**[Registered Entity Name]**

**NERC ID: [NCRXXXXX]**

**FAC-008-5 – Facility Ratings, R3**

**3rd Quarter 2023 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).

# Scope

The scope for this Self-Certification is FAC-008-5 – Facility Ratings, Requirement R3. Each Responsible Entity shall include the data from the monitoring period between **5/1/2022 – 4/30/2023,** as applicable for each step in the Assessment Guidance below.

**R3.** 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]*

**3.1.** 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.

**3.2.** 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:

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

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

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

**3.2.4.** Operating limitations.[[1]](#footnote-1)

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

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

**3.4.1.** 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.

**3.4.2.** The scope of Ratings addressed shall include, as a minimum, both Normal

and Emergency Ratings.

**M3.** Each Transmission Owner shall have a documented Facility Ratings methodology that includes all of the items identified in Requirement 3, Parts 3.1 through 3.4.

# 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

**4.1.** Transmission Owner (TO)

# Assessment Guidance

**Requirement 3**

1. As a Transmission Owner, provide your documented methodology for determining Facility Ratings (Facility Rating Methodology) of your solely and jointly owned facilities (except for those generating unit Facilities addressed in R1 and R2).

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

1. From the document(s) listed above, complete the table below for the listed requirement parts of FAC-008-5 R3.

|  |  |  |  |
| --- | --- | --- | --- |
| **Item** | **File Name(s)** | **Location within document(s)/Page number(s)** | **Comments/Explanation**  |
| **R3.1** |  |  |  |
| **R3.2** |  |  |  |
| **R3.2.1** |  |  |  |
| **R3.2.2** |  |  |  |
| **R3.2.3** |  |  |  |
| **R3.2.4** |  |  |  |
| **R3.3** |  |  |  |
| **R3.4** |  |  |  |
| **R3.4.1** |  |  |  |
| **R3.4.2** |  |  |  |

**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 control 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 R3.

***Internal Controls Option 1:***

Provide information that demonstrate each of the following:

1. Internal controls incorporation into a global program for FAC-008-5 R3
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 R3** |
| **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 – R3.

*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 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 is the Facility Rating Methodology document revisited and potential changes implemented? Do you have documentation of this activity?

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

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

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

1. When the Facility Ratings Methodology document is revised, how is that change communicated to the related staff? Are they trained in how to implement those changes?

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

1. How is your company considering FERC Order 881?

|  |  |
| --- | --- |
| **Comments** |  |

Was each question in **Requirement 3, Step 1 to Step 2,** shown to meet this requirement?

☐ Yes, respond “Compliant” for R3 to the Self-Certification in Align. Include a comment summary and upload supporting documentation to the ERO SEL.

☐ No, respond “Not Compliant” for R3 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 R3 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 R3 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 worksheet and
2. Supporting documentation 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.

1. Such as temporary de-ratings of impaired equipment in accordance with good utility practice. [↑](#footnote-ref-1)