

**Compliance Questionnaire and**

**Reliability Standard Audit Worksheet**

**BAL-002-1 — Disturbance Control Performance**

**Registered Entity:** *(Must be completed by the Compliance Enforcement Authority)*

**NCR Number:** *(Must be completed by the Compliance Enforcement Authority)*

**Applicable Function(s): BA, RSG, RRO**

**Auditors:**

**Disclaimer**

 NERC developed this Reliability Standard Audit Worksheet (RSAW) language in order to facilitate NERC’s and the Regional Entities’ assessment of a registered entity’s compliance with this Reliability Standard. The NERC RSAW language is written to specific versions of each NERC Reliability Standard. Entities using this RSAW should choose the version of the RSAW applicable to the Reliability Standard being assessed. While the information included in this RSAW provides some of the methodology that NERC has elected to use to assess compliance with the requirements of the Reliability Standard, this document should not be treated as a substitute for the Reliability Standard or viewed as additional Reliability Standard requirements. In all cases, the Regional Entity should rely on the language contained in the Reliability Standard itself, and not on the language contained in this RSAW, to determine compliance with the Reliability Standard. NERC’s Reliability Standards can be found on NERC’s website at <http://www.nerc.com/page.php?cid=2|20>. Additionally, NERC Reliability Standards are updated frequently, and this RSAW may not necessarily be updated with the same frequency. Therefore, it is imperative that entities treat this RSAW as a reference document only, and not as a substitute or replacement for the Reliability Standard. It is the responsibility of the registered entity to verify its compliance with the latest approved version of the Reliability Standards, by the applicable governmental authority, relevant to its registration status.

The NERC RSAW language contained within this document provides a non‑exclusive list, for informational purposes only, of examples of the types of evidence a registered entity may produce or may be asked to produce to demonstrate compliance with the Reliability Standard. A registered entity’s adherence to the examples contained within this RSAW does not necessarily constitute compliance with the applicable Reliability Standard, and NERC and the Regional Entity using this RSAW reserves the right to request additional evidence from the registered entity that is not included in this RSAW. Additionally, this RSAW includes excerpts from FERC Orders and other regulatory references. The FERC Order cites are provided for ease of reference only, and this document does not necessarily include all applicable Order provisions. In the event of a discrepancy between FERC Orders, and the language included in this document, FERC Orders shall prevail.

# Subject Matter Experts

Identify your company’s subject matter expert(s) responsible for this Reliability Standard. Include the person's title, organization and the requirement(s) for which they are responsible. Insert additional lines if necessary.

**Response: *(Registered Entity Response Required)***

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| **SME Name** | **Title** | **Organization** | **Requirement** |
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# Reliability Standard Language

**BAL-002-1 — Disturbance Control Performance**

**Purpose:**

The purpose of the Disturbance Control Standard (DCS) is to ensure the Balancing Authority is able to utilize its Contingency Reserve to balance resources and demand and return Interconnection frequency within defined limits following a Reportable Disturbance. Because generator failures are far more common than significant losses of load and because Contingency Reserve activation does not typically apply to the loss of load, the application of DCS is limited to the loss of supply and does not apply to the loss of load.

**Applicability:**

 Balancing Authorities

 Reserve Sharing Groups (Balancing Authorities may meet the requirements of Standard 002 through participation in a Reserve Sharing Group).

 Regional Reliability Organizations

**NERC BOT Approval Date:**

**FERC Approval Date:**

**Reliability Standard Enforcement Date in the United States:**

**Requirements**:

**R1.** Each Balancing Authority shall have access to and/or operate Contingency Reserve to respond to Disturbances. Contingency Reserve may be supplied from generation, controllable load resources, or coordinated adjustments to Interchange Schedules.

 **R1.1.** A Balancing Authority may elect to fulfill its Contingency Reserve obligations by participating as a member of a Reserve Sharing Group. In such cases, the Reserve Sharing Group shall have the same responsibilities and obligations as each Balancing Authority with respect to monitoring and meeting the requirements of Standard BAL-002.

**Describe, in narrative form, how you meet compliance with this requirement: *(Registered Entity Response Required)***

# R1 Supporting Evidence and Documentation

**Response: *(Registered Entity Response Required)***

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**Question:** Are you a member of a Reserve Sharing Group? If so, identify the group and list your Contingency Reserve obligation? Describe your contingency reserve policy and procedure.

  **Entity** **Response: *(Registered Entity Response Required)***

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

**Compliance Assessment Approach Specific to BAL-002-1 R1.**

 \_\_\_Determine if the Balancing Authority is a member of a Reserve Sharing Group; if so, identify the Reserve Sharing Group.

 \_\_\_ Identify the Contingency Reserve requirement for the Balancing Authority.

 \_\_\_ Identify the Balancing Authority’s available resources to respond to a system disturbance.

 \_\_\_ Are the available resources equal to or greater than the Contingency Reserve requirement?

**Auditors Detailed notes:**

**R2.** Each Regional Reliability Organization, sub-Regional Reliability Organization or Reserve Sharing Group shall specify its Contingency Reserve policies, including:

 **R2.1.** The minimum reserve requirement for the group.

 **R2.2.** Its allocation among members.

 **R2.3.** The permissible mix of Operating Reserve – Spinning and Operating Reserve – Supplemental that may be included in Contingency Reserve.

 **R2.4.** The procedure for applying Contingency Reserve in practice.

 **R2.5.** The limitations, if any, upon the amount of interruptible load that may be included.

 **R2.6.** The same portion of resource capacity (e.g. reserves from jointly owned generation) shall not be counted more than once as Contingency Reserve by multiple Balancing Authorities.

**Describe, in narrative form, how you meet compliance with this requirement: *(Registered Entity Response Required)***

# R2 Supporting Evidence and Documentation

**Response: *(Registered Entity Response Required)***

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

**Compliance Assessment Approach Specific to BAL-002-1 R2.**

 \_\_\_Identify the applicable entity’s minimum operating reserve requirement.

 \_\_\_\_ Identify the allocation of reserves among members of the Reserve Sharing Group if applicable.

 \_\_\_ Confirm the applicable entity met the minimum operating reserve requirement.

 \_\_\_ Confirm that the applicable entity met the minimum percentage of spinning reserve required.

 \_\_\_ What is the minimum percentage of permissible non‑spinning reserve?

 \_\_\_ What are the criteria for non‑spinning reserve?

 \_\_\_ Identify the resources available as non‑spinning.

 \_\_\_ Identify the process for determining non‑spinning resources.

 \_\_\_Identify the applicable entity’s procedure for applying Contingency Reserves.

 \_\_\_ Identify the limitations, if any, upon the amount of interruptible load that may be included, and confirm that the entity’s minimum reserves do not depend upon more than the maximum amount of interruptible load allowed.

 \_\_\_ Review documentation to ensure resources are only counted once.

**Auditors Detailed notes:**

**R3.** Each Balancing Authority or Reserve Sharing Group shall activate sufficient Contingency Reserve to comply with the DCS.

**R3.1.** As a minimum, the Balancing Authority or Reserve Sharing Group shall carry at least enough Contingency Reserve to cover the most severe single contingency. All Balancing Authorities and Reserve Sharing Groups shall review, no less frequently than annually, their probable contingencies to determine their prospective most severe single contingencies.

**Describe, in narrative form, how you meet compliance with this requirement: *(Registered Entity Response Required)***

# R3 Supporting Evidence and Documentation

**Response: *(Registered Entity Response Required)***

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

**Compliance Assessment Approach Specific to BAL-002-1 R3.**

 \_\_\_\_Confirm that the entity activated sufficient Contingency Reserve to comply with any and all DCS events.

 \_\_\_\_Determine if the Balancing Authority has planned resources to cover the most severe single contingency (or its share, if it is part of a Reserve Sharing Group) above and beyond operating resource requirements.

 \_\_\_Ensure that the plan was reviewed no less frequently than annually as per the entity’s definition of annual.

**Auditors Detailed notes:**

**R4.** A Balancing Authority or Reserve Sharing Group shall meet the Disturbance Recovery Criterion within the Disturbance Recovery Period for 100% of Reportable Disturbances. The Disturbance Recovery Criterion is:

**R4.1.** A Balancing Authority shall return its ACE to zero if its ACE just prior to the Reportable Disturbance was positive or equal to zero. For negative initial ACE values just prior to the Disturbance, the Balancing Authority shall return ACE to its pre-Disturbance value.

**R4.2.** The default Disturbance Recovery Period is 15 minutes after the start of a Reportable Disturbance.

**Describe, in narrative form, how you meet compliance with this requirement: *(Registered Entity Response Required)***

# R4 Supporting Evidence and Documentation

**Response: *(Registered Entity Response Required)***

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**Question:** Were there any DCS events whereby you, including the applicable Reserve Sharing Group, did not recover within the allowable time frame?

**Entity** **Response: *(Registered Entity Response Required)***

**Question:** Have you ever had a reportable disturbance during the audit period where you lost a unit but you did not call for reserves? If so, describe.

**Entity** **Response: *(Registered Entity Response Required)***

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

**Compliance Assessment Approach Specific to BAL‑002‑1 R4.**

 \_\_\_ Review every DCS event for the past 12 months, for the Balancing Authority or Reserve Sharing Group, and determine the level of compliance with the default Disturbance Recovery Criteria(15 Minutes).

 Validate the appropriate start and stop times were used for the disturbances.

\_\_\_ Validate the ACE was returned to the pre-event level or equal to zero if the

 pre-event ACE was positive.

 If the entity did not return to pre-event level or equal to zero if the pre-event ace was positive, AND the entity is a member of a Reserve Sharing Group, determine if the Reserve Sharing group met the DCS Recovery Criterion.

**Auditors Detailed notes:**

**R5.** Each Reserve Sharing Group shall comply with the DCS. A Reserve Sharing Group shall be considered in a Reportable Disturbance condition whenever a group member has experienced a Reportable Disturbance and calls for the activation of Contingency Reserves from one or more other group members. (If a group member has experienced a Reportable Disturbance but does not call for reserve activation from other members of the Reserve Sharing Group, then that member shall report as a single Balancing Authority.) Compliance may be demonstrated by either of the following two methods:

 **R5.1.** The Reserve Sharing Group reviews group ACE (or equivalent) and demonstrates compliance to the DCS. To be in compliance, the group ACE (or its equivalent) must meet the Disturbance Recovery Criterion after the schedule change(s) related to reserve sharing have been fully implemented, and within the Disturbance Recovery Period.

 or

 **R5.2.** The Reserve Sharing Group reviews each member’s ACE in response to the activation of reserves. To be in compliance, a member’s ACE (or its equivalent) must meet the Disturbance Recovery Criterion after the schedule change(s) related to reserve sharing have been fully implemented, and within the Disturbance Recovery Period.

**Describe, in narrative form, how you meet compliance with this requirement: *(Registered Entity Response Required)***

# R5 Supporting Evidence and Documentation

**Response: *(Registered Entity Response Required)***

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

**Compliance Assessment Approach Specific to BAL-002-1 R5.**

 For Reserve Sharing Groups, review DCS events that occurred during the audit period and determine what methodology was used to analyze the disturbance; group ACE or member’s ACE.

 Evaluate the evidence to determine if the Disturbance Recovery Criterion was met.

**Auditors Detailed notes:**

**R6.** A Balancing Authority or Reserve Sharing Group shall fully restore its Contingency Reserves within the Contingency Reserve Restoration Period for its Interconnection.

 **R6.1.** The Contingency Reserve Restoration Period begins at the end of the Disturbance Recovery Period.

 **R6.2.** The default Contingency Reserve Restoration Period is 90 minutes.

**Describe, in narrative form, how you meet compliance with this requirement: *(Registered Entity Response Required)***

# R6 Supporting Evidence and Documentation

**Response: *(Registered Entity Response Required)***

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

**Compliance Assessment Approach Specific to BAL-002-1 R6.**

­­ ­­­­­­­­­­­ Evaluate the evidence to determine if the Balancing Authority and/or Reserve Sharing Group have restored their Contingency Reserves after each DCS event within the default Contingency Reserve Restoration Period of 90minutes.

**Auditors Detailed notes:**

# Supplemental Information

**Other ‑** The list of questions above is not all inclusive of evidence required to show compliance with the Reliability Standard. Provide additional information here**, as necessary that** demonstrates compliance with this Reliability Standard.

  **Entity** **Response: *(Registered Entity Response)***

# Compliance Findings Summary (to be filled out by auditor)

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| **Req.** | **NF** | **PV** | **OEA** | **NA** | **Statement** |
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**Excerpts from FERC Orders -- For Reference Purposes Only**

**Updated Through October 14, 2011**

**BAL-002-1**

**Order 693**

P 316. The stated purpose of this Reliability Standard [BAL-002-0] is to use contingency reserves to balance resources and demand to return Interconnection frequency to within defined limits following a reportable disturbance. The proposed Reliability Standard would apply to balancing authorities, reserve sharing groups and regional reliability organizations.

 P320. The Commission approves BAL-002-0. …”The Commission notes that the Reliability Standard’s Requirements and Levels of Non-Compliance are applicable to both balancing authorities and reserve sharing groups and are clear as to the roles and responsibilities of these entities. The ERO will be responsible for ensuring compliance with this Reliability Standard for all applicable entities. A reserve sharing group, however, as an independent organization, is able to determine on its own as a commercial matter whether any penalties related to non-compliance should be reapportioned among the members of the group. … In general, we understand that all balancing authorities are required to calculate ACE with the exception of balancing authorities that use dynamic schedules to provide all regulating reserves from another balancing authority. As such, reserve sharing groups will not calculate ACE; they will rely on balancing authorities to do so.

P 321. The Commission adopts the NOPR’s proposal to require the ERO to develop a modification to the Reliability Standard that refers to the ERO rather than to the NERC Operating Committee in Requirements R4.2 and R6.2. The ERO has the responsibility to assure the reliability of the Bulk-Power System and should be the entity that modifies the Disturbance Recovery Period as necessary….

P 331. … The Commission believes that listing the types of resources that can be used to meet contingency reserves makes the Reliability Standard clearer, provides users, owners and operators of the Bulk- Power System a set of options to meet contingency reserves, and treats DSM on a comparable basis with other resources.

P 333. …the Commission clarifies that the purpose of the proposed directive is to ensure comparable treatment of DSM with conventional generation or any other technology and to allow DSM to be considered as a resource for contingency reserves on this basis without requiring the use of any particular contingency reserve option.The proposed directive as written achieves that goal. … we believe that this Reliability Standard is objective-based and we reiterate that we are simply attempting to make it inclusive of other technologies that may be able to provide contingency reserves, and are not directing the use of any particular type of resource. By specifying DSM as a potential resource for contingency reserves, the Commission is clarifying the substance of the Reliability Standard.

P 334. … we first clarify that in order for DSM to participate, it must be technically capable of providing contingency reserve service. … Nonetheless, our requirement is that BAL-002-0 explicitly provides that demand resources may be used as a resource for contingency reserves without requiring the use of a specific resource or type of resource.

P 335. … DSM should be treated on a comparable basis [as a resource for contingency reserves] and must meet similar technical requirements as other resources providing this service.

P 341. We believe a continent-wide contingency reserves policy would assure that there are adequate magnitude and frequency responsive contingency reserves in each balancing authority. This will improve performance so that no balancing authority will be doing less than its fair share.

P342. … Loss of firm load should not be permitted in planning the system for a single contingency. …

P343. … we note that this Reliability Standard does not concern resource adequacy, but addresses contingency reserves, which are operating and not planning reserves. Operating reserves are not the same as resource adequacy, a planning element. Section 215 authorizes the Commission to approve Reliability Standards for contingency reserves because they are necessary for real-time Reliable Operation of the Bulk-Power System.

P 352. Requirement R3.1 currently requires that a balancing authority carry at least enough contingency reserves to cover the most severe single contingency. The Commission emphasizes that the goal of this Reliability Standard is to insure against the reliability risk of not serving load by matching generation and load following any disturbance or event that results in a significant deviation in frequency. Consistent with this goal, the Commission believes that this Reliability Standard should be inclusive of all events, i.e., loss of supply, loss of load or significant scheduling problems, which can cause frequency disturbances and should address how balancing authorities should respond. …

P 356. The Commission approves Reliability Standard BAL-002-0 as mandatory and enforceable.

 P 1896. Further, we adopt the NOPR proposal to require the ERO to submit a modification to the glossary that updates the definition of “operating reserves,” as required in our discussion of BAL-002-0 and BAL-005-0.

 P 1898. In conclusion, the Commission approves the glossary.

 **November 16, 2007 Order on Compliance Filing, Docket Nos. RR07-9-003 and RR07-10-003**

P 26. The primary reliability objective in BAL-002-0 is to measure whether a balancing authority or Reserve Sharing Group meets the Disturbance Control Standard (DCS) criteria.

 P 27. The Commission believes that Requirement R1 (the access and operation of Contingency Reserves to respond to disturbances), Requirement R2 (the specification of Contingency Reserve policy), and Requirements R2.1 (the minimum amount of reserve required) and R3 (the activation of sufficient Contingency Reserve) are complementary. Requirement R2, in conjunction with R1 and R3, ensures that each balancing authority or reserve sharing group will have access to reserves appropriate for its specific system topology, load, and generation characteristics to ensure the continued reliable operation of the Bulk-Power System following system disturbances. … With respect to Requirement R2, the specification of a contingency reserve policy, sub-Requirement R2.1 establishes the minimum amount and type of contingency reserve that must be available to respond to a system disturbance.

 P 28.…The Commission believes that the sub-Requirements are essential for compliance with the primary Requirements of the Reliability Standard. In this case, contingency reserves must be sufficient and readily available to supplement insufficient or lost generation in a balancing authority’s area following a system disturbance. The ability to constantly, within a certain tolerance, match load and generation directly affects the electrical state and control of the Bulk-Power System. If generation and load is not matched within a balancing authority’s area, the resulting imbalance could result in an undue burden on adjacent balancing authorities, and, if additional contingencies from disturbances are experienced, compromise the ability of the Bulk-Power System to recover from those disturbances.

 P 30. Requirement R4 establishes that a balancing authority must meet the Disturbance Recovery criteria for all of its reportable disturbances. … Requirement R4 explicitly requires that the criterion, as stated in Requirement R4.1, must be met. The Disturbance Recovery Criterion ensures that the instantaneous difference between scheduled and actual interchange and ACE is returned to normal following every disturbance. While a failure to meet the Disturbance Recovery Criterion as required by Requirement R4 may not immediately result in cascading outages, the electrical state and the ability to effectively control the Bulk-Power System are compromised at that time for additional contingencies. Thus, Requirement R4 is not explanatory text or procedural in nature....

**North American Electric Reliability Corporation, 134 FERC ¶ 61,015 (January 10, 2011)**

1. On September 9, 2010, the North American Electric Reliability Corporation (NERC), the Commission-certified electric reliability organization, filed a petition seeking approval of modifications to six Reliability Standards made pursuant to outstanding directives from the Commission's Order No. 693. n1 Specifically, pursuant to section 215(d)(2) of the Federal Power Act, NERC requests approval of modifications contained in Reliability Standards BAL-002-1, EOP-002-3, FAC-002-1, MOD-021-2, PRC-004-2, and VAR-001-2. NERC also explains that two additional Order No. 693 directives related to these Reliability Standards have been resolved without further modification.

2. NERC states that the proposed modifications to the Reliability Standards are the result of NERC's efforts to address the outstanding directives from Order No. 693, beginning with the identification of changes expected to be less controversial. According to NERC, the modifications to the six Reliability Standards address Commission directives set forth in Order No. 693. n2 According to NERC, the six proposed Reliability Standards achieved sufficient quorum and approval in the NERC stakeholder process to move forward for consideration by the NERC Board of Trustees, which approved the six modified Reliability Standards on August 5, 2010.

n2 According to NERC, the modifications address the Commission's directives set forth in paragraphs 321, 582, 693, 1300, 1469 (second directive only), 1858 and 1879 of Order No. 693. NERC further states that the directive to modify Reliability Standard EOP-002 as stated in paragraph 577 has been addressed through revisions to IRO-006-4.

4. The Commission finds that the proposed modifications to the Reliability Standards are just, reasonable, not unduly discriminatory or preferential, and in the public interest, and approves them as mandatory and effective on the respective dates as requested by NERC. The Commission further finds that NERC has satisfied the Commission's outstanding directives listed in footnote 2 of this order.

**NERC Guidance:**

 BAL‑002‑0, R.1 through R.6

1. With respect to Balancing Authorities that are members of a registered Reserve Sharing Group and that choose to meet compliance through participation in the Reserve Sharing Group:
	* Per the Applicability Section 4.2 of the BAL‑002‑0 Reliability Standard, “Balancing Authorities may meet the requirements of Standard BAL‑002‑0 through participation in a Reserve Sharing Group.”
	* The entity must provide evidence of participation in a Reserve Sharing Group.
	* The Reserve Sharing Group must be a NERC registered entity.
	* The entity registered as the Reserve Sharing Group must provide evidence, when audited, of compliance with BAL‑002‑0, R.1 through R.6.
	* The Balancing Authority will not be required to provide evidence of compliance with BAL‑002‑0, R.1 through R.6. (Exception – *See* item #3 below.)
	* With respect to Balancing Authorities (i) that are not members of a Reserve Sharing Group or (ii) that are members of a Reserve Sharing Group but that choose not to comply with BAL‑002‑0 through Reserve Sharing Group participation or (iii) are members of a non‑registered Reserve Sharing Group:
	* An entity that is registered as a Balancing Authority and does not participate in a Reserve Sharing Group or is a member of a non‑registered Reserve Sharing Group must individually provide evidence of compliance with BAL‑002‑0, R.1, R.3, R.4 and R.6 regardless of the compliance monitoring process used.
2. Balancing Authorities that are part of a registered Reserve Sharing Group but do not call for reserve activation as stated in BAL‑002‑0, R.5:
	* A Balancing Authority that participates in a registered Reserve Sharing Group and has experienced a disturbance greater than 80% of its individual most severe single contingency (or a threshold as published by the region) but does not call for reserve activation from other members of the registered Reserve Sharing Group, shall report as a single Balancing Authority as required in BAL‑002‑0, R.5.
	* The Balancing Authority must provide evidence of compliance with BAL‑002‑0, R.1, R.3, R.4, and R.6 for the Reportable Disturbance Event(s) for which the Balancing Authority did not call for reserve activation from the other members of the Reserve Sharing Group.

**Revision History**

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| **Version** | **Date** | **Reviewers** | **Revision Description** |
| 1 | September 2011 | QRSAW WG | Original Document |
| 1 | October 14, 2011 | NERC Legal | Updated Excerpts from FERC Orders from March 31, 2009, through and including October 14, 2011. |
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