**[Registered Entity Name]**

**NERC ID: [NCRXXXXX]**

**FAC-008-5 – Facility Ratings, R1 and R2**

**1st Quarter 2024 Self-Certification**

# Instructions

1. Populate the cover page by adding your entity’s name and NERC Identification NCR number.
2. Complete the steps listed for each Reliability Standard Requirement listed underthe **Assessment Guidance** section of this document**.**
3. Log into **Align** and complete your self-certification response.
4. Submit via the ERO Secure Evidence Locker (ERO SEL) Site:
   1. This completed Worksheet;
   2. Specific evidence requested within this document. Please make sure to use unique file names for each evidence file submitted and identify within your narratives which specific evidence files support each response made. These references and the use of unique file names help facilitate and expedite MRO’s review of the Self-Certification work that has been performed; and
   3. Any internal control information related to the Reliability Standard and Requirement(s) in scope with supporting documentation of design and implementation of the internal control(s).

For Align Questions: askalign@nerc.net

For SEL IT Support: http://support.nerc.net

# Scope

The scope for this Self-Certification is FAC-008-5 – Facility Ratings, Requirements R1 and R2. Each Responsible Entity shall include the data from the monitoring period between **11/01/2022-10/31/2023,** as applicable for each step in the Assessment Guidance below.

**R1.** 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.

* 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. 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.

**M1.** Each Generator Owner shall have documentation that shows how its Facility Ratings were determined as identified in Requirement 1.

**R2.** 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.

**2.1.** 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.

**2.2.** 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:

**2.2.1.** Equipment Rating standard(s) used in development of this methodology

**2.2.2.** Ratings provided by equipment manufacturers or obtained from equipment manufacturer specifications.

**2.2.3.** Ambient conditions (for particular or average conditions or as they vary in real-time).

**2.2.4.** Operating limitations.1

**2.3.** A statement that a Facility Rating shall respect the most limiting applicable Equipment Rating of the individual equipment that comprises that Facility.

**2.4.** The process by which the Rating of equipment that comprises a Facility is determined.

**2.4.1.** 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.

**2.4.2.** The scope of Ratings addressed shall include, as a minimum, both Normal and Emergency Ratings.

**M2.** Each Generator Owner shall have a documented Facility Ratings methodology that includes all of the items identified in Requirement 2, Parts 2.1 through 2.4.

# Purpose

To ensure that Facility Ratings used in the reliable planning and operation of the Bulk Electric System (BES) are determined based on technically sound principles. A Facility Rating is essential for the determination of System Operating Limits.

# Applicability

**4.2.** Generator Owner (GO)

# Assessment Guidance

**Requirement 1**

1. As a Generator Owner, provide your documentation for determining the Facility Ratings of your solely and jointly owned generator Facility(ies) up to the low side terminals of the main step up transformer if you do not own the main step up transformer, and the high side terminals of the main step up transformer if you do own the main step up transformer.

|  |  |
| --- | --- |
| **Document(s) Requested** | |
| **Filename(s)** |  |
| **Comments** |  |

1. Referring to areas within the document(s) listed above, complete the table below for the listed requirement parts of FAC-008-5 R1.

|  |  |  |  |
| --- | --- | --- | --- |
| **Item** | **File Name(s)** | **Location within document(s)/Page number(s)** | **Comments/Explanation** |
| **R1.1** |  |  |  |
| **R1.2** |  |  |  |

**Requirement 2**

1. As a Generator Owner, provide your documented methodology for determining Facility Ratings (Facility Ratings methodology) of your solely and jointly owned equipment connected between the location specified in R1 and the point of interconnection with the Transmission Owner.

|  |  |
| --- | --- |
| **Document(s) Requested** | |
| **Filename(s)** |  |
| **Comments** |  |

1. Referring to areas within the document(s) listed above, complete the table below for the listed requirement parts of FAC-008-5 R2.

|  |  |  |  |
| --- | --- | --- | --- |
| **Item** | **File Name(s)** | **Location within document(s)/Page number(s)** | **Comments/Explanation** |
| **R2.1** |  |  |  |
| **R2.2** |  |  |  |
| **R2.2.1** |  |  |  |
| **R2.2.2** |  |  |  |
| **R2.2.3** |  |  |  |
| **R2.2.4** |  |  |  |
| **R2.3** |  |  |  |
| **R2.4** |  |  |  |
| **R2.4.1** |  |  |  |
| **R2.4.2** |  |  |  |

**Internal Controls**

1. **Implementation and Testing Internal Control(s)**

Required (Provide information for Option 1 or Option 2):

The internal controls sections provided below are meant to allow entities to choose their best approach to provide their internal controls information. Option 1 is to allow registered entities to provide their information as they see applicable and in their format. Option 2 is to assist registered entities with specific questions on how it is reaching reasonable assurance for compliance to FAC-008-5 R1 and R2.

***Internal Controls Option 1:***

Provide information that demonstrate each of the following:

1. Internal controls incorporation into a global program for FAC-008-5 R1 and R2
2. Internal controls design of internal controls (process, procedures, etc. ...)
3. Internal controls Implementation/operational evidence (control tests or evidence showing execution of the internal controls indicated)

If choosing Internal Controls Option 1, please populate the table below:

|  |  |
| --- | --- |
| **All Internal Control(s) related to FAC-008-5 R1 and R2** | |
| **Global Program Filename(s)** |  |
| **Comments** |  |
| **Internal Controls Design Filename(s)** |  |
| **Comments** |  |
| **Internal Controls Implementation and/or Operational Evidence Filename(s)** |  |
| **Comments** |  |

***Internal Controls Option 2:***

The following questions may be used as an optional approach to address internal controls for FAC-008-5 – R1 and R2.

*Note: These questions are similar to those used by MRO in audit engagements. If a process or the implementation is not documented, provide comments of internal control(s) and indicate “not applicable” in supporting evidence fields.*

1. Is there a process of updating the R1 Facility Rating documentation and the R2 Facility Rating methodology document(s) for determining Facility Ratings? Please describe and provide the process document(s) if available.

|  |  |
| --- | --- |
| **Comments** |  |
| **Supporting Evidence Filename(s)** |  |

1. How often are the R1 Facility Rating documentation and the R2 Facility Rating methodology document(s) revisited and potential changes implemented? Do you have documentation of these activities?

|  |  |
| --- | --- |
| **Comments** |  |
| **Supporting Evidence Filename(s)** |  |

1. Is there a process to document Facility Ratings if the manufacturer information (nameplate, etc.) is not available? If you have some examples, please provide/explain.

|  |  |
| --- | --- |
| **Comments** |  |
| **Supporting Evidence Filename(s)** |  |

1. When any Facility Ratings methodology documentation is revised, how are those changes communicated to those responsible for ensuring Facility Ratings are accurate? Describe internal controls used to help ensure staff relies upon the most up-to-date revisions of the ratings documentation.

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| --- | --- |
| **Comments** |  |
| **Supporting Evidence Filename(s)** |  |

1. Describe internal controls used to help ensure the Facility Rating respects the most limiting applicable Equipment Rating of the individual equipment that comprises that Facility.

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| --- | --- |
| **Comments** |  |
| **Supporting Evidence Filename(s)** |  |

1. To what extent do you conduct substation audits/walkdowns to help ensure the field equipment matches the equipment list, Facility Ratings database, and system one-line diagrams, plans, and elevations?

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| --- | --- |
| **Comments** |  |
| **Supporting Evidence Filename(s)** |  |

1. Please describe the change management process that occurs when equipment is changed in the field for both new construction, modifications, and unplanned/emergency repairs.

|  |  |
| --- | --- |
| **Comments** |  |
| **Supporting Evidence Filename(s)** |  |

1. Please describe how Facility Ratings information is coordinated with other owners for jointly owned Facilities.

|  |  |
| --- | --- |
| **Comments** |  |
| **Supporting Evidence Filename(s)** |  |

**R1:**

Was each question in **Requirement 1, Step 1 to Step 2,** shown to meet this requirement?

☐ Yes, respond “Compliant” for R1 to the Self-Certification in Align. Include a comment summary and upload supporting documentation to the ERO SEL.

☐ No, respond “Not Compliant” for R1 to the Self-Certification in Align. Include a comment summary based on potential issues and upload supporting documentation to the ERO SEL.

☐ Do not own, respond “Do Not Own” for R1 to the Self-Certification in Align. Include comments supporting the “Do Not Own” response and upload supporting documentation to the ERO SEL.

☐ Do not meet the applicability requirements of the full standard, respond “Not Applicable” for R1 to the Self-Certification in Align. Include comments supporting the “Not Applicable” response and upload supporting documentation to the ERO SEL.

*This response should not be used if the circumstance within the standard or requirement language did not happen. This response should only be used if the requirement or standard is not applicable at all to the entity (such as not registered for the function).*

**R2:**

Was each question in **Requirement 2, Step 3 to Step 4,** shown to meet this requirement?

☐ Yes, respond “Compliant” for R2 to the Self-Certification in Align. Include a comment summary and upload supporting documentation to the ERO SEL.

☐ No, respond “Not Compliant” for R2 to the Self-Certification in Align. Include a comment summary based on potential issues and upload supporting documentation to the ERO SEL.

☐ Do not own, respond “Do Not Own” for R2 to the Self-Certification in Align. Include comments supporting the “Do Not Own” response and upload supporting documentation to the ERO SEL.

☐ Do not meet the applicability requirements of the full standard, respond “Not Applicable” for R2 to the Self-Certification in Align. Include comments supporting the “Not Applicable” response and upload supporting documentation to the ERO SEL.

*This response should not be used if the circumstance within the standard or requirement language did not happen. This response should only be used if the requirement or standard is not applicable at all to the entity (such as not registered for the function).*

# Document Submittals

MRO requires copies of the following be submitted with the self-certification response:

1. This completed worksheet with responses filled into the fields provided
2. Supporting documentation/files as referenced in the Assessment Guidance
3. Evidence supporting the Internal Control Option 1 or Option 2 for each requirement

Please make sure to use unique file names for each evidence file submitted and identify within your responses to the steps above which specific evidence files support each conclusion made. These references and the use of unique file names helps facilitate and expedite MRO’s review of the Self-Certification work that has been performed.