

Definitions

Bulk Electric System: A term commonly applied to the portion of an electric utility system that encompasses the electrical generation resources and high-voltage transmission system (above 35 kV or as approved in a tariff filed with FERC).

Cascading Outages: The uncontrolled successive loss of system elements triggered by an incident at any location that results in the loss of 300 MW or more of networked system load for a minimum of 15 minutes.

Generator Owner: The entity that owns the generator.

Instability: The inability of the transmission system to maintain a state of equilibrium during normal and abnormal system conditions or disturbances.

Interconnection Reliability Operating Limit: A system operating limit which, if exceeded, could lead to instability, uncontrolled separation, or cascading outages that adversely impact the reliability of the bulk electric system.

Interconnection Reliability Operating Limit Event: An instance of exceeding an Interconnection Reliability Operating Limit for any length of time.

Interconnection Reliability Operating Limit Event Duration: The length of time an Interconnection Reliability Operating Limit is exceeded. The duration is measured from the point where the limit is first exceeded and ends when the value drops below the limit and remains below the limit for at least 30 seconds.

Occurrence Period: The time period in which performance is measured and evaluated.

Performance-reset Period: The time period that the entity being assessed must operate without any violations to reset the level of non-compliance to zero.

Operational Planning Analysis: An analysis of the expected system conditions for the next day's operation and up to 12 months ahead. Expected system conditions include things such as load forecast(s), generation output levels, and known system constraints (transmission facility outages, generator outages, equipment limitations, etc.).

Real-time: Present time as opposed to future time.

Real-time Assessment: An examination of existing and expected system conditions, conducted by collecting and reviewing immediately available data.

Real-time Data: Real-time measured values, state estimator values derived from the measured values, or other calculated values derived from the measured values — may include directly monitored data, Inter-utility data exchange (e.g., Interconnection Control Area Communication Protocol or SCADA Data), and manually collected data.

Real-time Monitoring: The act of scanning data and drawing conclusions about what the data indicates.

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Reliability Authority Area: The collection of generation, transmission, and loads within the boundaries of the organization performing the Reliability Authority function. Its boundary coincides with one or more Balancing Authority areas.

Self-certification: A process by which an entity does a self-evaluation to determine if it is compliant with the specific requirements for a reliability standard.

T_v : The maximum time that an Interconnection Reliability Operating Limit can be exceeded before the risk to the interconnection becomes greater than acceptable. T_v may not be greater than 30 minutes.

Transmission Operator: The entity that operates the transmission facilities and executes switching orders.

Uncontrolled Separation: The unplanned break-up of an interconnection, or portion of an interconnection, that is not the result of automatic action by a special protection system or remedial action scheme operating correctly.

Wide-Area Impact: The impact of a single incident resulting in the uncontrolled loss of 300 MW or more of networked system load for a minimum of 15 minutes.

200 — Operate Within Interconnection Reliability Operating Limits

- 201 Interconnection Reliability Operating Limit Identification
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1. Purpose: To prevent instability, uncontrolled separation, or cascading outages that adversely impact the reliability of the bulk electric system.
2. Effective Date: This standard will become effective three months after the latter of either the date the NERC Board of Trustees votes to adopt the Determine Facility Ratings, System Operating Limits, and Transfer Capabilities Standard or three months after the date the NERC Board of Trustees votes to adopt this standard.

Initial Compliance with the individual requirements will be phased in as follows:

- 201 — Interconnection Reliability Operating Limit Identification — six months from implementation of Requirement 604.
- 202 — Monitoring — six months from implementation of Requirement 604.
- 203 — Analyses and Assessments — six months from implementation of Requirement 604.
- 204 — Actions — six months from implementation of Requirement 604.
- 205 — Data Specification & Collection — nine months from implementation of Requirement 604.
- 206 — Data Provision — 12 months from implementation of Requirement 604.
- 207 — Processes, Procedures, or Plans — six months from implementation of Requirement 604.
- 208 — Reliability Authority Directives — nine months from implementation of Requirement 604.

3. Applicability: These requirements apply to entities performing various electric system functions, as defined in the Functional Model. NERC is now developing standards and procedures for the identification and certification of such entities. Until that identification and certification is complete, this standard applies to the existing entities (such as control areas, transmission owners and operators, and generator owners) that are currently performing the defined functions.

In this standard, the terms Balancing Authority, Generator Operator, Generator Owner, Interchange Authority, Load-serving Entity, Reliability Authority, Transmission Operator, and

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Transmission Owner refer to the entities performing these functions as defined in the Functional Model.

201 — Interconnection Reliability Operating Limits Identification

(a) Requirements

- (1) The Reliability Authority shall identify and document which Facilities (or groups of Facilities) in its Reliability Authority Area are subject to Interconnection Reliability Operating Limits¹.
 - (i) All Reliability Authorities that share a Facility (or group of Facilities) shall agree on whether that Facility (or group of Facilities) is (are) subject to Interconnection Reliability Operating Limits.
- (2) The Reliability Authority shall identify Interconnection Reliability Operating Limits for its Reliability Authority Area. Each Interconnection Reliability Operating Limit shall have a T_v that is smaller than or equal to 30 minutes.
- (3) All Reliability Authorities that share a Facility (or group of Facilities) subject to an Interconnection Reliability Operating Limit shall agree upon the process used to determine that Interconnection Reliability Operating Limit and its associated T_v .

(b) Measures

- (1) The Reliability Authority shall have a list of Facilities (or group of Facilities) in its Reliability Authority Area that are subject to Interconnection Reliability Operating Limits.
 - (i) The Reliability Authority shall have evidence it has reviewed and updated its list of Facilities (or groups of Facilities) to reflect changes in its Reliability Authority Area's system topology.
- (2) The Reliability Authority shall be able to identify the current values of the Interconnection Reliability Operating Limits it monitors. Each of these Interconnection Reliability Operating Limits shall have a T_v that is smaller than or equal to 30 minutes.
 - (i) The Reliability Authorities that share a Facility (or group of Facilities) shall have an agreed upon process for determining if that Facility (or group of Facilities) is subject to an Interconnection Reliability Operating Limit and for determining the value of that Interconnection Reliability Operating Limit and its associated T_v .
- (3) The Reliability Authority shall be able to demonstrate that its Interconnection Reliability Operating Limit values and their T_v reflect current system conditions.

(c) Regional Differences

None identified.

¹ Each Interconnection Reliability Operating Limit is developed by following the requirements in the Determine Facility Ratings, System Operating Limits, and Transfer Capabilities Standard.

(d) Compliance Monitoring Process

- (1) The Reliability Authority shall demonstrate compliance through self-certification submitted to its Compliance Monitor annually. The Compliance Monitor may also use scheduled on-site reviews every three years, and investigations upon complaint, to assess performance.
- (2) The Performance-reset Period shall be 12 months from the last violation. The Reliability Authority shall keep data on facilities and limits for three calendar years. The Compliance Monitor shall keep audited data for three calendar years.
- (3) The Reliability Authority shall have the following available upon the request of its Compliance Monitor:
 - (i) List of Facilities (or group of Facilities) in its Reliability Authority Area that are subject to Interconnection Reliability Operating Limits. The list shall be contained on paper, displayed through an Energy Management System, or via another data source.
 - (ii) Evidence that the list of Facilities (or group of Facilities) subject to Interconnection Reliability Operating Limits was updated.
 - (ii) An agreed upon process for determining if a shared Facility (or group of Facilities) is subject to an Interconnection Reliability Operating Limit and for determining the value of that Interconnection Reliability Operating Limit and its associated T_v .
- (4) The Reliability Authority shall demonstrate that it can identify the current values of the Interconnection Reliability Operating Limits it monitors and shall show that each of these Interconnection Reliability Operating Limits shall have a T_v that is smaller than or equal to 30 minutes.

(e) Levels of Noncompliance

- (1) Level One: No process for determining if shared Facilities (or groups of Facilities) are subject to Interconnection Reliability Operating Limits and for determining the value of that Interconnection Reliability Operating Limit and its associated T_v .
- (2) Level Two: No evidence that a shared Facility (or group of Facilities) has an Interconnection Reliability Operating Limit with a T_v that has been agreed to by all Reliability Authorities that share the Facility (or group of Facilities).
- (3) Level Three: A level three noncompliance occurs if either of the following conditions are present:
 - (i) One or more Interconnection Reliability Operating Limits had a T_v that was greater than 30 minutes.
 - (ii) No evidence that the list of Facilities (or groups of Facilities) subject to Interconnection Reliability Operating Limits was updated.
- (4) Level Four: A level four noncompliance occurs if either of the following conditions are present:
 - (i) Could not identify the current values of the Interconnection Reliability Operating Limits for its Reliability Area.
 - (ii) No list of Facilities (or groups of Facilities) subject to Interconnection Reliability Operating Limits exists for the Reliability Authority Area.

(f) Sanctions

- (1) Sanctions for noncompliance shall be applied consistent with the NERC Compliance and Enforcement Matrix. In places where financial sanctions are applied for noncompliance, these penalties shall be the fixed dollar sanctions listed in the matrix, not the dollars per megawatt sanctions.

202 — Monitoring

(a) Requirements

- (1) The Reliability Authority shall perform Real-time Monitoring of system operating parameters to determine if its Reliability Authority Area is operating within its Interconnection Reliability Operating Limits.

(b) Measures

- (1) The Reliability Authority shall have a list of Facilities (or groups of Facilities) subject to Interconnection Reliability Operating Limits available for its operations personnel's Real-time use.
- (2) The Reliability Authority shall have Interconnection Reliability Operating Limits available for its operations personnel's Real-time use.
- (3) The Reliability Authority shall have Real-time Data available in a form that system operators can compare to the Interconnection Reliability Operating Limits.
- (4) The Reliability Authority shall monitor system operating parameters and compare these against its Interconnection Reliability Operating Limits.

(c) Regional Differences

None identified.

(d) Compliance Monitoring Process

- (1) The Reliability Authority shall demonstrate compliance through self-certification submitted to its Compliance Monitor annually. The Compliance Monitor may also use scheduled on-site reviews every three years, and investigations upon complaint, to assess performance.
- (2) The Performance-reset Period shall be 12 months from the last violation. The Reliability Authority shall keep data on limits for three calendar years. The Compliance Monitor shall keep audited data for three calendar years.
- (3) The Reliability Authority shall demonstrate the following upon the request of the Compliance Monitor:
 - (i) System operators actively monitoring and comparing Real-time system operating parameters associated with Interconnection Reliability Operating Limits.

(e) Levels of Noncompliance

- (1) Level One: Not applicable.
- (2) Level Two: List of Facilities (or groups of Facilities) subject to Interconnection Reliability Operating Limits not available to operations personnel for Real-time use.
- (3) Level Three: Not applicable.

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- (4) Level Four: A level four noncompliance occurs if any of the following conditions are present:
- (i) Interconnection Reliability Operating Limits not available to operations personnel for Real-time use; or
 - (ii) Real-time Data not available in a form that can be compared to the Interconnection Reliability Operating Limits; or
 - (iii) System operating parameters not monitored and compared against Interconnection Reliability Operating Limits.

(f) Sanctions

- (1) Sanctions for noncompliance shall be applied consistent with the NERC Compliance and Enforcement Matrix. In places where financial sanctions are applied for noncompliance, these penalties shall be the fixed dollar sanctions listed in the matrix, not the dollars per megawatt sanctions.

203 — Analyses and Assessments

(a) Requirements

- (1) The Reliability Authority shall perform Operational Planning Analyses to assess whether the planned Bulk Electric System operations within its Reliability Authority Area will exceed any of its Interconnection Reliability Operating Limits.
- (2) The Reliability Authority shall perform Real-time Assessments to determine if its Reliability Authority Area is exceeding any Interconnection Reliability Operating Limits or is expected to exceed any Interconnection Reliability Operating Limits.

(b) Measures

- (1) The Reliability Authority shall identify operating situations or events that impact its Reliability Authority Area's ability to operate without exceeding any Interconnection Reliability Operating Limits.
 - (i) The Reliability Authority shall conduct an Operational Planning Analysis at least once each day, evaluating the next day's projected system operating conditions.
 - (ii) The Reliability Authority shall conduct a Real-time Assessment periodically, but at least once every 30 minutes.

(c) Regional Differences

None identified.

(d) Compliance Monitoring Process

- (1) The Reliability Authority shall demonstrate compliance through self-certification submitted to its Compliance Monitor annually. The Compliance Monitor may also use scheduled on-site reviews once every three years, and investigations upon complaint, to assess performance.
- (2) The Performance-reset Period shall be 12 months from the last violation. The Compliance Monitor shall keep audited data for three calendar years.
- (3) The Reliability Authority shall identify the following upon the request of the Compliance Monitor:
 - (i) The time the most recent Operational Planning Analysis was conducted.
 - (ii) Whether the planned Bulk Electric System operations within the Reliability Authority's Reliability Authority Area will exceed any of its Interconnection Reliability Operating Limits.
 - (iii) The time the most recent Real-time Assessment was conducted.
 - (iv) Whether the Real-time Assessment identified if its Reliability Authority Area is exceeding any Interconnection Reliability Operating Limits or is expected to exceed any Interconnection Reliability Operating Limits.

(e) Levels of Noncompliance

- (1) Level One: Not applicable.
- (2) Level Two: Not applicable.
- (3) Level Three: A level three noncompliance exists if any of the following conditions are present:
 - (i) No indication that an Operational Planning Analysis was conducted at least once each day.
 - (ii) No indication that a Real-time Assessment was conducted at least once each 30 minutes.
- (4) Level Four: A level four noncompliance exists if either of the following conditions are present:
 - (i) The Reliability Authority could not identify whether the planned Bulk Electric System operations within its Reliability Authority Area is expected to exceed any of its Interconnection Reliability Operating Limits, based on the results of the most recent Operational Planning Analysis.
 - (ii) The Reliability Authority could not identify whether the most recent Real-time Assessment identified if its Reliability Authority Area is exceeding any Interconnection Reliability Operating Limits or is expected to exceed any Interconnection Reliability Operating Limits.

(f) Sanctions

- (1) Sanctions for noncompliance shall be applied consistent with the NERC Compliance and Enforcement Matrix. In places where financial sanctions are applied for noncompliance, these penalties shall be the fixed dollar sanctions listed in the matrix, not the dollars per megawatt sanctions.

204 — Actions

(a) Requirements

- (1) The Reliability Authority shall, without delay, act² or direct others to act to:
 - (i) Prevent instances where Interconnection Reliability Operating Limits may be exceeded.
 - (ii) Mitigate the magnitude and duration of instances where Interconnection Reliability Operating Limits have been exceeded.
- (2) The Reliability Authority shall include a statement in each Interconnection Reliability Operating Limit-related directive, that informs the recipient that the directive is related to an Interconnection Reliability Operating Limit.
- (3) The Reliability Authority shall document instances of exceeding Interconnection Reliability Operating Limits and shall document and complete an Interconnection Reliability Operating Limit Violation Report for instances of exceeding Interconnection Reliability Operating Limits for time greater than T_v .

(b) Measures

- (1) The Reliability Authority shall have documentation to support each instance where actions were taken or directives were issued to mitigate the magnitude and duration of exceeding an Interconnection Reliability Operating Limit.
 - (i) The documentation shall include the actions taken or directives issued, the magnitude of the event, and the duration of the event. (This data may be from an operating log, may be from the entity's energy management system, or may be from some other source.)
 - (i) The duration of the event shall be measured from the point when the limit is exceeded to the point when the system has returned to a state that is within the Interconnection Reliability Operating Limit for a minimum of one minute.
- (2) The Reliability Authority shall report each instance of exceeding an Interconnection Reliability Operating Limit for time greater than T_v .
 - (i) The Reliability Authority shall complete an Interconnection Reliability Operating Limit Violation Report and shall file the report with its Compliance Monitor within five business days of the initiation of the event. (The report shall include the date and time of the event, identification of which Interconnection Reliability Operating Limit was violated and the T_v for that limit, magnitude and duration of exceeding the Interconnection Reliability Operating Limit, actions taken or directives issued and

² Note that the Reliability Authority is expected to act without delay and may choose to take 'no overt action' and this may be an acceptable action as long as it is documented. Taking 'no overt action' is not the same as ignoring the problem.

the time these were initiated or issued, and an explanation of results of actions or directives.)

(c) Regional Differences

None identified.

(d) Compliance Monitoring Process

- (1) The Reliability Authority shall demonstrate compliance through self-certification submitted to its Compliance Monitor annually. The Compliance Monitor may also use scheduled on-site reviews every three years, and investigations upon complaint, to assess performance.
- (2) The Performance-reset Period shall be 12 months from the last violation. The Reliability Authority shall keep Interconnection Reliability Operating Limit Violation Reports, operations logs, or other documentation for three calendar years. The Compliance Monitor shall keep audited data for three calendar years.
- (3) The Reliability Authority shall have the following available upon the request of its Compliance Monitor:
 - (i) Operations logs or other documentation indicating the magnitude and duration of each instance of exceeding an Interconnection Reliability Operating Limit and the actions or directives issued for each of these instances.
 - (ii) Interconnection Reliability Operating Limit Violation Reports.

(e) Levels of Noncompliance³

- (1) Level One: Interconnection Reliability Operating Limit exceeded for a time less than or equal to T_v and no documentation to indicate actions taken or directives issued to mitigate the instance.
- (2) Level Two: Not applicable.
- (3) Level Three: Not applicable.
- (4) Level Four: Interconnection Reliability Operating Limit exceeded for time greater than T_v .

³ Note that the Reliability Authority is expected to act without delay and may choose to take 'no overt action' and this may be an acceptable action as long as it is documented. Taking 'no overt action' is not the same as ignoring the problem.

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(f) Sanctions

(1) Sanctions for noncompliance shall be applied consistent with the NERC Compliance and Enforcement Matrix.

- (i) Level one noncompliance sanctions shall be the fixed dollar sanctions listed in the matrix, not the dollars per megawatt sanctions.
- (ii) Level four noncompliance sanctions shall be the greater of the fixed dollar sanctions listed in the matrix, or the dollar amount that corresponds to the magnitude and duration of the event as highlighted in the following table:

If the Maximum Value % over the Limit (measured after the event duration exceeds T_v) is: <small>Max Value % = (Max Value/IROL limit - 1)*100</small>	And the event duration exceeds its T_v by ___ minutes:	Then Multiply the Level 4 \$ sanction by:
0% < Max Value % ≤ 5%	$T_v < \text{Duration} \leq T_v + 5$ minutes	5
	$T_v + 5 \text{ minutes} < \text{Duration} \leq T_v + 10$ minutes	10
	$T_v + 10 \text{ minutes} < \text{Duration} \leq T_v + 15$ minutes	15
	$\text{Duration} > T_v + 15$ minutes	20
5% < Max Value % ≤ 10%	$T_v < \text{Duration} \leq T_v + 5$ minutes	10
	$T_v + 5 \text{ minutes} < \text{Duration} \leq T_v + 10$ minutes	15
	$T_v + 10 \text{ minutes} < \text{Duration} \leq T_v + 15$ minutes	20
	$\text{Duration} > T_v + 15$ minutes	25
10% < Max Value % ≤ 15%	$T_v < \text{Duration} \leq T_v + 5$ minutes	15
	$T_v + 5 \text{ minutes} < \text{Duration} \leq T_v + 10$ minutes	20
	$T_v + 10 \text{ minutes} < \text{Duration} \leq T_v + 15$ minutes	25
	$\text{Duration} > T_v + 15$ minutes	30
15% < Max Value % ≤ 20%	$T_v < \text{Duration} \leq T_v + 5$ minutes	20
	$T_v + 5 \text{ minutes} < \text{Duration} \leq T_v + 10$ minutes	25
	$T_v + 10 \text{ minutes} < \text{Duration} \leq T_v + 15$ minutes	30
	$\text{Duration} > T_v + 15$ minutes	35
20% < Max Value % ≤ 25%	$T_v < \text{Duration} \leq T_v + 5$ minutes	25
	$T_v + 5 \text{ minutes} < \text{Duration} \leq T_v + 10$ minutes	30
	$T_v + 10 \text{ minutes} < \text{Duration} \leq T_v + 15$ minutes	35
	$\text{Duration} > T_v + 15$ minutes	40
25% < Max Value % ≤ 30%	$T_v < \text{Duration} \leq T_v + 5$ minutes	30
	$T_v + 5 \text{ minutes} < \text{Duration} \leq T_v + 10$ minutes	35
	$T_v + 10 \text{ minutes} < \text{Duration} \leq T_v + 15$ minutes	40
	$\text{Duration} > T_v + 15$ minutes	45

205 — Data Specification and Collection

(a) Requirements

- (1) The Reliability Authority shall specify and collect the data it needs to support Real-time Monitoring, Operational Planning Analyses, and Real-time Assessments conducted relative to operating within its Reliability Authority Area's Interconnection Reliability Operating Limits. The Reliability Authority shall collect this data from the entities performing functions that have Facilities monitored by the Reliability Authority, and from entities that provide Real-time Facility status to the Reliability Authority. This includes specifying and collecting data from the following:
 - (i) Balancing Authorities
 - (ii) Generator Owners
 - (iii) Generator Operators
 - (iv) Load-serving Entities
 - (v) Reliability Authorities
 - (vi) Transmission Operators
 - (vii) Transmission Owners
- (2) The Reliability Authority shall specify when to supply data (based on its hardware and software requirements, and the time needed to do its Operational Planning Analyses).
- (3) The Reliability Authority shall notify its Compliance Monitor when both of the following conditions are present:
 - (i) An entity that has data needed to support Real-time Monitoring, Operational Planning, or Real-time Assessments relative to operating within the Reliability Authority's Reliability Authority Area has not provided data as specified, and
 - (ii) The Reliability Authority was unable to resolve the issue with the entity responsible for providing the data.

(b) Measures

- (1) The Reliability Authority shall have a documented specification for data needed to build and maintain models needed to support Real-time Monitoring, Operational Planning Analyses, and Real-time Assessments relative to Interconnection Reliability Operating Limits.
 - (i) Specification shall include a list of required data, a mutually agreeable format, and timeframe and periodicity for providing data.
 - (ii) Specification shall address the data provision process to use when automated Real-time system operating data is unavailable.
- (2) The Reliability Authority shall have evidence that it has distributed its data specification to entities that have Facilities monitored by the Reliability

Authority and to entities that provide Facility status to the Reliability Authority.

- (3) The Reliability Authority shall notify its Compliance Monitor when an entity that has Facilities monitored by the Reliability Authority, or an entity that provides Facility status to the Reliability Authority, does not provide data as specified and the Reliability Authority was unable to resolve the issue with the entity responsible for providing the data.
 - (i) If the Reliability Authority does not receive data as specified, and is unable to resolve the situation, then the Reliability Authority shall notify its Compliance Monitor within five business days of discovering that the data is missing.

(c) Regional Differences

None identified.

(d) Compliance Monitoring Process

- (1) The Reliability Authority shall demonstrate compliance through self-certification submitted to its Compliance Monitor annually. The Compliance Monitor may also use scheduled on-site reviews every three years, and investigations upon complaint, to assess performance.
- (2) The Performance-reset Period shall be 12 months from the last violation. The Reliability Authority shall keep its data specification(s) for three calendar years. The Compliance Monitor shall keep audited data for three calendar years.
- (3) The Reliability Authority shall have the following available upon the request of the Compliance Monitor:
 - (i) Data specification(s).
 - (ii) Proof of distribution of the data specification(s).

(e) Levels of Noncompliance

- (1) Level One: Data specification incomplete (missing either the list of required data, a mutually agreeable format, a timeframe for providing data, or a data provision process to use when automated real-time system operating data is unavailable).
- (2) Level Two: No data specification or the specification not distributed to the entities that have Facilities monitored by the Reliability Authority and the entities that provide the Reliability Authority with Facility status.
- (3) Level Three: Not applicable.
- (4) Level Four: Not applicable.

(f) Sanctions

- (1) Sanctions for noncompliance shall be applied consistent with the NERC Compliance and Enforcement Matrix. In places where sanctions are applied for noncompliance, these penalties shall be the fixed dollar sanctions listed in the matrix, not the dollars per megawatt sanctions.

206 — Data Provision

(a) Requirements

- (1) Each entity performing one of the following functions shall provide data and real-time Facility status, as specified, to the Reliability Authority(ies) with which it has a reliability relationship. The data is limited to data needed by the Reliability Authority to support Real-time Monitoring, Operational Planning Analyses, and Real-time Assessments conducted relative to operating within its Reliability Authority Area's Interconnection Reliability Operating Limits.
 - (i) Balancing Authorities
 - (ii) Generator Owners
 - (iii) Generator Operators
 - (iv) Load-serving Entities
 - (v) Reliability Authorities
 - (vi) Transmission Operators
 - (vii) Transmission Owners

(b) Measures

- (1) The responsible entity shall have evidence that it has provided data, as specified, to the requesting Reliability Authority, within the timeframe specified, in the mutually agreed upon format.

(c) Regional Differences

None identified.

(d) Compliance Monitoring Process

- (1) The responsible entity shall demonstrate compliance through self-certification submitted to its Compliance Monitor annually. The Compliance Monitor may also use scheduled on-site reviews every three years, and investigations upon complaint, to assess performance.
- (2) The Performance-reset Period is 12 months from the last violation. The responsible entity shall keep data transmittal documentation for three calendar years. The Compliance Monitor shall keep audited data for three calendar years.
- (3) The responsible entity shall have the following available upon the request of the Compliance Monitor:
 - (i) Evidence indicating data was sent to the Reliability Authority or evidence that the entity responsible committed to providing the data identified in the specification.

(e) Levels of Noncompliance

- (1) Level One: Not applicable.
- (2) Level Two: Not applicable.
- (3) Level Three: Not applicable.
- (4) Level Four: Data was not provided to the Reliability Authority as specified and the situation was not resolved with the Reliability Authority.

(f) Sanctions

- (1) Sanctions for noncompliance shall be applied consistent with the NERC Compliance and Enforcement Matrix. In places where sanctions are applied for noncompliance, these penalties shall be the fixed dollar sanctions listed in the matrix, not the dollars per megawatt sanctions.

207 — Processes, Procedures, or Plans for Preventing and Mitigating Interconnection Reliability Operating Limits

(a) Requirements

- (1) The Reliability Authority shall have one or more processes, procedures, or plans that identify actions it shall take or actions it shall direct others to take, for both prevention and mitigation of instances of exceeding its Interconnection Reliability Operating Limits.

(b) Measures

- (1) The Reliability Authority shall have one or more documented processes, procedures, or plans that address both preventing and mitigating instances of exceeding Interconnection Reliability Operating Limits. The processes, procedures, or plans shall identify and be coordinated with those entities responsible for taking actions and with those entities impacted by such actions.

(c) Regional Differences

None identified.

(d) Compliance Monitoring Process

- (1) The Reliability Authority shall demonstrate compliance through self-certification submitted to its Compliance Monitor annually. The Compliance Monitor may also use scheduled on-site reviews every three years, and investigations upon complaint, to assess performance.
- (2) The Performance-reset Period is 12 months from the last violation. The Reliability Authority shall keep its action plan for three calendar years. The Compliance Monitor shall keep audit records for three calendar years.
- (3) The Reliability Authority shall make the following available for inspection by the Compliance Monitor upon request:
 - (i) Processes, procedures, or plans that address preventing and mitigating instances of exceeding Interconnection Reliability Operating Limits.

(e) Levels of Noncompliance

- (1) Level One: Processes, procedures, or plans exist but weren't coordinated with all involved and impacted entities.
- (2) Level Two: Processes, procedures, or plans exist but weren't coordinated with any involved or any impacted entities.
- (3) Level Three: Processes, procedures, or plans exist but do not address both preventing and mitigating instances of exceeding Interconnection Reliability Limits.
- (4) Level Four: No processes, procedures, or plans exist addressing preventing and mitigating instances of exceeding Interconnection Reliability Operating Limits.

(f) Sanctions

- (1) Sanctions for noncompliance shall be applied consistent with the NERC Compliance and Enforcement Matrix. In places where sanctions are applied for noncompliance, these penalties shall be the fixed dollar sanctions listed in the matrix, not the dollars per megawatt sanctions.

208 — Reliability Authority Directives

(a) Requirements

- (1) The Transmission Operator, Balancing Authority, and Interchange Authority shall follow the Reliability Authority's directives to:
 - (i) Prevent instances where Interconnection Reliability Operating Limits may be exceeded.
 - (ii) Mitigate the magnitude and duration of instances where Interconnection Reliability Operating Limits have been exceeded.
- (2) The responsible entity shall document the Reliability Authority's directives and the actions taken.

(b) Measures

- (1) The responsible entity shall follow the Reliability Authority's directives and shall document the directives and actions taken to meet the directives.
- (2) The responsible entity shall document via an operations log or other data source, the following for each directive it receives relative to an Interconnection Reliability Operating Limit:
 - (i) Date and time of directive received.
 - (ii) Directive issued.
 - (iii) Actions taken in response to directive.

(c) Regional Differences

None identified.

(d) Compliance Monitoring Process

- (1) The responsible entity shall demonstrate compliance through self-certification submitted to its Compliance Monitor annually. The Compliance Monitor may also use scheduled on-site reviews every three years, and investigations upon complaint to assess performance.
- (2) The Performance-reset Period is 12 months from the last violation. The responsible entity shall keep its documentation for three calendar years. The Compliance Monitor shall keep audit records for three calendar years.
- (3) The responsible entity shall make the following available for inspection by the Compliance Monitor upon request:
 - (i) Operations log or other data source(s) to show the following for each instance of being issued a Reliability Authority directive relative to an Interconnection Reliability Operating Limit:
 - 1) Date and time of each directive received.
 - 2) Directive issued.
 - 3) Actions taken in response to directive.

(e) Levels of Noncompliance

- (1) Level One: The responsible entity followed Reliability Authority's directives relative to preventing or mitigating instances of exceeding Interconnection Reliability Operating Limits but did not document the date and time of each directive received, the directive received, and the actions taken in response to the directive.
- (2) Level Two: Not applicable.
- (3) Level Three: Not applicable.
- (4) Level Four: The responsible entity did not follow the Reliability Authority's directives.

(f) Sanctions

- (1) Sanctions for noncompliance shall be applied consistent with the NERC Compliance and Enforcement Matrix. In places where sanctions are applied for noncompliance, these penalties shall be the fixed dollar sanctions listed in the matrix, not the dollars per megawatt sanctions.