

**Reliability Standard Audit Worksheet[[1]](#footnote-1)**

# FAC-008-5 – Facility Ratings

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

**Registered Entity:**

**NCR Number:**

**Applicable Function(s):** GO, TO

**Compliance Assessment Date:**

**Compliance Monitoring Method:**

**Names of Auditors:**

# **Subject Matter Experts**

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

**Registered Entity Response (Required):**

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| **SME Name** | **Title** | **Organization** | **Requirement(s)** |
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# **R1 Supporting Evidence and Documentation**

1. Each Generator Owner shall have documentation for determining the Facility Ratings of its solely and jointly owned generator Facility(ies) up to the low side terminals of the main step up transformer if the Generator Owner does not own the main step up transformer and the high side terminals of the main step up transformer if the Generator Owner owns the main step up transformer. *[Violation Risk Factor: Lower] [Time Horizon: Long-term Planning]*
   1. The documentation shall contain assumptions used to rate the generator and at least one of the following:

* Design or construction information such as design criteria, ratings provided by equipment manufacturers, equipment drawings and/or specifications, engineering analyses, method(s) consistent with industry standards (e.g. ANSI and IEEE), or an established engineering practice that has been verified by testing or engineering analysis.
* Operational information such as commissioning test results, performance testing or historical performance records, any of which may be supplemented by engineering analyses.

**1.2.** The documentation shall be consistent with the principle that the Facility Ratings do not exceed the most limiting applicable Equipment Rating of the individual equipment that comprises that Facility.

**Question:** Does Registered Entity solely and/or jointly own the main step up transformer?

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

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

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

**Registered Entity Evidence (Required):**

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| 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 |
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**Audit Team Evidence Reviewed** **(This section must be completed by the Compliance Enforcement Authority):**

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**Compliance Assessment Approach Specific to FAC-008-5 R1**

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

Review the evidence to verify the following for the Registered Entity:

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|  | Responded to the above Question and provided evidence of compliance. |
|  | Has a clear, documented assumption statement used to rate the generator, using one of the following:  \_\_\_\_\_Generator design or construction information (design criteria/ratings/drawings/engineering specifications, analyses or methods per industry standards (ANSI and IEEE) or establish/verified industry practices.  \_\_\_\_\_Valid operational commissioning or performance tests or historical performance records. |
|  | Any of above supplemented by engineering analyses. |
|  | Provided clear documentation that is consistent with the principle that the Facility Rating does not exceed the most limiting rating of applicable individual equipment. |
| **Note to Auditor:** | |
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**Auditor Notes:**

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# **R2 Supporting Evidence and Documentation**

1. Each Generator Owner shall have a documented methodology for determining Facility Ratings (Facility Ratings methodology) of its solely and jointly owned equipment connected between the location specified in R1 and the point of interconnection with the Transmission Owner that contains all of the following. *[Violation Risk Factor: Medium] [Time Horizon: Long-term Planning]*
   1. The methodology used to establish the Ratings of the equipment that comprises the Facility(ies) shall be consistent with at least one of the following:

* Ratings provided by equipment manufacturers or obtained from equipment manufacturer specifications such as nameplate rating.
* One or more industry standards developed through an open process such as Institute of Electrical and Electronic Engineers (IEEE) or International Council on Large Electric Systems (CIGRE).
* A practice that has been verified by testing, performance history or engineering analysis.
  1. The underlying assumptions, design criteria, and methods used to determine the Equipment Ratings identified in Requirement R2, Part 2.1 including identification of how each of the following were considered:
     1. Equipment Rating standard(s) used in development of this methodology.
     2. Ratings provided by equipment manufacturers or obtained from equipment manufacturer specifications.
     3. Ambient conditions (for particular or average conditions or as they vary in real-time).
     4. Operating limitations.[[2]](#footnote-2)
  2. A statement that a Facility Rating shall respect the most limiting applicable Equipment Rating of the individual equipment that comprises that Facility.
  3. The process by which the Rating of equipment that comprises a Facility is determined.
     1. The scope of equipment addressed shall include, but not be limited to, conductors, transformers, relay protective devices, terminal equipment, and series and shunt compensation devices.
     2. The scope of Ratings addressed shall include, as a minimum, both Normal and Emergency Ratings.

**Question:** Does the Registered Entity solely or jointly own the equipment between the GSU and the TO connection to the transmission line/bus?

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

**Question:** Does the Registered Entity have a documented methodology for determining the Facility Rating of sole or jointly owned equipment between GO’s high side of the main step up transformer and the connection to TO Facilities? If yes, provide details.

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

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

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

**Registered Entity Evidence (Required):**

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| 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 |
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**Audit Team Evidence Reviewed** **(This section must be completed by the Compliance Enforcement Authority):**

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**Compliance Assessment Approach Specific to FAC-008-5 R2**

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

Review the evidence to verify the following for the Registered Entity:

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|  | Responded to the above Question and provided evidence of compliance. |
|  | Registered Entity’s documented methodology for determining the Facility Rating of sole or jointly owned equipment between GO’s high side of the main step up transformer and the connection to TO Facilities exists. |
|  | Methodology used to establish equipment ratings is consistent with one of the following:  \_\_\_\_\_Ratings provided by equipment manufacturers or obtained from equipment manufacturer specifications such as nameplate rating.  \_\_\_\_\_One or more industry standards developed through an open process such as Institute of Electrical and Electronics Engineers (IEEE) or International Council on Large Electric Systems (CIGRE).  \_\_\_\_\_A practice that has been verified by testing, performance history, or engineering analysis. |
|  | Underlying assumptions, design criteria, and methods used to determine the Equipment Ratings identified in R2, Part 2.1, including identification of how each of the following was considered:  \_\_\_\_\_Equipment Rating standard(s) used in development of this methodology.  \_\_\_\_\_Ratings provided by equipment manufacturers or obtained from equipment manufacturer specifications.  \_\_\_\_\_Ambient conditions (for particular or average conditions or as they vary in real-time).  \_\_\_\_\_Operating limitations. |
|  | A statement that a “Facility Rating shall respect the most limiting applicable Equipment Rating of the individual equipment that comprises that Facility” is included within the Facility Ratings Methodology. |
|  | The scope of equipment and Ratings addressed includes:  \_\_\_\_\_Conductors  \_\_\_\_\_Transformers  \_\_\_\_\_Relay protective devices\*  \_\_\_\_\_Terminal equipment  \_\_\_\_\_Series and shunt compensation devices  \_\_\_\_\_Normal Ratings  \_\_\_\_\_Emergency Ratings  \* For relay protective devices, the rating is the threshold of loadability whereby the relay can safely operate without risking failure of the relay. The relay trip setting is not the facility rating under FAC-008-5 unless the trip setting is the most limiting factor of the facility. |
| **Note to Auditor:**  When documenting the methodology used for developing Facility Ratings, the focus is on series-connected equipment that could have the most limiting Equipment Rating. Verify the registered entity has included the following equipment as “terminal equipment:”   * Wave traps * Current transformers\*\* * Disconnect switches * Breakers * Primary fuses * Any piece of series-connected equipment that comprises a Facility and that could have   the most limiting Equipment Rating.  In the event an entity does not include a rating methodology for one or more of the above equipment types, verify the entity does not own such equipment.  \*\* A CEA may consider a current transformer that is part of a Protection System as an element to be accounted for under relay protective devices, terminal equipment, or both categories depending upon the entity’s rating methodology. However, an entity’s rating methodology must address all current transformers that could limit the Equipment Rating. | |

**Auditor Notes:**

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# **R3 Supporting Evidence and Documentation**

1. Each Transmission Owner shall have a documented methodology for determining Facility Ratings (Facility Ratings methodology) of its solely and jointly owned Facilities (except for those generating unit Facilities addressed in R1 and R2) that contains all of the following: *[Violation Risk Factor: Medium] [ Time Horizon: Long-term Planning]*
   1. The methodology used to establish the Ratings of the equipment that comprises the Facility shall be consistent with at least one of the following:

* Ratings provided by equipment manufacturers or obtained from equipment manufacturer specifications such as nameplate rating.
* One or more industry standards developed through an open process such as Institute of Electrical and Electronics Engineers (IEEE) or International Council on Large Electric Systems (CIGRE).
* A practice that has been verified by testing, performance history or engineering analysis.
  1. The underlying assumptions, design criteria, and methods used to determine the Equipment Ratings identified in Requirement R3, Part 3.1 including identification of how each of the following were considered:
     1. Equipment Rating standard(s) used in development of this methodology.
     2. Ratings provided by equipment manufacturers or obtained from equipment manufacturer specifications.
     3. Ambient conditions (for particular or average conditions or as they vary in real-time).
     4. Operating limitations.[[3]](#footnote-3)
  2. A statement that a Facility Rating shall respect the most limiting applicable Equipment Rating of the individual equipment that comprises that Facility.
  3. The process by which the Rating of equipment that comprises a Facility is determined.
     1. The scope of equipment addressed shall include, but not be limited to, transmission conductors, transformers, relay protective devices, terminal equipment, and series and shunt compensation devices.
     2. The scope of Ratings addressed shall include, as a minimum, both Normal and Emergency Ratings.

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

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

**Registered Entity Evidence (Required):**

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| 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 |
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**Audit Team Evidence Reviewed** **(This section must be completed by the Compliance Enforcement Authority):**

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**Compliance Assessment Approach Specific to FAC-008-5 R3**

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

Review the evidence to verify the following for the Registered Entity:

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|  | A documented Facility Ratings Methodology (FRM) of its solely and jointly owned Facilities (except for those generating unit Facilities addressed in R1 and R2). |
|  | A FRM that contains at least one of the following:  \_\_\_\_\_Ratings provided by equipment manufacturers or obtained from equipment manufacturer specifications such as nameplate rating.  \_\_\_\_\_One or more industry standards developed through an open process such as Institute of Electrical and Electronics Engineers (IEEE) or International Council on Large Electric Systems (CIGRE).  \_\_\_\_\_A practice that has been verified by testing, performance history, or engineering analysis. |
|  | The underlying assumptions, design criteria, and methods used to determine the Equipment Ratings identified in Requirement R3, Part 3.1, including identification of how each of the following were considered:  \_\_\_\_\_Equipment Rating standard(s) used in development of this methodology.  \_\_\_\_\_Ratings provided by equipment manufacturers or obtained from equipment manufacturer specifications.  \_\_\_\_\_Ambient conditions (for particular or average conditions or as they vary in real-time).  \_\_\_\_\_Operating limitations. |
|  | A statement that a Facility Rating shall respect the most limiting applicable Equipment Rating of the individual equipment that comprises that Facility is included in the FRM. |
|  | The process by which the Rating of equipment that comprises a Facility is determined. |
|  | The scope of equipment and Ratings addressed includes:  \_\_\_\_\_Transmission conductors  \_\_\_\_\_Transformers  \_\_\_\_\_Relay protective devices\*  \_\_\_\_\_Terminal equipment  \_\_\_\_\_Series and shunt compensation devices  \_\_\_\_\_Normal Ratings  \_\_\_\_\_Emergency Ratings  \* For relay protective devices, the rating is the threshold of loadability whereby the relay can safely operate without risking failure of the relay. The relay trip setting is not the facility rating under FAC-008-5 unless the trip setting is the most limiting factor of the facility. |
| **Note to Auditor:**  When documenting the methodology used for developing Facility Ratings, the focus is on series-connected equipment that could have the most limiting Equipment Rating. Verify the registered entity has included the following equipment as “terminal equipment:”   * Wave traps * Current transformers\*\* * Disconnect switches * Breakers * Primary fuses * Any piece of series-connected equipment that comprises a Facility and that could have   the most limiting Equipment Rating.  In the event an entity does not include a rating methodology for one or more of the above equipment types, verify the entity does not own such equipment.  \*\* A CEA may consider a current transformer that is part of a Protection System as an element to be accounted for under relay protective devices, terminal equipment, or both categories depending upon the entity’s rating methodology. However, an entity’s rating methodology must address all current transformers that could limit the Equipment Rating. | |

**Auditor Notes:**

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# **R4 Supporting Evidence and Documentation**

**R4.** Reserved.

# **R5 Supporting Evidence and Documentation**

**R5.** Reserved.

# **R6 Supporting Evidence and Documentation**

**R6**. Each Transmission Owner and Generator Owner shall have Facility Ratings for its solely and jointly owned Facilities that are consistent with the associated Facility Ratings methodology or documentation for determining its Facility Ratings. [*Violation Risk Factor: Medium] [Time Horizon: Operations Planning*]

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

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

**Registered Entity Evidence (Required):**

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| 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 |
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**Audit Team Evidence Reviewed** **(This section must be completed by the Compliance Enforcement Authority):**

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**Compliance Assessment Approach Specific to FAC-008-5 R6**

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

Review the evidence to verify the following for the Registered Entity:

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|  | Facility Ratings for its solely and jointly owned Facilities that are consistent with the associated Facility Ratings methodology or documentation for determining its Facility Ratings. |
|  | Provided a list of all Transmission and Generation Facilities for solely and jointly owned facilities. (For data sampling) |
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**Auditor Notes:**

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# **R7 Supporting Evidence and Documentation**

**R7**. Reserved.

# **R8 Supporting Evidence and Documentation**

1. Each Transmission Owner (and each Generator Owner subject to Requirement R2) shall provide requested information as specified below (for its solely and jointly owned Facilities that are existing Facilities, new Facilities, modifications to existing Facilities and re-ratings of existing Facilities) to its associated Reliability Coordinator(s), Planning Coordinator(s), Transmission Planner(s), Transmission Owner(s) and Transmission Operator(s): *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*
   1. As scheduled by the requesting entities:
      1. Facility Ratings
      2. Identity of the most limiting equipment of the Facilities
   2. Within 30 calendar days (or a later date if specified by the requester), for any requested Facility with a Thermal Rating that limits the use of Facilities under the requester’s authority by causing any of the following: 1) An Interconnection Reliability Operating Limit, 2) A limitation of Total Transfer Capability, 3) An impediment to generator deliverability, or 4) An impediment to service to a major load center:
      1. Identity of the existing next most limiting equipment of the Facility
      2. The Thermal Rating for the next most limiting equipment identified in Requirement R8, Part 8.2.1.

**Question:** Has Transmission Owner (and each Generator Owner subject to R2) been requested to provide Facility Ratings to associated RC(s), PC(s), TP(s), TO(s), and TOP(s) via a schedule? If yes, did Transmission Owner (and each Generator Owner subject to R2) provide the information as required in R8.1 & R8.2 and associated subrequirements?

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

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

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

**Registered Entity Evidence (Required):**

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| --- |
| 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 |
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**Audit Team Evidence Reviewed** **(This section must be completed by the Compliance Enforcement Authority):**

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**Compliance Assessment Approach Specific to FAC-008-5 R8**

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

Review the evidence to verify the following for the Registered Entity:

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|  | Responded to the applicability question and provided evidence of compliance. |
|  | Provided dated evidence of all scheduled requests for Facility Ratings and identified the most limiting equipment of the Facilities. |
|  | Provided dated evidence of the response to each of the requests. |
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**Auditor Notes:**

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# **Compliance Finding Summary**

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

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| **Req.** | **NF** | **PV** | **OEA** | **NA** | **Statement** |
| **1** |  |  |  |  |  |
| **2** |  |  |  |  |  |
| **3** |  |  |  |  |  |
| **4** | (Reserved.) | | | | |
| **5** | (Reserved.) | | | | |
| **6** |  |  |  |  |  |
| **7** | (Reserved.) | | | | |
| **8** |  |  |  |  |  |

# **Additional Information:**

**Reliability Standard**



The full text of FAC-008-5 may be found on the NERC Web Site (www.nerc.com) under “Program Areas & Departments”, “Reliability Standards.”

In addition to the Reliability Standard, there is an applicable Implementation Plan available on the NERC Web Site.

In addition to the Reliability Standard, there is background information available on the NERC Web Site.

Capitalized terms in the Reliability Standard refer to terms in the NERC Glossary, which may be found on the NERC Web Site.

**Regulatory Language**

**Excerpts from FERC Orders -- For Reference Purposes Only**

**Updated September 30, 2021**

**FAC-008-5**

[**Letter Order in Docket No. RD21-4-000 Approving Reliability Standard FAC-008-5 (issued April 7, 2021)**](https://elibrary.ferc.gov/eLibrary/filelist?accession_num=20210407-3030)

NERC states that proposed Reliability Standard FAC-008-5 would retire Requirement R7 of the currently-effective Reliability Standard FAC-008-3. NERC maintains that in Order No. 873, the Commission concluded that the retirement of Requirement R7 from the current-version of the Reliability Standard would not result in a reliability gap.

NERC’s uncontested filing is hereby approved pursuant to the relevant authority delegated to the Director, Office of Electric Reliability under 18 C.F.R. § 375.303 (2020), effective as of the date of this order.

[**Order Approving Reliability Standard FAC-008-3**](http://nercdotcomstage/FilingsOrders/us/FERCOrdersRules/Order_Approving_FAC-008-3_2011.11.17.pdf)**,** 137 F.E.R.C. ¶ 61,123 (2011)

16. We approve Reliability Standard FAC-008-3 as just, reasonable, not unduly discriminatory or preferential, and in the public interest. We believe that the modifications are an improvement to the currently-effective Reliability Standard and adequately address the Commission's directives set forth in Order No. 693 that NERC develop certain modifications to FAC-008-1. In several instances, NERC developed alternative approaches to address the concerns articulated in Order No. 693. As discussed below, we find that the proposed Reliability Standard, FAC-008-3 adequately addresses the Commission's Order No. 693 directives by providing equally effective and efficient approaches. Below, we discuss three aspects of NERC's filing: (1) normal and emergency ratings; (2) methodology options for developing facility ratings; and (3) requests for facility ratings data.  
  
A. Normal Rating and Emergency Rating Glossary Terms  
   
17. In Order No. 693, the Commission directed the ERO to submit a modification to FAC-008-1 "that requires transmission and generation facility owners to document underlying assumptions and methods used to determine normal and emergency facility ratings." NERC states that this directive is addressed in Requirements R2.4.2 and R3.4.2 of FAC-008-3, each of which requires that, in developing a documented rating methodology, "the scope of Ratings addressed shall include, as a minimum, both Normal and Emergency Ratings." We find that the above provisions adequately address the Commission's directive in Order No. 693. Further, the language of Requirements R2.4.2 and R3.4.2 of FAC-008-3 is beneficial because it makes clear that applicable entities must develop documented methods for calculating normal ratings and, separately, emergency ratings; a distinction that may have been somewhat blurred in the past.  
  
B. Methodology Options for Specific Types of Equipment  
   
18. NERC states in its petition that proposed FAC-008-3, Requirement R3.1 achieves the Commission's Order No. 693 directive that *facility ratings* be based on a "methodology chosen by a facility owner be consistent with industry standards developed through an open process such as IEEE or CIGRE." A facility rating is determined by the individual equipment rating of the most limiting element that comprises that facility. Requirement R3.1 provides:

The methodology used to establish the Ratings of the equipment that comprises the Facility shall be consistent with at least one of the following:

* Ratings provided by equipment manufacturers or obtained from equipment manufacturer specifications such as nameplate rating.
* One or more industry standards developed through an open process such as Institute of Electrical and Electronics Engineers (IEEE) or International Council on Large Electric Systems (CIGRE).
* A practice that has been verified by testing, performance history or engineering analysis.

The Commission believes that Requirement R3 adequately satisfies the Commission's directive in Order No. 693, however, there is one potential application of the new provision that is worthy of discussion. In particular, Requirement R3 allows an applicable entity to determine equipment ratings using manufacturer nameplate ratings, which ratings reflect the manufacturer's design conditions. With regard to the option of using nameplate ratings for setting an equipment rating under Requirement R3.1, the Commission notes that the ERO issued a recommendation to consider actual field conditions when determining facility ratings for transmission facilities in its October 7, 2010 Alert titled "Consideration of Actual Field Conditions in Determination of Facility Ratings." This Alert recommends that recipients review their current facility ratings methodology for their solely and jointly owned transmission lines to verify that the methodology used to determine facility ratings is based on actual field conditions. The Alert further recommends that entities should determine if their facility ratings methodology will produce appropriate ratings, even when considering differences between design and actual field conditions.  
  
C. Request for Facility Ratings Data  
   
19. In their comments, the ITC Companies raise a concern regarding Sub-requirement R8.1, which requires transmission owners and certain generator owners to provide facility ratings and the identity of the most limiting equipment of the facilities, "as scheduled by the requesting entities." The ITC Companies believe the language "as scheduled by the requesting entities" is too open-ended such that there could be repeated and frequent requests for this data. The ITC Companies state this could result in burdensome "nuisance" data requests. The ITC Companies propose revising Sub-requirement R8.1 to make the schedule for ratings requests be mutually agreed between requester and the transmission owner or generator owner rather than solely the requester's schedule.  
   
20. The Commission notes that the phrase "as scheduled by the requesting entities" is virtually identical to language in Requirement R2 of currently effective Reliability Standard FAC-009-1, which requires transmission owners and generator owners to provide facility ratings "as scheduled by such requesting entities." Requirement R2 of FAC-009-1 has been in effect since October 2006, and the Commission is not aware that the use of similar language in FAC-009-1, Requirement 2 has been a source of concern for applicable entities. Thus, we are not persuaded by ITC Companies' pleading that FAC-008-3, Sub-requirement R8.1 will result in an unreasonable or unmanageable number of requests for facility ratings or the identity of limiting equipment.  
  
21. Based on the foregoing, the Commission finds that Reliability Standard FAC-008-3 is just, reasonable, not unduly discriminatory or preferential, and in the public interest. Accordingly, the Commission approves Reliability Standard FAC-008-3. As requested by NERC, Reliability Standard FAC-008-3will be effective on the first day of the first calendar quarter twelve months following the date of this order. Concurrent with the effective date of FAC-008-3, Reliability Standards FAC-008-1 and FAC-009-1 shall retire.  
  
D. VRFs and VSLs  
   
22. The Commission also finds that the VSLs assigned to the Reliability Standard FAC-008-3 Requirements are consistent with the Commission's established guidelines for review of proposed VSLs. With respect to the VRF assignments, the Commission approves NERC's proposed VRF designations for FAC-008-3, subject to one modification discussed below.  
  
23. The Commission agrees that the VRFs assigned to FAC-008-3, Requirements R4 through R8 are carried forward from and match the approved VRFs for the corresponding Requirements from Reliability Standards FAC-008-1 and FAC-009-1. n22 However, as NERC explained in its filing, while Requirements R1 through R3 of FAC-008-3 correspond to Requirement R1 of currently effective Reliability Standard FAC-008-1, they do not directly align. Thus, NERC developed VRFs for proposed FAC-008-3, Requirements R1 through R3 that vary from the currently approved VRFs assigned to FAC-008-1, Requirement 1 and its sub-requirements. NERC proposes to assign Requirements R1 and R2 a VRF of "Lower," and to assign Requirement 3 a VRF of "Medium."

**Revision History**

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| --- | --- | --- | --- |
| **Version** | **Date** | **Reviewers** | **Revision Description** |
| 1 | 9/20/2021 | NERC Compliance Assurance, RSAW Task Force | New Document |
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1. 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. 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 reserve 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. [↑](#footnote-ref-1)
2. Such as temporary de-ratings of impaired equipment in accordance with good utility practice. [↑](#footnote-ref-2)
3. Such as temporary de-ratings of impaired equipment in accordance with good utility practice. [↑](#footnote-ref-3)