

Violation Severity Levels for Requirements in Balancing Resources and Demand Standards

Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
BAL-001-0	R1.	Each Balancing Authority shall operate such that, on a rolling 12-month basis, the average of the clock-minute averages of the Balancing Authority's Area Control Error (ACE) divided by 10B (B is the clock-minute average of the Balancing Authority Area's Frequency Bias) times the corresponding clock-minute averages of the Interconnection's Frequency Error is less than a specific limit. This limit is a constant derived from a targeted frequency bound (separately calculated for each Interconnection) that is reviewed and set as necessary by the NERC Operating Committee. <i>See Standard for Formula.</i>	The Balancing Authority Area's value of CPS1 is less than 100% but greater than or equal to 95%.	The Balancing Authority Area's value of CPS1 is less than 95% but greater than or equal to 90%.	The Balancing Authority Area's value of CPS1 is less than 90% but greater than or equal to 85%.	The Balancing Authority Area's value of CPS1 is less than 85%.
BAL-001-0	R2.	Each Balancing Authority shall operate such that its average ACE for at least 90% of clock-ten-minute periods (6 non-overlapping periods per hour) during a calendar month is within a specific limit, referred to as L_{10} . <i>See Standard for Formula.</i>	The Balancing Authority Area's value of CPS2 is less than 90% but greater than or equal to 85%.	The Balancing Authority Area's value of CPS2 is less than 85% but greater than or equal to 80%.	The Balancing Authority Area's value of CPS2 is less than 80% but greater than or equal to 75%.	The Balancing Authority Area's value of CPS2 is less than 75%.
BAL-001-0	R3.	Each Balancing Authority providing Overlap Regulation Service shall evaluate Requirement R1 (i.e., Control Performance Standard 1 or CPS1) and Requirement R2 (i.e., Control Performance Standard 2 or CPS2) using the characteristics of the combined ACE and combined Frequency Bias Settings.	N/A	N/A	The Balancing Authority providing Overlap Regulation Service evaluated Requirement R1 (i.e., Control Performance Standard 1 or CPS1) and Requirement R2 (i.e., Control Performance Standard 2 or CPS2) using the characteristics of either a combined ACE or a combined Frequency Bias Setting but not both a combined ACE and a combined Frequency Bias Setting.	The Balancing Authority providing Overlap Regulation Service failed to evaluate Requirement R1 (i.e., Control Performance Standard 1 or CPS1) and Requirement R2 (i.e., Control Performance Standard 2 or CPS2) using the characteristics of the combined ACE or the combined Frequency Bias Setting

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BAL-001-0	R4.	Any Balancing Authority receiving Overlap Regulation Service shall not have its control performance evaluated (i.e. from a control performance perspective, the Balancing Authority has shifted all control requirements to the Balancing Authority providing Overlap Regulation Service).	N/A	N/A	N/A	The Balancing Authority receiving Overlap Regulation Service failed to ensure that control performance was being evaluated in a manner consistent with the calculation methodology as described in BAL-001-01 R3.
BAL-002-0	R1.	Each Balancing Authority shall have access to and/or operate Contingency Reserve to respond to Disturbances. Contingency Reserve may be supplied from generation, controllable load resources, or coordinated adjustments to Interchange Schedules.	N/A	N/A	N/A	The Balancing Authority does not have access to and/or operate Contingency Reserve to respond to Disturbances.
BAL-002-0	R1.1.	A Balancing Authority may elect to fulfill its Contingency Reserve obligations by participating as a member of a Reserve Sharing Group. In such cases, the Reserve Sharing Group shall have the same responsibilities and obligations as each Balancing Authority with respect to monitoring and meeting the requirements of Standard BAL-002.	N/A	N/A	N/A	The Balancing Authority has elected to fulfill its Contingency Reserve obligations by participating as a member of a Reserve Sharing Group and the Reserve Sharing Group has not provided the same responsibilities and obligations as required of the responsible entity with respect to monitoring and meeting the requirements of Standard BAL-002.

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BAL-002-0	R2.	Each Regional Reliability Organization, sub-Regional Reliability Organization or Reserve Sharing Group shall specify its Contingency Reserve policies, including:	The Regional Reliability Organization, sub-Regional Reliability Organization or Reserve Sharing Group has failed to specify 1 of the following sub-requirements.	The Regional Reliability Organization, sub-Regional Reliability Organization or Reserve Sharing Group has failed to specify 2 or 3 of the following sub-requirements.	The Regional Reliability Organization, sub-Regional Reliability Organization or Reserve Sharing Group has failed to specify 4 or 5 of the following sub-requirements.	The Regional Reliability Organization, sub-Regional Reliability Organization or Reserve Sharing Group has failed to specify all 6 of the following sub-requirements.
BAL-002-0	R2.1.	The minimum reserve requirement for the group.	The Regional Reliability Organization, sub-Regional Reliability Organization or Reserve Sharing Group has failed to specify the minimum reserve requirement for the group.	N/A	N/A	N/A
BAL-002-0	R2.2.	Its allocation among members.	The Regional Reliability Organization, sub-Regional Reliability Organization or Reserve Sharing Group has failed to specify the allocation of reserves among members.	N/A	N/A	N/A

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BAL-002-0	R2.3.	The permissible mix of Operating Reserve – Spinning and Operating Reserve – Supplemental that may be included in Contingency Reserve.	The Regional Reliability Organization, sub-Regional Reliability Organization or Reserve Sharing Group has failed to specify the permissible mix of Operating Reserve – Spinning and Operating Reserve – Supplemental that may be included in Contingency Reserve.	N/A	N/A	N/A
BAL-002-0	R2.4.	The procedure for applying Contingency Reserve in practice.	The Regional Reliability Organization, sub-Regional Reliability Organization or Reserve Sharing Group has failed to provide the procedure for applying Contingency Reserve in practice.	N/A	N/A	N/A

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BAL-002-0	R2.5.	The limitations, if any, upon the amount of interruptible load that may be included.	The Regional Reliability Organization, sub-Regional Reliability Organization or Reserve Sharing Group has failed to provide guidance on the limitations, if any, upon the amount of interruptible load that may be included.	N/A	N/A	
BAL-002-0	R2.6.	The same portion of resource capacity (e.g., reserves from jointly owned generation) shall not be counted more than once as Contingency Reserve by multiple Balancing Authorities.	The Regional Reliability Organization, sub-Regional Reliability Organization or Reserve Sharing Group has allowed the same portion of resource capacity (e.g., reserves from jointly owned generation) to be counted more than once as Contingency Reserve by multiple Balancing Authorities.	N/A	N/A	

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
BAL-002-0	R3.	Each Balancing Authority or Reserve Sharing Group shall activate sufficient Contingency Reserve to comply with the DCS.	The Balancing Authority or Reserve Sharing Group's Average Percent Recovery per the NERC DCS quarterly report was less than 100% but greater than or equal to 95%.	The Balancing Authority or Reserve Sharing Group's Average Percent Recovery per the NERC DCS quarterly report was less than 95% but greater than or equal to 90%.	The Balancing Authority or Reserve Sharing Group's Average Percent Recovery per the NERC DCS quarterly report was less than 90% but greater than or equal to 85%.	The Balancing Authority or Reserve Sharing Group's Average Percent Recovery per the NERC DCS quarterly report was less than 85%.
BAL-002-0	R3.1.	As a minimum, the Balancing Authority or Reserve Sharing Group shall carry at least enough Contingency Reserve to cover the most severe single contingency. All Balancing Authorities and Reserve Sharing Groups shall review, no less frequently than annually, their probable contingencies to determine their prospective most severe single contingencies.	The Balancing Authority or Reserve Sharing Group failed to review their probable contingencies to determine their prospective most severe single contingencies annually.	N/A	N/A	The Balancing Authority or Reserve Sharing Group failed to carry at least enough Contingency Reserve to cover the most severe single contingency
BAL-002-0	R4.	A Balancing Authority or Reserve Sharing Group shall meet the Disturbance Recovery Criterion within the Disturbance Recovery Period for 100% of Reportable Disturbances. The Disturbance Recovery Criterion is:	The Balancing Authority or Reserve Sharing Group met the Disturbance Recovery Criterion within the Disturbance Recovery Period for more than 90% and less than 100% of Reportable Disturbances.	The Balancing Authority or Reserve Sharing Group met the Disturbance Recovery Criterion within the Disturbance Recovery Period for more than 80% and less than or equal to 90% of Reportable Disturbances.	The Balancing Authority or Reserve Sharing Group met the Disturbance Recovery Criterion within the Disturbance Recovery Period for more than 70% and less than or equal to 80% of Reportable Disturbances.	The Balancing Authority or Reserve Sharing Group met the Disturbance Recovery Criterion within the Disturbance Recovery Period for more than 0% and less than or equal to 70% of Reportable Disturbances.

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BAL-002-0	R4.1.	A Balancing Authority shall return its ACE to zero if its ACE just prior to the Reportable Disturbance was positive or equal to zero. For negative initial ACE values just prior to the Disturbance, the Balancing Authority shall return ACE to its pre-Disturbance value.	The Balancing Authority failed to return its ACE to zero if its ACE just prior to the Reportable Disturbance was positive or equal to zero or for negative initial ACE values failed to return ACE to its pre-Disturbance value.	N/A	N/A	N/A
BAL-002-0	R4.2.	The default Disturbance Recovery Period is 15 minutes after the start of a Reportable Disturbance. This period may be adjusted to better suit the needs of an Interconnection based on analysis approved by the NERC Operating Committee.	N/A	N/A	N/A	N/A
BAL-002-0	R5.	Each Reserve Sharing Group shall comply with the DCS. A Reserve Sharing Group shall be considered in a Reportable Disturbance condition whenever a group member has experienced a Reportable Disturbance and calls for the activation of Contingency Reserves from one or more other group members. (If a group member has experienced a Reportable Disturbance but does not call for reserve activation from other members of the Reserve Sharing Group, then that member shall report as a single Balancing Authority.) Compliance may be demonstrated by either of the following two methods:	The Reserve Sharing Group met the DCS requirement for more than 90% and less than 100% of Reportable Disturbances.	The Reserve Sharing Group met the DCS requirements for more than 80% and less than or equal to 90% of Reportable Disturbances.	The Reserve Sharing Group met the DCS requirements for more than 70% and less than or equal to 80% of Reportable Disturbances.	The Reserve Sharing Group met the DCS requirements for more than 0% and less than or equal to 70% of Reportable Disturbances.

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BAL-002-0	R5.1.	The Reserve Sharing Group reviews group ACE (or equivalent) and demonstrates compliance to the DCS. To be in compliance, the group ACE (or its equivalent) must meet the Disturbance Recovery Criterion after the schedule change(s) related to reserve sharing have been fully implemented, and within the Disturbance Recovery Period.	N/A	N/A	N/A	N/A
BAL-002-0	R5.2.	The Reserve Sharing Group reviews each member's ACE in response to the activation of reserves. To be in compliance, a member's ACE (or its equivalent) must meet the Disturbance Recovery Criterion after the schedule change(s) related to reserve sharing have been fully implemented, and within the Disturbance Recovery Period.	N/A	N/A	N/A	N/A
BAL-002-0	R6.	A Balancing Authority or Reserve Sharing Group shall fully restore its Contingency Reserves within the Contingency Reserve Restoration Period for its Interconnection.	The Balancing Authority or Reserve Sharing Group restored less than 100% but greater than 90% of its contingency reserves during the Contingency Reserve Restoration Period.	The Balancing Authority or Reserve Sharing Group restored less than or equal to 90% but greater than 80% of its contingency reserves during the Contingency Reserve Restoration Period.	The Balancing Authority or Reserve Sharing Group restored less than or equal to 80% but greater than or equal to 70% of its Contingency Reserve during the Contingency Reserve Restoration Period.	The Balancing Authority or Reserve Sharing Group restored less than 70% of its Contingency Reserves during the Contingency Reserve Restoration Period.
BAL-002-0	R6.1.	The Contingency Reserve Restoration Period begins at the end of the Disturbance Recovery Period.	N/A	N/A	N/A	N/A

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BAL-002-0	R6.2.	The default Contingency Reserve Restoration Period is 90 minutes. This period may be adjusted to better suit the reliability targets of the Interconnection based on analysis approved by the NERC Operating Committee.	N/A	N/A	N/A	N/A
BAL-003-0	R1.	Each Balancing Authority shall review its Frequency Bias Settings by January 1 of each year and recalculate its setting to reflect any change in the Frequency Response of the Balancing Authority Area.	N/A	The Balancing Authority reviewed its Frequency Bias Settings prior January 1, but failed to recalculate its setting to reflect any change in the Frequency Response of the Balancing Authority Area.	The Balancing Authority failed to review its Frequency Bias Settings prior to January 1 and failed to recalculate its setting to reflect any change in the Frequency Response of the Balancing Authority Area.	
BAL-003-0	R1.1.	The Balancing Authority may change its Frequency Bias Setting, and the method used to determine the setting, whenever any of the factors used to determine the current bias value change.	N/A	N/A	N/A	The Balancing Authority changed its Frequency Bias Setting by changing the method used to determine the setting, without any of the factors used to determine the current bias value changing.
BAL-003-0	R1.2.	Each Balancing Authority shall report its Frequency Bias Setting, and method for determining that setting, to the NERC Operating Committee.	The Balancing Authority has demonstrated the reporting the of required information but is noncompliant with minor details while still satisfying all significant elements	The Balancing Authority has demonstrated the reporting of required information but fails to satisfy at least one significant element."	The Balancing Authority has demonstrated the reporting of required information but fails to satisfy more than one significant element."	The Balancing Authority has failed to report as directed by the requirement.

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BAL-003-0	R2.	Each Balancing Authority shall establish and maintain a Frequency Bias Setting that is as close as practical to, or greater than, the Balancing Authority's Frequency Response. Frequency Bias may be calculated several ways:	N/A	N/A	N/A	The Balancing Authority established and maintained a Frequency Bias Setting that was less than, the Balancing Authority's Frequency Response.
BAL-003-0	R2.1.	The Balancing Authority may use a fixed Frequency Bias value which is based on a fixed, straight-line function of Tie Line deviation versus Frequency Deviation. The Balancing Authority shall determine the fixed value by observing and averaging the Frequency Response for several Disturbances during on-peak hours.	The Balancing Authority determination of the fixed Frequency Bias value was not based on observations and averaging the Frequency Response from Disturbances during on-peak hours.	N/A	N/A	N/A
BAL-003-0	R2.2.	The Balancing Authority may use a variable (linear or non-linear) bias value, which is based on a variable function of Tie Line deviation to Frequency Deviation. The Balancing Authority shall determine the variable frequency bias value by analyzing Frequency Response as it varies with factors such as load, generation, governor characteristics, and frequency.	The Balancing Authorities variable frequency bias maintained was not based on an analyses of Frequency Response as it varied with factors such as load , generation, governor characteristics, and frequency.	N/A	N/A	N/A

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BAL-003-0	R3.	Each Balancing Authority shall operate its Automatic Generation Control (AGC) on Tie Line Frequency Bias, unless such operation is adverse to system or Interconnection reliability.	N/A	N/A	N/A	The Balancing Authority did not operate its Automatic Generation Control (AGC) on Tie Line Frequency Bias, during periods when such operation would not have been adverse to system or Interconnection reliability.
BAL-003-0	R4.	Balancing Authorities that use Dynamic Scheduling or Pseudo-ties for jointly owned units shall reflect their respective share of the unit governor droop response in their respective Frequency Bias Setting.	The Balancing Authority that used Dynamic Scheduling or Pseudo-ties for jointly owned units did not reflect their respective share of the unit governor droop response in their respective Frequency Bias Setting.	N/A	N/A	N/A
BAL-003-0	R4.1.	Fixed schedules for Jointly Owned Units mandate that Balancing Authority (A) that contains the Jointly Owned Unit must incorporate the respective share of the unit governor droop response for any Balancing Authorities that have fixed schedules (B and C). See the diagram below.	The Balancing Authority (A) that contained the Jointly Owned Unit with fixed schedules did not incorporate the respective share of the unit governor droop response for any Balancing Authorities that have fixed schedules (B and C).	N/A	N/A	N/A

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BAL-003-0	R4.2.	The Balancing Authorities that have a fixed schedule (B and C) but do not contain the Jointly Owned Unit shall not include their share of the governor droop response in their Frequency Bias Setting. <i>See Standard for Graphic</i>	The Balancing Authorities that have a fixed schedule (B and C) but do not contain the Jointly Owned Unit, included their share of the governor droop response in their Frequency Bias Setting.	N/A	N/A	N/A
BAL-003-0	R5.	Balancing Authorities that serve native load shall have a monthly average Frequency Bias Setting that is at least 1% of the Balancing Authority's estimated yearly peak demand per 0.1 Hz change.	N/A	N/A	N/A	The Balancing Authority that served native load failed to have a monthly average Frequency Bias Setting that was at least 1% of the entities estimated yearly peak demand per 0.1 Hz change.
BAL-003-0	R5.1.	Balancing Authorities that do not serve native load shall have a monthly average Frequency Bias Setting that is at least 1% of its estimated maximum generation level in the coming year per 0.1 Hz change.	N/A	N/A	N/A	The Balancing Authority that does not serve native load did not have a monthly average Frequency Bias Setting that was at least 1% of its estimated maximum generation level in the coming year per 0.1 Hz change.

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BAL-003-0	R6.	A Balancing Authority that is performing Overlap Regulation Service shall increase its Frequency Bias Setting to match the frequency response of the entire area being controlled. A Balancing Authority shall not change its Frequency Bias Setting when performing Supplemental Regulation Service.	N/A	The Balancing Authority that was performing Overlap Regulation Service changed its Frequency Bias Setting while performing Supplemental Regulation Service.	The Balancing Authority that was performing Overlap Regulation Service failed to increase its Frequency Bias Setting to match the frequency response of the entire area being controlled.	The Balancing Authority that was performing Overlap Regulation Service failed to increase its Frequency Bias Setting to match the frequency response of the entire area being controlled and changed its Frequency Bias Setting while performing Supplemental Regulation Service.
BAL-004-0	R1.	Only a Reliability Coordinator shall be eligible to act as Interconnection Time Monitor. A single Reliability Coordinator in each Interconnection shall be designated by the NERC Operating Committee to serve as Interconnection Time Monitor.	The responsible entity has designated more than one interconnection time monitor for a single interconnection.	N/A	N/A	N/A
BAL-004-0	R2.	The Interconnection Time Monitor shall monitor Time Error and shall initiate or terminate corrective action orders in accordance with the NAESB Time Error Correction Procedure.	The RC serving as the Interconnection Time Monitor failed to initiate or terminate corrective action orders in accordance with the NAESB Time Error Correction Procedure.	N/A	N/A	N/A

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BAL-004-0	R3.	Each Balancing Authority, when requested, shall participate in a Time Error Correction by one of the following methods:	The Balancing Authority participated in more than 75% and less than 100% of requested Time Error Corrections for the calendar year.	The Balancing Authority participated in more than 50% and less than or equal to 75% of requested Time Error Corrections for the calendar year.	The Balancing Authority participated in more than 25% and less than or equal to 50% of requested Time Error Corrections for the calendar year.	The Balancing Authority participated in less than or equal to 25% of requested Time Error Corrections for the calendar year.
BAL-004-0	R3.1.	The Balancing Authority shall offset its frequency schedule by 0.02 Hertz, leaving the Frequency Bias Setting normal; or	The Balancing Authority identified frequency schedule offset as their method of time error correction participation and then failed to offset its frequency schedule by 0.02 Hertz and leave their Frequency Bias Setting normal for more than 0% and less than or equal to 25% of time error corrections for the calendar year.	The Balancing Authority identified frequency schedule offset as their preferred of time error correction participation and then failed to offset its frequency schedule by 0.02 Hertz and leave their Frequency Bias Setting normal for more than 25% and less than or equal to 50% of time error corrections for the calendar year.	The Balancing Authority identified frequency schedule offset as their preferred of time error correction participation and then failed to offset its frequency schedule by 0.02 Hertz and leave their Frequency Bias Setting normal for more than 50% and less than or equal to 75% of time error corrections for the calendar year.	The Balancing Authority identified frequency schedule offset as their preferred of time error correction participation and then failed to offset its frequency schedule by 0.02 Hertz and leave their Frequency Bias Setting normal for more than 75% and less than 100% of time error corrections for the calendar year.

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BAL-004-0	R.3.2.	The Balancing Authority shall offset its Net Interchange Schedule (MW) by an amount equal to the computed bias contribution during a 0.02 Hertz Frequency Deviation (i.e. 20% of the Frequency Bias Setting).	The Balancing Authority identified Net Interchange Schedule offset as their method of time error correction participation and then failed to offset its net interchange schedule frequency schedule by 20% of their frequency bias for more than 0% and less than or equal to 25% of time error corrections for the calendar year.	The responsible entity identified Net Interchange Schedule offset as their method of time error correction participation and then failed to offset its net interchange schedule frequency schedule by 20% of their frequency bias for more than 25% and less than or equal to 50% of time error corrections for the calendar year.	The Balancing Authority identified Net Interchange Schedule offset as their method of time error correction participation and then failed to offset its net interchange schedule frequency schedule by 20% of their frequency bias for more than 50% and less than or equal to 75% of time error corrections for the calendar year.	The Balancing Authority identified Net Interchange Schedule offset as their method of time error correction participation and then failed to offset its net interchange schedule frequency schedule by 20% of their frequency bias for more than 75% and less than 100% of time error corrections for the calendar year.
BAL-004-0	R4.	Any Reliability Coordinator in an Interconnection shall have the authority to request the Interconnection Time Monitor to terminate a Time Error Correction in progress, or a scheduled Time Error Correction that has not begun, for reliability considerations.	The Reliability Coordinator does not have knowledge of the authority to request the Interconnection Time Monitor to terminate a Time Error Correction in progress or a scheduled Time Error Correction that has not begun.	N/A	N/A	N/A

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BAL-004-0	R4.1.	Balancing Authorities that have reliability concerns with the execution of a Time Error Correction shall notify their Reliability Coordinator and request the termination of a Time Error Correction in progress.	The Balancing Authority with reliability concerns failed to notify the Reliability Coordinator and request the termination of a Time Error Correction in progress.	N/A	N/A	N/A
BAL-005-0	R1.	All generation, transmission, and load operating within an Interconnection must be included within the metered boundaries of a Balancing Authority Area.	N/A	N/A	N/A	N/A
BAL-005-0	R1.1.	Each Generator Operator with generation facilities operating in an Interconnection shall ensure that those generation facilities are included within the metered boundaries of a Balancing Authority Area.	N/A	N/A	N/A	The Generator Operator with generation facilities operating in an Interconnection failed to ensure that those generation facilities were included within its metered boundaries of a Balancing Authority Area.
BAL-005-0	R1.2.	Each Transmission Operator with transmission facilities operating in an Interconnection shall ensure that those transmission facilities are included within the metered boundaries of a Balancing Authority Area.	N/A	N/A	N/A	The Transmission Operator with transmission facilities operating in an Interconnection failed to ensure that those transmission facilities were included within its metered boundaries of a Balancing Authority Area.

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BAL-005-0	R1.3.	Each Load-Serving Entity with load operating in an Interconnection shall ensure that those loads are included within the metered boundaries of a Balancing Authority Area.	N/A	N/A	N/A	The Load-Serving Entity with load operating in an Interconnection failed to ensure that those loads were included within its metered boundaries of a Balancing Authority Area.
BAL-005-0	R2.	Each Balancing Authority shall maintain Regulating Reserve that can be controlled by AGC to meet the Control Performance Standard.	The Balancing Authority failed to maintain Regulating Reserve that can be controlled by AGC to meet Control Performance Standard.	N/A	N/A	N/A
BAL-005-0	R3.	A Balancing Authority providing Regulation Service shall ensure that adequate metering, communications and control equipment are employed to prevent such service from becoming a Burden on the Interconnection or other Balancing Authority Areas.	N/A	The Balancing Authority providing Regulation Service failed to provide adequate metering, communications and control equipment.	N/A	N/A
BAL-005-0	R4.	A Balancing Authority providing Regulation Service shall notify the Host Balancing Authority for whom it is controlling if it is unable to provide the service, as well as any Intermediate Balancing Authorities.	N/A	N/A	The Balancing Authority providing Regulation Service failed to notify the Host Balancing Authority for whom it is controlling if it was unable to provide the service, as well as any Intermediate Balancing Authorities.	N/A

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BAL-005-0	R5.	A Balancing Authority receiving Regulation Service shall ensure that backup plans are in place to provide replacement Regulation Service should the supplying Balancing Authority no longer be able to provide this service.	N/A	The Balancing Authority receiving Regulation Service failed to ensure that back-up plans were in place to provide replacement Regulation Service.	N/A	N/A
BAL-005-0	R6.	The Balancing Authority's AGC shall compare total Net Actual Interchange to total Net Scheduled Interchange plus Frequency Bias obligation to determine the Balancing Authority's ACE. Single Balancing Authorities operating asynchronously may employ alternative ACE calculations such as (but not limited to) flat frequency control. If a Balancing Authority is unable to calculate ACE for more than 30 minutes it shall notify its Reliability Coordinator.	The Balancing Authority failed to notify the Reliability Coordinator within 30 minutes of its inability to calculate ACE.	N/A	N/A	The Balancing Authority failed to use an approved ACE calculation.
BAL-005-0	R7.	The Balancing Authority shall operate AGC continuously unless such operation adversely impacts the reliability of the Interconnection. If AGC has become inoperative, the Balancing Authority shall use manual control to adjust generation to maintain the Net Scheduled Interchange.	The Balancing Authority failed to operate AGC continuously when there were no adverse impacts OR if their AGC was inoperative the Balancing Authority failed to use manual control to adjust generation to maintain the Net Scheduled Interchange.	N/A	N/A	N/A

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BAL-005-0	R8.	The Balancing Authority shall ensure that data acquisition for and calculation of ACE occur at least every six seconds.	The Balancing Authority failed to ensure that data acquisition for and calculation of ACE occurred at least every six seconds.	N/A	N/A	N/A
BAL-005-0	R8.1.	Each Balancing Authority shall provide redundant and independent frequency metering equipment that shall automatically activate upon detection of failure of the primary source. This overall installation shall provide a minimum availability of 99.95%.	N/A	N/A	The Balancing Authority failed to provide redundant and independent frequency metering equipment that automatically activated upon detection of failure.	N/A
BAL-005-0	R9.	The Balancing Authority shall include all Interchange Schedules with Adjacent Balancing Authorities in the calculation of Net Scheduled Interchange for the ACE equation.	The Balancing Authority failed to include all Interchanged Schedules with Adjacent Balancing Authorities in the calculation of Net Scheduled Interchange for the ACE equation.	N/A	N/A	N/A

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BAL-005-0	R9.1.	Balancing Authorities with a high voltage direct current (HVDC) link to another Balancing Authority connected asynchronously to their Interconnection may choose to omit the Interchange Schedule related to the HVDC link from the ACE equation if it is modeled as internal generation or load.	The Balancing Authority with a high voltage direct current (HVDC) link to another Balancing Authority connected asynchronously to their Interconnection chose to omit the Interchange Schedule related to the HVDC link from the ACE equation. but failed to model it as internal generation or load.	N/A	N/A	N/A
BAL-005-0	R10.	The Balancing Authority shall include all Dynamic Schedules in the calculation of Net Scheduled Interchange for the ACE equation.	The Balancing Authority failed to include all Dynamic in the calculation of Net Scheduled Interchange for the ACE equation.	N/A	N/A	N/A
BAL-005-0	R11.	Balancing Authorities shall include the effect of Ramp rates, which shall be identical and agreed to between affected Balancing Authorities, in the Scheduled Interchange values to calculate ACE.	N/A	The Balancing Authority failed to include the effect of Ramp rates in the Scheduled Interchange values to calculate ACE.	N/A	N/A
BAL-005-0	R12.	Each Balancing Authority shall include all Tie Line flows with Adjacent Balancing Authority Areas in the ACE calculation.	N/A	The Balancing Authority failed to include all Tie Line flows with Adjacent Balancing Authority Areas in the ACE calculation.	N/A	N/A

Violation Severity Levels for Requirements in Balancing Resources and Demand Standards

Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
BAL-005-0	R12.1.	Balancing Authorities that share a tie shall ensure Tie Line MW metering is telemetered to both control centers, and emanates from a common, agreed-upon source using common primary metering equipment. Balancing Authorities shall ensure that megawatt-hour data is telemetered or reported at the end of each hour.	The Balancing Authority failed to ensure Tie Line MW metering was telemetered to both control centers, and emanates from a common, agreed-upon source using common primary metering equipment OR the Balancing Authority failed to ensure that megawatt-hour data is telemetered or reported at the end of each hour.	N/A	N/A	N/A
BAL-005-0	R12.2.	Balancing Authorities shall ensure the power flow and ACE signals that are utilized for calculating Balancing Authority performance or that are transmitted for Regulation Service are not filtered prior to transmission, except for the Anti-aliasing Filters of Tie Lines.	The Balancing Authority failed to ensure the power flow and ACE signals that are utilized for calculating Balancing Authority performance or that are transmitted for Regulation Service were filtered prior to transmission, except for the Anti-aliasing Filters of Tie Lines.	N/A	N/A	N/A

Violation Severity Levels for Requirements in Balancing Resources and Demand Standards

Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
BAL-005-0	R12.3.	Balancing Authorities shall install common metering equipment where Dynamic Schedules or Pseudo-Ties are implemented between two or more Balancing Authorities to deliver the output of Jointly Owned Units or to serve remote load.	The Balancing Authority failed to install common metering equipment where Dynamic Schedules or Pseudo-Ties were implemented between two or more Balancing Authorities to deliver the output of Jointly Owned Units or to serve remote load.	N/A	N/A	N/A
BAL-005-0	R13.	Each Balancing Authority shall perform hourly error checks using Tie Line megawatt-hour meters with common time synchronization to determine the accuracy of its control equipment. The Balancing Authority shall adjust the component (e.g., Tie Line meter) of ACE that is in error (if known) or use the interchange meter error (IME) term of the ACE equation to compensate for any equipment error until repairs can be made.	The Balancing Authority failed to perform hourly error checks using Tie Line megawatt-hour meters with common time synchronization to determine the accuracy of its control equipment OR the Balancing Authority failed to adjust the component (e.g., Tie Line meter) of ACE that is in error (if known) or use the interchange meter error (IME) term of the ACE equation to compensate for any equipment error until repairs can be made.	N/A	N/A	N/A

Violation Severity Levels for Requirements in Balancing Resources and Demand Standards

Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
BAL-005-0	R14.	The Balancing Authority shall provide its operating personnel with sufficient instrumentation and data recording equipment to facilitate monitoring of control performance, generation response, and after-the-fact analysis of area performance. As a minimum, the Balancing Authority shall provide its operating personnel with real-time values for ACE, Interconnection frequency and Net Actual Interchange with each Adjacent Balancing Authority Area.	The Balancing Authority failed to provide its operating personnel with sufficient instrumentation and data recording equipment to facilitate monitoring of control performance, generation response, and after-the-fact analysis of area performance.	N/A	N/A	N/A
BAL-005-0	R15.	The Balancing Authority shall provide adequate and reliable backup power supplies and shall periodically test these supplies at the Balancing Authority's control center and other critical locations to ensure continuous operation of AGC and vital data recording equipment during loss of the normal power supply.	N/A	N/A	The Balancing Authority failed to periodically test backup power supplies at the Balancing Authority's control center and other critical locations to ensure continuous operation of AGC and vital data recording equipment during loss of the normal power supply.	The Balancing Authority failed to provide adequate and reliable backup power supplies to ensure continuous operation of AGC and vital data recording equipment during loss of the normal power supply.
BAL-005-0	R16.	The Balancing Authority shall sample data at least at the same periodicity with which ACE is calculated. The Balancing Authority shall flag missing or bad data for operator display and archival purposes. The Balancing Authority shall collect coincident data to the greatest practical extent, i.e., ACE, Interconnection frequency, Net Actual Interchange, and other data shall all be sampled at the same time.	The Balancing Authority failed to collect coincident data to the greatest practical extent.	N/A	The Balancing Authority failed to flag missing or bad data for operator display and archival purposes.	The Balancing Authority failed to sample data at least at the same periodicity with which ACE is calculated.

Violation Severity Levels for Requirements in Balancing Resources and Demand Standards

Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
BAL-005-0	R17.	Each Balancing Authority shall at least annually check and calibrate its time error and frequency devices against a common reference. The Balancing Authority shall adhere to the minimum values for measuring devices as listed below: <i>See Standard for Values</i>	The Balancing Authority failed to at least annually check and calibrate its time error and frequency devices against a common reference.	N/A	N/A	N/A
BAL-006-1	R1.	Each Balancing Authority shall calculate and record hourly Inadvertent Interchange.	Each Balancing Authority failed to calculate and record hourly Inadvertent Interchange.	N/A	N/A	N/A
BAL-006-1	R2.	Each Balancing Authority shall include all AC tie lines that connect to its Adjacent Balancing Authority Areas in its Inadvertent Interchange account. The Balancing Authority shall take into account interchange served by jointly owned generators.	N/A	N/A	The Balancing Authority failed to include all AC tie lines that connect to its Adjacent Balancing Authority Areas in its Inadvertent Interchange account OR failed to take into account interchange served by jointly owned generators.	The Balancing Authority failed to include all AC tie lines that connect to its Adjacent Balancing Authority Areas in its Inadvertent Interchange account AND failed to take into account interchange served by jointly owned generators.
BAL-006-1	R3.	Each Balancing Authority shall ensure all of its Balancing Authority Area interconnection points are equipped with common megawatt-hour meters, with readings provided hourly to the control centers of Adjacent Balancing Authorities.	The Balancing Authority failed to ensure all of its Balancing Authority Area interconnection points are equipped with common megawatt-hour meters, with readings provided hourly to the control centers of Adjacent Balancing Authorities.	N/A	N/A	N/A

Violation Severity Levels for Requirements in Balancing Resources and Demand Standards

Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
BAL-006-1	R4.	Adjacent Balancing Authority Areas shall operate to a common Net Interchange Schedule and Actual Net Interchange value and shall record these hourly quantities, with like values but opposite sign. Each Balancing Authority shall compute its Inadvertent Interchange based on the following:	N/A	The Adjacent Balancing Authority Areas failed to operate to a common Net Interchange Schedule and Actual Net Interchange value and shall record these hourly quantities, with like values but opposite sign OR the Balancing Authority failed to compute its Inadvertent Interchange.	N/A	N/A
BAL-006-1	R4.1.	Each Balancing Authority, by the end of the next business day, shall agree with its Adjacent Balancing Authorities to:	N/A	The Balancing Authority, by the end of the next business day, failed to agree with its Adjacent Balancing Authorities to the hourly values of Net Interchanged Schedule AND the hourly integrated megawatt-hour values of Net Actual Interchange	N/A	N/A

Violation Severity Levels for Requirements in Balancing Resources and Demand Standards

Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
BAL-006-1	R4.1.1.	The hourly values of Net Interchange Schedule.	The Balancing Authority, by the end of the next business day, failed to agree with its Adjacent Balancing Authorities to the hourly values of Net Interchanged Schedule.	N/A	N/A	N/A
BAL-006-1	R4.1.2.	The hourly integrated megawatt-hour values of Net Actual Interchange.	The Balancing Authority, by the end of the next business day, failed to agree with its Adjacent Balancing Authorities to the hourly integrated megawatt-hour values of Net Actual Interchange.	N/A	N/A	N/A
BAL-006-1	R4.2.	Each Balancing Authority shall use the agreed-to daily and monthly accounting data to compile its monthly accumulated Inadvertent Interchange for the On-Peak and Off-Peak hours of the month.	The Balancing Authority failed to use the agreed-to daily and monthly accounting data to compile its monthly accumulated Inadvertent Interchange for the On-Peak and Off-Peak hours of the month.	N/A	N/A	N/A

Violation Severity Levels for Requirements in Balancing Resources and Demand Standards

Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
BAL-006-1	R4.3.	A Balancing Authority shall make after-the-fact corrections to the agreed-to daily and monthly accounting data only as needed to reflect actual operating conditions (e.g. a meter being used for control was sending bad data). Changes or corrections based on non-reliability considerations shall not be reflected in the Balancing Authority's Inadvertent Interchange. After-the-fact corrections to scheduled or actual values will not be accepted without agreement of the Adjacent Balancing Authority(ies).	The Balancing Authority failed to make after-the-fact corrections to the agreed-to daily and monthly accounting data only as needed to reflect actual operating conditions (e.g. a meter being used for control was sending bad data). Changes or corrections based on non-reliability considerations failed to be reflected in the Balancing Authority's Inadvertent Interchange.	N/A	N/A	N/A

Violation Severity Levels for Requirements in Balancing Resources and Demand Standards

Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
BAL-006-1	R5.	Adjacent Balancing Authorities that cannot mutually agree upon their respective Net Actual Interchange or Net Scheduled Interchange quantities by the 15th calendar day of the following month shall, for the purposes of dispute resolution, submit a report to their respective Regional Reliability Organization Survey Contact. The report shall describe the nature and the cause of the dispute as well as a process for correcting the discrepancy.	Adjacent Balancing Authorities that could not mutually agree upon their respective Net Actual Interchange or Net Scheduled Interchange quantities, submitted a report to their respective Regional Reliability Organizations Survey Contact describing the nature and the cause of the dispute but failed to provide a process for correcting the discrepancy.	Adjacent Balancing Authorities that could not mutually agree upon their respective Net Actual Interchange or Net Scheduled Interchange quantities by the 15th calendar day of the following month, failed to submit a report to their respective Regional Reliability Organizations Survey Contact describing the nature and the cause of the dispute as well as a process for correcting the discrepancy.	N/A	N/A