

A. Introduction

- 1. Title:** System Operating Limits Methodology for the Operations Horizon
- 2. Number:** FAC-011-3
- 3. Purpose:** To ensure that System Operating Limits (SOLs) used in the reliable operation of the Bulk Electric System (BES) are determined based on an established methodology or methodologies.
- 4. Applicability**
 - 4.1.** Reliability Coordinator
- 5. Effective Date:** See Implementation Plan for the Revised Definition of “Remedial Action Scheme”.

B. Requirements

- R1.** The Reliability Coordinator shall have a documented methodology for use in developing SOLs (SOL Methodology) within its Reliability Coordinator Area. This SOL Methodology shall:
 - R1.1.** Be applicable for developing SOLs used in the operations horizon.
 - R1.2.** State that SOLs shall not exceed associated Facility Ratings.
 - R1.3.** Include a description of how to identify the subset of SOLs that qualify as IROLs.
- R2.** The Reliability Coordinator’s SOL Methodology shall include a requirement that SOLs provide BES performance consistent with the following:
 - R2.1.** In the pre-contingency state, the BES shall demonstrate transient, dynamic and voltage stability; all Facilities shall be within their Facility Ratings and within their thermal, voltage and stability limits. In the determination of SOLs, the BES condition used shall reflect current or expected system conditions and shall reflect changes to system topology such as Facility outages.
 - R2.2.** Following the single Contingencies¹ identified in Requirement 2.2.1 through Requirement 2.2.3, the system shall demonstrate transient, dynamic and voltage stability; all Facilities shall be operating within their Facility Ratings and within their thermal, voltage and stability limits; and Cascading or uncontrolled separation shall not occur.
 - R2.2.1.** Single line to ground or 3-phase Fault (whichever is more severe), with Normal Clearing, on any Faulted generator, line, transformer, or shunt device.
 - R2.2.2.** Loss of any generator, line, transformer, or shunt device without a Fault.
 - R2.2.3.** Single pole block, with Normal Clearing, in a monopolar or bipolar high voltage direct current system.
 - R2.3.** In determining the system’s response to a single Contingency, the following shall be acceptable:

¹ The Contingencies identified in FAC-011 R2.2.1 through R2.2.3 are the minimum contingencies that must be studied but are not necessarily the only Contingencies that should be studied.

- M2.** The Reliability Coordinator shall have evidence it issued its SOL Methodology, and any changes to that methodology, including the date they were issued, in accordance with Requirement 4.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organization

1.2. Compliance Monitoring Period and Reset Time Frame

Each Reliability Coordinator shall self-certify its compliance to the Compliance Monitor at least once every three years. New Reliability Authorities shall demonstrate compliance through an on-site audit conducted by the Compliance Monitor within the first year that it commences operation. The Compliance Monitor shall also conduct an on-site audit once every nine years and an investigation upon complaint to assess performance.

The Performance-Reset Period shall be twelve months from the last non-compliance.

1.3. Data Retention

The Reliability Coordinator shall keep all superseded portions to its SOL Methodology for 12 months beyond the date of the change in that methodology. In addition, entities found non-compliant shall keep information related to the non-compliance until found compliant

The Compliance Monitor shall keep the last audit and all subsequent compliance records.

1.4. Additional Compliance Information

The Reliability Coordinator shall make the following available for inspection during an on-site audit by the Compliance Monitor or within 15 business days of a request as part of an investigation upon complaint:

1.4.1 SOL Methodology.

1.4.2 Superseded portions of its SOL Methodology that had been made within the past 12 months.

1.4.3 Evidence that the SOL Methodology and any changes to the methodology that occurred within the past 12 months were issued to all required entities.

2. Levels of Non-Compliance for Western Interconnection: (To be replaced with VSLs once developed and approved by WECC)

2.1. Level 1: There shall be a level one non-compliance if either of the following conditions exists:

2.1.1 The SOL Methodology did not include a statement indicating that Facility Ratings shall not be exceeded.

2.2. Level 2: The SOL Methodology did not include a requirement to address all of the elements in R3.1, R3.2, R3.4 through R3.7 and E1.

2.3. Level 3: There shall be a level three non-compliance if any of the following conditions exists:

- 2.3.1** The SOL Methodology did not include a statement indicating that Facility Ratings shall not be exceeded and the methodology did not include evaluation of system response to one of the three types of single Contingencies identified in R2.2.
- 2.3.2** The SOL Methodology did not include a statement indicating that Facility Ratings shall not be exceeded and the methodology did not include evaluation of system response to two of the seven types of multiple Contingencies identified in E1.1.
- 2.3.3** The System Operating Limits Methodology did not include a statement indicating that Facility Ratings shall not be exceeded and the methodology did not address two of the six required topics in R3.1, R3.2, R3.4 through R3.7.
- 2.4. Level 4:** The SOL Methodology was not issued to all required entities in accordance with R4.

3. Violation Severity Levels:

Requirement	Lower	Moderate	High	Severe
R1	Not applicable.	The Reliability Coordinator has a documented SOL Methodology for use in developing SOLs within its Reliability Coordinator Area, but it does not address R1.2	The Reliability Coordinator has a documented SOL Methodology for use in developing SOLs within its Reliability Coordinator Area, but it does not address R1.3.	The Reliability Coordinator has a documented SOL Methodology for use in developing SOLs within its Reliability Coordinator Area, but it does not address R1.1. OR The Reliability Coordinator has no documented SOL Methodology for use in developing SOLs within its Reliability Coordinator Area.
R2	The Reliability Coordinator's SOL Methodology requires that SOLs are set to meet BES performance following single contingencies, but does not require that SOLs are set to meet BES performance in the pre-contingency state. (R2.1)	Not applicable.	The Reliability Coordinator's SOL Methodology requires that SOLs are set to meet BES performance in the pre-contingency state, but does not require that SOLs are set to meet BES performance following single contingencies. (R2.2 – R2.4)	The Reliability Coordinator's SOL Methodology does not require that SOLs are set to meet BES performance in the pre-contingency state and does not require that SOLs are set to meet BES performance following single contingencies. (R2.1 through R2.4)
R3	The Reliability Coordinator's SOL Methodology includes a description for all but one of the following: R3.1 through R3.7.	The Reliability Coordinator's SOL Methodology includes a description for all but two of the following: R3.1 through R3.7.	The Reliability Coordinator's SOL Methodology includes a description for all but three of the following: R3.1 through R3.7.	The Reliability Coordinator's SOL Methodology is missing a description of four or more of the following: R3.1 through R3.7.
R3.6	N/A	N/A	N/A	N/A
R4	The Reliability Coordinator failed to issue its SOL Methodology and/or one or more changes to that methodology to one of the required entities specified in R4.1, R4.2, and R4.3.	The Reliability Coordinator failed to issue its SOL Methodology and/or one or more changes to that methodology to two of the required entities specified in R4.1, R4.2, and R4.3.	The Reliability Coordinator failed to issue its SOL Methodology and/or one or more changes to that methodology to three of the required entities specified in R4.1, R4.2, and R4.3.	The Reliability Coordinator failed to issue its SOL Methodology and/or one or more changes to that methodology to four or more of the required entities specified in R4.1, R4.2, and R4.3

Standard FAC-011-3 — System Operating Limits Methodology for the Operations Horizon

Requirement	Lower	Moderate	High	Severe
	<p>OR</p> <p>For a change in methodology, the changed methodology was provided to one or more of the required entities before the effectiveness of the change, but was provided to all the required entities no more than 10 calendar days after the effectiveness of the change.</p>	<p>OR</p> <p>For a change in methodology, the changed methodology was provided to one or more of the required entities more than 10 calendar days after the effectiveness of the change, but less than or equal to 20 days after the effectiveness of the change.</p>	<p>OR</p> <p>For a change in methodology, the changed methodology was provided to one or more of required entities more than 20 calendar days after the effectiveness of the change, but less than or equal to 30 days after the effectiveness of the change.</p>	<p>OR</p> <p>For a change in methodology, the changed methodology was provided to one or more of the required entities more than 30 calendar days after the effectiveness of the change.</p>

Regional Differences

- 1.** The following Interconnection-wide Regional Difference shall be applicable in the Western Interconnection:
 - 1.1.** As governed by the requirements of R3.3, starting with all Facilities in service, shall require the evaluation of the following multiple Facility Contingencies when establishing SOLs:
 - 1.1.1** Simultaneous permanent phase to ground Faults on different phases of each of two adjacent transmission circuits on a multiple circuit tower, with Normal Clearing. If multiple circuit towers are used only for station entrance and exit purposes, and if they do not exceed five towers at each station, then this condition is an acceptable risk and therefore can be excluded.
 - 1.1.2** A permanent phase to ground Fault on any generator, transmission circuit, transformer, or bus section with Delayed Fault Clearing except for bus sectionalizing breakers or bus-tie breakers addressed in E1.1.7
 - 1.1.3** Simultaneous permanent loss of both poles of a direct current bipolar Facility without an alternating current Fault.
 - 1.1.4** The failure of a circuit breaker associated with a Remedial Action Scheme to operate when required following: the loss of any element without a Fault; or a permanent phase to ground Fault, with Normal Clearing, on any transmission circuit, transformer or bus section.
 - 1.1.5** A non-three phase Fault with Normal Clearing on common mode Contingency of two adjacent circuits on separate towers unless the event frequency is determined to be less than one in thirty years.
 - 1.1.6** A common mode outage of two generating units connected to the same switchyard, not otherwise addressed by FAC-011.
 - 1.1.7** The loss of multiple bus sections as a result of failure or delayed clearing of a bus tie or bus sectionalizing breaker to clear a permanent Phase to Ground Fault.
 - 1.2.** SOLs shall be established such that for multiple Facility Contingencies in E1.1.1 through E1.1.5 operation within the SOL shall provide system performance consistent with the following:
 - 1.2.1** All Facilities are operating within their applicable Post-Contingency thermal, frequency and voltage limits.
 - 1.2.2** Cascading does not occur.
 - 1.2.3** Uncontrolled separation of the system does not occur.
 - 1.2.4** The system demonstrates transient, dynamic and voltage stability.
 - 1.2.5** Depending on system design and expected system impacts, the controlled interruption of electric supply to customers (load shedding), the planned removal from service of certain generators, and/or the curtailment of contracted firm (non-recallable reserved) electric power transfers may be necessary to maintain the overall security of the interconnected transmission systems.
 - 1.2.6** Interruption of firm transfer, Load or system reconfiguration is permitted through manual or automatic control or protection actions.

- 1.2.7 To prepare for the next Contingency, system adjustments are permitted, including changes to generation, Load and the transmission system topology when determining limits.
- 1.3. SOLs shall be established such that for multiple Facility Contingencies in E1.1.6 through E1.1.7 operation within the SOL shall provide system performance consistent with the following with respect to impacts on other systems:
 - 1.3.1 Cascading does not occur.
- 1.4. The Western Interconnection may make changes (performance category adjustments) to the Contingencies required to be studied and/or the required responses to Contingencies for specific facilities based on actual system performance and robust design. Such changes will apply in determining SOLs.

Version History

Version	Date	Action	Change Tracking
1	November 1, 2006	Adopted by Board of Trustees	New
2		Changed the effective date to October 1, 2008 Changed “Cascading Outage” to “Cascading” Replaced Levels of Non-compliance with Violation Severity Levels Corrected footnote 1 to reference FAC-011 rather than FAC-010	Revised
2	June 24, 2008	Adopted by Board of Trustees: FERC Order 705	Revised
2	January 22, 2010	Updated effective date and footer to April 29, 2009 based on the March 20, 2009 FERC Order	Update
2	February 7, 2013	R5 and associated elements approved by NERC Board of Trustees for retirement as part of the Paragraph 81 project (Project 2013-02) pending applicable regulatory approval.	
2	November 21, 2013	R5 and associated elements approved by FERC for retirement as part of the Paragraph 81 project (Project 2013-02)	
2	February 24, 2014	Updated VSLs based on June 24, 2013 approval.	
3	November 13, 2014	Adopted by the NERC Board of Trustees	Replaced references to Special Protection System and SPS with Remedial Action Scheme and RAS
3	November 19, 2015	FERC Order issued approving FAC-011-3. Docket No. RM15-13-000.	

Standard FAC-011-3 — System Operating Limits Methodology for the Operations Horizon

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