

NERC Balancing Authority Questionnaire

Applicant: _____

Response due by: _____

Please assist Certification Team (CT) in their evaluation of the applicant shown above who is applying for Balancing Authority (BA) status.

You are requested to provide candid responses to the following questions. Additional information or documentation may be attached, as needed. Upon completion, please sign and date this form with necessary attachments and return it to:

1. **Delegation** – to ensure that entities seeking certification as a Balancing Authority (BA) have identified any delegated tasks, while retaining responsibility for those tasks.

A Balancing Authority may delegate reliability standard(s) or requirement(s). Each entity seeking certification as a Balancing Authority shall identify any reliability standard(s) or requirement(s) for which it is responsible that will be performed by another entity and shall ensure that the entity has the capability to perform the delegated reliability standard(s) or requirement(s). The entity, to which a reliability standard(s) or requirement(s) is delegated, shall be subject to review as part of the NERC Rules of Procedure.

Question: Identify the reliability standard(s) or requirement(s) that will be delegated.

Question: How does the applicant ensure that these reliability standard(s) or requirement(s) will be accomplished?

Response:

2. **Critical Infrastructure Protection (CIP)**- to ensure that the entity seeking certification has procedures, processes and tools for adhering to cyber security requirements.

The Balancing Authority shall have procedures, processes, and tools for adhering to NERC reliability standards related to critical infrastructure protection.

Question: How does the applicant meet the critical infrastructure protection?

Response:

3. **Agreements-** 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.

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

Agreement: 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 an agreement can be satisfied in a variety of ways, including but not limited to: contracts, designation of authority documents, policies, and procedures.

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(ies), 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 address:

- a. The commitment of its Load Serving Entities, Generator Operators, Transmission Operators, or Distribution Providers to follow the Balancing Authority's requests to ensure balance in real time that address:
 - i. Shedding or reducing load as identified in TOP-001.
 - ii. Re-dispatching resources as identified in TOP-001.
 - iii. Adhering to balanced Interchange Schedules.
- b. The Balancing Authority's commitment to follow the directives of its Reliability Coordinator as identified in TOP-001.
- c. The adjacent Balancing Authority(s) commitment to:
 - i. Confirm actual and scheduled interchange as identified in BAL-006.
 - ii. Coordinate dynamic transfers that exist in another Balancing Authority Area as identified in BAL-005.
 - iii. Identify the location of its Balancing Authority Area's metered boundaries as identified in BAL-005.

Question: How does the applicant meet the above requirements?

Response:

3. **Agreements-** Continued

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(ies), Transmission Operators, and Transmission Owners that addresses:

- a. Generator real-time operating data as identified in TOP-005.
- b. Identification of its Balancing Authority Area's metered boundaries as identified in BAL-005.
- c. Information required for system studies as identified in IRO-004.
- d. Balancing information for real-time monitoring as identified in TOP-005.
- e. Real-time operational information for Reliability Coordinator monitoring as identified in TOP-005.
- f. Notice of Interchange Schedule interruptions due to generation or load interruptions within its Balancing Authority Area as identified in INT-005.
- g. Notice of the implementation of its own emergency procedures as identified in EOP- 002.
- h. Interconnection boundary metering as identified in BAL-005.
- i. Actual interchange as identified in BAL-005 and BAL-006.
- j. Frequency as identified in TOP-005.
- k. Dynamic interchange as identified in BAL-005.
- l. Protection and control information, including Special Protection Systems as identified in PRC-001.

Question: How does the applicant meet the above requirements?

Response:

4. **Personnel-** 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.

The Balancing Authority shall provide its operating personnel with the responsibility and authority as identified in PER-001.

The Balancing Authority shall have NERC-certified personnel as identified in PER-003.

The Balancing Authority may delegate real-time tasks provided the personnel performing these tasks are also certified.

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

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

Question: How does the applicant meet the above requirements?

Response:

5. **Balancing** – To ensure that the entity seeking certification as a Balancing Authority has the capability of performing the balancing responsibilities for its Balancing Authority Area.

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, BAL-003, and BAL-005.

The Balancing Authority shall have procedures or processes to develop its plan for operation as identified in TOP-002 and IRO-004.

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.

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.

The Balancing Authority shall have procedures, processes, or tools to obtain Interchange Schedules as identified in INT-001, INT-003, INT-006, and INT-009.

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.

The Balancing Authority shall have tools to calculate and monitor the Area Control Error for its Balancing Authority Area as identified in BAL-001.

The Balancing Authority shall have tools to monitor its metered boundaries (including pseudo-ties) in real-time as identified in BAL-005.

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.

The Balancing Authority shall have tools to monitor Special Protection Systems in its area as identified in PRC-001.

Question: How does the applicant meet the above requirements?

Response:

6. **Data Acquisition** – To ensure that the entity seeking certification as a Balancing Authority has realtime resource-demand data in order to adequately control its system while maintaining acceptable system frequency.

The Balancing Authority shall have data acquisition requirements for its Balancing Authority Area including periodicity of transmittal, format of submission, and time frame.

The Balancing Authority shall have procedures, processes, or tools as identified in COM-001 and IRO-002 for acquiring or developing data that includes:

- a. Load Forecast(s) as identified in TOP-006.
- b. Controllable load(s) (if applicable) as identified in BAL-002.
- c. Interchange Schedule requests as identified in INT-001.
- d. Approved Interchange Schedules as identified in INT-003.
- e. System frequency(s) as identified in BAL-005 and TOP-006.
- f. Scheduled Frequency as identified in BAL-005.
- g. Variable Frequency Bias (if applicable) as identified in BAL-003.
- h. Net Actual Interchange as identified in BAL-005.
- i. Generator operational plans and commitments as identified in TOP-002.
- j. Generator outages related to maintenance plans as identified in TOP-003.
- k. Real-time generator operational information TOP-006.
- l. Generation and Demand balance Interconnected Operations Services as identified in BAL-002, BAL-003, and BAL-005.
- m. Protection and control information, including Special Protection Systems as identified in PRC-001.

The Balancing Authority shall have procedures, processes, or tools for acquiring the following Reliability Coordinator information:

- a. Dispatch adjustments for congestion management as identified in COM-002 and IRO-002.
- b. Emergency procedures as identified in EOP-002.
- c. Reliability analyses as identified in IRO-004.
- d. Load shedding directives as identified in EOP-003.
- e. Reliability alerts as identified in EOP-002, IRO-004, and IRO-005.

Question: How does the applicant meet the above requirements?

Response:

7. **Frequency Control** – To ensure that the entity seeking certification as a Balancing Authority has the capability to perform frequency control in its defined Balancing Authority Area.

The Balancing Authority shall have procedures, processes, or tools for contributing to Interconnection frequency that address:

- a. Determining frequency response as identified in BAL-003.
- b. Determining frequency bias as identified in BAL-003.
- c. Incorporating frequency bias, scheduled and actual frequency into the Area Control Error calculation as identified in BAL-001 and BAL-004.
- d. Operating in Tie-Line Bias or flat (constant) frequency control modes as identified in BAL-005.
- e. When directed by the Interconnection Time Monitor, participate in a Time Error Correction identified in BAL-004.

Question: How does the applicant meet the above requirements?

Response:

8. **Interchange Approval and Implementation** – To ensure that the entity seeking certification as a Balancing Authority has the capability to approve and implement Interchange Schedules.

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-007.

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

Question: How does the applicant meet the above requirements?

Response:

9. Information Dissemination – 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(ies), and Transmission Operators.

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:

- a. Information required for system studies as identified in IRO-002 and IRO-004.
- b. Real-time operational information and data as identified in TOP-005 and IRO-002.
- c. Interchange schedule interruptions due to generation or load interruptions within its Balancing Authority Area as identified in INT-004.
- d. Notification of the implementation of its own emergency procedures as identified in EOP-002.

The Balancing Authority shall have procedures, processes, or tools to provide information and data to its adjacent Balancing Authority(ies) that addressee:

- a. Confirmation of scheduled and actual interchange as identified in INT-003 and BAL-006.
- b. Notification of the implementation of its own emergency procedures as identified in EOP-002.

The Balancing Authority shall have procedures, processes, or tools to provide information and data to its Transmission Operator(s) that addresses:

- a. Notification of the implementation of its own emergency procedures as identified in COM-002.

Question: How does the applicant meet the above requirements?

Response:

10. Emergency Operations – To ensure that the entity seeking certification as a Balancing Authority has the capability for continued operations during Bulk Electric System emergency conditions.

The Balancing Authority shall have procedures or processes for communicating and coordinating operations during a Bulk Electric System emergency. The procedures or processes shall address when the Balancing Authority:

- a. Is unable to meet its resource-demand balance requirements as identified in EOP-001, EOP-002, and EOP-003
- b. Is unable to meet its Interconnected Operations Services requirements as identified in TOP-002.
- 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.
- 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 Bulk Electric System shutdown as identified in EOP-005.

The Balancing Authority shall have procedures or processes that define its responsibilities and authority for responding to a Bulk Electric System emergency as identified in PER-001.

Question: How does the applicant meet the above requirements?

Response:

11. Loss of Control Center Functionality – To ensure that the entity seeking certification as a Balancing Authority has the capability for continued operations during loss of its control center functionality.

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.

Question: How does the applicant meet the above requirements?

Response:

Balancing Authority Manager:

Title: _____

Signature: _____

Printed Name: _____

Date: _____