

**NORMES DE FIABILITÉ DE LA NERC
(VERSION ANGLAISE)**

A. Introduction

1. **Title:** Real Power Balancing Control Performance
2. **Number:** BAL-001-2
3. **Purpose:** To control Interconnection frequency within defined limits.
4. **Applicability:**
 - 4.1. Balancing Authority
 - 4.1.1 A Balancing Authority receiving Overlap Regulation Service is not subject to Control Performance Standard 1 (CPS1) or Balancing Authority ACE Limit (BAAL) compliance evaluation.
 - 4.1.2 A Balancing Authority that is a member of a Regulation Reserve Sharing Group is the Responsible Entity only in periods during which the Balancing Authority is not in active status under the applicable agreement or the governing rules for the Regulation Reserve Sharing Group.
 - 4.2. Regulation Reserve Sharing Group
5. **(Proposed) Effective Date:**
 - 5.1. First day of the first calendar quarter that is twelve months beyond the date that this standard is approved by applicable regulatory authorities, or in those jurisdictions where regulatory approval is not required, the standard becomes effective the first day of the first calendar quarter that is twelve months beyond the date this standard is approved by the NERC Board of Trustees, or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

B. Requirements

- R1. The Responsible Entity shall operate such that the Control Performance Standard 1 (CPS1), calculated in accordance with Attachment 1, is greater than or equal to 100 percent for the applicable Interconnection in which it operates for each preceding 12 consecutive calendar month period, evaluated monthly. *[Violation Risk Factor: Medium] [Time Horizon: Real-time Operations]*
- R2. Each Balancing Authority shall operate such that its clock-minute average of Reporting ACE does not exceed its clock-minute Balancing Authority ACE Limit (BAAL) for more than 30 consecutive clock-minutes, calculated in accordance with Attachment 2, for the applicable Interconnection in which the Balancing Authority operates. *[Violation Risk Factor: Medium] [Time Horizon: Real-time Operations]*

C. Measures

- M1. The Responsible Entity shall provide evidence, upon request, such as dated calculation output from spreadsheets, system logs, software programs, or other evidence (either in hard copy or electronic format) to demonstrate compliance with Requirement R1.

- M2.** Each Balancing Authority shall provide evidence, upon request, such as dated calculation output from spreadsheets, system logs, software programs, or other evidence (either in hard copy or electronic format) to demonstrate compliance with Requirement R2.

D. 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. Data Retention

The following evidence retention periods 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 Responsible Entity shall retain data or evidence to show compliance for the current year, plus three previous calendar years unless, directed by its Compliance Enforcement Authority, to retain specific evidence for a longer period of time as part of an investigation. Data required for the calculation of Regulation Reserve Sharing Group Reporting Ace, or Reporting ACE, CPS1, and BAAL shall be retained in digital format at the same scan rate at which the Reporting ACE is calculated for the current year, plus three previous calendar years.

If a Responsible Entity is found noncompliant, it shall keep information related to the noncompliance until found compliant, or for the time period specified above, whichever is longer.

The Compliance Enforcement Authority shall keep the last audit records and all subsequent requested and submitted records.

1.3. Compliance Monitoring and Assessment Processes

Compliance Audits

Self-Certifications

Spot Checking

Compliance Investigation

Self-Reporting

Complaints

1.4. Additional Compliance Information

None.

2. Violation Severity Levels

R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	The CPS 1 value of the Responsible Entity, for the preceding 12 consecutive calendar month period, is less than 100 percent but greater than or equal to 95 percent for the applicable Interconnection.	The CPS 1 value of the Responsible Entity, for the preceding 12 consecutive calendar month period, is less than 95 percent, but greater than or equal to 90 percent for the applicable Interconnection.	The CPS 1 value of the Responsible Entity, for the preceding 12 consecutive calendar month period, is less than 90 percent, but greater than or equal to 85 percent for the applicable Interconnection.	The CPS 1 value of the Responsible Entity, for the preceding 12 consecutive calendar month period, is less than 85 percent for the applicable Interconnection.
R2	The Balancing Authority exceeded its clock-minute BAAL for more than 30 consecutive clock minutes but for 45 consecutive clock-minutes or less for the applicable Interconnection.	The Balancing Authority exceeded its clock-minute BAAL for greater than 45 consecutive clock minutes but for 60 consecutive clock-minutes or less for the applicable Interconnection.	The Balancing Authority exceeded its clock-minute BAAL for greater than 60 consecutive clock minutes but for 75 consecutive clock-minutes or less for the applicable Interconnection.	The Balancing Authority exceeded its clock-minute BAAL for greater than 75 consecutive clock-minutes for the applicable Interconnection.

E. Regional Variances

None.

F. Associated Documents

BAL-001-2, Real Power Balancing Control Performance Standard Background Document

Standard BAL-001-2 – Real Power Balancing Control Performance

Version History

Version	Date	Action	Change Tracking
0	February 8, 2005	BOT Approval	New
0	April 1, 2005	Effective Implementation Date	New
0	August 8, 2005	Removed “Proposed” from Effective Date	Errata
0	July 24, 2007	Corrected R3 to reference M1 and M2 instead of R1 and R2	Errata
0a	December 19, 2007	Added Appendix 2 – Interpretation of R1 approved by BOT on October 23, 2007	Revised
0a	January 16, 2008	In Section A.2., Added “a” to end of standard number In Section F, corrected automatic numbering from “2” to “1” and removed “approved” and added parenthesis to “(October 23, 2007)”	Errata
0	January 23, 2008	Reversed errata change from July 24, 2007	Errata
0.1a	October 29, 2008	Board approved errata changes; updated version number to “0.1a”	Errata
0.1a	May 13, 2009	Approved by FERC	
1		Inclusion of BAAL and WECC Variance and exclusion of CPS2	Revision
1	December 19, 2012	Adopted by NERC Board of Trustees	
2	August 15, 2013	Adopted by the NERC Board of Trustees	

Attachment 1
Equations Supporting Requirement R1 and Measure M1

CPS1 is calculated as follows:

$$CPS1 = (2 - CF) * 100\%$$

The frequency-related compliance factor (CF), is a ratio of the accumulating clock-minute compliance parameters for the most recent preceding 12 consecutive calendar months, divided by the square of the target frequency bound:

$$CF = \frac{CF_{12\text{-month}}}{(\epsilon_{1l})^2}$$

Where ϵ_{1l} is the constant derived from a targeted frequency bound for each Interconnection as follows:

- Eastern Interconnection $\epsilon_{1l} = 0.018$ Hz
- Western Interconnection $\epsilon_{1l} = 0.0228$ Hz
- ERCOT Interconnection $\epsilon_{1l} = 0.030$ Hz
- Quebec Interconnection $\epsilon_{1l} = 0.021$ Hz

The rating index $CF_{12\text{-month}}$ is derived from the most recent preceding 12 consecutive calendar months of data. The accumulating clock-minute compliance parameters are derived from the one-minute averages of Reporting ACE, Frequency Error, and Frequency Bias Settings.

A clock-minute average is the average of the reporting Balancing Authority's valid measured variable (i.e., for Reporting ACE (RACE) and for Frequency Error) for each sampling cycle during a given clock-minute.

$$\left(\frac{RACE}{-10B} \right)_{\text{clock-minute}} = \frac{\left(\frac{\sum RACE_{\text{sampling cycles in clock-minute}}}{n_{\text{sampling cycles in clock-minute}}} \right)}{-10B}$$

And,

$$\Delta F_{\text{clock-minute}} = \frac{\sum \Delta F_{\text{sampling cycles in clock-minute}}}{n_{\text{sampling cycles in clock-minute}}}$$

The Balancing Authority's clock-minute compliance factor ($CF_{\text{clock-minute}}$) calculation is:

$$CF_{\text{clock-minute}} = \left[\left(\frac{RACE}{-10B} \right)_{\text{clock-minute}} * \Delta F_{\text{clock-minute}} \right]$$

Normally, 60 clock-minute averages of the reporting Balancing Authority's Reporting ACE and Frequency Error will be used to compute the hourly average compliance factor ($CF_{\text{clock-hour}}$).

$$CF_{\text{clock-hour}} = \frac{\sum CF_{\text{clock-minute}}}{n_{\text{clock-minute samples in hour}}}$$

The reporting Balancing Authority shall be able to recalculate and store each of the respective clock-hour averages ($CF_{\text{clock-hour average-month}}$) and the data samples for each 24-hour period (one for each clock-hour; i.e., hour ending (HE) 0100, HE 0200, ..., HE 2400). To calculate the monthly compliance factor (CF_{month}):

$$CF_{\text{clock-hour average-month}} = \frac{\sum [(CF_{\text{clock-hour}})(n_{\text{one-minute samples in clock-hour}})]}{\sum [n_{\text{one-minute samples in clock-hour}}] \text{ days-in month}}$$

$$CF_{\text{month}} = \frac{\sum [(CF_{\text{clock-hour average-month}})(n_{\text{one-minute samples in clock-hour averages}})]}{\sum [n_{\text{one-minute samples in clock-hour averages}}] \text{ hours-in day}}$$

To calculate the 12-month compliance factor ($CF_{12 \text{ month}}$):

$$CF_{12\text{-month}} = \frac{\sum_{i=1}^{12} (CF_{\text{month-}i})(n_{(\text{one-minute samples in month-}i)})}{\sum_{i=1}^{12} [n_{(\text{one-minute samples in month-}i)}]}$$

To ensure that the average Reporting ACE and Frequency Error calculated for any one-minute interval is representative of that time interval, it is necessary that at least 50 percent of both the Reporting ACE and Frequency Error sample data during the one-minute interval is valid. 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.

A Balancing Authority providing Overlap Regulation Service to another Balancing Authority calculates its CPS1 performance after combining its Reporting ACE and Frequency Bias

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Settings with the Reporting ACE and Frequency Bias Settings of the Balancing Authority receiving the Regulation Service.

Attachment 2

Equations Supporting Requirement R2 and Measure M2

When actual frequency is equal to Scheduled Frequency, $BAAL_{High}$ and $BAAL_{Low}$ do not apply.

When actual frequency is less than Scheduled Frequency, $BAAL_{High}$ does not apply, and $BAAL_{Low}$ is calculated as:

$$BAAL_{Low} = (-10B_i \times (FTL_{Low} - F_S)) \times \frac{(FTL_{Low} - F_S)}{(F_A - F_S)}$$

When actual frequency is greater than Scheduled Frequency, $BAAL_{Low}$ does not apply and the $BAAL_{High}$ is calculated as:

$$BAAL_{High} = (-10B_i \times (FTL_{High} - F_S)) \times \frac{(FTL_{High} - F_S)}{(F_A - F_S)}$$

Where:

$BAAL_{Low}$ is the Low Balancing Authority ACE Limit (MW)

$BAAL_{High}$ is the High Balancing Authority ACE Limit (MW)

10 is a constant to convert the Frequency Bias Setting from MW/0.1 Hz to MW/Hz

B_i is the Frequency Bias Setting for a Balancing Authority (expressed as MW/0.1 Hz)

F_A is the measured frequency in Hz.

F_S is the scheduled frequency in Hz.

FTL_{Low} is the Low Frequency Trigger Limit (calculated as $F_S - 3\epsilon_{1_i}$ Hz)

FTL_{High} is the High Frequency Trigger Limit (calculated as $F_S + 3\epsilon_{1_i}$ Hz)

Where ϵ_{1_i} is the constant derived from a targeted frequency bound for each Interconnection as follows:

- Eastern Interconnection $\epsilon_{1_i} = 0.018$ Hz
- Western Interconnection $\epsilon_{1_i} = 0.0228$ Hz
- ERCOT Interconnection $\epsilon_{1_i} = 0.030$ Hz
- Quebec Interconnection $\epsilon_{1_i} = 0.021$ Hz

To ensure that the average actual frequency calculated for any one-minute interval is representative of that time interval, it is necessary that at least 50% of the actual frequency sample data during that one-minute interval is valid. If the recording of actual frequency is interrupted such that less than 50 percent of the one-minute sample period

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data is available or valid, then that one-minute interval is excluded from the BAAL calculation and the 30-minute clock would be reset to zero.

A Balancing Authority providing Overlap Regulation Service to another Balancing Authority calculates its BAAL performance after combining its Frequency Bias Setting with the Frequency Bias Setting of the Balancing Authority receiving Overlap Regulation Service.

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Appendix QC-BAL-001-2

Provisions specific to the standard BAL-001-2 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:** Real Power Balancing Control Performance
2. **Number:** BAL-001-2
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: February 3, 2017
 - 5.2. Adoption of the appendix by the Régie de l'énergie: February 3, 2017
 - 5.3. Effective date of the standard and its appendix in Québec: April 1, 2017

B. Requirements

No specific provision

C. Measures

No specific provision

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

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

1.2. Data Retention

No specific provision

1.3. Compliance Monitoring and Assessment Processes

No specific provision

1.4. Additional Compliance Information

No specific provision

2. Violation Severity Levels

No specific provision

E. Regional Variances

No specific provision

F. Associated Documents

No specific provision

Attachment 1

No specific provision

Attachment 2

No specific provision

Revision History

Revision	Adoption Date	Action	Change Tracking
0	February 3, 2017	New appendix	New

A. Introduction

1. **Title: Frequency Response and Frequency Bias Setting**
2. **Number: BAL-003-1.1**
3. **Purpose:** To require sufficient Frequency Response from the Balancing Authority (BA) to maintain Interconnection Frequency within predefined bounds by arresting frequency deviations and supporting frequency until the frequency is restored to its scheduled value. To provide consistent methods for measuring Frequency Response and determining the Frequency Bias Setting.
4. **Applicability:**
 - 4.1. Balancing Authority
 - 4.1.1. The Balancing Authority is the responsible entity unless the Balancing Authority is a member of a Frequency Response Sharing Group, in which case, the Frequency Response Sharing Group becomes the responsible entity.
 - 4.2. Frequency Response Sharing Group
5. **Effective Date:**
 - 5.1. In those jurisdictions where regulatory approval is required, Requirements R2, R3 and R4 of this standard shall become effective the first calendar day of the first calendar quarter 12 months after applicable regulatory approval. In those jurisdictions where no regulatory approval is required, Requirements R2, R3 and R4 of this standard shall become effective the first calendar day of the first calendar quarter 12 months after Board of Trustees adoption.
 - 5.2. In those jurisdictions where regulatory approval is required, Requirements R1 of this standard shall become effective the first calendar day of the first calendar quarter 24 months after applicable regulatory approval. In those jurisdictions where no regulatory approval is required, Requirements R1 of this standard shall become effective the first calendar day of the first calendar quarter 24 months after Board of Trustees adoption.

B. Requirements

- R1. Each Frequency Response Sharing Group (FRSG) or Balancing Authority that is not a member of a FRSG shall achieve an annual Frequency Response Measure (FRM) (as calculated and reported in accordance with Attachment A) that is equal to or more negative than its Frequency Response Obligation (FRO) to ensure that sufficient Frequency Response is provided by each FRSG or BA that is not a member of a FRSG to maintain Interconnection Frequency Response equal to or more negative than the Interconnection Frequency Response Obligation. [*Risk Factor: High*][*Time Horizon: Real-time Operations*]

- R2.** Each Balancing Authority that is a member of a multiple Balancing Authority Interconnection and is not receiving Overlap Regulation Service and uses a fixed Frequency Bias Setting shall implement the Frequency Bias Setting determined in accordance with Attachment A, as validated by the ERO, into its Area Control Error (ACE) calculation during the implementation period specified by the ERO and shall use this Frequency Bias Setting until directed to change by the ERO. [*Risk Factor: Medium*][*Time Horizon: Operations Planning*]
- R3.** Each Balancing Authority that is a member of a multiple Balancing Authority Interconnection and is not receiving Overlap Regulation Service and is utilizing a variable Frequency Bias Setting shall maintain a Frequency Bias Setting that is: [*Risk Factor: Medium*][*Time Horizon: Operations Planning*]
- 3.1** Less than zero at all times, and
- 3.2** Equal to or more negative than its Frequency Response Obligation when Frequency varies from 60 Hz by more than +/- 0.036 Hz.
- R4.** Each Balancing Authority that is performing Overlap Regulation Service shall modify its Frequency Bias Setting in its ACE calculation, in order to represent the Frequency Bias Setting for the combined Balancing Authority Area, to be equivalent to either: [*Risk Factor: Medium*][*Time Horizon: Operations Planning*]
- The sum of the Frequency Bias Settings as shown on FRS Form 1 and FRS Form 2 for the participating Balancing Authorities as validated by the ERO, or
 - The Frequency Bias Setting shown on FRS Form 1 and FRS Form 2 for the entirety of the participating Balancing Authorities' Areas.

C. Measures

- M1.** Each Frequency Response Sharing Group or Balancing Authority that is not a member of a Frequency Response Sharing Group shall have evidence such as dated data plus documented formula in either hardcopy or electronic format that it achieved an annual FRM (in accordance with the methods specified by the ERO in Attachment A with data from FRS Form 1 reported to the ERO as specified in Attachment A) that is equal to or more negative than its FRO to demonstrate compliance with Requirement R1.
- M2.** The Balancing Authority that is a member of a multiple Balancing Authority Interconnection and is not receiving Overlap Regulation Service shall have evidence such as a dated document in hard copy or electronic format showing the ERO validated Frequency Bias Setting was implemented into its ACE calculation within the implementation period specified or other evidence to demonstrate compliance with Requirement R2.
- M3.** The Balancing Authority that is a member of a multiple Balancing Authority Interconnection, is not receiving Overlap Regulation Service and is utilizing variable Frequency Bias shall have evidence such as a dated report in hard copy or electronic format showing the average clock-minute average Frequency Bias Setting was less than zero and during periods when the clock-minute average frequency was outside of

the range 59.964 Hz to 60.036 Hz was equal to or more negative than its Frequency Response Obligation to demonstrate compliance with Requirement R3.

- M4.** The Balancing Authority shall have evidence such as a dated operating log, database or list in hard copy or electronic format showing that when it performed Overlap Regulation Service, it modified its Frequency Bias Setting in its ACE calculation as specified in Requirement R4 to demonstrate compliance with Requirement R4.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

The Regional Entity is the Compliance Enforcement Authority except where the responsible entity works for the Regional Entity. Where the responsible entity works for the Regional Entity, the Regional Entity will establish an agreement with the ERO or another entity approved by the ERO and FERC (i.e. another Regional Entity), to be responsible for compliance enforcement.

1.2 Compliance Monitoring and Assessment Processes:

Compliance Audits

Self-Certifications

Spot Checking

Compliance Investigation

Self-Reporting

Complaints

1.3 Data Retention

The following evidence retention periods 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 Balancing Authority shall retain data or evidence to show compliance with Requirements R1, R2, R3 and R4, Measures M1, M2, M3 and M4 for the current year plus the previous three calendar years unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation.

The Frequency Response Sharing Group shall retain data or evidence to show compliance with Requirement R1 and Measure M1 for the current year plus the previous three calendar years unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation.

If a Balancing Authority or Frequency Response Sharing Group is found non-compliant, it shall keep information related to the non-compliance until found compliant or for the time period specified above, whichever is longer.

The Compliance Enforcement Authority shall keep the last audit records and all subsequent requested and submitted records.

1.4 Additional Compliance Information

For Interconnections that are also Balancing Authorities, Tie Line Bias control and flat frequency control are equivalent and either is acceptable.

2.0 Violation Severity Levels

R#	Lower VSL	Medium VSL	High VSL	Severe VSL
R1	The Balancing Authority's, or Frequency Response Sharing Group's, FRM was less negative than its FRO by more than 1% but by at most 30% or 15 MW/0.1 Hz, whichever one is the greater deviation from its FRO	The Balancing Authority's, or Frequency Response Sharing Group's, FRM was less negative than its FRO by more than 30% or by more than 15 MW/0.1 Hz, whichever is the greater deviation from its FRO	The Balancing Authority's, or Frequency Response Sharing Group's, FRM was less negative than its FRO by more than 1% but by at most 30% or 15 MW/0.1 Hz, whichever one is the greater deviation from its FRO	The Balancing Authority's, or Frequency Response Sharing Group's, FRM was less negative than its FRO by more than 30% or by more than 15 MW/0.1 Hz, whichever is the greater deviation from its FRO
R2	The Balancing Authority in a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a fixed Frequency Bias Setting failed to implement the validated Frequency Bias Setting value into its ACE calculation within the implementation period specified but did so within 5	The Balancing Authority in a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a fixed Frequency Bias Setting implemented the validated Frequency Bias Setting value into its ACE calculation in more than 5 calendar days but less than or equal to 15 calendar	The Balancing Authority in a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a fixed Frequency Bias Setting implemented the validated Frequency Bias Setting value into its ACE calculation in more than 15 calendar days but less than or equal to 25 calendar	The Balancing Authority in a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a fixed Frequency Bias Setting did not implement the validated Frequency Bias Setting value into its ACE calculation in more than 25 calendar days from the implementation

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	calendar days from the implementation period specified by the ERO.	days from the implementation period specified by the ERO.	days from the implementation period specified by the ERO.	period specified by the ERO.
R3	The Balancing Authority that is a member of a multiple Balancing Authority Interconnection and is not receiving Overlap Regulation Service and uses a variable Frequency Bias Setting average Frequency Bias Setting during periods when the clock-minute average frequency was outside of the range 59.964 Hz to 60.036 Hz was less negative than its Frequency Response Obligation by more than 1% but by at most 10%.	The Balancing Authority that is a member of a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a variable Frequency Bias Setting average Frequency Bias Setting during periods when the clock-minute average frequency was outside of the range 59.964 Hz to 60.036 Hz was less negative than its Frequency Response Obligation by more than 10% but by at most 20%.	The Balancing Authority that is a member of a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a variable Frequency Bias Setting average Frequency Bias Setting during periods when the clock-minute average frequency was outside of the range 59.964 Hz to 60.036 Hz was less negative than its Frequency Response Obligation by more than 20% but by at most 30%.	The Balancing Authority that is a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a variable Frequency Bias Setting average Frequency Bias Setting during periods when the clock-minute average frequency was outside of the range 59.964 Hz to 60.036 Hz was less negative than its Frequency Response obligation by more than 30%..
R4	The Balancing Authority incorrectly changed the Frequency Bias Setting value used in its ACE calculation when providing Overlap Regulation Services with combined footprint setting-error less than or equal to 10% of the validated or calculated value.	The Balancing Authority incorrectly changed the Frequency Bias Setting value used in its ACE calculation when providing Overlap Regulation Services with combined footprint setting-error more than 10% but less than or equal to 20% of the validated or calculated value.	The Balancing Authority incorrectly changed the Frequency Bias Setting value used in its ACE calculation when providing Overlap Regulation Services with combined footprint setting-error more than 20% but less than or equal to 30% of the validated or calculated value.	The Balancing Authority incorrectly changed the Frequency Bias Setting value used in its ACE calculation when providing Overlap Regulation Services with combined footprint setting-error more than 30% of the validated or calculated value. OR The Balancing Authority failed to change the

				Frequency Bias Setting value used in its ACE calculation when providing Overlap Regulation Services.
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E. Regional Variance

None

F. Associated Documents

Procedure for ERO Support of Frequency Response and Frequency Bias Setting Standard

FRS Form 1

FRS Form 2

Frequency Response Standard Background Document

G. Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	August 8, 2005	Removed "Proposed" from Effective Date	Errata
0	March 16, 2007	FERC Approval — Order 693	New
0a	December 19, 2007	Added Appendix 1 — Interpretation of R3 approved by BOT on October 23, 2007	Addition
0a	July 21, 2008	FERC Approval of Interpretation of R3	Addition
0b	February 12, 2008	Added Appendix 2 — Interpretation of R2, R2.2, R5, and R5.1 approved by BOT on February 12, 2008	Addition
0.1b	January 16, 2008	Section F: added “1.”; changed hyphen to “en dash.” Changed font style for “Appendix 1” to Arial; updated version number to “0.1b”	Errata

Standard BAL-003-1.1 — Frequency Response and Frequency Bias Setting

0.1b	October 29, 2008	BOT approved errata changes	Errata
0.1a	May 13, 2009	FERC Approved errata changes – version changed to 0.1a (Interpretation of R2, R2.2, R5, and R5.1 not yet approved)	Errata
0.1b	May 21, 2009	FERC Approved Interpretation of R2, R2.2, R5, and R5.1	Addition
1	February 7, 2013	Adopted by NERC Board of Trustees	Complete Revision under Project 2007-12
1	January 16, 2014	FERC Order issued approving BAL-003-1. (Order becomes effective for R2, R3, and R4 April 1, 2015. R1 becomes effective April 1, 2016.)	
1	May 7, 2014	NERC Board of Trustees adopted revisions to VRF and VSLs in Requirement R1.	
1	November 26, 2014	FERC issued a letter order approved VRF and VSL revisions to Requirement R1.	
1.1	August 25, 2015	Added numbering to Introduction section, corrected parts numbering for R3, and adjusted font within section M4.	Errata
1.1	November 13, 2015	FERC Letter Order approved errata to BAL-003-1.1. Docket RD15-6-000	Errata

Attachment A

BAL-003-1 Frequency Response & Frequency Bias Setting Standard

Supporting Document

Interconnection Frequency Response Obligation (IFRO)

The ERO, in consultation with regional representatives, has established a target contingency protection criterion for each Interconnection called the Interconnection Frequency Response Obligation (IFRO). The default IFRO listed in Table 1 is based on the resource contingency criteria (RCC), which is the largest category C (N-2) event identified except for the Eastern Interconnection, which uses the largest event in the last 10 years. A maximum delta frequency (MDF) is calculated by adjusting a starting frequency for each Interconnection by the following:

- Prevailing UFLS first step
- CC_{Adj} which is the adjustment for the differences between 1-second and sub-second Point C observations for frequency events. A positive value indicates that the sub-second C data is lower than the 1-second data
- CB_R which is the statistically determined ratio of the Point C to Value B
- BC'_{Adj} which is the statistically determined adjustment for the event nadir being below the Value B (Eastern Interconnection only) during primary frequency response withdrawal.

The IFRO for each Interconnection in Table 1 is then calculated by dividing the RCC MWs by 10 times the MDF. In the Eastern Interconnection there is an additional adjustment (BC'_{Adj}) for the event nadir being below the Value B due to primary frequency response withdrawal. This IFRO includes uncertainty adjustments at a 95 % confidence level. Detailed descriptions of the calculations used in Table 1 below are defined in the *Procedure for ERO Support of Frequency Response and Frequency Bias Setting Standard*.

Interconnection	Eastern	Western	ERCOT	HQ	Units
Starting Frequency (F_{Start})	59.974	59.976	59.963	59.972	Hz
Prevailing UFLS First Step	59.5*	59.5	59.3	58.5	Hz
Base Delta Frequency (DF_{Base})	0.474	0.476	0.663	1.472	Hz
CC_{ADJ}	0.007	0.004	0.012	N/A	Hz
Delta Frequency (DF_{CC})	0.467	0.472	0.651	1.472	Hz
CB_R	1.000	1.625	1.377	1.550	
Delta Frequency (DF_{CBR})	0.467	0.291	0.473	0.949	Hz
BC'_{ADJ}	0.018	N/A	N/A	N/A	Hz
Max. Delta Frequency (MDF)	0.449	0.291	0.473	0.949	
Resource Contingency Criteria (RCC)	4,500	2,740	2,750	1,700	MW
Credit for Load Resources (CLR)		300	1,400**		MW
IFRO	-1,002	-840	-286	-179	MW/0.1 Hz

Table 1: Interconnection Frequency Response Obligations

Standard BAL-003-1.1 — Frequency Response and Frequency Bias Setting

**The Eastern Interconnection UFLS set point listed is a compromise value set midway between the stable frequency minimum established in PRC-006-1 (59.3 Hz) and the local protection UFLS setting of 59.7 Hz used in Florida and Manitoba.*

***In the Base Obligation measure for ERCOT, 1400 MW (Load Resources triggered by Under Frequency Relays at 59.70 Hz) was reduced from its Resource Contingency Criteria level of 2750 MW to get 239 MW/0.1 Hz. This was reduced to accurately account for designed response from Load Resources within 30 cycles.*

An Interconnection may propose alternate IFRO protection criteria to the ERO by submitting a SAR with supporting technical documentation.

Balancing Authority Frequency Response Obligation (FRO) and Frequency Bias Setting

The ERO will manage the administrative procedure for annually assigning an FRO and implementation of the Frequency Bias Setting for each Balancing Authority. The annual timeline for all activities described in this section are shown below.

For a multiple Balancing Authority interconnection, the Interconnection Frequency Response Obligation shown in Table 1 is allocated based on the Balancing Authority annual load and annual generation. The FRO allocation will be based on the following method:

$$FRO_{BA} = IFRO \times \frac{\text{Annual Gen}_{BA} + \text{Annual Load}_{BA}}{\text{Annual Gen}_{Int} + \text{Annual Load}_{Int}}$$

Where:

- Annual Gen_{BA} is the total annual “Output of Generating Plants” within the Balancing Authority Area (BAA), on FERC Form 714, column c of Part II - Schedule 3.
- Annual Load_{BA} is total annual Load within the BAA, on FERC Form 714, column e of Part II - Schedule 3.
- Annual Gen_{Int} is the sum of all Annual Gen_{BA} values reported in that interconnection.
- Annual Load_{Int} is the sum of all Annual Load_{BA} values reported in that interconnection.

The data used for this calculation is from the most recently filed Form 714. As an example, a report to NERC in January 2013 would use the Form 714 data filed in 2012, which utilized data from 2011.

Balancing Authorities that are not FERC jurisdictional should use the Form 714 Instructions to assemble and submit equivalent data to the ERO for use in the FRO Allocation process.

Balancing Authorities that elect to form a FRSG will calculate a FRSG FRO by adding together the individual BA FRO’s.

Balancing Authorities that elect to form a FRSG as a means to jointly meet the FRO will calculate their FRM performance one of two ways:

- Calculate a group NI_A and measure the group response to all events in the reporting year on a single FRS Form 1, or
- Jointly submit the individual BAs’ Form 1s, with a summary spreadsheet that contains the sum of each participant’s individual event performance.

Standard BAL-003-1.1 — Frequency Response and Frequency Bias Setting

Balancing Authorities that merge or that transfer load or generation are encouraged to notify the ERO of the change in footprint and corresponding changes in allocation such that the net obligation to the Interconnection remains the same and so that CPS limits can be adjusted.

Each Balancing Authority reports its previous year's Frequency Response Measure (FRM), Frequency Bias Setting and Frequency Bias type (fixed or variable) to the ERO each year to allow the ERO to validate the revised Frequency Bias Settings on FRS Form 1. If the ERO posts the official list of events after the date specified in the timeline below, Balancing Authorities will be given 30 days from the date the ERO posts the official list of events to submit their FRS Form 1.

Once the ERO reviews the data submitted in FRS Form 1 and FRS Form 2 for all Balancing Authorities, the ERO will use FRS Form 1 data to post the following information for each Balancing Authority for the upcoming year:

- Frequency Bias Setting
- Frequency Response Obligation (FRO)

Once the data listed above is fully posted, the ERO will announce the three-day implementation period for changing the Frequency Bias Setting if it differs from that shown in the timeline below.

A BA using a fixed Frequency Bias Setting sets its Frequency Bias Setting to the greater of (in absolute value):

- Any number the BA chooses between 100% and 125% of its Frequency Response Measure as calculated on FRS Form 1
- Interconnection Minimum as determined by the ERO

For purposes of calculating the minimum Frequency Bias Setting, a Balancing Authority participating in a Frequency Response Sharing Group will need to calculate its stand-alone Frequency Response Measure using FRS Form 1 and FRS Form 2 to determine its minimum Frequency Bias Setting.

A Balancing Authority providing Overlap Regulation will report the historic peak demand and generation of its combined BAs' areas on FRS Form 1 as described in Requirement R4.

There are occasions when changes are needed to Bias Settings outside of the normal schedule. Examples are footprint changes between Balancing Authorities and major changes in load or generation or the formation of new Balancing Authorities. In such cases the changing Balancing Authorities will work with their Regions, NERC and the Resources Subcommittee to confirm appropriate changes to Bias Settings, FRO, CPS limits and Inadvertent Interchange balances.

If there is no net change to the Interconnection total Bias, the Balancing Authorities involved will agree on a date to implement their respective change in Bias Settings. The Balancing Authorities and ERO will also agree to the allocation of FRO such that the sum remains the same.

If there is a net change to the Interconnection total Bias, this will cause a change in CPS2 limits and FRO for other Balancing Authorities in the Interconnection. In this case, the ERO will notify the impacted Balancing Authorities of their respective changes and provide an implementation window for making the Bias Setting changes.

Frequency Response Measure (FRM)

The Balancing Authority will calculate its FRM from Single Event Frequency Response Data (SEFRD), defined as: "the data from an individual event from a Balancing Authority that is used to calculate its

Standard BAL-003-1.1 — Frequency Response and Frequency Bias Setting

Frequency Response, expressed in MW/0.1Hz” as calculated on FRS Form 2 for each event shown on FRS Form 1. The events in FRS Form 1 are selected by the ERO using the *Procedure for ERO Support of Frequency Response and Frequency Bias Setting Standard*. The SEFRD for a typical Balancing Authority in an Interconnection with more than one Balancing Authority is basically the change in its Net Actual Interchange on its tie lines with its adjacent Balancing Authorities divided by the change in Interconnection frequency. (Some Balancing Authorities may choose to apply corrections to their Net Actual Interchange (NA_i) values to account for factors such as nonconforming loads. FRS Form 1 and 2 shows the types of adjustments that are allowed. Note that with the exception of the Contingent BA column, any adjustments made must be made for all events in an evaluation year. As an example, if an entity has non-conforming loads and makes an adjustment for one event, all events must show the non-conforming load, even if the non-conforming load does not impact the calculation. This ensures that the reports are not utilizing the adjustments only when they are favorable to the BA.) The ERO will use a standardized sampling interval of approximately 16 seconds before the event up to the time of the event for the pre-event NA_i and frequency (A values) and approximately 20 to 52 seconds after the event for the post-event NA_i (B values) in the computation of SEFRD values, dependent on the data scan rate of the Balancing Authority’s Energy Management System (EMS).

All events listed on FRS Form 1 need to be included in the annual submission of FRS Forms 1 and 2. The only time a Balancing Authority should exclude an event is if its tie-line data or its Frequency data is corrupt or its EMS was unavailable. FRS Form 2 has instructions on how to correct the BA’s data if the given event is internal to the BA or if other authorized adjustments are used.

Assuming data entry is correct FRS Form 1 will automatically calculate the Balancing Authority’s FRM for the past 12 months as the median of the SEFRD values. A Balancing Authority electing to report as an FRSG or a provider of Overlap Regulation Service will provide an FRS Form 1 for the aggregate of its participants.

To allow Balancing authorities to plan its operations, events with a “Point C” that cause the Interconnection Frequency to be lower than that shown in Table 1 above (for example, an event in the Eastern Interconnection that causes the Interconnection Frequency to go to 59.4 Hz) or higher than an equal change in frequency going above 60 Hz may be included in the list of events for that interconnection. However, the calculation of the BA response to such an event will be adjusted to show a frequency change only to the Target Minimum Frequency shown in Table 1 above (in the previous example this adjustment would cause Frequency to be shown as 59.5 Hz rather than 59.4 HZ) or a high frequency amount of an equal quantity. Should such an event happen, the ERO will provide additional guidance.

Timeline for Balancing Authority Frequency Response and Frequency Bias Setting Activities

Described below is the timeline for the exchange of information between the ERO and Balancing Authorities (BA) to:

- Facilitate the assignment of BA Frequency Response Obligations (FRO)
- Calculate BA Frequency Response Measures (FRM)
- Determine BA Frequency Bias Settings (FBS)

Standard BAL-003-1.1 — Frequency Response and Frequency Bias Setting

Target Date	Activity
April 30	The ERO reviews candidate frequency events and selects frequency events for the first quarter (December to February).
May 10	Form1 is posted with selected events from the first quarter for BA usage by the ERO.
May 15	The BAs receive a request to provide load and generation data as described in Attachment A to support FRO assignments and determining minimum FBS for BAs.
July 15	The BAs provide load and generation data as described in Attachment A to the ERO.
July 30	The ERO reviews candidate frequency events and selects frequency events for the second quarter (March to May).
August 10	Form1 is posted with selected events from the first and second quarters for BA usage by the ERO.
October 30	The ERO reviews candidate frequency events and selects frequency events for the third quarter (June to August)
November 10	Form1 is posted with selected events from the first, second, and third quarters for BA usage by the ERO.
November 20	If necessary, the ERO provides any updates to the necessary Frequency Response.
November 20	The ERO provides the fractional responsibility of each BA for the Interconnection's FRO and Minimum FBS to the BAs.
January 30	The ERO reviews candidate frequency events and selects frequency events for the fourth quarter (September to November).
2 nd business day in February	Form1 is posted with all selected events for the year for BA usage by the ERO.
February 10	The ERO assigns FRO values to the BAs for the upcoming year.
March 7	BAs complete their frequency response sampling for all four quarters and their FBS calculation, returning the results to the ERO.
March 24	The ERO validates FBS values, computes the sum of all FBS values for each Interconnection, and determines L10 values for the CPS 2 criterion for each BA as applicable.
Any time during first 3 business days of April (unless specified otherwise by the ERO)	The BA implements any changes to their FBS and L10 value.

*** FOR INFORMATIONAL PURPOSES ONLY ***

Enforcement Dates: Standard BAL-003-1.1 — Frequency Response and Frequency Bias Setting

United States

Standard	Requirement	Enforcement Date	Inactive Date
BAL-003-1.1	R1.	04/01/2016	
BAL-003-1.1	R2.	11/13/2015	
BAL-003-1.1	R3.	11/13/2015	
BAL-003-1.1	3.1.	11/13/2015	
BAL-003-1.1	3.2.	11/13/2015	
BAL-003-1.1	R4.	11/13/2015	

Standard BAL-003-1.1 — Frequency Response and Frequency Bias Setting

Appendix QC-BAL-003-1.1

Provisions specific to the standard BAL-003-1.1 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:** Frequency Response and Frequency Bias Setting
2. **Number:** BAL-003-1.1
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: February 3, 2017
 - 5.2. Adoption of the appendix by the Régie de l'énergie: February 3, 2017
 - 5.3. Effective date of the standard and its appendix in Québec: April 1, 2017

B. Requirements

Specific provision for requirement R2 :

In Québec, a Frequency Bias Setting becomes mandatory only after an approval by the Régie. Each Balancing Authority that receives a request to modify a Frequency Bias Setting must submit the request to the Reliability Coordinator who will file it for approval with the Régie.

C. Measures

No specific provision

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

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

1.2. Compliance Monitoring and Enforcement Processes

No specific provision

1.3. Data Retention

No specific provision

1.4. Additional Compliance Information

No specific provision

2. Violation Severity Levels

No specific provision

E. Regional Variance

No specific provision

Standard BAL-003-1.1 — Frequency Response and Frequency Bias Setting

Appendix QC-BAL-003-1.1

Provisions specific to the standard BAL-003-1.1 applicable in Québec

F. Associated Documents

No specific provision

Attachment A

No specific provision

Revision History

Revision	Adoption Date	Action	Change Tracking
0	February 3, 2017	New appendix	New

A. Introduction

1. **Title:** **Dynamic Transfers**
2. **Number:** INT-004-3
3. **Purpose:** To ensure Dynamic Schedules and Pseudo-Ties are communicated and accounted for appropriately in congestion management procedures.
4. **Applicability:**
 - 4.1. Balancing Authority
 - 4.2. Purchasing-Selling Entity
5. **Effective Date:**

First day of the second calendar quarter after the date that this standard is approved by an applicable governmental authority or as otherwise provided for in a jurisdiction where approval by an applicable governmental authority is required for a standard to go into effect. Where approval by an applicable governmental authority is not required, the standard shall become effective on the first day of the first calendar quarter that is six months after the date this standard is adopted by the NERC Board of Trustees or as otherwise provided for in that jurisdiction.

6. **Background:**

This standard was revised as part of the Project 2008-12 Coordinate Interchange Standards effort to ensure the transparency of Dynamic Transfers.

- R1 is modified from Requirement R1 of INT-001-3 and transferred into INT-004-3. The revised requirement now includes Pseudo-Ties.
- R2 is modified from INT-004-2 to separate the triggers for the review of the Dynamic Transfer and when a modification is required for the Dynamic Transfer.
- R1 and R2 now also apply to Pseudo-Ties. The requirements to create an RFI for Pseudo-Ties ensure that all entities involved are aware of the Dynamic Transfer and agree that the various responsibilities associated with the dynamic transfer have been agreed upon.
- R3 is created to ensure that coordination occurs between all entities involved prior to the initial implementation of a Pseudo-Tie.
- The Guidelines and Technical Basis section was added to provide a summary of the considerations that must be given when establishing any Dynamic Transfer.

B. Requirements and Measures

- R1.** Each Purchasing-Selling Entity that secures energy to serve Load via a Dynamic Schedule or Pseudo-Tie shall ensure that a Request for Interchange is submitted as an on-time¹ Arranged Interchange to the Sink Balancing Authority for that Dynamic Schedule or Pseudo-Tie, unless the information about the Pseudo-Tie is included in congestion management procedure(s) via an alternate method. [*Violation Risk Factor: Lower*] [*Time Horizon: Operations Planning, Same-day Operations*]
- M1.** The Purchasing-Selling Entity shall have evidence (such as dated and time-stamped electronic logs or other evidence) that a Request for Interchange was submitted for Dynamic Schedules and Pseudo-Ties as an on-time Arranged Interchange to the Sink Balancing Authority for the Dynamic Schedule or Pseudo-Tie. For Pseudo-Ties included in congestion management procedure(s) via an alternate method, the Purchasing-Selling Entity shall have evidence such as Interchange Distribution Calculator model data or written / electronic agreement with a Balancing Authority to include the Pseudo-Tie in the congestion management procedure(s). (R1)
- R2.** The Purchasing-Selling Entity that submits a Request for Interchange in accordance with Requirement R1 shall ensure the Confirmed Interchange associated with that Dynamic Schedule or Pseudo-Tie is updated for future hours in order to support congestion management procedures if any one of the following occurs: [*Violation Risk Factor: Lower*] [*Time Horizon: Operations Planning, Same Day Operations, Real Time Operations*]
- 2.1.** For Confirmed Interchange greater than 250 MW for the last hour, the actual hourly integrated energy deviates from the Confirmed Interchange by more than 10% for that hour and that deviation is expected to persist.
- 2.2.** For Confirmed Interchange less than or equal to 250 MW for the last hour, the actual hourly integrated energy deviates from the Confirmed Interchange by more than 25 MW for that hour and that deviation is expected to persist.
- 2.3.** The Purchasing-Selling Entity receives notification from a Reliability Coordinator or Transmission Operator to update the Confirmed Interchange.
- M2.** The Purchasing-Selling Entity shall have evidence (such as dated and time-stamped electronic logs, reliability studies or other evidence) that it updated its Confirmed Interchange Requests for Interchange when the deviation met the criteria in Requirement R2, Parts 2.1- 2.3. (R2)
- R3.** Each Balancing Authority shall only implement or operate a Pseudo-Tie that is included in the NAESB Electric Industry Registry publication in order to support

¹ Please refer to the timing tables of INT-006-4.

congestion management procedures. [*Violation Risk Factor: Lower*] [*Time Horizon: Operations Planning*]

- M3.** The Balancing Authority shall have evidence (such as dated and time-stamped electronic logs or other evidence) that it only implemented or operated a Pseudo-Tie that is included in the NAESB Electric Industry Registry publication. (R3)

C. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

Regional Entity

1.2. Evidence Retention

The Purchasing-Selling Entity shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority (CEA) to retain specific evidence for a longer period of time as part of an investigation. For instances where the evidence retention period specified below is shorter than the time since the last audit, the CEA may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

- The Purchasing-Selling Entity shall maintain evidence to show compliance with R1 and R2 for the most recent 3 calendar months plus the current month.
- The Balancing Authority shall maintain evidence to show compliance with R3 for the most recent 3 calendar months plus the current month.

If a Purchasing-Selling Entity or Balancing Authority is found non-compliant, it shall keep information related to the non-compliance until found compliant.

The Compliance Enforcement Authority shall keep the last audit records and all requested and submitted subsequent audit records.

1.3. Compliance Monitoring and Assessment Processes:

Compliance Audit

Self-Certification

Spot Check

Compliance Investigation

Self-Reporting

Complaint

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	Operations Planning, Same Day Operations	Lower	N/A	N/A	N/A	The Purchasing-Selling Entity secured energy to serve Load via a Dynamic Schedule or Pseudo-Tie, but did not ensure that a Request for Interchange was submitted as on-time Arranged Interchange to the Sink Balancing Authority, and did not include information about the Pseudo-Tie in congestion management procedure(s) via an alternate method.
R2	Operations Planning, Same Day Operations	Lower	N/A	N/A	N/A	A deviation met or exceeded the criteria in Requirement R2 Parts 2.1- 2.3 and was expected to persist, but the Purchasing-Selling Entity did not ensure that the Confirmed Interchange associated with that Dynamic Schedule or Pseudo-Tie was updated for future hours.

Standard INT-004-3 — Dynamic Transfers

R3	Operations Planning	Lower	N/A	N/A	N/A	The Balancing Authority implemented or operated a Pseudo-Tie that was not included in the NAESB Electric Industry Registry publication.
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D. Regional Variances

None.

E. Interpretations

None.

F. Associated Documents

The complete Dynamic Transfer Reference Guidelines document is included in the NERC Operating Manual at:
http://www.nerc.com/files/opman_3_2012.pdf.

Application Guidelines

Guidelines and Technical Basis

This standard requires the submittal of an Arranged Interchange for both Dynamic Schedules and Pseudo-Ties. In general, Pseudo-Ties are accounted for by all parties as actual Interchange and Dynamic Schedules are accounted for as Scheduled Interchange. The obligations of the entities involved in each type of Dynamic Transfer are dependent on the type of Dynamic Transfer selected. These guidelines provide items that should be considered when determining which type of Dynamic Transfer should be utilized for a given situation.

General Considerations When Establishing and Implementing Dynamic Transfers:

- During the setup of a Dynamic Transfer, a common source of data is established. During that setup, plans should also be established for what will occur when that normal source of data is not available.
- Following any reliability adjustments to a Dynamic Schedule, each Balancing Authority shall use agreed upon values that ensure any limit established by the reliability adjustment is not exceeded.
 - Since the Net Scheduled Interchange term used in its control ACE (or alternate control process) is not the value from the Confirmed Interchange, but from some common source, each Balancing Authority must be prepared to take action to control the data feeding that common source.
- Each Attaining Balancing Authority shall incorporate resources attained via Dynamic Schedules or Pseudo-Ties into its processes for establishing Contingency Reserve requirements, as well as for the purposes of measuring Contingency Reserve response.

The table below describes and outlines the obligations associated with the typical historical application of Pseudo-Ties and Dynamic Schedules related to many of the topics addressed above. In practical application, however, both the Native Balancing Authority and Attaining Balancing Authority can agree to exchange the obligations from that shown in the table below.

BA's Obligation/modeling	Pseudo-Tie	Dynamic Schedule
Generation planning and reporting and outage coordination	Attaining BA	Typically, Native BA but may be re-assigned (wholly or a portion) to the Attaining BA
CPS and DCS recovery /reporting and RMS	Attaining BA	Attaining and/or Native BA (depending on agreements)
Operational responsibility	Attaining BA	Native BA
BA services FERC OATT Schedules 3–6 and other ancillary services	Attaining BA	Native BA

Application Guidelines

as required		
Ancillary services associated with transmission FERC OATT Schedules 1–2 and other ancillary services as required	Attaining/Native BA (as agreed)	Attaining/Native BA (as agreed)
ACE Frequency Bias calc/setting	The Native and Attaining BA(s) shall adjust the control logic that determines their Frequency Bias Setting to account for the Frequency Bias characteristics of the loads and/or resources being assigned between BA(s) by the Pseudo-Tie	The Attaining BA should include the Load from its Dynamic Schedule as a part of its forecast load to set Frequency Bias requirement. The Native BA should change its Load used to set Frequency Bias setting by the same amount in the opposite direction.
Load forecasting and reporting	Attaining BA	Native BA
Manual load shedding during an Energy Emergency Alert (EEA)	Attaining BA	Native BA

General Considerations for Curtailments of Dynamic Transfers

The unique handling of curtailments of Dynamic Transfers is described in NERC’s Dynamic Transfer Reference Guidelines, Version 2.

For Dynamic Schedules:

If transmission service between the Source and Sink BA(s) is curtailed then the allowable range of the magnitude of the schedules between them, including Dynamic Schedules, may have to be curtailed accordingly. All BAs involved in a Dynamic Schedule curtailment must also adjust the Dynamic Schedule Signal input to their respective ACE equations to a common value. The value used must be equal to or less than the curtailed Dynamic Schedule tag. Since Dynamic Schedule tags are generally not used as Dynamic Transfer Signals for ACE, this adjustment may require manual entry or other revision to a telemetered or calculated value used by the ACE.

For Pseudo-Ties:

If transmission service between the Native and Attaining BA(s) is curtailed, then the allowable range of the magnitude of the Pseudo-Ties between them must be limited accordingly to these constraints.

Both sections above describe when Curtailments (typically communicated through e-Tags) of Dynamic Transfers require additional action by Balancing Authorities to ensure compliance with the Curtailment.

Application Guidelines

Curtailments of most tagged transactions are implemented through a change in the Source and Sink Balancing Authorities' ACE equations. However, changes, including Curtailments, in Dynamic Schedule and Pseudo-Tie tagged transactions do not change the Source and Sink Balancing Authorities' ACE equations directly. These types of transactions impact the ACE equation via the Dynamic Transfer Signal, not by the e-Tag. As such, Balancing Authorities need to develop additional automation or perform additional manual actions to reduce the Dynamic Transfer Signal in order to comply with the curtailment.

Rationale:

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

Rationale R1:

This Requirement is intended to ensure that an RFI is submitted for a Dynamic Schedule or Pseudo-Tie. If a forecast is available, it is expected that the forecast will be used to indicate the energy profile on the RFI. If no forecast is available, the energy profile cannot exceed the maximum expected transaction MW amount.

Rationale R2:

This requirement does not preclude tags from being updated at any time. The requirement specifies conditions under which the tag must be updated.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
1	May 2, 2006	Adopted by the NERC Board of Trustees	Revised
2	October 9, 2007	Adopted by the NERC Board of Trustees (Removal of WECC Waiver)	Revised
2	July 21, 2008	Approved by FERC	Revised
3	February 6, 2014	Adopted by the NERC Board of Trustees	Revised
3	June 30, 2014	FERC letter order issued approving INT-004-3	

Standard INT-004-3 — Dynamic Transfers
Appendix QC-INT-004-3
Provisions specific to the standard INT-004-3 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:** Dynamic Transfers
- 2. Number:** INT-004-3
- 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: Month xx 201x
 - 5.2.** Adoption of the appendix by the Régie de l'énergie: Month xx 201x
 - 5.3.** Effective date of the standard and its appendix in Québec: Month xx 201x

B. Requirements and measures

R1. No specific provision.

R2. No specific provision.

R3 Each Balancing Authority shall only implement or operate a Pseudo-Tie after it has requested that the Pseudo-Tie be identified in the Register of Entities subject to Reliability Standards in Québec. If the Pseudo-Tie is not entirely in the Québec jurisdiction, it must also be included in the NAESB Electric Industry Registry publication in order to support congestion management procedures. [Violation Risk Factor: Lower] [Time Horizon:Operations Planning]

M3: The Balancing Authority shall have evidence (such as dated and time-stamped electronic logs or other evidence) that it only implemented or operated a Pseudo-Tie that is included in the Register of Entities subject to Reliability Standard in Quebec. If the Pseudo-Tie is not entirely in the Quebec jurisdiction it must also be included in the NAESB Electric Industry Registry publication in order to support congestion management procedures. [Violation Risk Factor: Lower] [Time Horizon:Operations Planning]

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

No specific provision

Standard INT-004-3 — Dynamic Transfers

Appendix QC-INT-004-3

Provisions specific to the standard INT-004-3 applicable in Québec

1.4. Additional Compliance Information

No specific provision

2. Table of Compliance Elements

R#	Time Horizon	VRE	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
<u>R3</u>	<u>Operations Planning</u>	<u>Lower</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>The Balancing Authority implemented or operated a Pseudo-Tie that was not identified in the Register of Entities subject to Reliability Standards in Québec or, if applicable, was not included in the NAESB Electric Industry Registry publication.</u>

Mis en forme : Français (Canada)

Mis en forme : Anglais (Canada)

Mis en forme : Anglais (Canada)

~~No specific provision~~

D. Regional Variances

No specific provision

E. Interpretations

No specific provision

F. Associated Documents

No specific provision

Guidelines and Technical Basis

No specific provision

Rationale

No specific provision

Version History

Revision	Adoption Date	Action	Change Tracking
0	Xx month 201x	New appendix	New

A. Introduction

1. **Title:** Evaluation of Interchange Transactions
2. **Number:** INT-006-4
3. **Purpose:** To ensure that responsible entities conduct a reliability assessment of each Arranged Interchange before it is implemented.
4. **Applicability:**
 - 4.1. Balancing Authority
 - 4.2. Transmission Service Provider
5. **Effective Date:**

First day of the second calendar quarter after the date that this standard is approved by an applicable governmental authority or as otherwise provided for in a jurisdiction where approval by an applicable governmental authority is required for a standard to go into effect. Where approval by an applicable governmental authority is not required, the standard shall become effective on the first day of the first calendar quarter that is six months after the date this standard is adopted by the NERC Board of Trustees or as otherwise provided for in that jurisdiction.

6. **Background:**

This standard was revised as part of the Project 2008-12 Coordinate Interchange Standards effort to combine requirements from the various INT standards into a fewer number of standards and in a logical sequence. The focus of INT-006-4 continues to be the reliability assessment of Interchange Transactions prior to their implementation.

The content of INT-006-4 has been revised and expanded in the following manner:

- R1 was created by revising R1 from INT-006-3. This requirement ensures that Balancing Authorities involved in an Arranged Interchange actively approve or deny the transition to Confirmed Interchange. The requirement also lists criteria to determine when a Balancing Authority must deny the transition.
- R2 was created by revising R1 from INT-006-3. This requirement ensures that Transmission Service Providers involved in an Arranged Interchange actively approve or deny the transition to Confirmed Interchange. The requirement also lists criteria to determine when a Transmission Service Provider must deny the transition.
- R3 was created by revising R1 from INT-006-3. This requirement ensures that Balancing Authorities who receive a Reliability Adjustment Arranged Interchange actively approve or deny the transition to Confirmed Interchange.
- R4 was created by moving and revising R1 from INT-007-1, which has been retired as part of the project. This requirement lists criteria for when a Sink Balancing Authority shall not transition an Arranged Interchange to Confirmed Interchange.

- R5 was created by moving and revising R1 from INT-008-3, which has been retired as part of the project. This requirement lists the entities to which a Sink Balancing Authority must distribute notifications of whether an Arranged Interchange has transitioned to Confirmed Interchange.
- Attachment 1 timing tables for WECC were modified to address scheduling on a 15 minute basis.

Requirements and Measures

- R1.** Each Balancing Authority shall approve or deny each on-time Arranged Interchange or emergency Arranged Interchange that it receives and shall do so prior to the expiration of the time period defined in Attachment 1, Column B. *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning, Same-day Operations, Real-time Operations]*
- 1.1.** Each Source and Sink Balancing Authority shall deny the Arranged Interchange or curtail Confirmed Interchange if it does not expect to be capable of supporting the magnitude of the Interchange, including ramping, throughout the duration of the Arranged Interchange.
- 1.2.** Each Balancing Authority shall deny the Arranged Interchange or curtail Confirmed Interchange if the Scheduling Path (proper connectivity of Adjacent Balancing Authorities) between it and its Adjacent Balancing Authorities is invalid.
- M1.** Each Balancing Authority shall have evidence (such as dated and time stamped electronic logs, or other evidence) that it responded to each request for its approval to transition an Arranged Interchange to a Confirmed Interchange within the time defined in Attachment 1, Column B. (R1)
- R2.** Each Transmission Service Provider shall approve or deny each on-time Arranged Interchange or emergency Arranged Interchange that it receives and shall do so prior to the expiration of the time period defined in Attachment 1, Column B. *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning, Same-day Operations, Real-time Operations]*
- 2.1.** Each Transmission Service Provider shall deny the Arranged Interchange or curtail Confirmed Interchange if the transmission path (proper connectivity of adjacent Transmission Service Providers) between it and its adjacent Transmission Service Providers is invalid.
- M2.** Each Transmission Service Provider shall have evidence (such as dated and time stamped electronic logs, studies, or other evidence) that it responded to each Arranged Interchange or emergency Arranged Interchange within the time defined in Attachment 1, Column B. If the transmission path between the Transmission Service Provider and its adjacent Transmission Service Providers is invalid, each Transmission Service Provider shall have evidence (such as dated and time stamped electronic logs, studies, or other evidence) that it denied the Arranged Interchange or curtailed confirmed Interchange. (R2)

- R3.** The Source Balancing Authority and the Sink Balancing Authority receiving a Reliability Adjustment Arranged Interchange shall approve or deny it prior to the expiration of the time period defined in Attachment 1, Column B. *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning, Same-day Operations, Real-time Operations]*
- 3.1.** If a Balancing Authority denies a Reliability Adjustment Arranged Interchange, the Balancing Authority must communicate that fact to its Reliability Coordinator no more than 10 minutes after the denial.
- M3.** Each Balancing Authority shall have evidence (such as dated and time stamped electronic logs, studies, or other evidence) that when responding to a Reliability Adjustment Arranged Interchange, it either approved the request or denied the request and, if applicable, communicated denial to the Reliability Coordinator no more than 10 minutes after the denial. (R3)
- R4.** Each Sink Balancing Authority shall confirm that none of the following conditions exist prior to transitioning an Arranged Interchange to Confirmed Interchange: *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning, Same-day Operations, Real-time Operations]*
- It is a Reliability Adjustment Arranged Interchange, the time period specified in Attachment 1, Column B has elapsed, and the Source Balancing Authority or the Sink Balancing Authority associated with the Arranged Interchange has not communicated its approval of the transition.
 - It is not a Reliability Adjustment Arranged Interchange, the time period specified in Attachment 1, Column B, has elapsed, and not all Balancing Authorities and Transmission Service Providers associated with the Arranged Interchange have communicated their approval of the transition.
 - It is not a Reliability Adjustment Arranged Interchange, the time period specified in Attachment 1, Column B, has elapsed, and any entity associated with the Arranged Interchange has communicated its denial of the transition.
- M4.** Each Sink Balancing Authority shall have evidence (such as dated and time stamped electronic logs, studies, or other evidence) that, under the conditions in R4, it did not transition an Arranged Interchange to Confirmed Interchange. (R4)
- R5.** For each Arranged Interchange that is transitioned to Confirmed Interchange, the Sink Balancing Authority shall notify the following entities of the on-time Confirmed Interchange such that the notification is delivered in time to be incorporated into scheduling systems prior to ramp start as specified in Attachment 1, Column D: *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning, Same-day Operations, Real-time Operations]*
- 5.1.** The Source Balancing Authority,
- 5.2.** Each Intermediate Balancing Authority,

- 5.3. Each Reliability Coordinator associated with each Balancing Authority included in the Arranged Interchange,
 - 5.4. Each Transmission Service Provider included in the Arranged Interchange, and
 - 5.5. Each Purchasing Selling Entity included in the Arranged Interchange.
- M5.** Each Sink Balancing Authority shall have evidence (such as dated and time stamped electronic logs, or other evidence) that it notified the entities of the on-time Confirmed Interchange such that the notification was delivered in time to be incorporated into scheduling systems prior to ramp start as specified in Attachment 1, Column D. (R5)

B. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

Regional Entity

1.2. Evidence Retention

The Balancing Authority and Transmission Service Provider shall each 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. For instances where the evidence retention period specified below is shorter than the time since the last audit, the CEA may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

- The Balancing Authority shall maintain evidence to show compliance with R1, R3, R4, and R5 for the most recent three calendar months plus the current month.
- The Transmission Service Provider shall maintain evidence to show compliance with R2 for the most recent three calendar months plus the current month.
- If a Balancing Authority or Transmission Service Provider is found non-compliant, it shall keep information related to the non-compliance until found compliant.

The Compliance Enforcement Authority shall keep the last audit records and all requested and submitted subsequent audit records.

1.3. Compliance Monitoring and Assessment Processes:

Compliance Audits

Self-Certifications

Spot Checking

Compliance Investigations

Self-Reporting

Complaint

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	Operations Planning, Same-day Operations, Real-time Operations	Lower	N/A	N/A	N/A	<p>The Balancing Authority receiving an on-time Arranged Interchange or an emergency Arranged Interchange did not approve or deny it prior to the expiration of the time period defined in Attachment 1, Column B.</p> <p>OR</p> <p>The Source or Sink Balancing Authority did not expect to be capable of supporting the magnitude of the Interchange, including ramping, throughout duration of the Arranged Interchange and did not deny the Arranged Interchange or curtail Confirmed Interchange.</p> <p>OR</p> <p>The Scheduling Path between the Balancing Authority and its Adjacent Balancing Authorities was invalid, and the Balancing Authority did not deny the Arranged Interchange or curtail Confirmed Interchange.</p>
R2	Operations Planning,	Lower	N/A	N/A	N/A	<p>The Transmission Service Provider receiving an on-time</p>

Standard INT-006-4 — Evaluation of Interchange Transactions

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
	Same-day Operations, Real-time Operations					<p>Arranged Interchange or an emergency Arranged Interchange did not approve or deny it prior to the expiration of the time period defined in Attachment 1, Column B.</p> <p>OR</p> <p>The transmission path between the Transmission Service Provider and its adjacent Transmission Service Providers was invalid, and the Transmission Service Provider did not deny the Arranged Interchange or curtail Confirmed Interchange.</p>
R3	Operations Planning, Same-day Operations, Real-time Operations	Lower	N/A	N/A	The Source Balancing Authority or Sink Balancing Authority receiving a Reliability Adjustment Arranged Interchange denied it prior to the expiration of the time period defined in Attachment 1, Column B, but did not communicate that fact to its Reliability Coordinator within 10 minutes of the denial.	The Source Balancing Authority or Sink Balancing Authority receiving a Reliability Adjustment Arranged Interchange did not approve or deny it prior to the expiration of the time period defined in Attachment 1, Column B.
R4	Operations Planning, Same-day Operations,	Lower	N/A	N/A	N/A	The Sink Balancing Authority failed to confirm that none of the conditions in Requirement 4 existed before transitioning

Standard INT-006-4 — Evaluation of Interchange Transactions

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
	Real-time Operations					an Arranged Interchange to Confirmed Interchange.
R5	Operations Planning, Same-day Operations, Real-time Operations	Lower	N/A	N/A	The Sink Balancing Authority did not notify all of the entities listed in Requirement R5 Parts 5.1-5.5 of the on-time Confirmed Interchange.	<p>The Sink Balancing Authority did not notify any of the entities listed in Requirement R5 Parts 5.1-5.5 of the on-time Confirmed Interchange.</p> <p>OR</p> <p>The Sink Balancing Authority notified the entities listed in Requirement R5 Parts 5.1-5.5 of the on-time Confirmed Interchange, but did not notify one or more of the entities in time for the notification to be incorporated into scheduling systems prior to ramp start as specified in Attachment 1, Column D.</p>

C. Regional Variances

None.

D. Interpretations

None.

E. Associated Documents

None.

Attachment 1 – Timing Tables

Timing Requirements for all Interconnections except WECC

		A	B	C	D
If Arranged Interchange ¹ is Submitted	Time Classification	Sink BA Makes Initial Distribution of Arranged Interchange ²	BA and TSP Conduct Reliability Assessments	Compilation and Distribution Status ²	BA Prepares Confirmed Interchange for Implementation
>1 hour after the start time	ATF		Entities have up to 2 hours to respond.		NA
<15 minutes prior to ramp start and ≤1 hour after the start time	Late		Entities have up to 10 minutes to respond.		≤ 3 minutes after receipt of Confirmed Interchange
<1 hour and ≥ 15 minutes prior to ramp start	On-time		≤ 10 minutes from Arranged Interchange receipt		≥ 3 minutes prior to ramp start
≥1 hour to < 4 hours prior to ramp start	On-time		≤ 20 minutes from Arranged Interchange receipt		≥ 39 minutes prior to ramp start
≥ 4 hours prior to ramp start	On-time		≤ 2 hours from Arranged Interchange receipt		≥ 1 hour 58 minutes prior to ramp start

¹ Time Classifications and deadlines apply to both initial Arranged Interchange submittal and any subsequent modifications to the Arranged Interchange.

² See NAESB WEQ004. The times are being retained in the NAESB tables but are removed here since they are not being referenced in requirements.

Attachment 1 – Timing Tables

Timing Requirements for WECC

		A	B	C	D
If Arranged Interchange³ is Submitted	Time Classification	Sink BA Makes Initial Distribution of Arranged Interchange⁴	BA and TSP Conduct Reliability Assessments	Compilation and Distribution Status⁴	BA Prepares Confirmed Interchange for Implementation
>1 hour after the start time	ATF		Entities have up to 2 hours to respond.		NA
<10 minutes prior to ramp start and ≤1 hour after transaction start time where transaction start time is at the top of the hour	Late		Entities have up to 10 minutes to respond.		≤ 3 minutes after receipt of Confirmed Interchange
<15 minutes prior to ramp start and ≤1 hour after transaction start time where transaction start time is not the top of the hour	Late		Entities have up to 10 minutes to respond.		≤ 3 minutes after receipt of Confirmed Interchange
10 minutes prior to ramp start where transaction start time is at the top of the hour	On-time		≤ 5 minutes from Arranged Interchange receipt		≥ 3 minutes prior to ramp start
11 minutes prior to ramp start where transaction start time is at the top of the hour	On-time		≤ 6 minutes from Arranged Interchange receipt		≥ 3 minutes prior to ramp start

³ Time Classifications and deadlines apply to both initial Arranged Interchange submittal and any subsequent modifications to the Arranged Interchange.

⁴ See NAESB WEQ004. The times are being retained in the NAESB tables but are removed here since they are not being referenced in requirements.

Standard INT-006-4 — Evaluation of Interchange Transactions

		A	B	C	D
If Arranged Interchange³ is Submitted	Time Classification	Sink BA Makes Initial Distribution of Arranged Interchange⁴	BA and TSP Conduct Reliability Assessments	Compilation and Distribution Status⁴	BA Prepares Confirmed Interchange for Implementation
12 minutes prior to ramp start where transaction start time is at the top of the hour	On-time		≤ 7 minutes from Arranged Interchange receipt		≥ 3 minutes prior to ramp start
13 minutes prior to ramp start where transaction start time is at the top of the hour	On-time		≤ 8 minutes from Arranged Interchange receipt		≥ 3 minutes prior to ramp start
14 minutes prior to ramp start where transaction start time is at the top of the hour	On-time		≤ 9 minutes from Arranged Interchange receipt		≥ 3 minutes prior to ramp start
<1 hour and ≥ 15 minutes prior to ramp start	On-time		≤ 10 minutes from Arranged Interchange receipt		≥ 3 minutes prior to ramp start
≥ 1 hour and < 4 hours prior to ramp start	On-time		< 20 minutes from Arranged interchange receipt		≥ 39 minutes prior to ramp start
≥ 4 hours prior to ramp start	On-time		≤ 2 hours from Arranged Interchange receipt		≥ 1 hour 58 minutes prior to ramp start
Submitted before 10:00 PPT with start time ≥ 00:00 PPT of following day	On-time		By 12:00 PPT of day the Arranged Interchange was received		≥ 1 hour 58 minutes prior to ramp start

Application Guidelines

Guidelines and Technical Basis

Many aspects of managing Interchange are supported by software applications. There are fundamental tasks that each entity should be able to perform in an electronic manner as listed below.

A Load-Serving Entity and Balancing Authority that submits Requests for Interchange should have the capability to electronically:

- Submit a Request for Interchange to a Sink Balancing Authority
- Submit a request to modify Interchange
- Receive distributions of Confirmed Interchange
- Receive distributions of Reliability Adjustment Arranged Interchanges

Each Sink Balancing Authority should have the capability to electronically:

- Receive a Request for Interchange
- Receive a request to modify Interchange
- Validate Requests for Interchange by verifying:
 - Source Balancing Authority megawatts equal Sink Balancing Authority megawatts (adjusted for losses, if appropriate).
 - All reliability entities involved in the Arranged Interchange are valid.
 - Generation source and Load sink are defined.
 - Megawatt profile is defined.
 - Interchange duration is defined.
- Validate request to modify Interchange by verifying:
 - Source Balancing Authority megawatts equal Sink Balancing Authority megawatts (adjusted for losses, if appropriate).
 - Megawatt profile is defined.
 - Interchange duration is defined.
- Distribute the validated Request for Interchange as Arranged Interchange
- Distribute the validated Reliability Adjustment Arranged Interchanges
- Receive communication of approval or denial of Arranged Interchange
 - Distribute notification as each entity approves or denies an Arranged Interchange.
 - Transition Arranged Interchange to Confirmed Interchange if all approvals are received.
 - Distribute notification of whether Arranged Interchange was transitioned to Confirmed Interchange or not.

Application Guidelines

- Submit a request to modify Interchange
- Each Load-Serving Entity that approves or denies Arranged Interchange, and each Balancing Authority and Transmission Service Provider should have the capability to electronically:
 - Receive distribution of Arranged Interchange
 - Communicate approval or denial of the Arranged Interchange to the Sink Balancing Authority
 - Receive notification of whether Arranged Interchange was transitioned to Confirmed interchange or not.
 - Submit a request to modify Interchange
- While Interchange is normally facilitated using electronic communication and software tools, there are occasions with those electronic capabilities are reduced or unavailable. It is recommended that all entities involved in aspects of Interchange should have, maintain and implement a plan describing the manner and timing in which all capabilities listed above will be provided when electronic capabilities are reduced or unavailable. Each plan should address the following topics:
 - Alternate methods of communicating Interchange information between Purchasing Selling Entities, Balancing Authorities, and Transmission Service Providers.
 - How to notify others that it is activating the plan
 - How it will process requests for emergency Arranged Interchange and Reliability Adjustment Arranged Interchange.
 - Restrictions and limitations that may apply during the period of reduced or unavailable capability (such as limits on volume, only accepting emergency transactions, etc.).
 - Delegation of approval rights and proxy actions, if such approaches will be used.
 - How known Confirmed Interchange will be scheduled following a reduction in or loss of capability.
 - Personnel plans for short-term and extended periods.
 - Training of personnel in the use of the plan.

Rationale:

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

Rationale for R1:

Balancing Authorities must take action on a received Arranged Interchange within a certain time frame. Requirement R1, Parts 1.1 and 1.2 provide reliability-related reasons that a Balancing

Application Guidelines

Authority must deny an Arranged Interchange, but Balancing Authorities may deny for other reasons. If the conditions described in Requirement R1, Parts 1.1 or 1.2 are recognized after approval is granted, the Balancing Authority may curtail the Confirmed Interchange prior to implementation.

Rationale for R2:

TSPs must take action on a received Arranged Interchange within a certain time frame. Requirement R2, Part 2.1 provides reliability-related reasons that a TSP must deny an Arranged Interchange, but TSPs may deny for other reasons. If the conditions described in Requirement R1, Part 2.1 are recognized after approval is granted, the TSP may curtail the Confirmed Interchange prior to implementation.

Version History

Version	Date	Action	Change Tracking
1	May 2, 2006	Adopted by the NERC Board Of Trustees	New
2	May 2, 2007	Adopted by the NERC Board Of Trustees	Revised
3	October 29, 2008	Adopted by the NERC Board Of Trustees	Revised
3	July 1, 2010	Approved by FERC	Revised
4	February 6, 2014	Adopted by the NERC Board Of Trustees	Revised
4	June 30, 2014	FERC letter order issued approving INT-006-4	

Standard INT-006-4 — Evaluation of Interchange Transactions

Appendix QC-INT-006-4

Provisions specific to the standard INT-006-4 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:** Evaluation of Interchange Transactions
2. **Number:** INT-006-4
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: February 3, 2017
 - 5.2. Adoption of the appendix by the Régie de l'énergie: February 3, 2017
 - 5.3. Effective date of the standard and its appendix in Québec: April 1, 2017
6. **Background:** No specific provision

Requirements and Measures

No specific provision

B. 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**

No specific provision
 - 1.4. **Additional Compliance Information**

No specific provision

Table of compliance elements

No specific provision

C. Regional Variances

No specific provision

D. Interpretations

No specific provision

Standard INT-006-4 — Evaluation of Interchange Transactions

Appendix QC-INT-006-4

Provisions specific to the standard INT-006-4 applicable in Québec

E. Associated Documents

No specific provision

Attachment 1- Timing Tables

No specific provision

Guidelines and technical basis

No specific provision

Revision History

Revision	Adoption Date	Action	Change Tracking
0	February 3 2017	New appendix	New

A. Introduction

1. **Title:** **Implementation of Interchange**
2. **Number:** **INT-009-2**
3. **Purpose:** To ensure that Balancing Authorities implement the Interchange as agreed upon in the Interchange confirmation process.
4. **Applicability:**
 - 4.1. Balancing Authority.
5. **Effective Date:**

The first day of the first calendar quarter that is six months after the date that this standard is approved by an applicable governmental authority or as otherwise provided for in a jurisdiction where approval by an applicable governmental authority is required for a standard to go into effect. Where approval by an applicable governmental authority is not required, the standard shall become effective on the first day of the first calendar quarter that is six months after the date this standard is adopted by the NERC Board of Trustees or as otherwise provided for in that jurisdiction.

6. **Background:**

This standard was revised as part of the Project 2008-12 Coordinate Interchange Standards effort to combine requirements from the various INT standards into a fewer number of standards and in a logical sequence. The focus of INT-009-2 continues to be the Balancing Authority to Balancing Authority Interchange confirmation process for Interchange Transactions prior to their implementation.

The Requirements in INT-009-2 have been expanded to include previous Measures from INT-009-1 and acknowledge Dynamic Schedules and Pseudo-Ties. A new term “Composite Confirmed Interchange” has been introduced.

The content of INT-009-2 has been revised and expanded in the following manner:

- R1 was combined with INT-003-3 R1 and modified to ensure that a Balancing Authority agrees to a Composite Confirmed Interchange with each of its Adjacent Balancing Authorities.
- R2 was created to ensure that Adjacent Balancing Authorities incorporating a Pseudo-Tie agree to a common source for their Actual Net Interchange term for their ACE controls.
- R3 was created by revising R1.2 from INT-003-3. This requirement ensures that the Balancing Authority that controls a high-voltage direct current tie coordinates the Confirmed Interchange.

B. Requirements and Measures

- R1.** Each Balancing Authority shall agree with each of its Adjacent Balancing Authorities that its Composite Confirmed Interchange with that Adjacent Balancing Authority, at mutually agreed upon time intervals, excluding Dynamic Schedules and Pseudo-Ties and including any Interchange per INT-010-2 not yet captured in the Composite Confirmed Interchange, is: [*Violation Risk Factor: Medium*] [*Time Horizon: Real-time Operations*]
- 1.1.** Identical in magnitude to that of the Adjacent Balancing Authority, and
 - 1.2.** Opposite in sign or direction to that of the Adjacent Balancing Authority.
- M1.** The Balancing Authority shall have evidence (such as dated logs, voice recordings, electronic records, or other evidence) that its Composite Confirmed Interchange, excluding Dynamic Schedules and Pseudo-Ties and including any Interchange as directed per INT-010-2 not yet captured in the Composite Confirmed Interchange, was agreed to by each Adjacent Balancing Authority, identical in magnitude to those of each Adjacent Balancing Authority, and opposite in sign to that of each Adjacent Balancing Authority. (R1)
- R2.** The Attaining Balancing Authority and the Native Balancing Authority shall use a dynamic value emanating from an agreed upon common source to account for the Pseudo-Tie in the Actual Net Interchange (NI_A) term of their respective control ACE (or alternate control process). [*Violation Risk Factor: Medium*] [*Time Horizon: Real-time Operations*]
- M2.** The Balancing Authority shall have evidence (such as dated logs, voice recordings, electronic records, written agreement or other evidence) that it used a dynamic value emanating from an agreed upon common source to account for the Pseudo-Tie in the Actual Net Interchange (NI_A) term of their respective control ACE (or alternate control process). (R2)
- R3.** Each Balancing Authority in whose area the high-voltage direct current tie is controlled shall coordinate the Confirmed Interchange prior to its implementation with the Transmission Operator of the high-voltage direct current tie. [*Violation Risk Factor: Medium*] [*Time Horizon: Real-time Operations, Operations Planning*]
- M3.** The Balancing Authority shall have evidence (such as dated logs, electronic records, or other evidence) that it coordinated the Confirmed Interchange prior to its implementation with the Transmission Operator of the high-voltage direct current tie. (R3)

C. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

Regional Entity

1.2. Evidence Retention

The Balancing Authority shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority (CEA) to retain specific evidence for a longer period of time as part of an investigation. For instances where the evidence retention period specified below is shorter than the time since the last audit, the CEA may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

- The Balancing Authority shall maintain evidence to show compliance with R1, R2 and R3 for the most recent 3 months plus the current month.

If a Balancing Authority is found non-compliant, it shall keep information related to the non-compliance until found compliant.

The Compliance Enforcement Authority shall keep the last audit records and all requested and submitted subsequent audit records.

1.3. Compliance Monitoring and Assessment Processes:

Compliance Audit

Self-Certification

Spot Checking

Compliance Investigation

Self-Reporting

Complaint

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	The Balancing Authority did not reach agreement with an Adjacent Balancing Authority on the magnitude or sign of its Composite Confirmed Interchange, at mutually agreed upon time intervals, excluding Dynamic Schedules and Pseudo-Ties and including any Interchange per INT-010-2 not yet captured in the Composite Confirmed Interchange.
R2	Real-time Operations	Medium	N/A	N/A	N/A	The Balancing Authority failed to use a dynamic value emanating from an agreed upon common source to account for the Pseudo-Tie in the Actual Net Interchange (NI _A) term of their respective control ACE (or alternate control process).
R3	Real-time Operations, Operations Planning	Medium	N/A	N/A	N/A	The Balancing Authority failed to coordinate the Confirmed Interchange prior to its implementation with the Transmission Operator of the high-voltage direct current tie.

Application Guidelines

D. Regional Variances

None.

E. Interpretations

None.

F. Associated Documents

None.

Guidelines and Technical Basis

Rationale:

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

Rationale for R2: R12.3 of BAL-005-2b addresses common metering for Dynamic Schedules and Pseudo-Ties but not their implementation into ACE. Requirement R2 is parallel to R10 of BAL-005-2b which only addresses Dynamic Schedules. Presently, there is a gap in the BAL standards that this requirement fills for Pseudo-Ties.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
1	May 2, 2006	Adopted by the NERC Board of Trustees	Revised
2	February 6, 2014	Adopted by the NERC Board of Trustees	Revised
2	June 30, 2014	FERC letter order issued approving INT-009-2	

Standard INT-009-2 —Implementation of interchange

Appendix QC-INT-009-2 Provisions specific to the standard INT-009-2 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:** Implementation of Interchange
2. **Number:** INT-009-2
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: February 3, 2017
 - 5.2. Adoption of the appendix by the Régie de l'énergie: February 3, 2017
 - 5.3. Effective date of the standard and its appendix in Québec: April 1, 2017

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

No specific provision

1.4. Additional Compliance Information

No specific provision

Table of Compliance Elements

No specific provision

D. Regional Variances

No specific provision

E. Interpretations

No specific provision

F. Associated Documents

No specific provision

Standard INT-009-2 —Implementation of interchange

Appendix QC-INT-009-2

Provisions specific to the standard INT-009-2 applicable in Québec

Guidelines and Technical Basis

No specific provision

Version History

Revision	Adoption Date	Action	Change Tracking
0	February 3 2017	New appendix	New

A. Introduction

- 1. Title:** **Interchange Initiation and Modification for Reliability**
- 2. Number:** **INT-010-2**
- 3. Purpose:** To provide guidance for required actions on Confirmed Interchange or Implemented Interchange to address reliability.
- 4. Applicability:**
 - 4.1. Balancing Authority**
- 5. Effective Date:**

The first day of the first calendar quarter that is six months after the date that this standard is approved by an applicable governmental authority or as otherwise provided for in a jurisdiction where approval by an applicable governmental authority is required for a standard to go into effect. Where approval by an applicable governmental authority is not required, the standard shall become effective on the first day of the first calendar quarter that is six months after the date this standard is adopted by the NERC Board of Trustees or as otherwise provided for in that jurisdiction.

- 6. Background:**

This standard was revised as part of the Project 2008-12 Coordinate Interchange Standards.

- R1 is modified to replace “request for Arranged Interchange” with the correct term “Request for Interchange.” A rationale was developed to clarify use of the term “energy sharing agreement” for this requirement.
- R2 and R3 are modified to shift compliance from the Reliability Coordinator to the Sink Balancing Authority.

B. Requirements and Measures

- R1.** The Balancing Authority that experiences a loss of resources covered by an energy sharing agreement or other reliability needs covered by an energy sharing agreement shall ensure that a Request for Interchange (RFI) is submitted with a start time no more than 60 minutes beyond the resource loss. If the use of the energy sharing agreement does not exceed 60 minutes from the time of the resource loss, no RFI is required.
[Violation Risk Factor: Lower] [Time Horizon: Real Time Operations]
- M1.** The Balancing Authority that uses its energy sharing agreement where the duration exceeds 60 minutes shall have evidence such as dated and time-stamped RFI, electronic logs or other similar evidence that it submitted an RFI per Requirement R1. (R1)
- R2.** Each Sink Balancing Authority shall ensure that a Reliability Adjustment Arranged Interchange reflecting a modification is submitted within 60 minutes of the start of the modification if a Reliability Coordinator directs the modification of a Confirmed

Interchange or Implemented Interchange for actual or anticipated reliability-related reasons. [*Violation Risk Factor: Lower*] [*Time Horizon: Real Time Operations*]

- M2.** The Sink Balancing Authority shall have evidence such as dated and time-stamped electronic logs or other similar evidence that a Reliability Adjustment Arranged Interchange was submitted within 60 minutes of the start of a modification to either a Confirmed Interchange or an Implemented Interchange that was directed by a Reliability Coordinator for actual or anticipated reliability-related reasons. (R2)
- R3.** Each Sink Balancing Authority shall ensure that a Request for Interchange is submitted reflecting that Interchange Schedule within 60 minutes of the start of the scheduled Interchange if a Reliability Coordinator directs the scheduling of Interchange for actual or anticipated reliability-related reasons. [*Violation Risk Factor: Lower*] [*Time Horizon: Real Time Operations*]
- M3.** The Sink Balancing Authority shall have evidence such as dated and time-stamped electronic logs or other evidence that a Request for Interchange was submitted reflecting that Interchange Schedule within 60 minutes of the start of any scheduled Interchange that was directed by a Reliability Coordinator for actual or anticipated reliability-related reasons. (R3)

C. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

Regional Entity

1.2. Evidence Retention

The Balancing Authority shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority (CEA) to retain specific evidence for a longer period of time as part of an investigation. For instances where the evidence retention period specified below is shorter than the time since the last audit, the CEA may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

- The Balancing Authority shall maintain evidence to show compliance with R1, R2, and R3, for the most recent three calendar months plus the current month.
- If a Balancing Authority is found non-compliant, it shall keep information related to the non-compliance until found compliant.

The Compliance Enforcement Authority shall keep the last audit records and all requested and submitted subsequent audit records.

1.3. Compliance Monitoring and Assessment Processes:

Compliance Audit

Self-Certification

Spot Checking

Compliance Investigation

Self-Reporting

Complaint

1.4. Additional Compliance Information

None

Standard INT-010-2 — Interchange Initiation and Modification for Reliability

Table of Compliance Elements

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	Real Time Operations	Lower	The Balancing Authority that experienced a loss of resources covered by an energy sharing agreement or other reliability needs covered by an energy sharing agreement ensured that a Request for Interchange was submitted, and it was submitted with a start time more than 60 minutes, but not more than 75 minutes, following the resource loss when the use of the energy sharing agreement exceeded 60 minutes.	The Balancing Authority that experienced a loss of resources covered by an energy sharing agreement or other reliability needs covered by an energy sharing agreement ensured that a Request for Interchange was submitted, and it was submitted with a start time more than 75 minutes, but not more than 90 minutes, following the resource loss when the use of the energy sharing agreement exceeded 60 minutes.	The Balancing Authority that experienced a loss of resources covered by an energy sharing agreement or other reliability needs covered by an energy sharing agreement ensured that a Request for Interchange was submitted, and it was submitted with a start time more than 90 minutes, but not more than 120 minutes, following the resource loss when the use of the energy sharing agreement exceeded 60 minutes.	The Balancing Authority that experienced a loss of resources covered by an energy sharing agreement or other reliability needs covered by an energy sharing agreement ensured that a Request for Interchange was submitted, and it was submitted with a start time more than 120 minutes following the resource loss when the use of the energy sharing agreement exceeded 60 minutes. OR The Balancing Authority that experienced a loss of resources covered by an energy sharing agreement or other reliability needs covered by an energy sharing agreement did not ensure that a Request for Interchange was submitted following the resource loss when the use of the energy sharing agreement exceeded 60 minutes.
R2	Real Time Operations	Lower	N/A	N/A	N/A	The Sink Balancing Authority did not ensure that a Reliability Adjustment

Standard INT-010-2 — Interchange Initiation and Modification for Reliability

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
						Arranged Interchange reflecting a modification was submitted within 60 minutes following the start of that modification.
R3	Real Time Operations	Lower	N/A	N/A	N/A	The Sink Balancing Authority did not ensure that a Request for Interchange reflecting the Interchange Schedule was submitted within 60 minutes following the start of that scheduled Interchange.

D. Regional Variances

None.

E. Interpretations

None.

F. Associated Documents

None.

Application Guidelines

Guidelines and Technical Basis

General Considerations for Curtailments of Dynamic Transfers

The unique handling of Curtailments of Dynamic Transfers is described in NERC's Dynamic Transfer Reference Guidelines, Version 2.

For Dynamic Schedules:

If transmission service between the Source and Sink BA(s) is curtailed then the allowable range of the magnitude of the schedules between them, including Dynamic Schedules, may have to be curtailed accordingly. All BAs involved in a Dynamic Schedule Curtailment must also adjust the Dynamic Schedule Signal input to their respective ACE equations to a common value. The value used must be equal to or less than the curtailed Dynamic Schedule tag. Since Dynamic Schedule tags are generally not used as Dynamic Transfer Signals for ACE, this adjustment may require manual entry or other revision to a telemetered or calculated value used by the ACE.

For Pseudo-Ties:

If transmission service between the Native and Attaining BA(s) is curtailed, then the allowable range of the magnitude of the Pseudo-Ties between them must be limited accordingly to these constraints.

Both sections above describe when Curtailments (typically communicated through e-Tags) of Dynamic Transfers require additional action by Balancing Authorities to ensure compliance with the Curtailment.

Curtailments of most tagged transactions are implemented through a change in the Source and Sink Balancing Authorities' ACE equations. However, changes, including Curtailments, in Dynamic Schedule and Pseudo-Tie tagged transactions do not change the Source and Sink Balancing Authorities' ACE equations directly. These types of transactions impact the ACE equation via the Dynamic Transfer Signal, not by the e-Tag. As such, Balancing Authorities need to develop additional automation or perform additional manual actions to reduce the Dynamic Transfer Signal in order to comply with the Curtailment.

Rationale:

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

Rationale for R1:

This requirement was originally revised to replace the term "Request for an Arranged Interchange" with the defined term "Request for Interchange (RFI)" within the requirement. Additional clarification was requested regarding "energy sharing agreement." There is no NERC Glossary term for this and the CISDT believes that one is not required as these agreements are used for immediate reliability purposes. These could be regional, local, or regulatory reliability agreements which would include the applicable conditions under which the energy could be scheduled.

Application Guidelines

Version History

Version	Date	Action	Change Tracking
1	May 2, 2006	Board of Trustees Adoption	New
1	March 16, 2007	FERC Approval	New
2	February 6, 2014	Board of Trustees Adoption	Revised
2	June 30, 2014	FERC letter order issued approving INT-010-2	

Standard INT-010-2 — Interchange Initiation and Modification for reliability

Appendix QC-INT-010-2

Provisions specific to the standard INT-010-2 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:** Interchange Initiation and Modification for Reliability
2. **Number:** INT-010-2
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: February 3, 2017
 - 5.2. Adoption of the appendix by the Régie de l'énergie: February 3, 2017
 - 5.3. Effective date of the standard and its appendix in Québec: April 1, 2017
6. **Background:** No specific provision

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**

No specific provision
 - 1.4. **Additional Compliance Information**

No specific provision

Table of Compliance Elements

No specific provision

D. Regional Differences

No specific provision.

E. Interpretations

No specific provision

Standard INT-010-2 — Interchange Initiation and Modification for reliability

Appendix QC-INT-010-2

Provisions specific to the standard INT-010-2 applicable in Québec

F. Associated Documents

No specific provision

Guidelines and Technical Basis

No specific provision

Revisions History

Revision	Adoption Date	Action	Change Tracking
0	February 3 2017	New appendix	New

**NORMES DE FIABILITÉ DE LA NERC
(VERSION ANGLAISE)**

A. Introduction

1. **Title:** **Reliability Coordination — Staffing**
2. **Number:** PER-004-2
3. **Purpose:**

Reliability Coordinators must have sufficient, competent staff to perform the Reliability Coordinator functions.
4. **Applicability**
 - 4.1. Reliability Coordinators.
5. **Effective Date:**
 - Retire Requirement 2 when PER-005-1 Requirement 3 becomes effective.
 - Retire Requirements 3 and 4 when PER-005-1 Requirements 1 and 2 become effective.

B. Requirements

- R1. Each Reliability Coordinator shall be staffed with adequately trained and NERC-certified Reliability Coordinator operators, 24 hours per day, seven days per week.
[Violation Risk Factor: High] [Time Horizon: Real-time Operations]
- R2. Reliability Coordinator operating personnel shall place particular attention on SOLs and IROLs and inter-tie facility limits. The Reliability Coordinator shall ensure protocols are in place to allow Reliability Coordinator operating personnel to have the best available information at all times.
[Violation Risk Factor: High] [Time Horizon: Real-time Operations]

C. Measures

None

D. Compliance

1. **Compliance Monitoring Process**
 - 1.1. **Compliance Monitoring Responsibility**

Regional Reliability Organizations shall be responsible for compliance monitoring.
 - 1.2. **Compliance Monitoring and Reset Time Frame**

One or more of the following methods will be used to assess compliance:

 - Self-certification (Conducted annually with submission according to schedule.)
 - Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
 - Periodic Audit (Conducted once every three years according to schedule.)

- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

Each Reliability Coordinator shall keep evidence of compliance for the previous two calendar years plus the current year.

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

None.

2. Violation Severity Levels

R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1.	N/A	N/A	N/A	The responsible entity has failed to be staffed with adequately trained and NERCcertified Reliability Coordinator operators, 24 hours per day, seven days per week.
R2.	Reliability Coordinator operating personnel did not place particular attention on 5% or less of the SOLs or IROLs or inter-tie facility limits.	Reliability Coordinator operating personnel did not place particular attention on more than 5% up to (and including) 10% of the SOLs or IROLs or inter-tie facility limits.	Reliability Coordinator operating personnel did not place particular attention on more than 10% up to (and including) 15% of the SOLs or IROLs or inter-tie facility limits.	Reliability Coordinator operating personnel did not place particular attention on more than 15% of the SOLs or IROLs or inter-tie facility limits. OR The Reliability Coordinator did not ensure protocols are in place to allow Reliability Coordinator operating personnel to have the best available information at all times.

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	August 8, 2005	Removed “Proposed” from Effective Date	Errata
1	November 1, 2006	Adopted by Board of Trustees	Revised
2	February 10, 2009	Adopted by Board of Trustees	Retire R2 and M1 when PER-005-1 Requirement 3 becomes effective. Retire R3, R4 and M2 when PER-005 R1 and R2 become effective.
2	November 18, 2010	FERC Approved	
2	August 27, 2013	Added VRFs/VSLs based on June 24, 2013 approval.	

Standard PER-004-2 — Reliability Coordination - Staffing

Appendix QC-PER-004-2 Provisions specific to the standard PER-004-2 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:** Reliability Coordination -Staffing
2. **Number:** PER-004-2
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: February 3, 2017
 - 5.2. Adoption of the appendix by the Régie de l'énergie: February 3, 2017
 - 5.3. Effective date of the standard and its appendix in Québec: April 1, 2017

B. Requirements

No specific provision

C. Measures

No specific provision

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

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. Compliance Monitoring and Reset Time Frame

No specific provision

1.3. Data Retention

No specific provision

1.4. Additional Compliance Information

No specific provision

2. Violation Severity Levels

No specific provision

E. Regional Differences

No specific provision

Standard PER-004-2 — Reliability Coordination - Staffing

Appendix QC-PER-004-2

Provisions specific to the standard PER-004-2 applicable in Québec

Revision History

Revision	Adoption date	Action	Change Tracking
0	February 3 2017	New appendix	New