversely affect the ability to assess the long-range reliability of the BES.	Level 2 - a violation could directly and adversely affect the ability to assess the long-range reliability of the BES .	Level 3 - a violation could contribute to development of a long-range plan that, if followed, could adversely affect the BES' ability to respond to contingencies.	Level 4 - a violation could directly cause development of a long-range plan that, if followed, could adversely affect the BES' ability to respond to contingencies.
<b>Performance-based</b>				
Such as but not limit to: <ul style="list-style-type: none"> <li>• Conduct an analysis/assessment</li> <li>• Verify/maintain a model</li> <li>• Implement a methodology, process, procedure, or plan</li> <li>• Develop ratings or limits</li> </ul>	\$3000 - \$125000	\$75000 - \$300000	\$15000 - \$625000	\$25000 - \$1000000
<b>Risk-based</b>				
Such as but not limit to: <ul style="list-style-type: none"> <li>• Have a model</li> <li>• Conduct a study to support development of a methodology, process, procedure, or plan</li> <li>• Provide/distribute data or information</li> </ul>	\$2000 - \$75000	\$4000 - \$200000	\$6000 - \$410000	\$10000 - \$675000
<b>Capability-based</b>				
Such as but not limit to: <ul style="list-style-type: none"> <li>• Have a methodology, process, procedure plan</li> <li>• Verify accuracy of data</li> </ul>	\$1000 - \$30000	\$2000 - \$100000	\$3000 - \$200000	\$5000 - \$335000