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**Reliability Standard Audit Worksheet**

**BAL-001-MX-0 — Real Power Balancing Control Performance**

Mexico Reliability Standard Effective Date: January 1, 2012

***This section must be completed by the Compliance Monitor.***

**Designated Entity:**

**WCR Number:**

**Compliance Assessment Date:**

**Compliance Monitoring Method:**

**Applicable Function(s):** BA

**Names of Auditors:**

WECC developed this Reliability Standard Audit Worksheet (RSAW) language in order to facilitate its assessment of a Designated Entity’s compliance with this Mexico Reliability Standard. The RSAW language is written to specific versions of each Mexico Reliability Standard. Entities using this RSAW should choose the version of the RSAW applicable to the Mexico Reliability Standard being assessed. While the information included in this RSAW provides some of the methodology that WECC has elected to use to assess compliance with the requirements of the Mexico Reliability Standard, this document should not be treated as a substitute for the Mexico Reliability Standard or viewed as additional Mexico Reliability Standard requirements. In all cases, the user should rely on the language contained in the Mexico Reliability Standard itself, and not on the language contained in this RSAW, to determine compliance with the Mexico Reliability Standard. This RSAW may not necessarily be updated with the same frequency as Mexico Reliability Standards are approved. Therefore, it is imperative that entities treat this RSAW as a reference document only, and not as a substitute or replacement for the Mexico Reliability Standard. It is the responsibility of the Designated Entity to verify its compliance with the latest approved version of the Mexico Reliability Standards, by the applicable governmental authority, relevant to its designated reliability function. The RSAW language contained within this document provides a non‑exclusive list, for informational purposes only, of examples of the types of evidence a Designated Entity may produce or may be asked to produce to demonstrate compliance with the Mexico Reliability Standard. A Designated Entity’s adherence to the examples contained within this RSAW does not necessarily demonstrate complete compliance with the applicable Mexico Reliability Standard. The auditor reserves the right to request additional evidence from the Designated Entity that is not included in this RSAW.

# **Findings Table:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Req.** | **Finding** | **Summary & Documentation** | **Functions Monitored** |
| [**R****1.**](#R1Summary) |  |  | BA |
| [**R****2.**](#R2Summary) |  |  | BA |
| [**R3****.**](#R3Summary) |  |  | BA |
| [**R4.**](#R4Summary) |  |  | BA |

|  |  |
| --- | --- |
| **Req.** | **Recommendations** |
|  |  |
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| --- | --- |
| **Req.** | **Areas of Concern** |
|  |  |
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|  |  |

# **Subject Matter Experts**

Identify Subject Matter Expert(s) responsible for this Mexico Reliability Standard. (Insert additional rows if necessary)

**Designated Entity Response (Required):**

|  |  |  |  |
| --- | --- | --- | --- |
| **SME Name** | **Title** | **Organization** | **Requirement(s)** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

# **R1 Supporting Evidence and Documentation**

**R1.** Each Balancing Authority shall operate such that, on a rolling 12-month basis, the average of the clock-minute averages of the Balancing Authority’s Area Control Error (ACE) divided by 10B

(B is the clock-minute average of the Balancing Authority Area’s Frequency Bias) times the corresponding clock-minute averages of the Interconnection’s Frequency Error is less than a specific limit. This limit ϵ12 is a constant derived from a targeted frequency bound (separately calculated for each Interconnection) that is reviewed and set as necessary by the WECC Operating Committee.

**Designated Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

**Designated Entity Evidence (Required):**

|  |
| --- |
| Provide the following for all evidence submitted (Insert additional rows if necessary):  File Name, File Extension, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description |
|  |
|  |
|  |

**Compliance Assessment Approach Specific to BAL-001-MX-0, R1.**

***This section must be completed by the Compliance Monitor***

Review the evidence to verify the Designated Entity has:

|  |  |
| --- | --- |
|  | Review CPS1 logs, which should be obtained from the Regional Entity prior to the audit. |
|  | Identify calculation used to calculate CPS1 |
|  | Identify the target frequency bound; ɛ 1 |
|  | Identify the Frequency Bias Setting |

**[Compliance](#R1_Finding)** **[Summary:](#R1_Finding)**

(Finding Summary):

Primary Documents Supporting Finding:

**Auditor Notes:**

# **R2 Supporting Evidence and Documentation**

**R2.** Each Balancing Authority shall operate such that its average ACE for at least 90% of clock ten-minute periods (6 non-overlapping periods per hour) during a calendar month is within a specific limit, referred to as L10.

**Designated Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

**Designated Entity Evidence (Required):**

|  |
| --- |
| Provide the following for all evidence submitted (Insert additional rows if necessary):  File Name, File Extension, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description |
|  |
|  |
|  |

**Compliance Assessment Approach Specific to BAL-001-MX-0, R2.**

***This section must be completed by the Compliance Monitor***

Review the evidence to verify the Designated Entity has:

|  |  |
| --- | --- |
|  | Review monthly logs for past 12 months |
|  | Verify the average ACE was within the BAs L10 for the last 12 months for at least 90%  of the time periods monitored. |

[**Compliance Sum****mary:**](#R2_Finding)

(Finding Summary):

Primary Documents Supporting Finding:

**Auditor Notes:**

# **R3 Supporting Evidence and Documentation**

**R3.** Each Balancing Authority providing Overlap Regulation Service shall evaluate Requirement R1 (i.e., Control Performance Standard 1 or CPS1) and Requirement R2 (i.e., Control Performance Standard 2 or CPS2) using the characteristics of the combined ACE and combined Frequency Bias Settings.

**Designated Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

**Designated Entity Evidence (Required):**

|  |
| --- |
| Provide the following for all evidence submitted (Insert additional rows if necessary):  File Name, File Extension, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description |
|  |
|  |
|  |

**Compliance Assessment Approach Specific to BAL-001-MX-0, R3.**

***This section must be completed by the Compliance Monitor***

Review the evidence to verify the Designated Entity has:

|  |  |
| --- | --- |
|  | Determine if the BA provides Overlap Regulation Service |
|  | If so, verify the BA has incorporated the combined ACE and combined Frequency Bias settings into their CPS1 and CPS2 calculations |

[**Complia****nce Summary:**](#R3_Finding)

(Finding Summary):

Primary Documents Supporting Finding:

**Auditor Notes:**

# **R4 Supporting Evidence and Documentation**

**R4.** Any Balancing Authority receiving Overlap Regulation Service shall not have its control performance evaluated (i.e. from a control performance perspective, the Balancing Authority has shifted all control requirements to the Balancing Authority providing Overlap Regulation Service).

**Designated Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

**Designated Entity Evidence (Required):**

|  |
| --- |
| Provide the following for all evidence submitted (Insert additional rows if necessary):  File Name, File Extension, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description |
|  |
|  |
|  |

**Compliance Assessment Approach Specific to BAL-001-MX-0, R4.**

***This section must be completed by the Compliance Monitor***

Review the evidence to verify the Designated Entity has:

|  |  |
| --- | --- |
|  | Determine if the BA receives Overlap Regulation Service |
|  | If so, verify the BA has not incorporated the combined ACE and combined Frequency Bias settings into their CPS1 and CPS2 calculations |

**[Compliance](#R4_Finding)** **[Summary:](#R4_Finding)**

(Finding Summary):

Primary Documents Supporting Finding:

**Auditor Notes:**

**Supplemental Information**

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

**RSAW Revision History**

|  |  |
| --- | --- |
| **Revision Date** | **Comments** |
| October 24, 2011 | Revised to CFE Standards |
| November 16, 2011 | Revised to CFE Standards |
| June 7, 2013 | Errata change: Changed “Compliance Enforcement Authority” to “Compliance Monitor” |
| June 10, 2013 | Formatting Changes |
| April 4, 2014 | Formatting Changes |