

A. Introduction

1. **Title:** Balancing Authority Control
2. **Number:** BAL-005-1
3. **Purpose:** This standard establishes requirements for acquiring data necessary to calculate Reporting Area Control Error (Reporting ACE). The standard also specifies a minimum periodicity, accuracy, and availability requirement for acquisition of the data and for providing the information to the System Operator.
4. **Applicability:**
 - 4.1. **Functional Entities:**
 - 4.1.1. Balancing Authority

Effective Date: See Implementation Plan for BAL-005-1

B. Requirements and Measures

- R1. The Balancing Authority shall use a design scan rate of no more than six seconds in acquiring data necessary to calculate Reporting ACE. [*Violation Risk Factor: Medium*] [*Time Horizon: Real-time Operations*]
- 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, or displays that demonstrate compliance.
- 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. [*Violation Risk Factor: Medium*] [*Time Horizon: Real-time Operations*]
- 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 is not limited to, dated voice recordings, operating logs, or other communication documentation.
- R3. Each Balancing Authority shall use frequency metering equipment for the calculation of Reporting ACE: [*Violation Risk Factor: Medium*] [*Time Horizon: Real-time Operations*]
 - 3.1. that is available a minimum 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.
- R4.** The Balancing Authority shall make available to the operator information associated with Reporting ACE including, but not limited to, quality flags indicating missing or invalid data. *[Violation Risk Factor: Medium] [Time Horizon: Real-time Operations]*
- 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.
- R5.** Each Balancing Authority's system used to calculate Reporting ACE shall be available a minimum of 99.5% of each calendar year. *[Violation Risk Factor: Medium] [Time Horizon: Operations Assessment]*
- 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, or displays that demonstrate compliance.
- R6.** Each Balancing Authority that is within a multiple 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. *[Violation Risk Factor: Medium] [Time Horizon: Same-day Operations]*
- 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.
- R7.** Each Balancing Authority shall ensure that each Tie-Line, Pseudo-Tie, and Dynamic Schedule with an Adjacent Balancing Authority is equipped with: *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*
- 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.
- 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.

C. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

As defined in the NERC Rules of Procedure, “Compliance Enforcement Authority” means NERC or the Regional Entity in their respective roles of monitoring and enforcing compliance with the NERC Reliability Standards.

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 applicable entity shall keep data or evidence to show compliance for the current year, plus three previous calendar years.

1.3. Compliance Monitoring and Assessment Processes:

As defined in the NERC Rules of Procedure, “Compliance Monitoring and Assessment Processes” 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.

1.4. Additional Compliance Information

None

Table of Compliance Elements

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
R1.	Real-time Operations	Medium	N/A	N/A	N/A	Balancing Authority was using a design scan rate of greater than six seconds to acquire the data necessary to calculate Reporting ACE.
R2.	Real-time Operations	Medium	The Balancing Authority failed to notify its Reliability Coordinator within 45 minutes of the beginning of the inability to calculate Reporting ACE but notified its Reliability Coordinator in less than or equal to 50 minutes from the beginning of the	The Balancing Authority failed to notify its Reliability Coordinator within 50 minutes of the beginning of an inability to calculate Reporting ACE but notified its Reliability Coordinator in less than or equal to 55 minutes from the beginning of an	The Balancing Authority failed to notify its Reliability Coordinator within 55 minutes of the beginning of an inability to calculate Reporting ACE but notified its Reliability Coordinator in less than or equal to 60 minutes from the beginning of an	The Balancing Authority failed to notify its Reliability Coordinator within 60 minutes of the beginning of an inability to calculate Reporting ACE.

			inability to calculate Reporting ACE.	inability to calculate Reporting ACE.	inability to calculate Reporting ACE.	
R3.	Real-time Operations	Medium	The Balancing Authority's frequency metering equipment used for the calculation of Reporting ACE was available less than 99.95% of the calendar year but was available greater than or equal to 99.94 % of the calendar year.	The Balancing Authority's frequency metering equipment used for the calculation of Reporting ACE was available less than 99.94% of the calendar year but was available greater than or equal to 99.93 % of the calendar year.	The Balancing Authority's frequency metering equipment used for the calculation of Reporting ACE was available less than 99.93% of the calendar year but was available greater than or equal to 99.92 % of the calendar year.	The Balancing Authority's frequency metering equipment used for the calculation of Reporting ACE was available less than 99.92% of the calendar year Or The Balancing Authority's frequency metering equipment used for the calculation of Reporting ACE failed to have a minimum accuracy of 0.001 Hz.
R4.	Real-time Operations	Medium	N/A	N/A	N/A	The Balancing Authority failed to make available information indicating missing or invalid data associated with

						Reporting ACE to its operators.
R5.	Operations Assessment	Medium	The Balancing Authority's system used for the calculation of Reporting ACE was available less than 99.5% of the calendar year but was available greater than or equal to 99.4 % of the calendar year.	The Balancing Authority's system used for the calculation of Reporting ACE was available less than 99.4% of the calendar year but was available greater than or equal to 99.3 % of the calendar year.	The Balancing Authority's system used for the calculation of Reporting ACE was available less than 99.3% of the calendar year but was available greater than or equal to 99.2 % of the calendar year.	The Balancing Authority's system used for the calculation of Reporting ACE was available less than 99.2% of the calendar year.
R6.	Same-day Operations	Medium	N/A	N/A	N/A	The Balancing Authority failed to implement an Operating Process to identify and mitigate errors affecting the scan-rate accuracy of data used in the calculation of Reporting ACE.
R7.	Operations Planning	Medium	N/A	N/A	N/A	The Balancing Authority failed to use a common source for Tie-Lines, Pseudo-ties and Dynamic

						<p>Schedules with its Adjacent Balancing Authorities</p> <p>Or</p> <p>The Balancing Authority failed to use a time synchronized common source for hourly megawatt hour values that are agreed-upon to aid in the identification and mitigation of errors.</p>
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D. Regional Variances

None.

E. Interpretations

None.

F. Associated Documents

None.

Version History

Version	Date	Action	Change Tracking
0	February 8, 2005	Adopted by NERC Board of Trustees	New
0	April 1, 2005	Effective Date	New
0	August 8, 2005	Removed “Proposed” from Effective Date	Errata
0a	December 19, 2007	Added Appendix 1 – Interpretation of R17 approved by BOT on May 2, 2007	Addition
0a	January 16, 2008	Section F: added “1.”; changed hyphen to “en dash.” Changed font style for “Appendix 1” to Arial	Errata
0b	February 12, 2008	Replaced Appendix 1 – Interpretation of R17 approved by BOT on February 12, 2008 (BOT approved retirement of Interpretation included in BAL-005-0a)	Replacement
0.1b	October 29, 2008	BOT approved errata changes; updated version number to “0.1b”	Errata
0.1b	May 13, 2009	FERC approved – Updated Effective Date	Addition
0.2b	March 8, 2012	Errata adopted by Standards Committee; (replaced Appendix 1 with the FERC-approved revised interpretation of R17 and corrected standard version referenced in Interpretation by changing from “BAL-005-1” to “BAL-005-0)	Errata
0.2b	September 13, 2012	FERC approved – Updated Effective Date	Addition

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0.2b	February 7, 2013	R2 and associated elements approved by NERC Board of Trustees for retirement as part of the Paragraph 81 project (Project 2013-02) pending applicable regulatory approval.	
0.2b	November 21, 2013	R2 and associated elements approved by FERC for retirement as part of the Paragraph 81 project (Project 2013-02) effective January 21, 2014.	
1	February 11, 2016	Adopted by NERC Board of Trustees	Complete re-write of standard
1	September 20, 2017	FERC Order No. 836 approved BAL-005-1.	

Rationale

During development of this standard, text boxes were embedded within the standard to explain the rationale for various parts of the standard. Upon Board approval, the text from the rationale boxes will be moved to this section.

Rationale for Requirement R1: Real-time operation of a Balancing Authority requires real-time information. A sufficient scan rate is key to an Operator's trust in real-time information. Without a sufficient scan rate, an operator may question the accuracy of data during events, which would degrade the operator's ability to maintain reliability.

Rationale for Requirement R2: The RC is responsible for coordinating the reliability of bulk electric systems for member BA's. When a BA is unable to calculate its ACE for an extended period of time, this information must be communicated to the RC within 15 minutes thereafter so that the RC has sufficient knowledge of system conditions to assess any unintended reliability consequences that may occur on the wide area.

Rationale for Requirement R3: Frequency is the basic measurement for interconnection health, and a critical component for calculating Reporting ACE. Without sufficient available frequency data the BA operator will lack situational awareness and will be unable to make correct decisions when maintaining reliability.

Rationale for Requirement R4: System operators utilize Reporting ACE as a primary metric to determine operating actions or instructions. When data inputs into the ACE calculation are incorrect, the operator should be made aware through visual display. When an operator questions the validity of data, actions are delayed and the probability of adverse events occurring can increase.

Rationale for Requirement R5: Reporting ACE is an essential measurement of the BA's contribution to the reliability of the Interconnection. Since Reporting ACE is a measure of the BA's reliability performance for BAL-001, and BAL-002, it is critical that Reporting ACE be sufficiently available to assure reliability.

Rationale for Requirement R6: Reporting ACE is a measure of the BA's reliability performance for BAL-001, and BAL-002. Without a process to address persistent errors in the ACE calculation, the operator can lose trust in the validity of Reporting ACE resulting in delayed or incorrect decisions regarding the reliability of the bulk electric system.

Rationale for Requirement R7: Reporting ACE is an essential measurement of the BA's contribution to the reliability of the Interconnection. Common source data is critical to calculating Reporting ACE that is consistent between Balancing Authorities. When data sources are not common, confusion can be created between BAs resulting in delayed or incorrect operator action.

Supplemental Material

The intent of Requirement R7 Part 7.1 is to provide accuracy in the measurement and calculations used in Reporting ACE. It specifies the need for common metering points for instantaneous values for the tie-line megawatt flow values between Balancing Authority Areas. Common data source requirements also apply to instantaneous values for pseudo-ties and dynamic schedules, and can extend to more than two Balancing Authorities that participate in allocating shares of a generation resource in supplementary regulation, for example.

The intent of Requirement R7 Part 7.2 is to enable accuracy in the measurements and calculations used in Reporting ACE. It specifies the need for common metering points for hourly accumulated values for the time synchronized tie line MWh values agreed-upon between Balancing Authority Areas. These time synchronized agreed-upon values are necessary for use in the Operating Process required in R6 to identify and mitigate errors in the scan-rate values used in Reporting ACE.

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Appendix QC-BAL-005-1 Provisions specific to the standard BAL-005-1 applicable in Québec

This appendix establishes specific provisions for the application of the standard in Québec. Provisions of the standard and of its appendix must be read together for the purposes of understanding and interpretation. Where the standard and appendix differ, the appendix shall prevail.

A. Introduction

1. **Title:** Balancing Authority Control
2. **Number:** BAL-005-1
3. **Purpose:** No specific provision
4. **Applicability:** No specific provision
5. **Effective Date:**
 - 5.1. Adoption of the standard by the Régie de l'énergie: June 8, 2020
 - 5.2. Adoption of the appendix by the Régie de l'énergie: June 8, 2020
 - 5.3. Effective date of the standard and its appendix in Québec: July 1, 2021

B. Requirements and Measures

No specific provision

C. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

The Régie de l'énergie is responsible, in Québec, for compliance monitoring with respect to the reliability standard and its appendix that it adopts.

1.2. Evidence Retention

No specific provision

1.3. Compliance Monitoring and Assessment Processes

The Québec Reliability Standards Compliance Monitoring and Enforcement Program (QCMEP) of the Régie de l'énergie identifies the processes that will be used to evaluate data or information for the purpose of assessing performance or outcomes with the associated Reliability Standard.

1.4. Additional Compliance Information

No specific provision

Table of Compliance Elements

No specific provision

D. Regional Variances

No specific provision

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Appendix QC-BAL-005-1

Provisions specific to the standard BAL-005-1 applicable in Québec

E. Interpretations

No specific provision

F. Associated Documents

No specific provision

Version History

Version	Date	Action	Change Tracking
0	June 8, 2020	New appendix	New