

Standard Development Roadmap

Development Steps Completed:

1. Balancing Authority Certification SAR requested — October 7, 2002.
 2. Balancing Authority Certification SAR authorized for posting — November 20, 2002.
 3. SAR drafting team appointed — January 6, 2003.
 4. Balancing Authority Certification SAR first posting — December 1, 2002 to January 10, 2003.
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- ~~1. Balancing Authority Certification SAR Requested — 10/7/02~~
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Description of Current Draft:

This is the third posting of the Balancing Authority Certification Standards. These standards have been drafted based on the SARs and comments received during the first two postings of the Balancing Authority Standard and applicable comments received during the first posting Transmission Operator Certification Standard. As was identified in the Transmission Operator Certification Standard, the Drafting Team has also removed the process that was previously included. In addition, the standards have been re-formatted to conform to the NERC standard format.

To address comments received from the previous postings of the BA and TOP standards and to maintain consistency with the current NERC Reliability Standards, the term Reliability Authority has been replaced throughout the certification standards with the term Reliability Coordinator. All references to the Interchange Authority have been removed from the certification standards.

Future Development Plan:

Anticipated Actions	Anticipated Date
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3. Ballot standards. Ballot Standard	<u>October 2005</u> October 2005
4. BOT adoption. BOT Adoption	<u>February 6, 2006</u> February 2006
5. <u>Proposed effective date.</u>	<u>April 1, 2006</u>

Definitions of Terms Used in Standard

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Agreements: ~~An agreement is defined as a contract or other document delineating an arrangement that expresses assent by two or more parties to the same object. This arrangement determines a course of action to be followed by all parties involved in the situation. The key components of the agreement must identify the ability, intent, and authority of the parties. The requirement for these agreements can be satisfied in a variety of ways, including but not limited to: contracts, designation of authority documents, policies, procedures.~~

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[Above definition is proposed to replace the existing definition of Agreement in the Reliability Standards Glossary of Terms:

Integrated Operational Plan (IOP): A plan formulated by the Balancing Authority incorporating the intended operation of resources, interchange, and demand expectations to satisfy balancing requirements. The plan is provided to the ~~Reliability Authority~~Reliability Coordinator for performing reliability analysis.

A. Introduction

1. **Title:** **Balancing Authority Certification - Certification**
2. **Number:** ORG-009-1
3. **Purpose:** To ensure that each entity that performs the balancing function for a defined Balancing Authority Area is certified as a NERC Balancing Authority by the NERC Regional Reliability Organization using the NERC Certification Process for Balancing Authorities.
4. **Applicability**
 - 4.1. Entity seeking certification as a Balancing Authority
 - 4.2. Regional Reliability Organization
5. **(Proposed) Effective Date:** April 1, 2006

B. Requirements

- R1.** The entity that intends to perform the balancing function shall obtain certification as a NERC Balancing Authority by satisfying all of the requirements identified in the NERC Balancing Authority Certification Standards.






~~     Balancing Authority Certification - Certification~~

~~     Balancing Authority Certification — Agreements~~






~~     Balancing Authority Certification — Personnel~~

~~     Balancing Authority Certification — Balancing~~

~~     Balancing Authority Certification — Data Acquisition~~

~~     Balancing Authority Certification — Frequency Control~~

~~     Balancing Authority Certification — Interchange Approval and Implementation~~

~~     Balancing Authority Certification — Information Dissemination~~

~~     Balancing Authority Certification — Emergency Operations~~

~~     Balancing Authority Certification — Loss of Control Center Functionality~~

- R2.** The entity seeking certification as a Balancing Authority ~~(Applicant)~~ shall apply for certification in accordance with and adhere to the administrative requirements of the NERC Certification Process for Balancing Authorities.

~~**R2.1.** Balancing Authorities shall identify tasks that it will perform. Balancing Authorities may delegate tasks, but retains responsibility.~~

~~**R2.2.** Balancing Authorities shall identify any task that will be performed by another entity and ensure that the entity has the capability to perform the tasks. The entity, to which a task is delegated, is subject to review.~~

- R3.** A Balancing Authority may delegate tasks, but shall retain responsibility for all tasks. Each entity seeking certification as a Balancing Authority shall identify any task for which it is responsible that will be performed by another entity and shall ensure that the entity has the capability to perform the tasks. The entity, to which a task is delegated, shall be subject to review.

~~R3~~R4. The Balancing Authority shall have procedures, processes, and tools for adhering to NERC Reliability Standards including reporting requirements.

~~R4~~R5. The awarding of certification to the Balancing Authority shall be based on satisfying all of the requirements defined in the NERC Balancing Authority Certification Standards identified in Requirement R1.

~~R5~~R6. The NERC Regional Reliability Organizations shall administer the certification process using the NERC Certification Process for Balancing Authorities.

~~R6~~R7. The process for certification shall include an on-site visit of the Balancing Authority's control center facilities.

C. Measures

M1. The Balancing Authority shall meet Requirement R1.

M2. The Balancing Authority shall have available for inspection, documentation to meet Requirements R2 through R4. ~~documentation available for inspection to meet Requirement R2.~~

~~**M3.**The Balancing Authority shall have available for inspection, the procedures, processes, and tools to meet Requirements R3 and R4.~~

~~**M4**~~**M3.** The Regional Reliability Organization shall administer the certification process in adherence with Requirements ~~R4~~R5 through ~~R6~~R7.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

1.1.1 Regional Reliability Organization for Requirements R1 through ~~R3~~R4.

1.1.2 NERC for Requirements ~~R4~~R5 through ~~R6~~R7.

1.2. Compliance Monitoring Period and Reset Timeframe

None

1.3. Data Retention

Regional Reliability Organization ~~—~~ None

NERC Office ~~—~~ Regional Reliability Organization letter of certification approval

1.4. Additional Compliance Information

None

2. Levels of Non-Compliance

2.1. Level 1: ~~None~~Not Applicable

2.2. Level 2: ~~None~~Not Applicable

2.3. Level 3: ~~None~~Not Applicable

2.4. Level 4: ~~None~~Not Applicable

E. Regional Differences

~~1.~~None identified

Version History

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This is the third posting of the Balancing Authority Certification Standards. These standards have been drafted based on the SARs and comments received during the first two postings of the Balancing Authority Standard and applicable comments received during the Transmission Operator Certification Standard. As was identified in the Transmission Operator Certification Standard, the Drafting Team has also removed the process that was previously included. In addition, the standards have been re-formatted to conform to the NERC standard format.

To address comments received from the previous postings of the BA and TOP standards and to maintain consistency with the current NERC Reliability Standards, the term Reliability Authority has been replaced throughout the certification standards with the term Reliability Coordinator. All references to the Interchange Authority have been removed from the certification standards.

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Anticipated Actions	Anticipated Date
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Balancing Authority Certification - Agreements

<u>comments from this third posting.</u>	
3. Ballot Standards.	October –2005
4. BOT Adoption.	February –2006
<u>5. Proposed effective date.</u>	<u>April 1, 2006.</u>

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[Above definition is proposed to replace the existing definition of Agreement in the Reliability Standards Glossary of Terms.]

Integrated Operational Plan (BIOP): A plan formulated by the Balancing Authority incorporating the intended operation of resources, interchange, and demand expectations to satisfy balancing requirements. The plan is provided to the Reliability ~~Authority~~ Coordinator for performing reliability analysis.

A. Introduction

1. **Title:** Balancing Authority Certification - Agreements
2. **Number:** ORG-010-1
3. **Purpose:** To ensure the entity seeking certification as a Balancing Authority has agreements in place that define its responsibilities, authority, and interaction with entities that are necessary to perform its bBalancing function.
4. **Applicability**
 - 4.1. entity seeking certification as a Balancing Authority
5. **(Proposed) Effective Date:** **April 1, 2006**

B. Requirements

- R1. The Balancing Authority shall have agreements that define the responsibilities and authority of that Balancing Authority with respect to its Load Serving Entities, Generator Operators, Reliability AuthorityCoordinator, Interchange Authorities, adjacent Balancing Authority(s), Transmission Operators, and Transmission Owners for the defined Balancing Authority Area that addresses:
 - R1.1. The commitment of its Load Serving Entities, Generator Operators, or Transmission Operators to follow the Balancing Authority's directives to ensure balance in real time that address:
 - R1.1.1. Shedding load
 - R1.1.2. Reducing voltage
 - R1.1.3. Re-dispatching resources
 - R1.1.4. Adhering to balanced interchange schedules
 - R1.2. The Balancing Authority's commitment to follow the directives of its Reliability AuthorityCoordinator.
 - ~~R1.3. The Balancing Authority's commitment to provide its Interchange Authority(s) confirmation of Interchange Schedules and ramping capabilities.~~
 - ~~R1.4. The Balancing Authority's commitment to provide its Interchange Authority(s) and Reliability Authority notice of Interchange Schedule interruptions due to generator or load interruptions within its Balancing Authority Area.~~
 - ~~R1.5. The Interchange Authority's commitment to provide approved, valid, and balanced Interchange Schedules to the Balancing Authority.~~
 - R1.6.R1.3. The adjacent Balancing Authority(s) commitment to:
 - R1.6.1.R1.3.1. Confirm Actual Interchange for after the hour 'checkout'
 - R1.6.2.R1.3.2. Coordinate pseudo-ties that exist in another Balancing Authority Area
 - R1.5.3. Identify the location of its Balancing Authority Area's metered boundaries.
- R2. -The Balancing Authority shall have agreements that define the data and information exchange responsibilities with respect to its Load Serving Entities, Generator Owners, Generator

Operators, Reliability ~~Authority Coordinator~~, adjacent Balancing Authority(s), Transmission Operators, and Transmission Owners that addresses:

- R2.1. ~~Load Forecast~~ Generator real time operating data.
- R2.2. ~~Controllable loads~~ Identification of its Balancing Area's metered boundaries.
- R2.3. ~~Generator operational plans and planning data~~ Balancing Integrated Operational Plans.
- R2.4. ~~Generator real time operating data~~ Balancing information for real-time monitoring.
- R2.5. ~~Generator commitment and dispatch schedules~~ Real-time operational information for Reliability Coordinator monitoring.
- R2.6. ~~Identification of its Balancing Area's metered boundaries~~ Notice of Interchange Schedule interruptions due to generation or load interruptions within its Balancing Authority Area.
- R2.7. ~~Integrated Operational Plans~~ Notice of the implementation of its own emergency procedures.
- R2.8. ~~Balancing information for real-time monitoring~~ Interconnection boundary metering.
- R2.9. ~~Real-time operational information for Reliability Authority monitoring~~ Actual Interchange.
- R2.10. ~~Notice of Interchange Schedule interruptions due to generation or load interruptions within its Balancing Authority Area~~ Frequency.
- R2.11. ~~Notice of the implementation of its own emergency procedures~~ Dynamic schedules.
- ~~R2.12. Interconnection boundary metering~~
- ~~R2.13. Actual Interchange~~
- ~~R2.14. Frequency~~
- ~~R2.15. Dynamic schedules~~

C. Measures

~~M1.1M1.~~ The Balancing Authority shall have available for inspection agreement(s) that meet Requirements R1 and R2.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organization

1.2. Compliance Monitoring Period and Reset Timeframe

~~Text~~ None

1.3. Data Retention

~~Text~~ None

1.4. Additional Compliance Information

~~None~~ The Balancing Authority shall not be certified for the designated Balancing Authority Area until Requirements R1 and R2 have been satisfied.

2. Levels of Non-Compliance

2.1. Level 1: ~~None~~Not Applicable

2.2. Level 2: ~~None~~Not Applicable

2.3. Level 3: ~~None~~Not Applicable

2.4. Level 4: ~~None~~Not Applicable

E. Regional Differences

~~1. None~~ None Identified

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A. Introduction

1. **Title:** Balancing Authority Certification - Personnel
2. **Number:** ORG-011-1
3. **Purpose:** To ensure that the entity seeking certification as a Balancing Authority has operating personnel that have been trained and are NERC-certified to perform Balancing Authority real-time responsibilities.
4. **Applicability**
 - 4.1. Entity seeking certification as a Balancing Authority
5. **(Proposed) Effective Date:** April 1, 2006

B. Requirements

- R1.** The Balancing Authority shall have NERC-certified personnel to perform any of the real-time Balancing Authority responsibilities 24 hours a day, ~~seven~~7 days a week. Personnel shall have a current certification credential applicable to the ~~b~~Balancing function. If any of these real-time tasks are delegated, the personnel performing these tasks must also be certified.
- R1.1.** Tasks considered real-time Balancing Authority responsibilities include:
- Directs resources (Generator Operators and Load-Serving Entities) to take action to ensure balance in real time.
 - Directs Transmission Operator to reduce voltage or shed load if needed to ensure balance within its Balancing Authority Area.
 - Complies with reliability requirements specified by ~~Reliability Authority~~Reliability Coordinator.
 - Informs ~~the Reliability Authority~~Reliability Coordinator and Interchange Authorities of Interchange Schedule interruptions due to generation or load interruptions within its Balancing Authority Area.
 - Directs Generator Operators to implement redispatch for congestion management as directed by the ~~Reliability Authority~~Reliability Coordinator.
 - Notifies ~~iesy~~ the ~~Reliability Authority~~Reliability Coordinator of the implementation of its own emergency procedures.
 - Coordinates the implementation of controllable loads with Load Serving Entities.
 - Implements emergency procedures as directed by the ~~Reliability Authority~~Reliability Coordinator.
 - Provides real-time verbal system information to the ~~Reliability Authority~~Reliability Coordinator.
- R2.** The Balancing Authority shall provide its operating personnel with training that addresses all of the procedures, processes, and tools associated with performing the Balancing Authority responsibilities identified in Requirement R1.
- R2.1.** The Balancing Authority shall have training records identifying when the training occurred, who attended the training, and the material that was covered.

C. Measures

- M1. The Balancing Authority shall have available for inspection, records of all certifications for personnel identified in Requirement R1.
- M2. The Balancing Authority shall have available for inspection, records of all training activities for personnel identified in Requirement R2.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organization

1.2. Compliance Monitoring Period and Reset Timeframe

None

1.3. Data Retention

None

1.4. Additional Compliance Information

None

2. Levels of Non-Compliance

2.1. Level 1: ~~None~~ Not Applicable

2.2. Level 2: Not Applicable ~~None~~

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E. Regional Differences

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A. Introduction

1. **Title:** **Balancing Authority Certification - Balancing**
2. **Number:** ORG-012-1
3. **Purpose:** To ensure that the entity seeking certification as a Balancing Authority has the capability of performing the balancing responsibilities for its Balancing Authority Area.
4. **Applicability**
 - 4.1. Entity seeking certification as a Balancing Authority
5. **(Proposed) Effective Date:** April 1, 2006

B. Requirements

- R1.** The Balancing Authority shall have procedures or processes to determine the requirements and amounts for, and the deployment of, generation and demand balance Interconnected Operation Services.
- R2.** The Balancing Authority shall have procedures or processes to develop its Integrated Operational Plan.
- R3.** The Balancing Authority shall have procedures or processes to implement the Balancing Integrated Operational Plan including modification to reflect changes.
- R4.** The Balancing Authority shall have procedures, processes, or tools for monitoring resource availabilities and capabilities in real-time.
- R5.** The Balancing Authority shall have procedures, processes, or tools to direct actions of resources within its Balancing Authority Area.
- R6.** The Balancing Authority shall have procedures, processes, or tools to obtain and implement interchange schedules from the Interchange Authority.
- R7.** The Balancing Authority shall have procedures, processes, or tools to validate the accuracy of Area Control Error components and implement corrective actions.
- R8.** The Balancing Authority shall have tools to calculate and monitor its Balancing Authority Area's Area Control Error.
- R9.** The Balancing Authority shall have tools to monitor its metered boundaries in real-time.
- R10.** The Balancing Authority shall have tools to monitor real-time status and output of resources used for generation and demand balance Interconnected Operation Services.

C. Measures

- M1.** The Balancing Authority shall have available for inspection its procedures or processes to satisfy Requirements R1 through R3.
- M2.** The Balancing Authority shall have available for inspection its procedures or processes or demonstrate its tools to satisfy Requirements R4 through R7.
- M3.** The Balancing Authority shall demonstrate its tools to satisfy Requirements R8 through R10.

D. Compliance

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

Regional Reliability Organization

1.2. Compliance Monitoring Period and Reset Timeframe

None

1.3. Data Retention

None

1.4. Additional Compliance Information

None

2. Levels of Non-Compliance

2.1. Level 1: ~~None~~Not Applicable

2.2. Level 2: Not Applicable~~None~~

2.3. Level 3: Not Applicable~~None~~

2.4. Level 4: Not Applicable~~None~~

E. Regional Differences

~~None~~ identified

Version History

Version	Date	Action	Change Tracking
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Standard Development Roadmap

Development Steps Completed:

1. Balancing Authority Certification SAR requested — October 7, 2002.
2. Balancing Authority Certification SAR authorized for posting — November 20, 2002.
3. SAR drafting team appointed — January 6, 2003.
4. Balancing Authority Certification SAR first posting — December 1, 2002 to January 10, 2003.
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7. Balancing Authority Certification SAR authorized by SAC for standard development — September 8, 2003.
8. Standard drafting team appointed — September 24, 2003.
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~~— Balancing Authority Certification SAR Requested — 10/7/02~~

~~1. Balancing Authority Certification SAR Authorized to Post — 11/20/02~~

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~~8. Balancing Authority Certification Standard 1st Posting — 4/2/04 to 5/17/04~~

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Description of Current Draft:

This is the third posting of the Balancing Authority Certification Standards. These standards have been drafted based on the SARs and comments received during the first two postings of the Balancing Authority Standard and applicable comments received during the first posting Transmission Operator Certification Standard. As was identified in the Transmission Operator Certification Standard, the Drafting Team has also removed the process that was previously included. In addition, the standards have been re-formatted to conform to the NERC standard format.

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Future Development Plan:

Anticipated Actions	Anticipated Date
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5. <u>Proposed effective date.</u>	<u>April 1, 2006</u>

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Integrated Operational Plan (IOP): ~~A plan formulated by the Balancing Authority incorporating the intended operation of resources, interchange, and demand expectations to satisfy balancing requirements. The plan is provided to the Reliability Authority for performing reliability analysis.~~

A. Introduction

1. **Title:** **Balancing Authority Certification — Data Acquisition**
2. **Number:** ORG-013-1
3. **Purpose:** To ensure that the entity seeking certification as a Balancing Authority has real-time resource-demand data in order to adequately control its system while maintaining acceptable system frequency.
4. **Applicability**
 - 4.1. Entity seeking certification as a Balancing Authority
5. **(Proposed) Effective Date:** April 1, 2006

B. Requirements

- R1. The Balancing Authority shall have data reporting requirements for its Balancing Authority Area that include: data required, periodicity transmittal, format of submission, and time frame.
- R2. The Balancing Authority shall have procedures, processes, and tools for acquiring:
 - R2.1. Load Forecast(s)
 - R2.2. Controllable load(s), if applicable
 - R2.3. Interchange schedule requests
 - R2.4. Approved Interchange schedules
 - R2.5. System frequency(s)
 - R2.6. Scheduled ~~F~~frequency
 - R2.7. Variable ~~f~~frequency bias if applicable
 - R2.8. Actual Interchange
 - R2.9. Generator operational plans and commitments
 - R2.10. Generator maintenance plans
 - R2.11. Real-time generator operational information
 - R2.12. Generation and Demand balance Interconnected Operations Services
- R3. The Balancing Authority shall have procedures, processes, or tools for acquiring ~~Reliability Authority~~Reliability Coordinator information:
 - R3.1. Dispatch adjustments for congestion management
 - R3.2. Emergency procedures
 - R3.3. Reliability analyses
 - R3.4. Load ~~s~~hedding
 - R3.5. Reliability alerts

C. Measures

- M1. The Balancing Authority shall have available for inspection its established data reporting requirements identified in Requirement R1.

M2. The Balancing Authority shall demonstrate that it can follow its procedures, processes, or use its tools to collect the data or information identified in Requirements R2 and R3.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

~~1.1.1~~ Regional Reliability Organization

~~2.1.2~~ Compliance Monitoring Period and Reset Timeframe

~~2.1~~ None

~~3.1.3~~ Data Retention

~~3.1~~ None

~~4.1.4~~ Additional Compliance Information

None

~~5.2~~ Levels of Non-Compliance

~~5.1.2.1~~ Level 1: ~~None~~ Not Applicable

~~5.2.2.2~~ Level 2: ~~Not Applicable~~ None

~~5.3.2.3~~ Level 3: ~~Not Applicable~~ None

~~5.4.2.4~~ Level 4: ~~Not Applicable~~ None

E. Regional Differences

~~1~~ None identified

Version History

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Standard Development Roadmap

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Integrated Operational Plan (IOP): ~~A plan formulated by the Balancing Authority incorporating the intended operation of resources, interchange, and demand expectations to satisfy balancing requirements. The plan is provided to the Reliability Authority for performing reliability analysis.~~

A. Introduction

1. **Title:** **Balancing Authority Certification** — ~~Frequency Control~~
2. **Number:** ORG-014-1
3. **Purpose:** To ensure that the entity seeking certification as a Balancing Authority has the capability to perform frequency control in its defined Balancing Authority Area.
4. **Applicability**
 - 4.1. Entity seeking certification as a Balancing Authority
5. **(Proposed) Effective Date:** April 1, 2006

B. Requirements

- R1. The Balancing Authority shall have procedures, processes, or tools for contributing to Interconnection frequency that address:
 - R1.1. Determining frequency response
 - R1.2. Determining frequency bias
 - R1.3. Incorporating frequency bias into Area Control Error calculation
 - R1.4. Operating in Tie-Line Bias or ~~f~~Flat (~~c~~Constant) ~~f~~Frequency control modes
 - R1.5. Utilizing both scheduled and actual frequency elements in Area Control Error calculation

C. Measures

- M1. The Balancing Authority shall demonstrate that it can follow its procedures, processes, or use its tools to contribute to frequency control as identified in Requirement R1.

D. Compliance

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

Regional Reliability Organization
 - 1.1. **Compliance Monitoring Period and Reset Timeframe**

None
 - 1.2. **Data Retention**

None
 - 1.3. **Additional Compliance Information**

None
2. **Levels of Non-Compliance**
 - 2.1. **Level 1:** ~~None~~Not Applicable
 - 2.2. **Level 2:** ~~Not Applicable~~None
 - 2.3. **Level 3:** ~~Not Applicable~~None
 - 2.4. **Level 4:** ~~Not Applicable~~None

E. Regional Differences

~~1~~.None identified

Version History

Version	Date	Action	Change Tracking
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Standard Development Roadmap

Development Steps Completed:

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Future Development Plan:

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Integrated Operational Plan (IOP): ~~A plan formulated by the Balancing Authority incorporating the intended operation of resources, interchange, and demand expectations to satisfy balancing requirements. The plan is provided to the Reliability Authority for performing reliability analysis.~~

A. Introduction

1. **Title:** **Balancing Authority Certification — Interchange Approval and Implementation**
2. **Number:** ORG-015-1
3. **Purpose:** To ensure that the entity seeking certification as a Balancing Authority has the capability to approve and implement interchange schedules.
4. **Applicability**
 - 4.1. Entity seeking certification as a Balancing Authority.
5. **(Proposed) Effective Date:** April 1, 2006

B. Requirements

- R1. The Balancing Authority shall have procedures, processes, or tools for interchange schedule approval that includes the determination that the resource ramp capability meets the projected interchange schedule ramp.
- R2. The Balancing Authority shall have procedures, processes, or tools for implementing interchange schedules.

C. Measures

- M1. The Balancing Authority shall demonstrate that it can follow its procedures, processes, or use its tools for approving and implementing interchange as identified in Requirement R1 and R2.

D. Compliance

1. **Compliance Monitoring Process**
 - 1.1. **Compliance Monitoring Responsibility**
Regional Reliability Organization
 - 1.2. **Compliance Monitoring Period and Reset Timeframe**
~~None~~None
 - 1.3. **Data Retention**
None
 - 1.4. **Additional Compliance Information**
None
2. **Levels of Non-Compliance**
 - 2.1. **Level 1:** ~~None~~Not Applicable
 - 2.2. **Level 2:** Not Applicable~~None~~
 - 2.3. **Level 3:** Not Applicable~~None~~
 - 2.4. **Level 4:** Not Applicable~~None~~

E. Regional Differences

- ~~1.~~ None identified

Version History

Version	Date	Action	Change Tracking
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Standard Development Roadmap

Development Steps Completed:

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1. The drafting team will consider and respond to comments received during the current posting and revise the draft standard as needed.	July 2005
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Balancing Integrated Operational Plan (BIOP): A plan formulated by the Balancing Authority incorporating the intended operation of resources, interchange, and demand expectations to satisfy balancing requirements. The plan is provided to the ~~Reliability Authority~~Reliability Coordinator for performing reliability analysis.

A. Introduction

1. **Title:** Balancing Authority Certification — Information Dissemination
2. **Number:** ORG-016-1
3. **Purpose:** To ensure that the entity seeking certification as a Balancing Authority has the capability to provide data and information to its ~~Reliability Authority~~Reliability Coordinator.
4. **Applicability**
 - 4.1. Entity seeking certification as a Balancing Authority.
5. **(Proposed) Effective Date:** April 1, 2006

B. Requirements

- R1. The Balancing Authority shall have procedures, processes, or tools to provide information and data to its ~~Reliability Authority~~Reliability Coordinator in accordance with the required ~~Reliability Authority~~Reliability Coordinator's specifications that addresses:
 - R1.1. Balancing Integrated Operational Plan and updates.
 - R1.2. Real-time operational information and data.
 - R1.3. Interchange schedule interruptions due to generation or load interruptions within its Balancing Authority Area.

C. Measures

- M1. The Balancing Authority shall demonstrate that it can follow its procedures, processes or use its tools to provide the information and data to its ~~Reliability Authority~~Reliability Coordinator as identified in Requirement R1.

D. Compliance

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

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

None.
 - 1.3. **Data Retention**

None.
 - 1.4. **Additional Compliance Information**

None.
2. **Levels of Non-Compliance**
 - 2.1. **Level 1:** ~~None~~Not Applicable
 - 2.2. **Level 2:** ~~Not Applicable~~None.
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E. Regional Differences

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Integrated Operational Plan (IOP): ~~A plan formulated by the Balancing Authority incorporating the intended operation of resources, interchange, and demand expectations to satisfy balancing requirements. The plan is provided to the Reliability Authority for performing reliability analysis.~~

A. Introduction

1. **Title:** Balancing Authority Certification — Emergency Operations
2. **Number:** ORG-017-1
3. **Purpose:** To ensure that the entity seeking certification as a Balancing Authority has the capability for continued operations during an Emergency~~EMERGENCY~~ conditions.
4. **Applicability**
 - 4.1. Entity seeking certification as a Balancing Authority
5. **(Proposed) Effective Date:** April 1, 2006

B. Requirements

- R1. The Balancing Authority shall have procedures or processes that define its responsibilities, authority, and actions for responding, communicating status, and coordinating operations during an Emergency. The procedures or processes shall ~~conditions that~~ address when the Balancing Authority:
 - R1.1. Is unable to meet its resource-demand balance requirements.
 - R1.2. Is unable to meet its Interconnected Operation Services requirements.
 - R1.3. Has experienced an actual or suspected act of sabotage that affects a physical or cyber asset.
 - R1.4. Has been directed by its ~~Reliability Authority~~ Reliability Coordinator to take actions to maintain the reliability of the interconnection.
 - R1.5. Experienced a partial or total bulk electric system shutdown.

C. Measures

- M1. The Balancing Authority shall demonstrate that it can follow its procedures, processes, or use its tools to operate during emergency conditions as identified in Requirement R1.

D. Compliance

1. **Compliance Monitoring Process**
 - 1.1. **Compliance Monitoring Responsibility**
 - ~~1.1.1~~ Regional Reliability Organization
 - 1.2. **Compliance Monitoring Period and Reset Timeframe**
 - ~~1.2.1~~ None
 - 1.3. **Data Retention**
 - ~~1.3.1~~ None
 - 1.4. **Additional Compliance Information**

None
2. **Levels of Non-Compliance**
 - ~~R1.5.2.1.~~ **Level 1:** ~~None~~ Not Applicable
 - 2.2. **Level 2:** Not Applicable ~~None~~

2.3. Level 3: ~~Not Applicable~~None

2.4. Level 4: ~~Not Applicable~~None

E. Regional Differences

~~±~~None identified

Version History

Version	Date	Action	Change Tracking
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Standard Development Roadmap

Development Steps Completed:

1. Balancing Authority Certification SAR requested — October 7, 2002.
2. Balancing Authority Certification SAR authorized for posting — November 20, 2002.
3. SAR drafting team appointed — January 6, 2003.
4. Balancing Authority Certification SAR first posting — December 1, 2002 to January 10, 2003.
5. Balancing Authority Certification SAR second posting — February 28, 2003 to March 31, 2003.
6. Balancing Authority Certification SAR third posting — May 15, 2003 to June 13, 2003.
7. Balancing Authority Certification SAR authorized by SAC for standard development — September 8, 2003.
8. Standard drafting team appointed — September 24, 2003.
9. Balancing Authority Certification Standard first posting — April 2, 2004 to May 17, 2004.
10. Balancing Authority Certification Standard second posting — August 19, 2004 to October 4, 2004.

~~— Balancing Authority Certification SAR Requested — 10/7/02~~

~~1. Balancing Authority Certification SAR Authorized to Post — 11/20/02~~

~~2. SAR Drafting Team appointed — 1/6/03~~

~~3. Balancing Authority Certification SAR 1st Posting — 12/1/02 to 1/10/03~~

~~4. Balancing Authority Certification SAR 2nd Posting — 2/28/03 to 3/31/03~~

~~5. Balancing Authority Certification SAR 3rd Posting — 5/15/03 to 6/13/03~~

~~6. Balancing Authority Certification SAR approved by SAC to move to standard development phase — 9/8/03~~

~~7. Standard Drafting Team appointed — 9/24/03~~

~~8. Balancing Authority Certification Standard 1st Posting — 4/2/04 to 5/17/04~~

~~9. Balancing Authority Certification Standard 2nd Posting — 8/19/04 to 10/4/04~~

Description of Current Draft:

This is the third posting of the Balancing Authority Certification Standards. These standards have been drafted based on the SARs and comments received during the first two postings of the Balancing Authority Standard and applicable comments received during the first posting Transmission Operator Certification Standard. As was identified in the Transmission Operator Certification Standard, the Drafting Team has also removed the process that was previously included. In addition, the standards have been re-formatted to conform to the NERC standard format.

To address comments received from the previous postings of the BA and TOP standards and to maintain consistency with the current NERC Reliability Standards, the term Reliability Coordinator has been

replaced throughout the certification standards with the term Reliability Coordinator. All references to the Interchange Authority have been removed from the certification standards.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. <u>The drafting team will consider and respond to comments received during the current posting and revise the draft standard as needed.</u> The SDT respond to comments received during the 2nd posting and incorporate modifications based on the comments.	<u>July 2005</u>
2. <u>It may be necessary to post this standard for a fourth time if changes are made after receiving the comments from this second posting.</u> The SDT anticipates the necessity to post this standard for a third time after receiving the comments from this 2nd posting.	<u>August 2005</u>
3. <u>Ballot standards.</u> Ballot Standard	<u>October 2005</u> October – 2005
4. <u>BOT adoption.</u> BOT Adoption	<u>February 6, 2006</u> February – 2006
<u>5. Proposed effective date.</u>	<u>April 1, 2006</u>

Definitions of Terms Used in Standard

This section includes all newly defined or revised terms used in the proposed standard. Terms already defined in the Reliability Standards Glossary of Terms are not repeated here. New or revised definitions listed below become approved when the proposed standard is approved. When the standard becomes effective, these defined terms will be removed from the individual standard and added to the Glossary.

Agreements: ~~An agreement is defined as a contract or other document delineating an arrangement that expresses assent by two or more parties to the same object. This arrangement determines a course of action to be followed by all parties involved in the situation. The key components of the agreement must identify the ability, intent, and authority of the parties. The requirement for these agreements can be satisfied in a variety of ways, including but not limited to: contracts, designation of authority documents, policies, procedures.~~

Integrated Operational Plan (IOP): A plan formulated by the Balancing Authority incorporating the intended operation of resources, interchange, and demand expectations to satisfy balancing requirements. The plan is provided to the ~~Reliability Authority~~Reliability Coordinator for performing reliability analysis.

A. Introduction

1. **Title:** **Balancing Authority Certification — Loss of Control Center Functionality**
2. **Number:** ORG-018-1
3. **Purpose:** To ensure that the entity seeking certification as a Balancing Authority has the capability for continued operations during loss of its control center functionality.
4. **Applicability**
 - 4.1. Entity seeking certification as a Balancing Authority
5. **(Proposed) Effective Date:** April 1, 2006

B. Requirements

- R1. The Balancing Authority shall have procedures, processes, tools, or facilities to continue to operate in accordance with NERC standards related to Loss of Control Center Functionality under the single occurrence for each of the following conditions:
 - Evacuation of control center building
 - Loss of communications¹
 - Loss of Energy/Generation Management System critical functionality
 - Loss of critical Supervisory Control and Data Acquisition system data
 - Loss of control center support functions, i.e. air conditioning, power, water
- R2. The Balancing Authority shall have procedures or processes and tool(s) to operate in accordance with NERC Standards for a Balancing Authority during the conditions identified in Requirement R1 and must address the following:
 - R2.1. Developing an Integrated Operational Plan for its Balancing Authority Area.
 - R2.2. Determining the requirements and amounts for, and the deployment of, generation and demand balance Interconnected Operation Services.
 - R2.3. Implementing the Integrated Operational Plan including modification to reflect changes.
 - R2.4. Monitoring resource availabilities and capabilities in real-time.
 - R2.5. Calculating and monitoring its Balancing Authority Area's Area Control Error.
 - R2.6. Monitoring its metered boundaries in real-time.
 - R2.7. Monitoring real-time status and output of resources used for generation and demand balance Interconnected Operation Services.
 - R2.8. Directing actions of resources within its Balancing Authority Area.
 - R2.9. Obtaining and implementing interchange schedules from the Interchange Authority.
 - R2.10. Validating the accuracy of Area Control Error components and implementing corrective actions.

¹ Loss of communications is meant to include all communications other than that associated with SCADA data (internet, administrative and operational voice, etc)

- R2.11.** Using the interchange approval process that includes the determination that the resource ramp capability meets the projected interchange ramp.
- R2.12.** Implementing Interchange Schedules.
- R2.13.** Providing its ~~Reliability Authority~~Reliability Coordinator with:
 - R2.13.1.** The Integrated Operational Plan
 - R2.13.2.** Updates to the Integrated Operational Plan
 - R2.13.3.** Real-time operational information and data
 - R2.13.4.** Interchange Schedule interruptions due to generation or load interruptions
- R2.14.** Calculating and reporting in accordance with NERC Standards applicable to the Balancing Authority function.
- R2.15.** Providing data retention that supports the reporting requirements of NERC standards.
- R2.16.** Reporting and responding to an actual or suspected act of sabotage that affects a physical or cyber asset.
- R2.17.** Responding to the directions from its ~~Reliability Authority~~Reliability Coordinator to take actions to maintain the reliability of the interconnection.
- R2.18.** Maintaining its responsibilities, authority, and actions for responding, communicating status, and coordinating operations following a partial or total bulk electric system shutdown.

C. Measures

- M1.** The Balancing Authority shall have available for inspection its procedures, processes, tools or facilities to meet Requirements R1 and R2.

D. Compliance

- 1. Compliance Monitoring Process**
 - 1.1. Compliance Monitoring Responsibility**
Regional Reliability Organization
 - 1.1. Compliance Monitoring Period and Reset Timeframe**
None
 - 1.2. Data Retention**
None
 - 1.3. Additional Compliance Information**
None
- 2. Levels of Non-Compliance**
 - 2.1. Level 1:** ~~None~~Not Applicable
 - 2.2. Level 2:** ~~Not Applicable~~None
 - 2.3. Level 3:** ~~Not Applicable~~None
 - 2.4. Level 4:** ~~Not Applicable~~None

E. Regional Differences

±None identified

Version History

Version	Date	Action	Change Tracking
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