

Standard Development Timeline

This section is maintained by the drafting team during the development of the standard and will be removed when the standard is adopted by the NERC Board of Trustees (Board).

Description of Current Draft

This is the initial 45-day formal comment period with ballot.

Completed Actions	Date
Standards Committee approved Standard Authorization Request (SAR) for posting	June 15, 2022
SAR posted for comment	June 22, 2022 – July 21, 2022

Anticipated Actions	Date
45-day formal comment period with initial ballot	May 7 – June 20, 2024
45-day formal comment period with additional ballot	September 10 – October 24, 2024
10-day final ballot	November 25 – December 4, 2024
Board adoption	December 13, 2024

A. Introduction

1. **Title:** Seasonal Energy Reliability Assessments
2. **Number:** BAL-008-1
3. **Purpose:** To assess the risks associated with Energy Emergencies in the seasonal time horizon and take appropriate actions to address identified risk. As the Bulk-Power System becomes more reliant upon energy-constrained and variable resources, traditional capacity-based planning methods and strategies might not identify energy-related risks to reliable System operation.
4. **Applicability:**
 - 4.1. **Functional Entities:**
 - 4.1.1. Balancing Authority
 - 4.1.2. Reliability Coordinator
 - 4.1.3. Resource Planner
5. **Effective Date:** See Implementation Plan for BAL-008-1.

B. Requirements and Measures

- R1.** Each Balancing Authority shall document and maintain a process for conducting Energy Reliability Assessments (ERA) for the seasonal time horizon. *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*
- 1.1.** The Balancing Authority shall define its seasons, which do not have to align with traditional seasonal definitions but must cover an entire calendar year.
 - 1.2.** The seasonal ERAs will be representative of the risks or conditions within each seasonal period. The Balancing Authority will determine the duration for each seasonal ERA to represent those risks or conditions and does not need to include all hours in the seasonal period.
 - 1.3.** The Balancing Authority shall define a periodicity for conducting the seasonal ERAs, that provides for completion at least 30 calendar days prior to but no greater than 12 months before the beginning of each season.
 - 1.4.** The ERA process for seasonal ERAs must account for the following:
 - 1.4.1.** Forecasted or assumed Demand profiles;
 - 1.4.2.** Resource capabilities and operations, including depletion of fuel, variable energy resources, (e.g., wind, solar, and hydro) energy transfers between neighboring Balancing Authorities, and electric storage; and
 - 1.4.3.** Transmission Constraints that limit the ability of generation Facilities to deliver their output to Load.
 - 1.5.** The ERA process for seasonal ERAs shall include the rationale for each of the elements in Parts 1.1 through 1.4.
- M1.** Each Balancing Authority shall have evidence that it documented and maintained a process for conducting seasonal ERAs in accordance with Requirement R1.
- R2.** Each Balancing Authority shall document and maintain a set of Scenarios or method of Scenario creation for use in performing seasonal ERAs. Each Scenario or method shall vary one or more of the following conditions to stress its System within a range of credible situations. Include a rationale for the Scenarios or method identified. *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*
- 2.1.** Forecasted or assumed Demand profiles;
 - 2.2.** Resource capabilities and operations including the following:
 - 2.2.1.** The effects of a credible energy supply Contingency;
 - 2.2.2.** The effects of a credible fuel supply Contingency; and
 - 2.2.3.** Unplanned generator outages.
 - 2.3.** The effects of other contingencies with a credible or historical risk of occurring based on the best information available at the time of Scenario creation.

- M2.** Each Balancing Authority shall have evidence that Scenarios or methods were developed and maintained along with a documented rationale in accordance with Requirement R2.
- R3.** Each Balancing Authority shall document and maintain one or more Operating Plan(s) to minimize forecasted Energy Emergencies, as identified in the seasonal ERA, including provisions for notifying the Reliability Coordinator of the forecasted Energy Emergency and the Operating Plan(s). *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*
- M3.** Each Balancing Authority shall have evidence that it documented and maintained its Operating Plan(s) in accordance with Requirement R3.
- R4.** Each Balancing Authority shall maintain a documented specification for the data necessary from its Resource Planners to perform seasonal ERAs. The data specification shall include the following: *[Violation Risk Factor: Low] [Time Horizon: Operations Planning]*
 - 4.1.** A list of data and information needed by the Balancing Authority to support its seasonal ERAs;
 - 4.2.** A periodicity for providing data;
 - 4.3.** The deadline by which the respondent is to provide the indicated data.
- M4.** Each Balancing Authority shall have evidence of its documented data specification detailing the necessary data it needs from its Resource Planners to perform seasonal ERAs, in accordance with Requirement R4.
- R5.** Each Balancing Authority shall distribute its data specification to its Resource Planner(s) that have data required by the Balancing Authority to perform its seasonal ERAs. *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning]*
- M5.** Each Balancing Authority shall have evidence showing that it provided the data specification required for its seasonal ERAs to its Resource Planner(s) in accordance with Requirement R5.
- R6.** Each Resource Planner receiving a data specification in Requirement R5 shall satisfy the obligations of the documented specifications using: *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning, Same-Day Operations, Real-time Operations]*
 - 6.1.** A mutually agreeable format;
 - 6.2.** A mutually agreeable process for resolving data conflicts; and
 - 6.3.** A mutually agreeable data security protocol.
- M6.** Each Resource Planner shall have evidence that it has satisfied the data specifications received from the Balancing Authority by providing the appropriate data needed to perform the seasonal ERA, in accordance with Requirement R6.

- R7.** The Balancing Authority shall review and update, if necessary, its seasonal ERA process, Scenarios or methods, and Operating Plan(s) documented under Requirements R1 through R3 at least once every 24 calendar months. *[Violation Risk Factor: Low] [Time Horizon: Operations Planning]*
- M7.** Each Balancing Authority shall have evidence that it reviewed its seasonal ERA process, Scenarios or methods, and Operating Plan(s) and submitted the information to its Reliability Coordinator at least once every 24 months, in accordance with Requirement R7.
- R8.** Each Balancing Authority shall provide its seasonal ERA process, Scenarios or methods, and Operating Plan(s) documented under Requirements R1 through R3 to the Reliability Coordinator at least once every 24 calendar months, on a mutually agreed schedule. *[Violation Risk Factor: Low] [Time Horizon: Operations Planning]*
- M8.** Each Balancing Authority shall have evidence it provided its seasonal ERA process, Scenarios, or methods, and Operating Plan(s) documented under Requirement R1 through R3 to its Reliability Coordinator at least once every 24 calendar months, on a mutually agreed schedule, in accordance with Requirement R8.
- R9.** Within 60 calendar days of receipt of the information in Requirement R8, the Reliability Coordinator shall: *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*.
- 9.1.** Review each submittal for coordination with other Balancing Authorities' ERA information to avoid risks to Wide Area reliability; and
- 9.2.** Notify each Balancing Authority of the results of its review and, if revisions are needed, to address reliability risks.
- M9.** Each Reliability Coordinator shall have evidence that it reviewed each submittal and notified each Balancing Authority of the results of the review within 60 days of receiving a submittal from Requirement R9.
- R10.** Within 60 calendar days of receipt of the Reliability Coordinator's notice under Requirement R9, each Balancing Authority shall address any reliability risks identified by its Reliability Coordinator and resubmit the updated information required in Requirement R8 to its Reliability Coordinator. *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*
- M10.** Each Balancing Authority shall have evidence that it addressed any reliability risks identified by its Reliability Coordinator and resubmitted updated information to its Reliability Coordinator within 60 days of receipt of notice from Requirement R10.
- R11.** Each Balancing Authority shall perform seasonal ERAs according to the process documented in Requirement R1 using the Scenarios or methods documented in Requirement R2. *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*
- M11.** Each Balancing Authority shall have evidence that it performed the seasonal ERAs in accordance with Requirement R11.

R12. If a seasonal ERA identifies one or more of the forecasted Energy Emergencies listed below, the Balancing Authority shall implement an Operating Plan(s), as documented in Requirement R3. *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*

- Forecasted EEA1 circumstances as defined in EOP-011 Attachment 1 Section B
- Forecasted EEA2 circumstances as defined in EOP-011 Attachment 1 Section B
- Forecasted EEA3 circumstances as defined in EOP-011 Attachment 1 Section B

M12. Each Balancing Authority shall have evidence that it has implemented an Operating Plan(s) in accordance with Requirement R12.

R13. Each Reliability Coordinator, within seven calendar days of receiving a notification that a Balancing Authority within its footprint has implemented an Operating Plan pursuant to Requirement R8, shall notify other Balancing Authorities and Transmission Operators in its Reliability Coordinator Area, and neighboring Reliability Coordinators of the forecasted condition(s) and the Balancing Authority's Operating Plan(s). *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*

M13. Each Reliability Coordinator shall have evidence demonstrating it communicated, within seven calendar days from the time of receiving notice of implementation of a Balancing Authority's Operating Plan, with the other Balancing Authorities and Transmission Operators in its Reliability Coordinator Area, and neighboring Reliability Coordinators in accordance with Requirement R13.

C. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority: “Compliance Enforcement Authority” means NERC or the Regional Entity, or any entity as otherwise designated by an Applicable Governmental Authority, in their respective roles of monitoring and/or enforcing compliance with mandatory and enforceable Reliability Standards in their respective jurisdictions.

1.2. Evidence Retention: The following evidence retention period(s) identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to provide other evidence to show that it was compliant for the full-time period since the last audit.

The applicable entity shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation.

- The Balancing Authority and Reliability Coordinator shall keep data or evidence to show compliance with applicable requirements for six months for near-term time horizon and 18 months for the seasonal time horizon or since the last audit.

1.3. Compliance Monitoring and Enforcement Program: As defined in the NERC Rules of Procedure, “Compliance Monitoring and Enforcement Program” refers to the identification of the processes that will be used to evaluate data or information for the purpose of assessing performance or outcomes with the associated Reliability Standard.

Violation Severity Levels

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1.	N/A	The Balancing Authority documented an ERA process document for the seasonal time horizon accounting for each of the elements in Requirement R1 Parts 1.1 through 1.4 but failed to maintain it at least annually.	The Balancing Authority documented and maintained an ERA process document for the seasonal time horizon but did not account for one or more of the elements under Requirement R1 Part 1.4. OR The Balancing Authority documented a seasonal ERA process but did not provide a supporting rationale(s) under Requirement R1 Part 1.1 and Part 1.4 for the seasonal time horizon.	The Balancing Authority documented and maintained an ERA process document for the seasonal time horizon but failed to include two or more of the required elements under Requirement R1 Part 1.4 or supporting rationale(s) under Requirement R1 Part 1.1 and Part 1.4 for the seasonal time horizon. OR The Balancing Authority failed to document an ERA process for the seasonal time horizon.
R2.	N/A	The Balancing Authority documented the seasonal ERA set of Scenarios or method of Scenario creation but failed to maintain them. OR The Balancing Authority documented a set of Scenarios or a method of Scenario creation but did not include a	The Balancing Authority documented and maintained the seasonal ERA set of Scenarios or a method of Scenario creation but failed to include one of the Scenarios or method of Scenario creation in Requirement R2 Part 2.1, Part 2.2 and Part 2.3 or supporting rationales under Requirement R2.	The Balancing Authority documented and maintained the seasonal ERA set of Scenarios or a method of Scenario creation but failed to include two or more of the Scenarios in Requirement R2 Part 2.1, Part 2.2, and Part 2.3 or supporting rationales under Requirement R2. OR

		rationale for the Scenarios or method identified.		The Balancing Authority failed to document the seasonal ERA set of Scenarios or a method of Scenario creation.
R3.	N/A	N/A	The Balancing Authority documented and maintained Operating Plan(s) but failed to include a provision for notification for its Reliability Coordinator.	The Balancing Authority failed to develop Operating Plan(s) to minimize forecasted Energy Emergencies identified in the seasonal ERAs.
R4.	N/A	N/A	The Balancing Authority maintained a documented data specification for the seasonal ERA but failed to include one of the elements in Requirement R4 Part 4.1, Part 4.2, and Part 4.3.	The Balancing Authority maintained a documented data specification for the seasonal ERA but failed to include two or more of the elements in Requirement R4 Part 4.1, Part 4.2, and Part 4.3. OR The Balancing Authority failed to document a data specification for the seasonal ERA.
R5.	N/A	N/A	N/A	The Balancing Authority failed to distribute its data specification to its Resource Planner(s) that have data required by its Balancing Authority for its seasonal ERA.

R6.	N/A	N/A	N/A	The Resource Planner failed to satisfy the obligations of the documented data specification.
R7.	N/A	N/A	The Balancing Authority reviewed the seasonal ERA process, the seasonal ERA Scenarios or methods of Scenario creation, and Operating Plan(s) but failed to update its Reliability Coordinator within the mutually agreed-upon schedule.	The Balancing Authority failed to review or update information that contained the seasonal ERA process, the seasonal ERA scenarios or methods of Scenario creation, and Operating Plan(s) to its Reliability Coordinator.
R8.	N/A	N/A	The Balancing Authority submitted information that contained the seasonal ERA process, the ERA Scenarios, and Operating Plan(s) but failed to submit to the Reliability Coordinator within 24 months, on a mutually agreed-upon schedule.	The Balancing Authority failed to submit information that contained the seasonal ERA process, the ERA Scenarios, and Operating Plan(s) to the Reliability Coordinator.
R9.	N/A	N/A	The Reliability Coordinator reviewed each submittal for coordination with other Balancing Authorities' seasonal ERA information to avoid risks to Wide Area reliability but failed to notify each Balancing Authority of	The Reliability Coordinator failed to review the information in Requirement R8 for coordination with other Balancing Authorities' seasonal ERA information to avoid risks to Wide Area reliability.

			results of its review within 60 calendar days.	
R10.	N/A	N/A	The Balancing Authority addressed any reliability risks identified by its Reliability Coordinator and resubmitted the updated information required in Requirement R7 to its Reliability Coordinator but resubmitted the updated information more than 60 calendar days following receipt.	The Balancing Authority failed to address any reliability risks identified by its Reliability Coordinator. OR The Balancing Authority failed to resubmit the updated information required in Requirement R7 to its Reliability Coordinator.
R11.	N/A	N/A	N/A	The Balancing Authority failed to perform seasonal ERAs in accordance with its process documented in Requirement R1 using the Scenarios or methods of Scenario creation documented in Requirement R2.
R12.	N/A	N/A	N/A	The Balancing Authority failed to implement an Operating Plan(s) when a seasonal ERA identified any of the forecasted conditions in Requirement R12.

<p>R13.</p>	<p>The Reliability Coordinator received a notification that a Balancing Authority within its footprint has implemented an Operating Plan pursuant to Requirement R12 but failed to notify one or more Balancing Authorities or Transmission Operators in its Reliability Coordinator Area, or neighboring Reliability Coordinators between 24-48 hours of receiving notification.</p>	<p>The Reliability Coordinator received a notification that a Balancing Authority within its footprint has implemented an Operating Plan pursuant to Requirement R12 but failed to notify one or more Balancing Authorities or Transmission Operators in its Reliability Coordinator Area, or neighboring Reliability Coordinators between 48-72 hours of receiving notification.</p>	<p>The Reliability Coordinator received a notification that a Balancing Authority within its footprint has implemented an Operating Plan pursuant to Requirement R12 but failed to notify one or more Balancing Authorities or Transmission Operators in its Reliability Coordinator Area, or neighboring Reliability Coordinator Area between 72-96 hours of receiving notification.</p>	<p>The Reliability Coordinator received a notification that a Balancing Authority within its footprint has implemented an Operating Plan pursuant to Requirement R12 but failed to notify one or more Balancing Authorities or Transmission Operators in its Reliability Coordinator Area, or neighboring Reliability Coordinators of the forecasted condition(s) and the Balancing Authority’s Operating Plan(s) after 96 hours.</p>
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D. Regional Variances

None.

E. Associated Documents

- Implementation Plan
- NERC Project 2022-03 Project Page

Version History

Version	Date	Action	Change Tracking
1	TBD	NERC Project 2022-03 Energy Assurance – New Standard	New