

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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Description of Current Draft:

This is the ~~fourth~~ posting of the Balancing Authority Certification ~~S~~standards. These standards have been drafted based on the SARs and updated based on the comments received during the first ~~four~~three postings of the Balancing Authority [Certification](#) standard and applicable comments received during the ~~third~~second posting of the Transmission Operator Certification standard and the ~~second~~first posting of the Reliability Coordinator Certification standard.

Future Development Plan:

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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-December 2005
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3. Field Test Standards. Ballot standards.	March—July 2006 October 2005
4. Ballot standards. BOT adoption.	August 2006 February 6, 2006

5. Board adoption. — 5. Proposed effective date.	November 2006 <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:]

~~**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 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 [Organization Registration and Certification Manual](#)~~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~~[December](#) 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 shall apply for certification in accordance with and adhere to the administrative requirements of the NERC [Organization Registration and Certification Manual](#)~~Process for Balancing Authorities~~.
- 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 as part of the NERC [Organization Registration and Certification Manual](#)~~Process for Balancing Authorities~~.
- R4. The Balancing Authority shall have procedures, processes, and tools for adhering to NERC reliability standards ~~related to cyber security~~[including reporting requirements](#).
- R5. The NERC Regional Reliability Organizations 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.

R6. The NERC Regional Reliability Organizations shall administer the certification process using the NERC [Organization Registration and Certification Manual](#) ~~Process for Balancing Authorities~~.

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.
- M3.** The Regional Reliability Organization shall have available for inspection, documentation to meet Requirements R5 and R6.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

- 1.1.1** Regional Reliability Organization for Requirements R1 through R4.
- 1.1.2** NERC for Requirements R5 through R7.

1.2. Compliance Monitoring Period and Reset Time ~~f~~Frame

None.

1.3. Data Retention

Regional Reliability Organization — None.
 NERC — Regional Reliability Organization letter of certification approval.

1.4. Additional Compliance Information

None.

1.2. Levels of Non-Compliance

- 2.1. Level 1:** Not Applicable.
- 2.2. Level 2:** Not Applicable.
- 2.3. Level 3:** Not Applicable.
- 2.4. Level 4:** Not Applicable.

E. Regional Differences

—None identified.

Version History

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[This is the fifth posting of the Balancing Authority Certification standards. These standards have been drafted based on the SARs and updated based on the comments received during the first four postings of the Balancing Authority Certification standard and applicable comments received during the third posting of the Transmission Operator Certification standard and the second posting of the Reliability Coordinator Certification standard.](#)

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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 Coordinator for performing reliability analysis.~~

A. Introduction

1. **Title:** **Balancing Authority Certification — Agreements**
2. **Number:** ORG-010-1
3. **Purpose:** To ensure that 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 balancing function.
4. **Applicability**
 - 4.1. Entity seeking certification as a Balancing Authority.
5. ~~(Proposed)~~ **Effective Date:** ~~April~~December 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 Coordinator, adjacent Balancing Authority(~~sies~~), Transmission Operators, Distribution Providers, and Transmission Owners. The entities identified below are the typical information sources, however the information identified can be obtained from alternate sources and must be identified in the appropriate agreements. The agreements for the acquisition of this information for the defined Balancing Authority Area must ~~that~~ addresses:
 - R1.1. The commitment of its Load Serving Entities, Generator Operators, Transmission Operators, or Distribution Providers to follow the Balancing Authority's requests~~directives~~ to ensure balance in real time that address:
 - R1.1.1. Shedding or reducing load as identified in- TOP-001.
 - R1.1.2. Re-dispatching resources as identified in -TOP-001.
 - R1.1.3. Adhering to balanced Interchange Schedules.
 - R1.2. The Balancing Authority's commitment to follow the directives of its Reliability Coordinator: as identified in TOP-001.
 - R1.3. The adjacent Balancing Authority(s) commitment to:
 - R1.3.1. Confirm actual and scheduled interchange ~~for after the hour 'checkout'~~as identified in -BAL-006.
 - R1.3.2. Coordinate ~~pseudo-ties~~dynamic transfers that exist in another Balancing Authority Area as identified in- BAL-005.
 - R1.3.3. Identify the location of its Balancing Authority Area's metered boundaries as identified in- BAL-005.
- 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 Coordinator, adjacent Balancing Authority(~~sies~~), Transmission Operators, and Transmission Owners that addresses:
 - R2.1. Generator real-time operating data as identified in- TOP-005.
 - R2.2. Identification of its Balancing Authority Area's metered boundaries as identified in- BAL-005.
 - R2.3. Information required for system studies as identified in IRO-004.~~Balancing Integrated Operational Plans.~~

- R2.4. Balancing information for real-time monitoring [as identified in- TOP-005.](#)
- R2.5. Real-time operational information for Reliability Coordinator monitoring [as identified in- TOP-005.](#)
- R2.6. Notice of Interchange Schedule interruptions due to generation or load interruptions within its Balancing Authority Area [as identified in- INT-004.](#)
- R2.7. Notice of the implementation of its own emergency procedures [as identified in- EOP-002.](#)
- R2.8. Interconnection boundary metering [as identified in- BAL-005.](#)
- R2.9. Actual interchange [as identified in- BAL-005.](#)
- R2.10. Frequency [as identified in- BAL-005.](#)
- R2.11. Dynamic interchange [as identified in- BAL-005.](#)
- [R2.12. Protection and control information, including Special Protection Systems as identified in PRC-001](#)

C. Measures

- M1. 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 Time ~~ff~~frame

None.

1.3. Data Retention

None.

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance

2.1. Level 1: Not Applicable.

2.2. Level 2: Not Applicable.

2.3. Level 3: Not Applicable.

2.4. Level 4: Not Applicable.

E. Regional Differences

None identified.

Version History

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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~~December 1, 2006

B. Requirements

- R1. The Balancing Authority shall provide ~~their~~its operating personnel with the responsibility and authority as identified in PER-001.
- R2. The Balancing Authority shall have NERC-certified personnel as identified in PER-003.
~~to perform any of the real-time Balancing Authority responsibilities 24 hours a day, seven days a week. Personnel shall have a current certification credential applicable to the Balancing Authority function.~~
- R3. The Balancing Authority may delegate ~~If any of these~~ real-time tasks provided ~~tasks are delegated,~~ the personnel performing these tasks are must also ~~be~~ certified.
 - R3.1. Tasks considered real-time are:
 - Directs resources (Generator Operators and Load-Serving Entities) to take action to ensure balance in real time.
 - Directs the reduction or shedding of load if needed to ensure balance within its Balancing Authority Area.
 - Complies with reliability requirements specified by Reliability Coordinator.
 - Notifies the Reliability Coordinator and impacted Balancing 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.
 - Notifies the Reliability Coordinator of the implementation of its own emergency procedures.
 - Implements emergency procedures.
 - Provides real-time system information to the Reliability Coordinator.
 - 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 the reduction or shedding of load if needed to ensure balance within its Balancing Authority Area.~~

- ~~•Complies with reliability requirements specified by Reliability Coordinator.~~
- ~~•Informs the Reliability Coordinator and impacted Balancing 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.~~
- ~~•Notifies the Reliability Coordinator of the implementation of its own emergency procedures.~~
- ~~•Implements emergency procedures.~~
- ~~•Provides real time system information to the Reliability Coordinator.~~

~~R4. The Balancing Authority shall have a training program and provide its operating personnel with training as identified in PER-002.~~

~~R5. Entities to whom tasks are delegated shall have a training program and provide its operating personnel with training as identified in PER-002.~~

~~R2. The Balancing Authority shall have a training program and 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 a training program that addresses the knowledge and competencies required for reliable system operations.~~

~~R2.2. 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, documentation identifying the elements to satisfy Requirement R1.~~

~~M1.M2. The Balancing Authority shall have available for inspection, records of all certifications for personnel identified in Requirements R2 and R3 (if applicable).~~

~~M2.M3. The Balancing Authority shall have available for inspection, documentation of its training programs and records of training activities for personnel identified in Requirements R4 and R5.~~

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

~~Regional Reliability Organization.~~

1.2. Compliance Monitoring Period and Reset Time ~~ff~~frame

~~None.~~

1.3. Data Retention

~~None.~~

1.4. Additional Compliance Information

~~None.~~

2.1. Levels of Non-Compliance

2.1.1.1. Level 1: Not Applicable.

2.2.1.2. Level 2: Not Applicable.

2.3.1.3. Level 3: Not Applicable.

2.4.1.4. Level 4: Not Applicable.

E. Regional Differences

None identified.

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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~~December 1, 2006

B. Requirements

- R1. The Balancing Authority shall have procedures or processes to determine requirements, acquire, and deploy ~~generation and demand balance Interconnected Operations~~ Services as identified in ~~BAL-002 and BAL-003.~~
- R2. The Balancing Authority shall have procedures or processes to develop its plan for operation ~~Balancing Integrated Operational Plan~~s identified in ~~TOP-002 and IRO-004.~~
- R3. The Balancing Authority shall have procedures or processes to implement its plan for operation ~~the Balancing Integrated Operational Plan~~ including modifications to reflect changes as identified in ~~TOP-002 and IRO-004.~~
- R4. The Balancing Authority shall have procedures, processes, or tools for monitoring resource availabilities and capabilities in real-time as identified in ~~TOP-006 and BAL-005.~~
- R5. The Balancing Authority shall have procedures, processes, or tools to direct actions of resources within its Balancing Authority Area as identified in ~~BAL-005 and BAL-001.~~
- R6. The Balancing Authority shall have procedures, processes, or tools to obtain ~~and implement~~ Interchange Schedules as identified in ~~INT-001, INT-002, and INT-004.~~
- R7. The Balancing Authority shall have procedures, processes, or tools to validate the accuracy of Area Control Error components and implement corrective actions as identified in ~~BAL-005.~~
- R8. The Balancing Authority shall have tools to calculate and monitor the Area Control Error for its Balancing Authority Area as identified in ~~BAL-001.~~
- R9. The Balancing Authority shall have tools to monitor its metered boundaries (including pseudo-ties) in real-time as identified in ~~BAL-005.~~
- R10. The Balancing Authority shall have tools to monitor real-time status and output of resources used for generation and demand balance Interconnected Operations Services as identified in ~~TOP-006.~~
- R11. The Balancing Authority shall have tools to monitor Special Protection Systems in ~~their~~its area as identified in PRC-001.

C. Measures

- M1. The Balancing Authority shall have available for inspection its procedures or processes to satisfy Requirements ~~R14~~ through ~~R33~~.
- M2. The Balancing Authority shall have available for inspection its procedures or processes or demonstrate its tools to satisfy Requirements ~~R44~~ through ~~R77~~.

M3. The Balancing Authority shall demonstrate its tools to satisfy Requirements R88 through R110.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organization

1.1.1.2. Compliance Monitoring Period and Reset Time Frame

None.

1.2.1.3. Data Retention

None.

1.3.1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance

2.1. Level 1: Not Applicable.

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6. <u>Proposed effective date.</u>	<u>December 2006</u>

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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~~December 1, 2006

B. Requirements

- R1. The Balancing Authority shall have data ~~acquisition~~reporting requirements for its Balancing Authority Area that include: periodicity of transmittal, format of submission, and time frame.
- R2. The Balancing Authority shall have procedures, processes, ~~and-or~~ tools as identified in COM-001 for acquiring or developing data that includes:
 - R2.1. Load Forecast(s)- as identified in TOP-006.
 - R2.2. Controllable load(s) (if applicable) as identified in BAL-002.
 - R2.3. Interchange Schedule requests as identified in INT-001.
 - R2.4. Approved Interchange Schedules as identified in INT-003.
 - R2.5. System frequency(s) as identified in BAL-005.
 - R2.6. Scheduled Frequency as identified in BAL-005.
 - R2.7. Variable Frequency Bias (if applicable) as identified in BAL-003.
 - R2.8. Net Actual Interchange as identified in BAL-005.
 - R2.9. Generator operational plans and commitments as identified in TOP-002.
 - R2.10. Generator outages related to maintenance plans as identified in TOP-003.
 - R2.11. Real-time generator operational information TOP-006.
 - R2.12. Generation and Demand balance Interconnected Operations Services as identified in BAL-002 and BAL-005.
 - R2.13. Protection and control information, including Special Protection Systems as identified in PRC-001.
- R3. The Balancing Authority shall have procedures, processes, or tools for acquiring the following Reliability Coordinator information:
 - R3.1. Dispatch adjustments for congestion management as identified in COM-002.
 - R3.2. Emergency procedures as identified in EOP-002.
 - R3.3. Reliability analyses as identified in IRO-004.
 - R3.4. Load shedding directives as identified in EOP-003.
 - R3.5. Reliability alerts as identified in EOP-002, IRO-004, and IRO-005.

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

Regional Reliability Organization.

1.2. Compliance Monitoring Period and Reset Time ~~f~~Frame

None.

1.3. Data Retention

None.

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance

- 2.1. Level 1: Not Applicable.
- 2.2. Level 2: Not Applicable.
- 2.3. Level 3: Not Applicable.
- 2.4. Level 4: Not Applicable.

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking

Standard Development Roadmap

Development Steps Completed:

1. Balancing Authority Certification SAR requested — October 7, 2002.
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	2006 <u>October 2005</u>
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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~~December 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 as identified in BAL-003.
 - R1.2. Determining frequency bias as identified in BAL-003.
 - R1.3. Incorporating frequency bias and scheduled and actual frequency into the Area Control Error calculation as identified in BAL-001 and BAL-004.
 - R1.4. Operating in Tie-Line Bias or flat (constant) frequency control modes as identified in BAL-005.
 - 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 Time** ~~ff~~frame

None.
 - 1.2. **Data Retention**

None.
 - 1.3. **Additional Compliance Information**

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

2.4. Level 4: Not Applicable.

E. Regional Differences

None identified.

Version History

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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~~December 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 as identified in -INT-002.
- R2. The Balancing Authority shall have procedures, processes, or tools for implementing Interchange Schedules as identified in -INT-003.

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 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 Time** ~~f~~frame
None_.
 - 1.3. **Data Retention**
None_.
 - 1.4. **Additional Compliance Information**
None_.
2. **Levels of Non-Compliance**
 - 2.1. **Level 1:** Not Applicable_.
 - 2.2. **Level 2:** Not Applicable_.
 - 2.3. **Level 3:** Not Applicable_.
 - 2.4. **Level 4:** Not Applicable_.

E. Regional Differences

None identified_.

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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 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 Coordinator, Adjacent Balancing Authority(~~sies~~), and Transmission Operators.
4. **Applicability**
 - 4.1. Entity seeking certification as a Balancing Authority.
5. ~~(Proposed)~~ **Effective Date:** ~~April~~December 1, 2006

B. Requirements

- R1. The Balancing Authority shall have procedures, processes, or tools to provide information and data to its Reliability Coordinator in accordance with the required Reliability Coordinator's specifications that addresses:
 - R1.1. Information required for system studies as identified in IRO-002 and IRO-004~~Balancing Integrated Operational Plan and updates.~~
 - R1.2. Real-time operational information and data as identified in TOP-005 and IRO-002.
 - R1.3. Interchange schedule interruptions due to generation or load interruptions within its Balancing Authority Area as identified in INT-004.
 - R1.4. Notificatinee of the implementation of its own emergency procedures as identified in EOP-002.
- R2. The Balancing Authority shall have procedures, processes, or tools to provide information and data to its adjacent Balancing Authority(~~sies~~) that addresses:
 - R2.1. Confirmation of s-scheduled and actual interchange as identified in INT-003 and BAL-006.
 - R2.2. Notificatinee of the implementation of its own emergency procedures as identified in EOP-002.
- R3. The Balancing Authority shall have procedures, processes, or tools to provide information and data to its Transmission Operator(s) that addresses:
 - R3.1. Notificatinee of the implementation of its own emergency procedures as identified in COM-002

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 as identified in Requirements R1 through R3.

D. Compliance

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

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

None.

1.3. Data Retention

None.

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance

2.1. Level 1: Not Applicable.

2.2. Level 2: Not Applicable.

2.3. Level 3: Not Applicable.

2.4. Level 4: Not Applicable.

E. Regional Differences

None identified.

Version History

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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 Bbulk Electric System emergency conditions.
4. **Applicability**
 - 4.1. Entity seeking certification as a Balancing Authority.
5. ~~(Proposed)~~ **Effective Date:** ~~April~~December 1, 2006

B. Requirements

R1.7. The Balancing Authority shall have procedures or processes ~~for that define its responsibilities, authority, and actions for responding,~~ communicating ~~status,~~ and coordinating operations during a Bbulk Electric System ~~Emergency~~ emergency. The procedures or processes shall address when the Balancing Authority:

R1.1.a. Is unable to meet its resource-demand balance requirements as identified in EOP-001, EOP-002, and EOP-003.

R1.2.b. Is unable to meet its Interconnected Operations Services requirements as identified in COM-002.

R1.3.c. Has experienced or is informed of an actual or suspected act of sabotage that affects a physical or cyber asset within its Balancing Authority Area and impacts the ability to operate as identified in CIP-001.

R1.4.d. Has been directed by its Reliability Coordinator to take actions to maintain the reliability of the Interconnection as identified in IRO-001 and TOP-001.

e. Has experienced a partial or total Bbulk Electric System shutdown as identified in EOP-005.

8. The Balancing Authority shall have procedures or processes that define its responsibilities and authority for responding to a Bulk Electric System emergency.

C. Measures

M1. The Balancing Authority shall have available for inspection its procedures or processes as identified in 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 Time ~~f~~frame**

None.
 - 1.3. **Data Retention**

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

None.

2. Levels of Non-Compliance

2.1. Level 1: Not Applicable.

2.2. Level 2: Not Applicable.

2.3. Level 3: Not Applicable.

2.4. Level 4: Not Applicable.

E. Regional Differences

None identified.

Version History

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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 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~~December 1, 2006

B. Requirements

~~R1.~~The Balancing Authority shall have procedures, processes, tools, or facilities to continue to operate in accordance with the requirements applicable to the Balancing Authority in EOP-008, 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 functionality²~~
- ~~▪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 or tool(s) to operate during the conditions identified in Requirement R1 that addresses:

- ~~R2.1.~~Developing a Balancing Integrated Operational Plan for its Balancing Authority Area.
- ~~R2.2.~~Determining the requirements, acquiring, and deploying generation and demand balance Interconnected Operation Services.
- ~~R2.3.~~Implementing the Balancing Integrated Operational Plan including modification to reflect changes.
- ~~R2.4.~~Monitoring resource availabilities and capabilities in real time.
- ~~R2.5.~~Calculating and monitoring the Area Control Error of its Balancing Authority Area.
- ~~R2.6.~~Monitoring its metered boundaries (including pseudo ties) 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.
- ~~R2.10.~~Validating the accuracy of Area Control Error components and implementing corrective actions.

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

² Loss of monitoring and assessment systems functionality is meant to include any method that entities' utilize in monitoring, controlling, and assessing their area of responsibility.

~~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 Coordinator with:~~

~~R2.13.1. The Balancing Integrated Operational Plan and updates~~

~~R2.13.2. Real-time operational information and data~~

~~R2.13.3. Interchange Schedule interruptions due to generation or load interruptions~~

~~R2.13.4. Notice of the implementation of its own emergency procedures~~

~~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 within its Balancing Authority Area and impacts the ability to operate.~~

~~R2.17. Responding to the directions from its Reliability Coordinator to take actions to maintain the reliability of the interconnection.~~

~~R2.18.R1. _____ Adhering to cyber security protocols.~~

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 Time ~~ff~~Frame

None.

1.2. Data Retention

None.

1.3. Additional Compliance Information

None.

2. Levels of Non-Compliance

2.1. Level 1: Not Applicable.

2.2. Level 2: Not Applicable.

2.3. Level 3: Not Applicable.

2.4. Level 4: Not Applicable

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking