

## Standard Development Timeline

This section is maintained by the drafting team during the development of the standard and will be removed when the standard is adopted by the NERC Board of Trustees (Board).

### Description of Current Draft

Completed Actions	Date
Standards Committee approved Standard Authorization Request (SAR) for posting	08/19/15
SAR posted for comment	08/20/15 – 09/21/15
Draft Reliability Standard posted for Informal Comment Period	07/14/16 – 08/12/16
45-day formal comment period with initial ballot	09/29/17 – 11/14/17
45-day formal comment period with additional ballot	08/27/18 – 10/17/18

Anticipated Actions	Date
45-day formal comment period with additional ballot	June 2020
10-day final ballot	August 2020
NERC Board adoption	November 2020

### New or Modified Term(s) Used in NERC Reliability Standards

This section includes all new or modified terms used in the proposed standard that will be included in the *Glossary of Terms Used in NERC Reliability Standards* upon applicable regulatory approval. Terms used in the proposed standard that are already defined and are not being modified can be found in the *Glossary of Terms Used in NERC Reliability Standards*. The new or revised terms listed below will be presented for approval with the proposed standard. Upon Board adoption, this section will be removed.

**Term(s):**

None.

## A. Introduction

1. **Title:** System Operating Limits Methodology for the Operations Horizon
2. **Number:** FAC-011-4
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. **Functional Entities:**
    - 4.1.1. Reliability Coordinator
5. **Effective Date:** See Implementation Plan for [Project 2015-09](#).

## B. Requirements and Measures

- R1.** Each Reliability Coordinator shall have a documented methodology for establishing SOLs (i.e., SOL methodology) within its Reliability Coordinator Area. *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*
- M1.** Acceptable evidence may include, but is not limited to, dated electronic or hard copy documentation of its SOL methodology.
- R2.** Each Reliability Coordinator shall include in its SOL methodology the method for Transmission Operators to determine which owner-provided Facility Ratings are to be used in operations such that the Transmission Operator and its Reliability Coordinator use common Facility Ratings. *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*
- M2.** Acceptable evidence may include, but is not limited to, dated electronic or hard copy documentation of its SOL methodology that addresses the items listed in Requirement R2.
- R3.** Each Reliability Coordinator shall include in its SOL methodology the method for Transmission Operators to determine the System Voltage Limits to be used in operations. The method shall: *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*
  - 3.1.** Require that each BES bus/station have an associated System Voltage Limits, unless its SOL methodology specifically allows the exclusion of BES buses/stations from the requirement to have an associated System Voltage Limit;
  - 3.2.** Require that System Voltage Limits respect voltage-based Facility Ratings;
  - 3.3.** Require that System Voltage Limits are greater than or equal to in-service BES relay settings for undervoltage load shedding systems and Undervoltage Load Shedding Programs;

- 3.4. Identify the lowest allowable System Voltage Limit;
  - 3.5. Define the method for determining common System Voltage Limits between the Reliability Coordinator and its Transmission Operators, between adjacent Transmission Operators, and between adjacent Reliability Coordinators within an Interconnection.
- M3.** Acceptable evidence may include, but is not limited to, dated electronic or hard copy documentation of its SOL methodology that addresses the items listed in Requirement R3.
- R4.** Each Reliability Coordinator shall include in its SOL methodology the method for determining the stability limits to be used in operations. The method shall: *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*
- 4.1. Specify stability performance criteria, including any margins applied. The criteria shall, at a minimum, include the following:
    - 4.1.1. steady-state voltage stability;
    - 4.1.2. transient voltage response;
    - 4.1.3. angular stability; and
    - 4.1.4. System damping.
  - 4.2. Require that stability limits are established to meet the criteria specified in Part 4.1 for the Contingencies identified in Requirement R5 applicable to the establishment of stability limits that are expected to produce more severe System impacts on its portion of the BES.
  - 4.3. Describe how the Reliability Coordinator establishes stability limits when there is an impact to more than one Transmission Operator in its Reliability Coordinator Area or other Reliability Coordinator Areas.
  - 4.4. Describe how stability limits are determined, considering levels of transfers, Load and generation dispatch, and System conditions including any changes to System topology such as Facility outages.
  - 4.5. Describe the level of detail that is required for the study model(s), including the portion modeled of the Reliability Coordinator Area, and the critical modeling details from other Reliability Coordinator Areas, necessary to determine different types of stability limits.
  - 4.6. Describe the allowed uses of Remedial Action Schemes and other automatic post-Contingency mitigation actions in establishing stability limits used in operations.
  - 4.7. State that the use of underfrequency load shedding (UFLS) programs and Undervoltage Load Shedding Programs are not allowed in the establishment of stability limits.

- M4.** Acceptable evidence may include, but is not limited to, dated electronic or hard copy documentation of its SOL methodology that addresses the items listed in Requirement R4.
- R5.** Each Reliability Coordinator shall identify in its SOL methodology the set of Contingency events for use in determining stability limits and the set of Contingency events for use in performing Operational Planning Analysis (OPAs) and Real-time Assessments (RTAs). The SOL methodology for each set shall: *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*
- 5.1.** Specify the following single Contingency events:
- 5.1.1.** Loss of any of the following either by single phase to ground or three phase Fault (whichever is more severe) with Normal Clearing, or without a Fault:
- generator;
  - transmission circuit;
  - transformer;
  - shunt device; or
  - single pole block in a monopolar or bipolar high voltage direct current system.
- 5.2.** Specify additional single or multiple Contingency events or types of Contingency events, if any.
- 5.3.** Describe the method(s) for identifying which, if any, of the Contingency events provided by the Planning Coordinator or Transmission Planner in accordance with FAC-014-3, Requirement R7, to use in determining stability limits.
- M5.** Acceptable evidence may include, but is not limited to, dated electronic or hard copy documentation of its SOL methodology that addresses the items listed in Requirement R5.
- R6.** Each Reliability Coordinator shall include the following performance framework in its SOL methodology to determine SOL exceedances when performing Real-time monitoring, Real-time Assessments, and Operational Planning Analyses: *[Violation Risk Factor: High] [Time Horizon: Operations Planning]*
- 6.1.** System performance for no Contingencies demonstrates the following:
- 6.1.1.** Steady state flow through Facilities are within Normal Ratings; however, Emergency Ratings may be used when System adjustments to return the flow within its Normal Rating could be executed and completed within the specified time duration of those Emergency Ratings.
- 6.1.2.** Steady state voltages are within normal System Voltage Limits; however, emergency System Voltage Limits may be used when System adjustments

to return the voltage within its normal System Voltage Limits could be executed and completed within the specified time duration of those emergency System Voltage Limits.

- 6.1.3.** Predetermined stability limits are not exceeded.
- 6.1.4.** Instability, Cascading or uncontrolled separation that adversely impact the reliability of the Bulk Electric System does not occur.<sup>1</sup>
- 6.2.** System performance for the single Contingencies listed in Part 5.1 demonstrates the following:
  - 6.2.1.** Steady State post-Contingency flow through Facilities within applicable Emergency Ratings. Steady state post-Contingency flow through a Facility must not be above the Facility's highest Emergency Rating.
  - 6.2.2.** Steady state post-Contingency voltages are within emergency System Voltage Limits.
  - 6.2.3.** The stability performance criteria defined in the Reliability Coordinator's SOL methodology are met<sup>1</sup>.
  - 6.2.4.** Instability, Cascading or uncontrolled separation that adversely impact the reliability of the Bulk Electric System does not occur<sup>1</sup>.
- 6.3.** System performance for applicable Contingencies identified in Part 5.2 demonstrates that: instability, Cascading, or uncontrolled separation that adversely impact the reliability of the Bulk Electric System does not occur.
- 6.4.** In determining the System's response to any Contingency identified in Requirement R5, planned manual load shedding is acceptable only after all other available System adjustments have been made.
- M6.** Acceptable evidence may include, but is not limited to, dated electronic or hard copy documentation of its SOL methodology that addresses the items listed in Requirement R6.
- R7.** Each Reliability Coordinator shall include in its SOL methodology a risk-based approach for determining how SOL exceedances identified as part of Real-time monitoring and Real-time Assessments must be communicated and if so, the timeframe that communications must occur. The approach shall include: *[Violation Risk Factor: High] [Time Horizon: Operations Planning]*
  - 7.1.** A requirement that the following SOL exceedances will always be communicated, within a timeframe identified by the Reliability Coordinator.
    - 7.1.1.** IROL exceedances;
    - 7.1.2.** SOL exceedances of stability limits;

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<sup>1</sup> Stability evaluations and assessments of instability, Cascading, and uncontrolled separation can be performed using real-time stability assessments, predetermined stability limits or other offline analysis techniques.



## C. Compliance

### 1. Compliance Monitoring Process

#### 1.1. Compliance Enforcement Authority:

“Compliance Enforcement Authority” means NERC or the Regional Entity, or any entity as otherwise designated by an Applicable Governmental Authority, in their respective roles of monitoring and/or enforcing compliance with mandatory and enforceable Reliability Standards in their respective jurisdictions.

#### 1.2. Evidence Retention:

The following evidence retention period(s) 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 applicable entity shall 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.

- The Reliability Coordinator shall keep data or evidence of compliance with Requirements R1 through R9 for the current year plus the previous 12 calendar months.

#### 1.3. Compliance Monitoring and Enforcement Program:

As defined in the NERC Rules of Procedure, “Compliance Monitoring and Enforcement Program” refers to the identification of the processes that will be used to evaluate data or information for the purpose of assessing performance or outcomes with the associated Reliability Standard.

### Violation Severity Levels

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
<b>R1.</b>	N/A	N/A	N/A	The Reliability Coordinator did not have a documented SOL methodology for establishing SOLs within its Reliability Coordinator Area.
<b>R2.</b>	N/A	N/A	The Reliability Coordinator included in its SOL methodology the method for Transmission Operators to determine which owner-provided Facility Ratings are to be used in operations, but the method did not address the use of common Facility Ratings between the Reliability Coordinator and the Transmission Operators in its Reliability Coordinator Area.	The Reliability Coordinator did not include in its SOL methodology the method for Transmission Operators to determine which owner-provided Facility Ratings are to be used in operations.
<b>R3.</b>	The Reliability Coordinator failed to incorporate one of the Parts of Requirement R3 into its SOL methodology.	The Reliability Coordinator failed to incorporate two of the Parts of Requirement R3 into its SOL methodology.	The Reliability Coordinator failed to incorporate three of the Parts of Requirement R3 into its SOL methodology.	The Reliability Coordinator failed to incorporate four or more of the Parts of



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				Requirement R3 into its SOL methodology.
<b>R4.</b>	The Reliability Coordinator failed to incorporate one of the Parts of Requirement R4 into its SOL methodology.	The Reliability Coordinator failed to incorporate two of the Parts of Requirement R4 into its SOL methodology.	The Reliability Coordinator failed to incorporate three of the Parts of Requirement R4 into its SOL methodology.	The Reliability Coordinator failed to incorporate four or more of the Parts of Requirement R4 into its SOL methodology.
<b>R5.</b>	N/A	N/A	The Reliability Coordinator failed to incorporate one of the Parts 5.2 or 5.3 of Requirement R5 into its SOL methodology.	The Reliability Coordinator failed to incorporate Part 5.1 of Requirement R5 into its SOL methodology.  OR The Reliability Coordinator failed to incorporate Parts 5.2 and 5.3 of Requirement R5 into its SOL methodology.
<b>R6.</b>	The Reliability Coordinator failed to incorporate one of the Parts of Requirement R6 into its SOL methodology.	The Reliability Coordinator failed to incorporate two of the Parts of Requirement R6 into its SOL methodology.	The Reliability Coordinator failed to incorporate three of the Parts of Requirement R6 into its SOL methodology.	The Reliability Coordinator failed to incorporate four of the Parts of Requirement R6 into its SOL methodology.
<b>R7</b>	N/A	The Reliability Coordinator included in its SOL methodology, a risk-based approach for determining how SOL exceedances identified as part of Real-time monitoring and Real-time Assessments must be	The Reliability Coordinator included in its SOL methodology, a risk-based approach for determining how SOL exceedances identified as part of Real-time monitoring and Real-	The Reliability Coordinator failed to include in its SOL methodology, a risk-based approach for determining how SOL exceedances identified as part of Real-time monitoring and Real-

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		communicated and if so, with what priority, but failed to include one of the Parts 7.2.1 through 7.2.2.	time Assessments must be communicated and if so, with what priority, but failed to include one of the Parts 7.1.1 through 7.1.5.	time Assessments must be communicated and if so, with what priority.
<b>R8.</b>	N/A	N/A	<p>The Reliability Coordinator failed to include Part 8.1 (a description of how to identify the subset of SOLs that qualify as IROLs) in its SOL methodology.</p> <p>OR</p> <p>The Reliability Coordinator failed to include Part 8.2 (a criteria for determining when violating a SOL qualifies as an IROL in its SOL methodology.</p> <p>OR</p> <p>The Reliability Coordinator failed to include Part 8.2 (criteria for developing any associated IROL <math>T_v</math>) in its SOL methodology.</p>	The Reliability Coordinator failed to include Parts 8.1 and 8.2 in its SOL methodology.
<b>R9.</b>	The Reliability Coordinator failed to provide its new or revised SOL methodology to	The Reliability Coordinator failed to provide its new or revised SOL methodology to	The Reliability Coordinator failed to provide its new or revised SOL methodology to	The Reliability Coordinator failed to provide its new or revised SOL methodology to

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	<p>one of the parties specified in Requirement R9, Part 9.2 prior to the effective date</p> <p>OR</p> <p>The Reliability Coordinator provided its new or revised SOL methodology to a requesting Reliability Coordinator in accordance with Requirement R9, Part 9.1 but was late by less than or equal to 10 calendar days.</p>	<p>two of the parties specified in Requirement R9, Part 9.2 prior to the effective date</p> <p>OR</p> <p>The Reliability Coordinator provided its new or revised SOL methodology to a requesting Reliability Coordinator in accordance with Requirement R9, Part 9.1, but was late by more than 10 calendar days but less than or equal to 20 calendar days.</p>	<p>three of the parties specified in Requirement R9, Part 9.2 prior to the effective date</p> <p>OR</p> <p>The Reliability Coordinator provided its new or revised SOL methodology to a requesting Reliability Coordinator in accordance with Requirement R9, Part 9.1, but was late by more than 20 calendar days but less than or equal to 30 calendar days.</p>	<p>four or more of the parties specified in Requirement R9, Part 9.2 prior to the effective date</p> <p>OR</p> <p>The Reliability Coordinator failed to provide its new or revised SOL methodology to one or more of the parties specified in Requirement R9, Part 9.2</p> <p>OR</p> <p>The Reliability Coordinator provided its new or revised SOL methodology to a requesting Reliability Coordinator in accordance with Requirement R9, Part 9.1, but was late by more than 30 calendar days.</p> <p>OR</p> <p>The Reliability Coordinator failed to provide its new or revised SOL methodology to a requesting Reliability Coordinator in accordance with Requirement R9, Part 9.1.</p>
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## **D. Regional Variances**

None.

## **E. Associated Documents**

Implementation Plan

## Version History

Version	Date	Action	Change Tracking
1	November 1, 2006	Adopted by Board	New
2		<p>Changed the effective date to October 1, 2008</p> <p>Changed “Cascading Outage” to “Cascading”</p> <p>Replaced Levels of Non-compliance with Violation Severity Levels</p> <p>Corrected footnote 1 to reference FAC-011 rather than FAC-010</p>	Revised
2	June 24, 2008	Adopted by Board: 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 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	Replaced references to Special Protection System and SPS with Remedial Action Scheme and RAS
4	TBD	Adopted by the NERC Board	Revised