

**Reliability Standard Audit Worksheet[[1]](#footnote-1)**

# BAL-005-1 – Balancing Authority Control

***This section to be completed by the Compliance Enforcement Authority.***

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| **Audit ID:** | Audit ID if available; or REG-NCRnnnnn-YYYYMMDD |
| **Registered Entity:** | Registered name of entity being audited |
| **NCR Number:** | NCRnnnnn |
| **Compliance Enforcement Authority:** | Region or NERC performing audit |
| **Compliance Assessment Date(s)[[2]](#footnote-2):** | Month DD, YYYY, to Month DD, YYYY |
| **Compliance Monitoring Method:** | [On-site Audit | Off-site Audit | Spot Check] |
| **Names of Auditors:** | Supplied by CEA |

# **Applicability of Requirements**

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|  | **BA** | **DP** | **GO** | **GOP** | **IA** | **LSE** | **PA/PC** | **PSE** | **RC** | **RP** | **RSG** | **TO** | **TOP** | **TP** | **TSP** |
| **R1** | X |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **R2** | X |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **R3** | X |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **R4** | X |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **R5** | X |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **R6** | X |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **R7** | X |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

**Legend:**

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| Text with blue background: | Fixed text – do not edit |
| Text entry area with Green background: | Entity-supplied information |
| Text entry area with white background: | Auditor-supplied information |

Findings

**(This section to be completed by the Compliance Enforcement Authority)**

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| **Req.** | **Finding** | **Summary and Documentation** | **Functions Monitored** |
| **R1** |  |  |  |
| **R2** |  |  |  |
| **R3** |  |  |  |
| **R4** |  |  |  |
| **R5** |  |  |  |
| **R6** |  |  |  |
| **R7** |  |  |  |

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| **Req.** | **Areas of Concern** |
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| **Req.** | **Recommendations** |
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| **Req.** | **Positive Observations** |
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Subject Matter Experts

Identify the Subject Matter Expert(s) responsible for this Reliability Standard.

**Registered Entity Response (Required; Insert additional rows if needed):**

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| **SME Name** | **Title** | **Organization** | **Requirement(s)** |
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R1 Supporting Evidence and Documentation

**R1.** The Balancing Authority shall use a design scan rate of no more than six seconds in acquiring data necessary to calculate Reporting ACE.

**M1.**  Each Balancing Authority will have dated documentation demonstrating that the data necessary to calculate Reporting ACE was designed to be scanned at a rate of no more than six seconds. Acceptable evidence may include historical data, dated archive files; or data from other databases, spreadsheets, displays that demonstrate compliance.

**Registered Entity Response (Required):**

**Compliance Narrative:**

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requestedi:

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| **Provide the following evidence, or other evidence to demonstrate compliance.** |
| Evidence that data acquisition for Tie Lines and Pseudo-Ties necessary to calculate Actual Net Interchange uses a design scan rate of no more than six seconds. |
| Evidence that data acquisition for Dynamic Schedules necessary to calculate Scheduled Net Interchange uses a design scan rate of no more than six seconds. |
| Evidence that data acquisition of frequency used to calculate Reporting ACE is designed to be scanned at a rate of no more than six seconds. |

Registered Entity Evidence (Required):

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| **The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.** | | | | | |
| **File Name** | **Document Title** | **Revision or Version** | **Document Date** | **Relevant Page(s) or Section(s)** | **Description of Applicability of Document** |
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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to BAL-005-1, R1

***This section to be completed by the Compliance Enforcement Authority***

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|  | Verify that data acquisition for Tie Lines and Pseudo-Ties necessary to calculate Actual Net Interchange uses a design scan rate of no more than six seconds. |
|  | Verify that data acquisition for Dynamic Schedules necessary to calculate Scheduled Net Interchange uses a design scan rate of no more than six seconds. |
|  | Verify that data acquisition of frequency used to calculate Reporting ACE is designed to be scanned at a rate of no more than six seconds. |
| **Note to Auditor:** Data acquisition of frequency used to calculate Reporting ACE may include several sources, each of which should be verified for a design scan rate of no more than six seconds. | |

Auditor Notes:

R2 Supporting Evidence and Documentation

**R2.** A Balancing Authority that is unable to calculate Reporting ACE for more than 30-consecutive minutes shall notify its Reliability Coordinator within 45 minutes of the beginning of the inability to calculate Reporting ACE.

**M2.**  Each Balancing Authority will have dated records to show when it was unable to calculate Reporting ACE for more than 30 consecutive minutes and that it notified its Reliability Coordinator within 45 minutes of the beginning of the inability to calculate Reporting ACE. Such evidence may include, but are not limited to, dated voice recordings, operating logs, or other communication documentation.

**Registered Entity Response (Required):**

**Question:**  During the audit period, was the entity unable to calculate Reporting ACE for more than 30-consecutive minutes?  Yes  No

If Yes, provide a list of times during the audit period the entity was unable to calculate Reporting ACE for more than 30-consecutive minutes, and proceed to the Compliance Narrative below. If No, describe how this was determined in the narrative section below.

[Note: A separate spreadsheet or other document may be used. If so, provide the document reference below.]

**Registered Entity Response (Required):**

**Compliance Narrative:**

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requestedi:

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| **Provide the following evidence, or other evidence to demonstrate compliance.** |
| Evidence identifying the periods greater than 30-consecutive minutes when the entity was unable to calculate Reporting ACE, including start and stop times. |
| Evidence the entity notified its Reliability Coordinator within 45 minutes of the beginning of each inability to calculate Reporting ACE. |

Registered Entity Evidence (Required):

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| **The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.** | | | | | |
| **File Name** | **Document Title** | **Revision or Version** | **Document Date** | **Relevant Page(s) or Section(s)** | **Description of Applicability of Document** |
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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to BAL-005-1, R2

***This section to be completed by the Compliance Enforcement Authority***

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|  | For all, or a sample of, inabilities to calculate Reporting ACE, verify the entity notified its Reliability Coordinator within 45 minutes of the beginning of the inability to calculate Reporting ACE lasting more than 30-consecutive minutes. |
| **Note to Auditor:** | |

Auditor Notes:

R3 Supporting Evidence and Documentation

**R3.** Each Balancing Authority shall use frequency metering equipment for the calculation of Reporting ACE:

**3.1.** with a minimum availability of 99.95% for each calendar year; and,

**3.2.** with a minimum accuracy of 0.001 Hz.

**M3.** The Balancing Authority shall have evidence such as dated documents or other evidence in hard copy or electronic format showing the frequency metering equipment used for the calculation of Reporting ACE had a minimum availability of 99.95% for each calendar year and had a minimum accuracy of 0.001 Hz to demonstrate compliance with Requirement R3.

**Registered Entity Response (Required):**

**Question:** During the audit period, were there any times when frequency metering equipment for the calculation of Reporting ACE was unavailable?  Yes  No

If Yes, provide a list of times during the audit period when frequency metering equipment for the calculation of Reporting ACE was unavailable in the Registered Entity Response, and proceed to the Compliance Narrative below. If No, describe how this was determined in the Registered Entity Response, and proceed to the Compliance Narrative below.

[Note: A separate spreadsheet or other document may be used. If so, provide the document reference below.]

**Registered Entity Response (Required):**

**Compliance Narrative:**

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requestedi:

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| **Provide the following evidence, or other evidence to demonstrate compliance.** |
| Evidence identifying the frequency metering equipment used for the calculation of Reporting ACE. |
| Evidence identifying all periods when no frequency metering equipment used for the calculation of Reporting ACE was available. |
| Evidence demonstrating the accuracy of the frequency metering equipment used for the calculation of Reporting ACE. |

Registered Entity Evidence (Required):

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| **The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.** | | | | | |
| **File Name** | **Document Title** | **Revision or Version** | **Document Date** | **Relevant Page(s) or Section(s)** | **Description of Applicability of Document** |
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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to BAL-005-1, R3

***This section to be completed by the Compliance Enforcement Authority***

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|  | (3.1) Verify the entity used frequency metering equipment for the calculation of Reporting ACE with a minimum availability of 99.95% for each calendar year. |
|  | (3.2) Verify the entity used frequency metering equipment for the calculation of Reporting ACE with a minimum accuracy of 0.001 Hz. |
| **Note to Auditor:** | |

Auditor Notes:

R4 Supporting Evidence and Documentation

**R4.**  The Balancing Authority shall make available to the operator information associated with Reporting ACE including quality flags indicating missing or invalid data.

**M4.** Each Balancing Authority Area shall have evidence such as a graphical display or dated alarm log that provides indication of data validity for the real-time Reporting ACE based on both the calculated result and all of the associated inputs therein.

**Registered Entity Response (Required):**

**Compliance Narrative:**

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requestedi:

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| --- |
| **Provide the following evidence, or other evidence to demonstrate compliance.** |
| Evidence that information associated with Reporting ACE has quality flags indicating missing or invalid data based on both the calculated result and all of the associated inputs therein. |
| Evidence that information associated with Reporting ACE including quality flags are made available to the operator. |

Registered Entity Evidence (Required):

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| **The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.** | | | | | |
| **File Name** | **Document Title** | **Revision or Version** | **Document Date** | **Relevant Page(s) or Section(s)** | **Description of Applicability of Document** |
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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to BAL-005-1, R4

***This section to be completed by the Compliance Enforcement Authority***

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|  | Verify that information associated with Reporting ACE has quality flags indicating missing or invalid data. |
|  | Verify the information associated with Reporting ACE, including quality flags, are made available to the operator. |
| **Note to Auditor:** | |

Auditor Notes:

R5 Supporting Evidence and Documentation

**R5.**  Each Balancing Authority’s system used to calculate Reporting ACE shall have a minimum availability of 99.5% for each calendar year.

**M5.** Each Balancing Authority will have dated documentation demonstrating that the system necessary to calculate Reporting ACE has a minimum availability of 99.5% for each calendar year. Acceptable evidence may include historical data, dated archive files; or data from other databases, spreadsheets, displays that demonstrate compliance.

**Registered Entity Response (Required):**

**Question:** During the audit period, were there any times when the system used to calculate Reporting ACE was unavailable? ☐ Yes ☐ No

If Yes, provide a list of clock-minutes during the audit period when the system used to calculate Reporting ACE was unavailable, and proceed to the Compliance Narrative below. If No, describe how this was determined in the narrative section below.

[Note: A separate spreadsheet or other document may be used. If so, provide the document reference below.]

**Registered Entity Response (Required):**

**Compliance Narrative:**

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requestedi:

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| **Provide the following evidence, or other evidence to demonstrate compliance.** |
| Evidence identifying the system used to calculate Reporting ACE. |
| Evidence identifying all periods the entity’s system used to calculate Reporting ACE was unavailable. |

Registered Entity Evidence (Required):

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| **The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.** | | | | | |
| **File Name** | **Document Title** | **Revision or Version** | **Document Date** | **Relevant Page(s) or Section(s)** | **Description of Applicability of Document** |
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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to BAL-005-1, R5

***This section to be completed by the Compliance Enforcement Authority***

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|  | Verify the system used to calculate Reporting ACE had a minimum availability of 99.5% for each calendar year. |
| **Note to Auditor:** BAL-001-2 Attachment 1 provides an explanation of valid Reporting ACE. If the recording of Reporting ACE or Frequency Error is interrupted such that less than 50 percent of the one-minute sample period data is available or valid, then that one-minute interval is excluded from the CPS1 calculation. | |

Auditor Notes:

R6 Supporting Evidence and Documentation

**R6.**  Each Balancing Authority that is within a multi-Balancing Authority Interconnection shall implement an Operating Process to identify and mitigate errors affecting the accuracy of scan-rate data used in the calculation of Reporting ACE for each Balancing Authority Area.

**M6.** Each Balancing Authority shall have a current Operating Process meeting the provisions of Requirement R6 and evidence to show that the process was implemented, such as dated communications or incorporation in System Operator task verification.

**Registered Entity Response (Required):**

**Compliance Narrative:**

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requestedi:

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| **Provide the following evidence, or other evidence to demonstrate compliance.** |
| Operating Process to identify and mitigate errors affecting the accuracy of scan-rate data used in the calculation of Reporting ACE. |
| Evidence demonstrating implementation of the Operating Process. |

Registered Entity Evidence (Required):

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| **The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.** | | | | | |
| **File Name** | **Document Title** | **Revision or Version** | **Document Date** | **Relevant Page(s) or Section(s)** | **Description of Applicability of Document** |
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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to BAL-005-1, R6

***This section to be completed by the Compliance Enforcement Authority***

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|  | Verify the entity has an Operating Process for errors affecting the accuracy of scan-rate data used in the calculation of Reporting ACE for each Balancing Authority Area. |
|  | Verify the Operating Process includes identification of errors affecting the accuracy of scan-rate data used in the calculation of Reporting ACE for each Balancing Authority Area. |
|  | Verify the Operating Process includes mitigation of errors affecting the accuracy of scan-rate data used in the calculation of Reporting ACE for each Balancing Authority Area. |
|  | Verify the Operating Process was implemented. |
| **Note to Auditor:** | |

Auditor Notes:

R7 Supporting Evidence and Documentation

**R7.**  Each Balancing Authority shall ensure that each Tie Line, Pseudo‐Tie, and Dynamic Schedule with an Adjacent Balancing Authority is equipped with:

**7.1.** a common source to provide information to both Balancing Authorities for the scan rate values used in the calculation of Reporting ACE; and,

**7.2.** a time synchronized common source to determine hourly megawatt‐hour values agreed‐upon to aid in the identification and mitigation of errors under the Operating Process as developed in Requirement R6.

**M7.** The Balancing Authority shall have dated evidence such as voice recordings or transcripts, operator logs, electronic communications, or other equivalent evidence that will be used to demonstrate a common source for the components used in the calculation of Reporting ACE with its Adjacent Balancing Authority.

**Registered Entity Response (Required):**

**Compliance Narrative:**

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requestedi:

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| --- |
| **Provide the following evidence, or other evidence to demonstrate compliance.** |
| Evidence identifying Tie Lines, Pseudo-Ties, and Dynamic Schedules with Adjacent Balancing Authorities. |
| Evidence that Tie Lines, Pseudo-Ties, and Dynamic Schedules with Adjacent Balancing Authorities are equipped with a common source to provide information to both Balancing Authorities for the scan rate values used in the calculation of Reporting ACE. |
| Evidence that Tie Lines, Pseudo-Ties, and Dynamic Schedules with Adjacent Balancing Authorities are equipped with a time synchronized common source to determine hourly megawatt‐hour values agreed‐upon to aid in the identification and mitigation of errors under the Operating Process as developed in Requirement R6. |

Registered Entity Evidence (Required):

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| **The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.** | | | | | |
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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to BAL-005-1, R7

***This section to be completed by the Compliance Enforcement Authority***

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|  | Verify that Tie Lines, Pseudo-Ties, and Dynamic Schedules with Adjacent Balancing Authorities are equipped with a common source to provide information to both Balancing Authorities for the scan rate values used in the calculation of Reporting ACE. |
|  | Verify that Tie Lines, Pseudo-Ties, and Dynamic Schedules with Adjacent Balancing Authorities are equipped with a time synchronized common source to determine hourly megawatt‐hour values agreed‐upon to aid in the identification and mitigation of errors under the Operating Process as developed in Requirement R6. |
| **Note to Auditor:** | |

Auditor Notes:

Additional Information:

Reliability Standard



The full text of BAL-005-1 may be found on the NERC Web Site (www.nerc.com) under “Program Areas & Departments”, “Reliability Standards.”

In addition to the Reliability Standard, there is an applicable Implementation Plan available on the NERC Web Site.

In addition to the Reliability Standard, there is background information available on the NERC Web Site.

Capitalized terms in the Reliability Standard refer to terms in the NERC Glossary, which may be found on the NERC Web Site.

Sampling Methodology

Sampling is essential for auditing compliance with NERC Reliability Standards since it is not always possible or practical to test 100% of either the equipment, documentation, or both, associated with the full suite of enforceable standards. The Sampling Methodology Guidelines and Criteria (see NERC website), or sample guidelines, provided by the Electric Reliability Organization help to establish a minimum sample set for monitoring and enforcement uses in audits of NERC Reliability Standards.

Regulatory Language

[*North American Electric Reliability Corporation*, 160 FERC ¶ 61,070 (2017)](https://www.nerc.com/FilingsOrders/us/FERCOrdersRules/E-1_Order%20No%20836.pdf).

P1 FERC approved Reliability Standards BAL-005-1 (Balancing Authority Control) and FAC-001-3 (Facility Interconnection Requirements), as well as the retirement of Reliability Standards.

P2 The Commission determines that Reliability Standards BAL-005-1 and FAC-001-3 will enhance the reliability of the Bulk-Power System, as compared to currently-effective Reliability Standards BAL-005-0.2b and FAC-001-2, by clarifying and consolidating existing requirements related to frequency control. In addition, the Commission determines that the revised Reliability Standards support more accurate and comprehensive calculation of Reporting Area Control Error (Reporting ACE), by requiring timely reporting of an inability to calculate Reporting ACE and by requiring balancing authorities to maintain minimum levels of annual availability of 99.5 percent for each balancing authority’s system for calculating Reporting ACE. … the Commission has determined that it will not, at this time, direct NERC to restore existing requirements in Requirement R15 of Reliability Standard BAL-005-0.2b related to maintaining and testing backup power supplies at primary control centers and other critical locations.

P24 Reliability Standard BAL-005-1 and FAC-001-3 will enhance reliability as compared to currently-effective Reliability Standards BAL-005-0.2b and FAC-001-2, because the Reliability Standards clarify and consolidate existing requirements related to frequency control. In addition, Reliability Standard BAL-005-1 supports more accurate and comprehensive calculation of Reporting ACE by requiring timely reporting of an inability to calculate Reporting ACE (Requirement R2) and by requiring minimum levels of availability and accuracy for each balancing authority’s system for calculating Reporting ACE (Requirement R5).

E.g. FERC Order No. 742 Paragraph 55, Commission Determination: “We affirm NERC’s…….

Revision History for RSAW

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| **Version** | **Date** | **Reviewers** | **Revision Description** |
| 1 | 08/21/2018 | NERC Compliance Assurance, RSAW Task Force | New Document to reflect final Reliability Standard |

1. NERC developed this Reliability Standard Audit Worksheet (RSAW) language in order to facilitate NERC’s and the Regional Entities’ assessment of a registered entity’s compliance with this Reliability Standard. The NERC RSAW language is written to specific versions of each NERC Reliability Standard. Entities using this RSAW should choose the version of the RSAW applicable to the Reliability Standard being assessed. While the information included in this RSAW provides some of the methodology that NERC has elected to use to assess compliance with the requirements of the Reliability Standard, this document should not be treated as a substitute for the Reliability Standard or viewed as additional Reliability Standard requirements. In all cases, the Regional Entity should rely on the language contained in the Reliability Standard itself, and not on the language contained in this RSAW, to determine compliance with the Reliability Standard. NERC’s Reliability Standards can be found on NERC’s website. Additionally, NERC Reliability Standards are updated frequently, and this RSAW may not necessarily be updated with the same frequency. Therefore, it is imperative that entities treat this RSAW as a reference document only, and not as a substitute or replacement for the Reliability Standard. It is the responsibility of the registered entity to verify its compliance with the latest approved version of the Reliability Standards, by the applicable governmental authority, relevant to its registration status.

   The RSAW may provide a non-exclusive list, for informational purposes only, of examples of the types of evidence a registered entity may produce or may be asked to produce to demonstrate compliance with the Reliability Standard. A registered entity’s adherence to the examples contained within this RSAW does not necessarily constitute compliance with the applicable Reliability Standard, and NERC and the Regional Entity using this RSAW reserve the right to request additional evidence from the registered entity that is not included in this RSAW. This RSAW may include excerpts from FERC Orders and other regulatory references which are provided for ease of reference only, and this document does not necessarily include all applicable Order provisions. In the event of a discrepancy between FERC Orders, and the language included in this document, FERC Orders shall prevail. [↑](#footnote-ref-1)
2. Compliance Assessment Date(s): The date(s) the actual compliance assessment (on-site audit, off-site spot check, etc.) occurs. [↑](#footnote-ref-2)