

## A. Introduction

1. **Title:**       **Facility Interconnection Requirements**
2. **Number:**   FAC-001-3
3. **Purpose:**   To avoid adverse impacts on the reliability of the Bulk Electric System, Transmission Owners and applicable Generator Owners must document and make Facility interconnection requirements available so that entities seeking to interconnect will have the necessary information.
4. **Applicability:**
  - 4.1. **Functional Entities:**
    - 4.1.1   Transmission Owner
    - 4.1.2   Applicable Generator Owner
      - 4.1.2.1 Generator Owner with a fully executed Agreement to conduct a study on the reliability impact of interconnecting a third party Facility to the Generator Owner's existing Facility that is used to interconnect to the Transmission system.
5. **Effective Date:** See Implementation Plan for FAC-001-3.

## B. Requirements and Measures

- R1.** Each Transmission Owner shall document Facility interconnection requirements, update them as needed, and make them available upon request. Each Transmission Owner's Facility interconnection requirements shall address interconnection requirements for: *[Violation Risk Factor: Lower] [Time Horizon: Long-term Planning]*
  - 1.1. generation Facilities;
  - 1.2. transmission Facilities; and
  - 1.3. end-user Facilities.
- M1.** Each Transmission Owner shall have evidence (such as dated, documented Facility interconnection requirements) that it met all requirements in Requirement R1.
- R2.** Each applicable Generator Owner shall document Facility interconnection requirements and make them available upon request within 45 calendar days of full execution of an Agreement to conduct a study on the reliability impact of interconnecting a third party Facility to the Generator Owner's existing Facility that is used to interconnect to the Transmission system. *[Violation Risk Factor: Lower] [Time Horizon: Long-term Planning]*
- M2.** Each applicable Generator Owner shall have evidence (such as dated, documented Facility interconnection requirements) that it met all requirements in Requirement R2.

- R3.** Each Transmission Owner shall address the following items in its Facility interconnection requirements: *[Violation Risk Factor: Lower] [Time Horizon: Long-Term Planning]*
- 3.1.** Procedures for coordinated studies of new or materially modified existing interconnections and their impacts on affected system(s).
  - 3.2.** Procedures for notifying those responsible for the reliability of affected system(s) of new or materially modified existing interconnections.
  - 3.3.** Procedures for confirming with those responsible for the reliability of affected systems ~~of that~~ new or materially modified ~~transmission~~ Facilities are within a Balancing Authority Area's metered boundaries.
- M3.** Each Transmission Owner shall have evidence (such as dated, documented Facility interconnection requirements addressing the procedures) that it met all requirements in Requirement R3.
- R4.** Each applicable Generator Owner shall address the following items in its Facility interconnection requirements: *[Violation Risk Factor: Lower] [Time Horizon: Long-Term Planning]*
- 4.1.** Procedures for coordinated studies of new interconnections and their impacts on affected system(s).
  - 4.2.** Procedures for notifying those responsible for the reliability of affected system(s) of new interconnections.
  - 4.3.** Procedures for confirming with those responsible for the reliability of affected systems ~~of that~~ new or materially modified ~~generation~~ Facilities are within a Balancing Authority Area's metered boundaries.
- M4.** Each applicable Generator Owner shall have evidence (such as dated, documented Facility interconnection requirements addressing the procedures) that it met all requirements in Requirement R4.

## **C. Compliance**

### **1. Compliance Monitoring Process**

#### **1.1. Compliance Enforcement Authority**

As defined in the NERC Rules of Procedure, "Compliance Enforcement Authority" (CEA) means NERC or the Regional Entity in their respective roles of monitoring and enforcing compliance with the NERC Reliability Standards.

#### **1.2. Evidence Retention**

The following evidence retention periods 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 CEA 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 Functional Entity shall keep data or evidence to show compliance as identified below unless directed by its CEA to retain specific evidence for a longer period of time as part of an investigation:

The responsible entities shall retain documentation as evidence for three years.

If a responsible entity is found non-compliant, it shall keep information related to the non-compliance until mitigation is complete and approved or for the time specified above, whichever is longer.

The CEA shall keep the last audit records and all requested and submitted subsequent audit records.

**1.3. Compliance Monitoring and Assessment Processes:**

Compliance Audit

Self-Certification

Spot Check

Compliance Investigation

Self-Reporting

Complaint

**1.4. Additional Compliance Information**

None

Table of Compliance Elements

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
<b>R1</b>	Long-term Planning	Lower	N/A	<p>The Transmission Owner documented Facility interconnection requirements and updated them as needed, but failed to make them available upon request.</p> <p>OR</p> <p>The Transmission Owner documented Facility interconnection requirements and made them available upon request, but failed to update them as needed.</p> <p>OR</p> <p>The Transmission Owner documented Facility interconnection requirements, updated them as needed, and made them available upon request, but</p>	<p>The Transmission Owner documented Facility interconnection requirements, but failed to update them as needed and failed to make them available upon request.</p> <p>OR</p> <p>The Transmission Owner documented Facility interconnection requirements, updated them as needed, and made them available upon request, but failed to address interconnection requirements for two of the Facilities as specified in R1, Parts 1.1, 1.2, or 1.3.</p>	The Transmission Owner did not document Facility interconnection requirements.

				failed to address interconnection requirements for one of the Facilities as specified in R1, Parts 1.1, 1.2, or 1.3.		
<b>R2</b>	Long-term Planning	Lower	The applicable Generator Owner failed to document Facility interconnection requirements and make them available upon request until more than 45 calendar days but less than or equal to 60 calendar days after full execution of an Agreement to conduct a study on the reliability impact of interconnecting a third party Facility to the Generator Owner's existing Facility that is used to interconnect to the Transmission system.	The applicable Generator Owner failed to document Facility interconnection requirements and make them available upon request until more than 60 calendar days but less than or equal to 70 calendar days after full execution of an Agreement to conduct a study on the reliability impact of interconnecting a third party Facility to the Generator Owner's existing Facility that is used to interconnect to the Transmission system.	The applicable Generator Owner failed to document Facility interconnection requirements and make them available upon request until more than 70 calendar days but less than or equal to 80 calendar days after full execution of an Agreement to conduct a study on the reliability impact of interconnecting a third party Facility to the Generator Owner's existing Facility that is used to interconnect to the Transmission system.	The applicable Generator Owner failed to document Facility interconnection requirements and make them available upon request until more than 80 calendar days after full execution of an Agreement to conduct a study on the reliability impact of interconnecting a third party Facility to the Generator Owner's existing Facility that is used to interconnect to the Transmission system.

<b>R3</b>	Long-term Planning	Lower	N/A	The Transmission Owner failed to address one part of Requirement R3 Part 3.1 through Part 3.3.	The Transmission Owner failed to address two parts of Requirement R3 Part 3.1 through Part 3.3.	The Transmission Owner failed to address Requirement R3 Part 3.1 through Part 3.3.
<b>R4</b>	Long-term Planning	Lower	N/A	The Generator Owner failed to address one part of Requirement R4 Part 4.1 through Part 4.3.	The Generator Owner failed to address two parts of Requirement R4 Part 4.1 through Part 4.3.	The Generator Owner failed to address Requirement R4 Part 4.1 through Part 4.3.

**D. Regional Variances**

None.

**E. Interpretations**

None.

**F. Associated Documents**

None.

## Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
1		Added requirements for Generator Owner and brought overall standard format up to date.	Revision under Project 2010-07
1	February 9, 2012	Adopted by the Board of Trustees	
1	September 19, 2013	A FERC order was issued on September 19, 2013, approving FAC-001-1. This standard became enforceable on November 25, 2013 for Transmission Owners. For Generator Owners, the standard becomes enforceable on January 1, 2015.	
2		Revisions to implement the recommendations of the FAC Five-Year Review Team.	Revision under Project 2010-02
2	August 14, 2014	Adopted by the Board of Trustees	
2	November 6, 2014	FERC letter order issued approving FAC-001-2.	
3	February 11, 2016	Adopted by the Board of Trustees	Moved BAL-005-0.2b Requirement R1 into FAC-001-3 Requirements R3 and R4
3	September 20, 2017	FERC Order No. 836 issued approving FAC-001-3	
<u>3</u>	<u>TBD</u>	<u>Errata</u>	

### Guidelines and Technical Basis

Entities should have documentation to support the technical rationale for determining whether an existing interconnection was “materially modified.” Recognizing that what constitutes a “material modification” will vary from entity to entity, the intent is for this determination to be based on engineering judgment.

#### **Requirement R3:**

Originally the Parts of R3, with the exception of the first two bullets, which were added by the Project 2010-02 drafting team, this list has been moved to the Guidelines and Technical Basis section to provide entities with the flexibility to determine the Facility interconnection requirements that are technically appropriate for their respective Facilities. Including them as Parts of R3 was deemed too prescriptive, as frequently some items in the list do not apply to all applicable entities – and some applicable entities will have requirements that are not included in this list.

Each Transmission Owner and applicable Generator Owner should consider the following items in the development of Facility interconnection requirements:

- Procedures for requesting a new Facility interconnection or material modification to an existing interconnection
- Data required to properly study the interconnection
- Voltage level and MW and MVAR capacity or demand at the point of interconnection
- Breaker duty and surge protection
- System protection and coordination
- Metering and telecommunications
- Grounding and safety issues
- Insulation and insulation coordination
- Voltage, Reactive Power (including specifications for minimum static and dynamic reactive power requirements), and power factor control
- Power quality impacts
- Equipment ratings
- Synchronizing of Facilities
- Maintenance coordination
- Operational issues (abnormal frequency and voltages)
- Inspection requirements for new or materially modified existing interconnections
- Communications and procedures during normal and emergency operating conditions



### Rationale

During development of this standard, text boxes were embedded within the standard to explain the rationale for various parts of the standard. Upon Board approval, the text from the rationale boxes will be moved to this section.

**Rationale for Requirement R3.3:** Consistent with the Functional Model, there cannot be an assumption that the entity owning the transmission will be the same entity providing the BA function. It is the responsibility of the party interconnecting to make appropriate arrangements with a Balancing Authority to ensure its Facilities are within the BA's metered boundaries, which also serves to facilitate the process of the coordination between the two entities that will be required under numerous other standards upon the start of operation. Under 3.3, the Transmission Owner is responsible for confirming that the party interconnecting has made appropriate provisions with a Balancing Authority to operate within its metered boundaries.

**Rationale for Requirement R4.3:** Consistent with the Functional Model, there cannot be an assumption that the entity owning the generation will be the same entity providing the BA function. It is the responsibility of the party interconnecting to make appropriate arrangements with a Balancing Authority to ensure its Facilities are within the BA's metered boundaries, which also serves to facilitate the process of the coordination between the two entities that will be required under numerous other standards upon the start of operation. Under 4.3, the Generator Owner is responsible for confirming that the party interconnecting has made appropriate provisions with a Balancing Authority to operate within its metered boundaries.

**Appendix ~~QC~~-FAC-001-3-~~QC~~-1**  
**Specific provisions applicable ~~to~~ in Québec for standard**  
**~~Standard~~ FAC-001-3 — Facility Interconnection Requirements**

This appendix establishes specific provisions for the application of the standard in Québec. Provisions of the standard and of ~~its~~ this appendix must be read ~~together jointly~~ for ~~the purposes of~~ understanding comprehension and interpretation purposes. Where the standard and appendix differ, the appendix shall prevail.

## **A. Introduction**

1. **Title:** No specific provision ~~Facility Interconnection Requirements~~
2. **Number:** No specific provision ~~FAC-001-3~~
3. **Purpose:** No specific provision
4. **Applicability:**  
No specific provision
5. **Effective Date:**
  - 5.1. Adoption of the standard by the Régie: ~~June 8, 2020~~ Month xx, 202x
  - 5.2. Adoption of the appendix by the Régie: ~~June 8, 2020~~ Month xx, 202x
  - 5.3. Effective date of the standard and its appendix in Québec: ~~July 1, 2024~~ Month xx, 202x

## **B. Requirements and Measures**

No specific provision

## **C. Compliance**

### **1. Compliance Monitoring Process**

#### **1.1. Compliance Enforcement Authority**

In Québec, “Compliance Enforcement Authority” means the Régie de l’énergie in its roles of monitoring and enforcing compliance with respect to the Reliability Standard and to this appendix.  
~~In Québec, the Régie de l’énergie is responsible for monitoring compliance with respect to the reliability standard and its appendix that it adopts.~~

#### **1.2. Evidence Retention**

No specific provision

#### **1.3. Compliance Monitoring and Assessment Processes**

The Régie de l’énergie establishes the monitoring processes used to evaluate data or information for the purpose of determining compliance or non-compliance with the Reliability Standard and with this appendix.  
~~The Québec Reliability Standards Compliance Monitoring and Enforcement Program (QCMEP) of the Régie de l’énergie identifies the processes that will be used to evaluate data or information for the purpose of assessing performance or outcomes with the associated Reliability Standard.~~

#### **1.4. Additional Compliance Information**

No specific provision

#### **Table of compliance elements**

No specific provision

Appendix ~~QC~~-FAC-001-3-~~QC~~-1  
Specific provisions applicable ~~to~~in Québec for standard  
~~Standard~~ FAC-001-3 — Facility Interconnection Requirements

---

**D. Regional Variances**

No specific provision

**E. Interpretations**

No specific provision

**F. Associated Documents**

No specific provision

**Version history**

Version	Date	Action	Change Tracking
0	June 8, 2020	New appendix	New
<u>1</u>	<u>Month xx, 202x</u>	<u>Editorial changes (D-XXXX-XXX)</u>	<u>Revision</u>

## A. Introduction

1. **Title:** Facility Ratings
2. **Number:** FAC-008-~~35~~
3. **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.
4. **Applicability:**
  - 4.1. Transmission Owner
  - 4.2. Generator Owner
5. **Effective Date:** ~~The first day of the first calendar quarter that is twelve months beyond the date approved by applicable regulatory authorities, or in those jurisdictions where regulatory approval is not required, the first day of the first calendar quarter twelve months following BOT adoption~~ See Implementation Plan.

## B. Requirements and Measures

- 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. *[Violation Risk Factor: Lower] [Time Horizon: Long-term Planning]*
- 1.1** 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.
- 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. *[Violation Risk Factor: Medium] [Time Horizon: Long-term Planning]*
- 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.<sup>1</sup>
- 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.
- 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.

---

<sup>1</sup> Such as temporary de-ratings of impaired equipment in accordance with good utility practice.

**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.<sup>2</sup>

**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.

**R4.** ~~Reserved. Each Transmission Owner shall make its Facility Ratings methodology and each Generator Owner shall each make its documentation for determining its Facility Ratings and its Facility Ratings methodology available for inspection and technical review by those Reliability Coordinators, Transmission Operators, Transmission Planners and Planning Coordinators that have responsibility for the area in which the associated Facilities are located, within 21 calendar days of receipt of a request. [Violation Risk Factor: Lower] [Time Horizon: Operations Planning] (Retirement approved by FERC effective January 21, 2014.)~~

**M4.** ~~Reserved. Each Transmission Owner shall have evidence, such as a copy of a dated electronic note, or other comparable evidence to show that it made its Facility Ratings methodology available for inspection within 21 calendar days of a request in accordance with Requirement 4. The Generator Owner shall have evidence, such as a copy of a dated electronic note, or other comparable evidence to show that it made its documentation for determining its Facility Ratings or its Facility Ratings methodology available for inspection within 21 calendar days of a request in~~

---

<sup>2</sup> Such as temporary de-ratings of impaired equipment in accordance with good utility practice.

~~accordance with Requirement R4. (Retirement approved by NERC BOT pending applicable regulatory approval.)~~

- R5.** ~~Reserved. If a Reliability Coordinator, Transmission Operator, Transmission Planner or Planning Coordinator provides documented comments on its technical review of a Transmission Owner's Facility Ratings methodology or Generator Owner's documentation for determining its Facility Ratings and its Facility Rating methodology, the Transmission Owner or Generator Owner shall provide a response to that commenting entity within 45 calendar days of receipt of those comments. The response shall indicate whether a change will be made to the Facility Ratings methodology and, if no change will be made to that Facility Ratings methodology, the reason why. [Violation Risk Factor: Lower] [Time Horizon: Operations Planning] (Retirement approved by FERC effective January 21, 2014.)~~
- M5.** ~~Reserved. If the Reliability Coordinator, Transmission Operator, Transmission Planner or Planning Coordinator provides documented comments on its technical review of a Transmission Owner's or Generator Owner's Facility Ratings methodology or a Generator Owner's documentation for determining its Facility Ratings, the Transmission Owner or Generator Owner shall have evidence, (such as a copy of a dated electronic or hard copy note, or other comparable evidence from the Transmission Owner or Generator Owner addressed to the commenter that includes the response to the comment,) that it provided a response to that commenting entity in accordance with Requirement R5. (Retirement approved by NERC BOT pending applicable regulatory approval.)~~
- 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]*
- M6.** Each Transmission Owner and Generator Owner shall have evidence to show that its Facility Ratings are consistent with the documentation for determining its Facility Ratings as specified in Requirement R1 or consistent with its Facility Ratings methodology as specified in Requirements R2 and R3 (Requirement R6).
- R7.** ~~Reserved. Each Generator Owner shall provide Facility Ratings (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) as scheduled by such requesting entities. [Violation Risk Factor: Medium] [Time Horizon: Operations Planning]~~
- M7.** ~~Reserved. Each Generator Owner shall have evidence, such as a copy of a dated electronic note, or other comparable evidence to show that it provided its Facility Ratings to its associated Reliability Coordinator(s), Planning Coordinator(s), Transmission Planner(s), Transmission Owner(s) and Transmission Operator(s) in accordance with Requirement R7.~~



**R8.** 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]*

**8.1** As scheduled by the requesting entities:

**3.4.3** Facility Ratings

**3.4.4** Identity of the most limiting equipment of the Facilities

**8.2** 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:

**8.2.1** Identity of the existing next most limiting equipment of the Facility

**8.2.2** The Thermal Rating for the next most limiting equipment identified in Requirement R8, Part 8.2.1.

**M8.** Each Transmission Owner (and Generator Owner subject to Requirement R2) shall have evidence, such as a copy of a dated electronic note, or other comparable evidence to show that it provided its Facility Ratings and identity of limiting equipment to its associated Reliability Coordinator(s), Planning Coordinator(s), Transmission Planner(s), Transmission Owner(s) and Transmission Operator(s) in accordance with Requirement R8.

## 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. Compliance Monitoring and Enforcement Processes:

- Self-Certifications
- Spot Checking
- Compliance Audits
- Self-Reporting

- Compliance Violation Investigations
- Complaints

**1.3. 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 Generator Owner shall keep its current documentation (for R1) and any modifications to the documentation that were in force since last compliance audit period for Measure M1 and Measure M6.
- The Generator Owner shall keep its current, in force Facility Ratings methodology (for R2) and any modifications to the methodology that were in force since last compliance audit period for Measure M2 and Measure M6.
- The Transmission Owner shall keep its current, in force Facility Ratings methodology (for R3) and any modifications to the methodology that were in force since the last compliance audit for Measure M3 and Measure M6.
- The Transmission Owner and Generator Owner shall keep its current, in force Facility Ratings and any changes to those ratings for three calendar years for Measure M6.
- ~~The Generator Owner and Transmission Owner shall each keep evidence for Measure M4, and Measure M5, for three calendar years. (Retirement approved by FERC effective January 21, 2014.)~~
- ~~The Generator Owner shall keep evidence for Measure M7 for three calendar years.~~
- The Transmission Owner (and Generator Owner that is subject to Requirement R2) shall keep evidence for Measure M8 for three calendar years.
- If a Generator Owner or Transmission Owner is found non-compliant, it shall keep information related to the non-compliance until found compliant.
- The Compliance Enforcement Authority shall keep the last audit and all subsequent compliance records.

**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	The Generator Owner's Facility Rating documentation did not address Requirement R1, Part 1.1.	The Generator Owner's Facility Rating documentation did not address Requirement R1, Part 1.2.	The Generator Owner failed to provide documentation for determining its Facility Ratings.
<b>R2.</b>	<p>The Generator Owner failed to include in its Facility Rating methodology one of the following Parts of Requirement R2:</p> <ul style="list-style-type: none"> <li>• 2.1.</li> <li>• 2.2.1</li> <li>• 2.2.2</li> <li>• 2.2.3</li> <li>• 2.2.4</li> </ul>	<p>The Generator Owner failed to include in its Facility Rating methodology two of the following Parts of Requirement R2:</p> <ul style="list-style-type: none"> <li>• 2.1</li> <li>• 2.2.1</li> <li>• 2.2.2</li> <li>• 2.2.3</li> <li>• 2.2.4</li> </ul>	<p>The Generator Owner's Facility Rating methodology did not address all the components of Requirement R2, Part 2.4.</p> <p>OR</p> <p>The Generator Owner failed to include in its Facility Rating Methodology, three of the following Parts of Requirement R2:</p> <ul style="list-style-type: none"> <li>• 2.1.</li> <li>• 2.2.1</li> <li>• 2.2.2</li> <li>• 2.2.3</li> <li>• 2.2.4</li> </ul>	<p>The Generator Owner's Facility Rating methodology failed to recognize a facility's rating based on the most limiting component rating as required in Requirement R2, Part 2.3</p> <p>OR</p> <p>The Generator Owner failed to include in its Facility Rating Methodology four or more of the following Parts of Requirement R2:</p> <ul style="list-style-type: none"> <li>• 2.1</li> <li>• 2.2.1</li> <li>• 2.2.2</li> <li>• 2.2.3</li> </ul>

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
				<ul style="list-style-type: none"> <li>2.2.4</li> </ul>
<b>R3.</b>	<p>The Transmission Owner failed to include in its Facility Rating methodology one of the following Parts of Requirement R3:</p> <ul style="list-style-type: none"> <li>3.1</li> <li>3.2.1</li> <li>3.2.2</li> <li>3.2.3</li> <li>3.2.4</li> </ul>	<p>The Transmission Owner failed to include in its Facility Rating methodology two of the following Parts of Requirement R3:</p> <ul style="list-style-type: none"> <li>3.1</li> <li>3.2.1</li> <li>3.2.2</li> <li>3.2.3</li> <li>3.2.4</li> </ul>	<p>The Transmission Owner's Facility Rating methodology did not address either of the following Parts of Requirement R3:</p> <ul style="list-style-type: none"> <li>3.4.1</li> <li>3.4.2</li> </ul> <p>OR</p> <p>The Transmission Owner failed to include in its Facility Rating methodology three of the following Parts of Requirement R3:</p> <ul style="list-style-type: none"> <li>3.1</li> <li>3.2.1</li> <li>3.2.2</li> <li>3.2.3</li> <li>3.2.4</li> </ul>	<p>The Transmission Owner's Facility Rating methodology failed to recognize a Facility's rating based on the most limiting component rating as required in Requirement R3, Part 3.3</p> <p>OR</p> <p>The Transmission Owner failed to include in its Facility Rating methodology four or more of the following Parts of Requirement R3:</p> <ul style="list-style-type: none"> <li>3.1</li> <li>3.2.1</li> <li>3.2.2</li> <li>3.2.3</li> <li>3.2.4</li> </ul>

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
<b>R4.</b> <u>Reserved.</u> (Retirement approved by FERC effective January 21, 2014.)	<del>The responsible entity made its Facility Ratings methodology or Facility Ratings documentation available within more than 21 calendar days but less than or equal to 31 calendar days after a request.</del>	<del>The responsible entity made its Facility Ratings methodology or Facility Ratings documentation available within more than 31 calendar days but less than or equal to 41 calendar days after a request.</del>	<del>The responsible entity made its Facility Rating methodology or Facility Ratings documentation available within more than 41 calendar days but less than or equal to 51 calendar days after a request.</del>	<del>The responsible entity failed to make its Facility Ratings methodology or Facility Ratings documentation available in more than 51 calendar days after a request. (R3)</del>
<b>R5.</b> <u>Reserved.</u> (Retirement approved by FERC effective January 21, 2014.)	<del>The responsible entity provided a response in more than 45 calendar days but less than or equal to 60 calendar days after a request. (R5)</del>	<del>The responsible entity provided a response in more than 60 calendar days but less than or equal to 70 calendar days after a request.</del>  OR <del>The responsible entity provided a response within 45 calendar days, and the response indicated that a change will not be made to the Facility Ratings methodology or Facility</del>	<del>The responsible entity provided a response in more than 70 calendar days but less than or equal to 80 calendar days after a request.</del>  OR <del>The responsible entity provided a response within 45 calendar days, but the response did not indicate whether a change will be made to the Facility Ratings methodology or Facility</del>	<del>The responsible entity failed to provide a response as required in more than 80 calendar days after the comments were received. (R5)</del>

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
		<del>Ratings documentation but did not indicate why no change will be made. (R5)</del>	<del>Ratings documentation. (R5)</del>	
<b>R6.</b>	The responsible entity failed to establish Facility Ratings consistent with the associated Facility Ratings methodology or documentation for determining the Facility Ratings for 5% or less of its solely owned and jointly owned Facilities. (R6)	The responsible entity failed to establish Facility Ratings consistent with the associated Facility Ratings methodology or documentation for determining the Facility Ratings for more than 5% or more, but less than up to (and including) 10% of its solely owned and jointly owned Facilities. (R6)	The responsible entity failed to establish Facility Ratings consistent with the associated Facility Ratings methodology or documentation for determining the Facility Ratings for more than 10% up to (and including) 15% of its solely owned and jointly owned Facilities. (R6)	The responsible entity failed to establish Facility Ratings consistent with the associated Facility Ratings methodology or documentation for determining the Facility Ratings for more than 15% of its solely owned and jointly owned Facilities. (R6)
<b>R7.</b> <u>Reserved.</u>	<del>The Generator Owner provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by up to and including 15 calendar days.</del>	<del>The Generator Owner provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by more than 15 calendar days but less than or equal to 25 calendar days.</del>	<del>The Generator Owner provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by more than 25 calendar days but less than or equal to 35 calendar days.</del>	<del>The Generator Owner provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by more than 35 calendar days.</del>  OR <del>The Generator Owner failed to provide its Facility</del>

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
				<del>Ratings to the requesting entities.</del>
<b>R8.</b>	<p>The responsible entity provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by up to and including 15 calendar days. (R8, Part 8.1)</p> <p>OR</p> <p>The responsible entity provided less than 100%, but not less than or equal to 95% of the required Rating information to all of the requesting entities. (R8, Part 8.1)</p> <p>OR</p> <p>The responsible entity provided the required Rating information to the requesting entity, but the information was provided up to and including 15</p>	<p>The responsible entity provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by more than 15 calendar days but less than or equal to 25 calendar days. (R8, Part 8.1)</p> <p>OR</p> <p>The responsible entity provided less than 95%, but not less than or equal to 90% of the required Rating information to all of the requesting entities. (R8, Part 8.1)</p> <p>OR</p> <p>The responsible entity provided the required Rating information to the requesting entity, but did so more 15 calendar days but less than or equal to 25</p>	<p>The responsible entity provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by more than 25 calendar days but less than or equal to 35 calendar days. (R8, Part 8.1)</p> <p>OR</p> <p>The responsible entity provided less than 90%, but not less than or equal to 85% of the required Rating information to all of the requesting entities. (R8, Part 8.1)</p> <p>OR</p> <p>The responsible entity provided the required Rating information to the requesting entity, but did so more than 25 calendar days but less than or equal</p>	<p>The responsible entity provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by more than 35 calendar days. (R8, Part 8.1)</p> <p>OR</p> <p>The responsible entity provided less than 85% of the required Rating information to all of the requesting entities. (R8, Part 8.1)</p> <p>OR</p> <p>The responsible entity provided the required Rating information to the requesting entity, but did so more than 35 calendar days late. (R8, Part 8.2)</p> <p>OR</p>



R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
	<p>calendar days late. (R8, Part 8.2)</p> <p>OR</p> <p>The responsible entity provided less than 100%, but not less than or equal to 95% of the required Rating information to the requesting entity. (R8, Part 8.2)</p>	<p>calendar days late. (R8, Part 8.2)</p> <p>OR</p> <p>The responsible entity provided less than 95%, but not less than or equal to 90% of the required Rating information to the requesting entity. (R8, Part 8.2)</p>	<p>to 35 calendar days late. (R8, Part 8.2)</p> <p>OR</p> <p>The responsible entity provided less than 90%, but no less than or equal to 85% of the required Rating information to the requesting entity. (R8, Part 8.2)</p>	<p>The responsible entity provided less than 85 % of the required Rating information to the requesting entity. (R8, Part 8.2)</p> <p>OR</p> <p>The responsible entity failed to provide its Rating information to the requesting entity. (R8, Part 8.1)</p>

#### D. Regional Variances

None.

#### E. Associated Documents

None.

## Version History

Version	Date	Action	Change Tracking
1	Feb 7, 2006	Approved by Board of Trustees	New
1	Mar 16, 2007	Approved by FERC	New
2	May 12, 2010	Approved by Board of Trustees	Complete Revision, merging FAC_008-1 and FAC-009-1 under Project 2009-06 and address directives from Order 693
3	May 24, 2011	Addition of Requirement R8	Project 2009-06 Expansion to address third directive from Order 693
3	May 24, 2011	Adopted by NERC Board of Trustees	
3	November 17, 2011	FERC Order issued approving FAC-008-3	
3	May 17, 2012	FERC Order issued directing the VRF for Requirement R2 be changed from “Lower” to “Medium”	
3	February 7, 2013	R4 and R5 and associated elements approved by NERC Board of Trustees for retirement as part of the Paragraph 81 project (Project 2013-02) pending applicable regulatory approval.	
3	November 21, 2013	R4 and R5 and associated elements approved by FERC for retirement as part of the Paragraph 81 project (Project 2013-02)	
<u>4</u>	<del>TBD</del> <u>May 9, 2020</u>	<u>R7 and R8 and associated elements adopted by NERC Board of Trustees for retirement as part of Project 2018-03 Standards Efficiency Review Retirements.</u>	

**FAC-008-~~3~~5 – Facility Ratings**

<u>4</u>	<u>September 17, 2020</u>	<u>Remanded by FERC (Order No. 873).</u>	<u>Withdrawn</u>
<u>5</u>	<u>February 4, 2021</u>	<u>Adopted by NERC Board of Trustees</u>	<u>Requirement R8 and associated elements restored in response to FERC Order No. 873.</u>

## Standard FAC-008-3 — Facility Ratings

### Appendix ~~QC-FAC-008-35-QC-1~~

#### ~~Provisions~~ Specific provisions to the standard FAC-008-3 applicable in Québec for standard FAC-008-35 — Facility Ratings

---

This appendix establishes specific provisions for the application of the standard in Québec. Provisions of the standard and of ~~its~~ this appendix must be read ~~together jointly~~ for the purposes of understanding comprehension and interpretation purposes. Where the standard and appendix differ, the appendix shall prevail.

#### A. Introduction

1. **Title:** ~~No specific provision~~ Facility Ratings

2. **Number:** ~~No specific provision~~ FAC-008-3

3. **Purpose:** No specific provision

4. **Applicability:**

##### **Functions**

No specific provision

##### **Facilities**

This standard only applies to the facilities of the Main Transmission System (RTP)

5. **Effective Date:**

5.1. Adoption of the standard by the Régie de l'énergie: ~~December Month 22xx, 2016~~ 202x

5.2. Adoption of the appendix by the Régie de l'énergie: Month xx, 202x ~~December 22, 2016~~

5.3. Effective date of the standard and its appendix in Québec: Month xx, 202x ~~July 1, 2017~~

#### B. Requirements and Measures

No specific provision

#### ~~C. Measures~~

~~No specific provision~~

#### D.C. Compliance

1. **Compliance Monitoring Process**

1.1. **Compliance Enforcement Authority**

In Québec, "Compliance Enforcement Authority" means the Régie de l'énergie in its roles of monitoring and enforcing compliance with respect to the Reliability Standard and to this appendix. The Régie de l'énergie is responsible, in Québec, for compliance enforcement with respect to the reliability standard and its appendix that it adopts.

1.2. **Compliance Monitoring and Enforcement Processes**

The Régie de l'énergie establishes the monitoring processes used to evaluate data or information for the purpose of determining compliance or non-compliance with the Reliability Standard and with this appendix. No specific provision

1.3. **Data Retention**

**Standard ~~FAC-008-3~~ — Facility Ratings**

**Appendix ~~QC-FAC-008-35-QC-1~~**

**~~Provisions~~ Specific provisions to the standard FAC-008-3 applicable in Québec for  
standard  
FAC-008-35 — Facility Ratings**

---

No specific provision

**1.4. Additional Compliance Information**

No specific provision

**2. Violation Severity Levels**

No specific provision

**E.D. Regional Differences**

No specific provision

**F.E. Associated Documents**

No specific provision

**Revision History**

Revision	Adoption Date	Action	Change Tracking
<del>01</del>	<del>December 22,</del> <del>2016</del> <u>Month xx,</u> <u>202x</u>	New appendix <u>adoption (D-xxxx-xxx)</u>	New