NERC
NORTH AMERICAN ELECTRIC RELIABILITY CORPORATION

Agenda
Standards Committee Meeting

August 23, 2023 | 1:00—3:00 p.m. Eastern

Dial-in: 1-415-655-0002 | Access Code: 2300 918 0416 | Meeting Password: 082323
Click here to: Join WebEx

Introduction and Chair's Remarks

NERC Antitrust Compliance Guidelines and Public Announcement*
NERC Participant Conduct Policy

Agenda Items

1. **Review August 23, 2023 Agenda - Approve - *Amy Casuscelli* (1 minute)**
2. **Consent Agenda - Approve - *Amy Casuscelli* (5 minutes)**
   a. July 19, 2023 Standards Committee Meeting Minutes* - **Approve**
   b. Project 2023-04 SC Action without a Meeting Results - **Inform**
3. **Projects Under Development - Review**
   a. Project Tracking Spreadsheet - *Mike Brytowski* (10 minutes)
   b. Projected Posting Schedule - *Latrice Harkness* (5 minutes)
4. **Project Management Posting Coordination* - Review - *Mike Brytowski (10 minutes)***
5. **Project 2023-03 Internal Network Security Monitoring - Accept/Authorize/Approve - *Jamie Calderon (10 minutes)***
   a. Internal Network Security Monitoring Standard Authorization Request*
6. **Errata to Reliability Standard TOP-003-6 - Accept - *Latrice Harkness (10 minutes)***
   a. TOP-003-6.1*
7. **Project 2021-08 Modifications to FAC-008 - Authorize - *Jamie Calderon (10 minutes)***
   a. FAC-008-6*
   b. Implementation Plan*
8. **Project 2021-07 Extreme Cold Weather Grid Operations, Preparedness, and Coordination* - Approve - *Latrice Harkness (10 minutes)***
9. **Legal Update and Upcoming Standards Filings - Review - *Lauren Perotti* (5 minutes)**
10. **Informational Items - Enclosed**

a. Standards Committee Expectations*
b. 2023 SC Meeting Schedule
c. 2023 Standards Committee Roster
d. Highlights of Parliamentary Procedure*

11. Adjournment

*Background materials included.

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Public Meeting Notice

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Minutes
Standards Committee Meeting

A. Casuscelli, chair, called to order the meeting of the Standards Committee (SC or the Committee) on July 19, 2023, at 11:01 a.m. Central. A. Oswald called roll and determined the meeting had a quorum. The SC member attendance and proxy sheets are attached as Attachment 1.

NERC Antitrust Compliance Guidelines and Public Announcement
The Committee secretary called attention to the NERC Antitrust Compliance Guidelines and the public meeting notice and directed questions to NERC's General Counsel, Sonia C. Rocha.

Introduction and Chair's Remarks
A. Casuscelli welcomed the Committee, guests, and proxies to the meeting.

Review July 19, 2023 Agenda (agenda item 1)
C. Yeung suggested doing agenda item 9 and agenda item 11 together. The SC approved the July 19, 2023 meeting agenda.

Consent Agenda (agenda item 2)
The Committee approved the June 21, 2023 Standards Committee Meeting Minutes.

Projects Under Development (agenda item 3)
M. Brytowski reviewed the Project Tracking Spreadsheet. L. Harkness reviewed the Three-month outlook. C. Yeung expressed concern about the numerous project postings and suggested coordination among projects for posting. L. Harkness reviewed the Project Posting Schedule and added that Project 2021-07 Extreme Cold Weather project is projected to post EOP-012-3 and TOP-002-5 on August 7, 2023. S. Bodkin suggested that Standards Development should consider having one project posting per week. L. Harkness responded that many projects are ongoing, and we are coordinating postings as best as possible.

Modification of MOD-031-3 Demand and Energy Data (agenda item 4)
L. Harkness provided an overview of the project background and standard authorization request (SAR). C. Yeung expressed concern with Brightline of the BES definition and questioned if the project will require changes in the registry in BES definition. L. Harkness ensured that the project would have to coordinate with other IBR projects. C. Yeung asked about the reasoning behind choosing to have an informal comment period over a formal one. L. Harkness responded that the SAR was vetted in System Planning Impacts from Distributed Energy Resources Working Group (SPIDERWG). C. Yeung made a motion to accept the modification of MOD-031-3 Demand and Energy Data SAR submitted by the NERC SPIDERWG and endorsed by the Reliability and Security Technical Committee (RSTC), authorize posting of the SAR for a 30-day formal comment period, and authorize the solicitation of the drafting team (DT) members. M.

Holster shared that Distribution Providers should be added to the cost section and seconded the formal comment period.

The committee approved the motion with no objections or abstentions.

Modification of TPL-001-5.1 Transmission System Planning Performance Requirements (agenda item 5)
J. Calderon provided an overview of the project background and standard authorization request (SAR). C. Yeung asked about the reasoning behind choosing to have an informal comment period over a formal one. J. Calderon responded that the SAR was a FERC order and noted that the posting would be a 30-day comment period, not 45 days, as stated on the one pager. T. Pyle asked about the coordination with Project 2022-02. L. Harkness acknowledged the overlap of multiple projects looking to revise the TPL standards and mentioned that NERC staff would coordinate internally. S. Kim commented on the Standards Development prioritization list that will focus more on high-priority projects. V. Greaff made a motion to accept the modification of TPL-001-5.1 Transmission System Planning Performance Requirements SAR submitted by the NERC staff in response to FERC Order No. 896, authorize posting of the SAR for a 30-day informal comment period, and allow the solicitation of the drafting team (DT) members.

The committee approved the motion with no objections or abstentions.

Project 2021-03 CIP-002 (agenda item 6)
L. Harkness provided an overview of the project's background. S. Rueckert made a motion to authorize the solicitation of supplemental Standard Drafting Team (SDT) members.

The committee approved the motion with no objections or abstentions.

Project 2023-04 Modifications to CIP-003 (agenda item 7)
A. Oswald provided an overview of the project background and standard authorization request (SAR). S. Rueckert made a motion to accept the revised Project 2022-05 Modifications to CIP-008 Reporting Threshold Standard Authorization Request (SAR), appoint the Project 2022-05 SAR drafting team (DT) as the Project 2022-05 standard drafting team (SDT), and authorize drafting revisions to the standards identified in the SAR.

The committee approved the motion with no objections or abstentions.

Project 2022-04 EMT Modeling (agenda item 8)
L. Harkness provided an overview of the project background and correction of TOP in the standard authorization request (SAR). C. Yeung made a motion to accept the revised Project 2022-04 EMT Modeling Standard Authorization Request (SAR), appoint the Project 2022-04 SAR drafting team (DT) as the Project 2022-04 standard drafting team (SDT), and authorize drafting revisions to the standards identified in the SAR.

The committee approved the motion with no objections or abstentions.

Project 2023-01 EOP-004 IBR Event Reporting (agenda item 9)
J. Calderon provided an overview of the project's background. The discussion of agenda item 9 is included with agenda item 11. C. Yeung made a motion to authorize initial posting of the proposed Reliability

Standard EOP-004-5 and the associated Implementation Plan for a 45-day formal comment period, with ballot pools formed in the first 30 days and parallel initial ballots and non-binding polls on the Violation Risk Factors (VRFs) and Violation Severity Levels (VSLs), conducted during the last 10 days of the comment period.

The committee approved the motion with no objections or abstentions.

Project 2021-04 Modifications to PRC-002 (agenda item 11)
L. Harkness provided an overview of the project's background. C. Yeung commented that the Standards Committee expanded the scope of SAR for PRC-002; however, the timeline of agenda item 9 does not align with agenda item 11 – he does not believe that it is appropriate to post both projects that are so closely related to two different implementation plans. C. Larson responded that agenda item 9 has some similarities but at a higher level. L. Harkness suggested that members may add their comments to the formal comment period of the posting. P. Winston commented that the implementation plan of agenda item #9 is not an issue, but rather the new standard's timeframe for installation seems unreasonable. Discussion returned to agenda item 9. V. Greaff made a motion to authorize initial posting of the proposed new Reliability Standard PRC-028-1 and modification of Reliability Standard PRC-002-5 and the associated Implementation Plan for a 45-day formal comment period, with ballot pools formed in the first 30 days, and parallel initial ballots and non-binding polls on the Violation Risk Factors (VRFs) and Violation Severity Levels (VSLs), conducted during the last 10 days of the comment period.

The committee approved the motion with no objections. C. Yeung abstained.

Project 2022-01 Reporting ACE Definition and Associated Terms (agenda item 10)
J. Calderon provided an overview of the project's background. R. Blohm commented that he was concerned about how the votes were counted, and there was no overwhelming support for a newly defined term. L. Perotti commented that the Standards Committee is a procedural oversight committee and supported the definition's inclusion. S. Rueckert made a motion to authorize initial posting of the proposed ACE Diversity Interchange definition for a 45-day formal comment period, with ballot pools formed in the first 30 days and parallel initial ballots conducted during the last 10 days of the comment period.

The committee approved the motion with no objections or abstentions.

Subcommittee Updates (agenda item 12)
M. Brytowski provided updates for the Project Management and Oversight Committee. M. Harward provided updates for the Standards Committee Process Subcommittee. T. Bennett provided updates for the Standing Committees Coordinating Group. V. Greaff provided updates for the Reliability and Security Technical Committee. S. Kelly provided an update from the NERC Board of Trustees.

Legal Update and Upcoming Standards Filings (agenda item 13)
S. Crawford provided an update.

Adjournment
The meeting adjourned at 12:04 p.m. Central.

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Project Management Oversight Subcommittee Reliability Standard Development Project Posting Coordination

Action

Discuss the Project Management Oversight Subcommittee (PMOS) scope and determine if the Standards Committee (SC) needs action to engage the PMOS in addressing due dates.

Background

The need to be expedient in the development of new and revised standards also needs to be recognized. With more projects in progress simultaneously, the need to obtain quality and diverse comments and the need to keep the standards projects on schedule is challenging the industry's resources. From July 14 - July 24, 2023 there were six comment due dates. The PMOS has within its scope, the responsibility to manage the standards projects postings to help industry manage the availability of resources to review postings.

Summary

The PMOS has within its scope, the responsibility to manage the standards projects postings to help industry manage the availability of resources to review postings.

> PMOS Scope: 3. Work closely with NERC staff and the SDTs to establish milestones and deadlines for all SC work activities relating to standard development, up to and including NERC Board of Trustees approval.

The need for timely updates from each project team is critical so PMOS can assess where there may be conflicting due dates or an excessive number of back-to-back due dates. The PMOS needs to have the standards teams posting period plans early enough to assess and make recommendations.

A more definitive and deliberate coordination between project teams and the PMOS or PMOS liaison is proposed. Recommend that the PMOS and NERC staff establish a coordination process with standards teams to more timely review posting schedules and report to the SC any unavoidable or unresolvable posting dates prior to the start of those posting periods.

Project 2023-03 Internal Network Security Monitoring

Action

- Accept the revised Project 2023-03 INSM Standard Authorization Request (SAR);
- Authorize drafting of Reliability Standard(s) identified in the SAR; and
- Approve a waiver of provisions of the Standard Processes Manual for Project 2023-03 Internal Network Security Monitoring (INSM) due to regulatory deadlines, as follows:
  - Initial formal comment and ballot period reduced from 45 days to as few as 30 calendar days, with ballot pools formed in the first 20 days, and initial ballot and non-binding poll of Violation Risk Factors (VRFs) and Violation Severity Levels (VSLs) conducted during the last 5 days of the comment period (Sections 4.9, 4.10);
  - Additional formal comment and ballot period(s) reduced from 45 days to as few as 20 calendar days, with ballot(s) and non-binding poll(s) conducted during the last five days of the comment period (Sections 4.9, 4.10).
  - Final ballot reduced from 10 days to as few as five calendar days (Section 4.13)

Background

On January 19, 2023, the Federal Energy Regulatory Commission (FERC) issued Order No. 887 directing NERC to develop requirements within the Critical Infrastructure Protection (CIP) Reliability Standards for INSM of all high-impact Bulk Electric System (BES) Cyber Systems and medium impact BES Cyber Systems with External Routable Connectivity (ERC). INSM permits entities to monitor traffic within a trusted zone, such as the Electronic Security Perimeter, to detect intrusions or malicious activity. Specifically, Order No. 887 directs NERC to develop Reliability Standards requirements for any new or modified CIP Reliability Standards that address the three security issues. In Order No. 887, FERC directed NERC to submit these revisions for approval within 15 months of the final rule's effective date, i.e., July 9, 2024.

Order No. 887 also directed NERC to conduct a study on the risks of lack of INSM for medium impact BES Cyber Systems without ERC, and all low-impact BES Cyber Systems, and on the challenges and solutions for implementing INSM for those BES Cyber Systems. NERC is currently conducting the study, which is to be filed with FERC by January 18, 2024.

The Standards Committee (SC) accepted the SAR at its March 22, 2023 meeting. At that same meeting, the SC authorized soliciting members for the Standard Drafting Team (SDT). The formal comment period and the solicitation for the SDT member period ran from April 6 - May 5, 2023. The SC appointed the chair, vice chair, and members to the Project 2023-03 INSM SDT.

The SDT reviewed and considered all comments received by industry and revised the SAR where appropriate.

Due to the July 9, 2024 deadline, the SC is being asked to waive those portions of Sections 4.7, 4.9, and 4.13 as they relate to the minimum required length for comment periods and ballots, including the final ballot. Section 16.0 of the Standards Processes Manual provides:

The Standards Committee may waive any of the provisions contained in this manual for good cause shown, but limited to the following circumstances:

- In response to a national emergency declared by the United States or Canadian government that involves the reliability of the Bulk Electric System or cyber attack on the BES
- Where necessary to meet regulatory deadlines;
- Where necessary to meet deadlines imposed by the NERC Board of Trustees; or
- Where the Standards Committee determines that a modification to a proposed Reliability Standard or its Requirement(s), a modification to a defined term, a modification to an Interpretation, or a modification to a Variance has already been vetted by the industry through the standards development process or is so insubstantial that developing the modification through the processes contained in this manual will add significant time delay.

Summary

NERC staff recommends that the SC accept the revised SAR, authorize drafting revisions to the standards listed in the SAR, and issue a waiver of Sections 4.7, 4.9, and 4.13 as they relate to the minimum required length for comment periods and ballots in order to meet the regulatory deadline established by FERC.

Consistent with Chapter 7 of the SC Charter, if the schedule requires, NERC staff would seek authorization from the SC Executive Committee in a properly noticed and open session to post the Reliability Standard(s) developed through this project for the initial formal comment period and ballot. Depending on when the standard(s) is ready to post, this flexibility would allow as much time for development work and comment periods as possible before the July 2024 deadline.

Standard Authorization Request (SAR)

Complete and submit this form, with attachment(s) to the NERC Help Desk. Upon entering the Captcha, please type in your contact information, and attach the SAR to your ticket. Once submitted, you will receive a confirmation number which you can use to track your request.

The North American Electric Reliability Corporation (NERC) welcomes suggestions to improve the reliability of the bulk power system through improved Reliability Standards.

Requested information			
SAR Title:	Internal Network Security Monitoring (INSM) (as revised by the Standard Drafting Team)		
Date Submitted:	March 7, 2023 (August 23, 2023)		
SAR Requester			
Name:	Michaelson Buchanan, Dan Goodlett, Larry Collier (Revised by Project 2023-03 Standard Drafting Team)		
Organization:	NERC		
Telephone:	470.725.5268, 470.522.7367, 470.716.2923	Email:	Michaelson.buchanan@nerc.net Dan.goodlett@nerc.net Larry.Collier@nerc.net
SAR Type (Check as many as apply)			
☒ New Standard ☒ Revision to Existing Standard ☒ Add, Modify or Retire a Glossary Term ☐ Withdraw/retire an Existing Standard		☐ Imminent Action/ Confidential Issue (SPM Section 10) ☐ Variance development or revision ☐ Other (Please specify)	
Justification for this proposed standard development project (Check all that apply to help NERC prioritize development)			
☒ Regulatory Initiation ☐ Emerging Risk (Reliability Issues Steering Committee) Identified ☐ Reliability Standard Development Plan		☐ NERC Standing Committee Identified ☐ Enhanced Periodic Review Initiated ☐ Industry Stakeholder Identified	
Industry Need (What Bulk Electric System (BES) reliability benefit does the proposed project provide?):			
While the CIP Reliability Standards require monitoring of the Electronic Security Perimeter and associated systems for high and medium impact BES Cyber Systems, the CIP-networked environment remains vulnerable to attacks that bypass network perimeter-based security controls traditionally used to identify the early phases of an attack. This represents a gap in the currently effective CIP Reliability Standards. To address this gap, CIP Reliability Standards should be created or modified to require INSM for all high impact BES Cyber Systems and medium impact BES Cyber Systems with External Routable Connectivity (ERC) to ensure the detection of anomalous network activity indicative of an attack in progress. These provisions will increase the probability of early detection and allow for quicker mitigation and recovery from an attack. Current CIP Reliability Standards are insufficient to protect			

Requested information
against insider threats or vulnerabilities that are exploited through supply chain attacks such as SolarWinds.
Purpose or Goal (How does this proposed project provide the reliability-related benefit described above?):
As directed by FERC Order No. 887, modify or create new Standard(s) that require INSM within a trusted Critical Infrastructure Protection networked environment for all high impact BES Cyber Systems with and without ERC and medium impact BES Cyber Systems with ERC.
Project Scope (Define the parameters of the proposed project):
The Standards Drafting Team (SDT) will create or modify the Reliability Standards and associated definitions as necessary to comply with the FERC order[1]. The scope of the project will include: • All high impact BES Cyber Systems; and • All medium impact BES Cyber Systems with ERC. The scope of the project should not extend to: • medium Impact BES Cyber Systems without ERC; or • low impact BES cyber systems.
Detailed Description (Describe the proposed deliverable(s) with sufficient detail for a drafting team to execute the project. If you propose a new or substantially revised Reliability Standard or definition, provide: (1) a technical justification[2] which includes a discussion of the reliability-related benefits of developing a new or revised Reliability Standard or definition, and (2) a technical foundation document (*e.g.,* research paper) to guide development of the Standard or definition):
Create new or modified existing CIP Reliability Standards that are forward-looking, objective-based, and that address the following three security objectives that pertain to INSM. First, any new or modified CIP Reliability Standards should address the need for responsible entities to develop baselines of their network traffic inside their CIP-networked environment. Second, any new or modified CIP Reliability Standards should address the need for responsible entities to monitor for and detect unauthorized activity, connections, devices, network communications, and software inside the CIP-networked environment. And third, any new or modified CIP Reliability Standards should provide flexibility to responsible entities in how they identify anomalous activity to a high level of confidence by: (1) logging network traffic (note that packet capture is one means of accomplishing this goal); (2) maintaining logs, and other data collected, regarding network traffic; and (3) implementing measures to minimize the likelihood of an attacker removing evidence of their tactics, techniques, and procedures from compromised devices.

[1] The SDT is aware that the ERO is in the process of completing a feasibility study, pursuant to the Order, which will examine the risks, challenges and potential solutions for those BES Cyber Systems not in scope.
[2] The NERC Rules of Procedure require a technical justification for new or substantially revised Reliability Standards. Please attach pertinent information to this form before submittal to NERC.

Requested information
Cost Impact Assessment, if known (Provide a paragraph describing the potential cost impacts associated with the proposed project):
Beyond the time and resources needed to serve on the Standard Drafting Team, the cost to entities will vary based on their current system architecture. While many entities may have the controls in place, others may not which could require a significant cost investment depending on their footprint.
Please describe any unique characteristics of the BES facilities that may be impacted by this proposed standard development project (*e.g.*, Dispersed Generation Resources):
None.
To assist the NERC Standards Committee in appointing a drafting team with the appropriate members, please indicate to which Functional Entities the proposed standard(s) should apply (*e.g.*, Transmission Operator, Reliability Coordinator, etc. See the most recent version of the NERC Functional Model for definitions):
Applicability will be the same as current CIP standards - Balancing Authority, Distribution Provider, Generator Operator, Generator Owner, Reliability Coordinator, Transmission Operator, Transmission Owner
Do you know of any consensus building activities[3] in connection with this SAR? If so, please provide any recommendations or findings resulting from the consensus building activity.
The SAR has been developed in response to FERC Order No. 887. The final Order was consistent with feedback provided by NERC and industry through the NOPR process. NERC and the ERO Enterprise have convened a response team to address directives in the FERC Order which included a review of this SAR.
Are there any related standards or SARs that should be assessed for impact as a result of this proposed project? If so, which standard(s) or project number(s)?
The following projects and Reliability standards should be assessed for impact: • Projects 2016-02 and 2022-05 • Reliability Standards CIP-005, CIP-007, CIP-008, CIP-010, and CIP-013
Are there alternatives (e.g., guidelines, white paper, alerts, etc.) that have been considered or could meet the objectives? If so, please list the alternatives.
This Standards Authorization Request has been developed pursuant to FERC Order No. 887.

Reliability Principles	
Does this proposed standard development project support at least one of the following Reliability Principles (Reliability Interface Principles)? Please check all those that apply.	
☐	1. Interconnected bulk power systems shall be planned and operated in a coordinated manner to perform reliably under normal and abnormal conditions as defined in the NERC Standards.
☐	2. The frequency and voltage of interconnected bulk power systems shall be controlled within defined limits through the balancing of real and reactive power supply and demand.

[3] Consensus building activities are occasionally conducted by NERC and/or project review teams. They typically are conducted to obtain industry inputs prior to proposing any standard development project to revise, or develop a standard or definition.

Reliability Principles	
☐	3. Information necessary for the planning and operation of interconnected bulk power systems shall be made available to those entities responsible for planning and operating the systems reliably.
☐	4. Plans for emergency operation and system restoration of interconnected bulk power systems shall be developed, coordinated, maintained and implemented.
☐	5. Facilities for communication, monitoring and control shall be provided, used and maintained for the reliability of interconnected bulk power systems.
☐	6. Personnel responsible for planning and operating interconnected bulk power systems shall be trained, qualified, and have the responsibility and authority to implement actions.
☒	7. The security of the interconnected bulk power systems shall be assessed, monitored and maintained on a wide area basis.
☒	8. Bulk power systems shall be protected from malicious physical or cyber attacks.

Market Interface Principles	
Does the proposed standard development project comply with all of the following Market Interface Principles?	Enter (yes/no)
1. A reliability standard shall not give any market participant an unfair competitive advantage.	Yes
2. A reliability standard shall neither mandate nor prohibit any specific market structure.	Yes
3. A reliability standard shall not preclude market solutions to achieving compliance with that standard.	Yes
4. A reliability standard shall not require the public disclosure of commercially sensitive information. All market participants shall have equal opportunity to access commercially non-sensitive information that is required for compliance with reliability standards.	Yes

Identified Existing or Potential Regional or Interconnection Variances	
Region(s)/ Interconnection	Explanation
N/A	

For Use by NERC Only

SAR Status Tracking (Check off as appropriate).	
☐ Draft SAR reviewed by NERC Staff ☐ Draft SAR presented to SC for acceptance ☐ DRAFT SAR approved for posting by the SC	☐ Final SAR endorsed by the SC ☐ SAR assigned a Standards Project by NERC ☐ SAR denied or proposed as Guidance document

Version History

Version	Date	Owner	Change Tracking
1	June 3, 2013		Revised
1	August 29, 2014	Standards Information Staff	Updated template
2	January 18, 2017	Standards Information Staff	Revised
2	June 28, 2017	Standards Information Staff	Updated template
3	February 22, 2019	Standards Information Staff	Added instructions to submit via Help Desk
4	February 25, 2020	Standards Information Staff	Updated template footer

Standard Authorization Request (SAR)

Complete and submit this form, with attachment(s) to the NERC Help Desk. Upon entering the Captcha, please type in your contact information, and attach the SAR to your ticket. Once submitted, you will receive a confirmation number which you can use to track your request.

The North American Electric Reliability Corporation (NERC) welcomes suggestions to ~~improve the~~ reliability of the bulk power system through improved Reliability Standards.

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Date Submitted:	March 7, 2023 (August 23, 2023)		
SAR Requester			
Name:	Michaelson Buchanan, Dan Goodlett, Larry Collier (Revised by Project 2023-03 Standard Drafting Team)		
Organization:	NERC		
Telephone:	470.725.5268, 470.522.7367, 470.716.2923	Email:	Michaelson.buchanan@nerc.net Dan.goodlett@nerc.net Larry.Collier@nerc.net
SAR Type (Check as many as apply)			
☒ New Standard ☒ Revision to Existing Standard ☒ Add, Modify or Retire a Glossary Term ☐ Withdraw/retire an Existing Standard		☐ Imminent Action/ Confidential Issue (SPM Section 10) ☐ Variance development or revision ☐ Other (Please specify)	
Justification for this proposed standard development project (Check all that apply to help NERC prioritize development)			
☒ Regulatory Initiation ☐ Emerging Risk (Reliability Issues Steering Committee) Identified ☐ Reliability Standard Development Plan		☐ NERC Standing Committee Identified ☐ Enhanced Periodic Review Initiated ☐ Industry Stakeholder Identified	
Industry Need (What Bulk Electric System (BES) reliability benefit does the proposed project provide?):			
While the CIP Reliability Standards require monitoring of the Electronic Security Perimeter and associated systems for high and medium impact BES Cyber Systems, the CIP-networked environment remains vulnerable to attacks that bypass network perimeter-based security controls traditionally used to identify the early phases of an attack. This ~~presents~~ represents a gap in the currently effective CIP Reliability Standards. To address this gap, CIP Reliability Standards should be created or modified to require INSM for all high impact BES Cyber Systems and medium impact BES Cyber Systems with External Routable Connectivity (ERC) to ensure the detection of anomalous network activity indicative of an attack in progress. These provisions will increase the probability of early detection and allow for quicker mitigation and recovery from an attack. Current CIP Reliability Standards are insufficient to			

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protect against insider threats or vulnerabilities that are exploited through supply chain attacks such as SolarWinds.
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The Standards Drafting Team (SDT) will create or modify the Reliability Standards and associated definitions as necessary to comply with the FERC order[1]. The scope of the project will include: • All high impact BES Cyber Systems~~,~~ ; and • All medium impact BES Cyber Systems with ERC. The scope of the project should not extend to: • medium Impact BES Cyber Systems without ERC; or • low impact BES cyber systems. ~~The ERO is in the process of completing a feasibility study, pursuant to the Order, which will examine the risks, challenges and potential solutions for those BES Cyber systems not in scope.~~
Detailed Description (Describe the proposed deliverable(s) with sufficient detail for a drafting team to execute the project. If you propose a new or substantially revised Reliability Standard or definition, provide: (1) a technical justification[2] which includes a discussion of the reliability-related benefits of developing a new or revised Reliability Standard or definition, and (2) a technical foundation document (*e.g.,* research paper) to guide development of the Standard or definition):
Create new or modified existing CIP Reliability Standards that are forward-looking, objective-based, and that address the following three security objectives that pertain to INSM. First, any new or modified CIP Reliability Standards should address the need for responsible entities to develop baselines of their network traffic inside their CIP-networked environment. Second, any new or modified CIP Reliability Standards should address the need for responsible entities to monitor for and detect unauthorized activity, connections, devices, network communications, and software inside the CIP-networked environment. And third, any new or modified CIP Reliability Standards should provide flexibility to ~~require~~ responsible entities ~~to~~ in how they identify anomalous activity to a high level of confidence by: (1) logging network traffic (note that packet capture is one means of accomplishing this goal); (2) maintaining logs, and other data collected, regarding network traffic; and (3) implementing measures to minimize the likelihood of an attacker removing evidence of their tactics, techniques, and procedures from compromised devices.

[1] The SDT is aware that the ERO is in the process of completing a feasibility study, pursuant to the Order, which will examine the risks, challenges and potential solutions for those BES Cyber Systems not in scope.

[2] The NERC Rules of Procedure require a technical justification for new or substantially revised Reliability Standards. Please attach pertinent information to this form before submittal to NERC.

Requested information
Cost Impact Assessment, if known (Provide a paragraph describing the potential cost impacts associated with the proposed project):
Beyond the time and resources needed to serve on the Standard Drafting Team, the cost to entities will vary based on their current system architecture. While many entities may have the controls in place, others may not which could require a significant cost investment depending on their footprint.
Please describe any unique characteristics of the BES facilities that may be impacted by this proposed standard development project (*e.g.*, Dispersed Generation Resources):
None.
To assist the NERC Standards Committee in appointing a drafting team with the appropriate members, please indicate to which Functional Entities the proposed standard(s) should apply (*e.g.*, Transmission Operator, Reliability Coordinator, etc. See the most recent version of the NERC Functional Model for definitions):
Applicability will be the same as current CIP standards - Balancing Authority, Distribution Provider, Generator Operator, Generator Owner, ~~Interchange Coordinator, Interchange Authority,~~ Reliability Coordinator, Transmission Operator, Transmission Owner
Do you know of any consensus building activities[3] in connection with this SAR? If so, please provide any recommendations or findings resulting from the consensus building activity.
The SAR has been developed in response to FERC Order No. 887. The final Order was consistent with feedback provided by NERC and industry through the NOPR process. NERC and the ERO Enterprise have convened a response team to address directives in the FERC Order which included a review of this SAR.
Are there any related standards or SARs that should be assessed for impact as a result of this proposed project? If so, which standard(s) or project number(s)?
The following projects and Reliability standards should be assessed for impact: • Projects 2016-02~~, 2019-03~~ and 2022-05 • Reliability Standards CIP-005~~-7~~, CIP-007, CIP-008, CIP-010~~-4~~, and CIP-013~~-2~~
Are there alternatives (e.g., guidelines, white paper, alerts, etc.) that have been considered or could meet the objectives? If so, please list the alternatives.
This Standards Authorization Request has been developed pursuant to FERC Order No. 887.

Reliability Principles	
Does this proposed standard development project support at least one of the following Reliability Principles (Reliability Interface Principles)? Please check all those that apply.	
☐	1. Interconnected bulk power systems shall be planned and operated in a coordinated manner to perform reliably under normal and abnormal conditions as defined in the NERC Standards.
☐	2. The frequency and voltage of interconnected bulk power systems shall be controlled within defined limits through the balancing of real and reactive power supply and demand.

[3] Consensus building activities are occasionally conducted by NERC and/or project review teams. They typically are conducted to obtain industry inputs prior to proposing any standard development project to revise, or develop a standard or definition.

Reliability Principles	
☐	3. Information necessary for the planning and operation of interconnected bulk power systems shall be made available to those entities responsible for planning and operating the systems reliably.
☐	4. Plans for emergency operation and system restoration of interconnected bulk power systems shall be developed, coordinated, maintained and implemented.
☐	5. Facilities for communication, monitoring and control shall be provided, used and maintained for the reliability of interconnected bulk power systems.
☐	6. Personnel responsible for planning and operating interconnected bulk power systems shall be trained, qualified, and have the responsibility and authority to implement actions.
☒	7. The security of the interconnected bulk power systems shall be assessed, monitored and maintained on a wide area basis.
☒	8. Bulk power systems shall be protected from malicious physical or cyber attacks.

Market Interface Principles	
Does the proposed standard development project comply with all of the following Market Interface Principles?	Enter (yes/no)
1. A reliability standard shall not give any market participant an unfair competitive advantage.	Yes
2. A reliability standard shall neither mandate nor prohibit any specific market structure.	Yes
3. A reliability standard shall not preclude market solutions to achieving compliance with that standard.	Yes
4. A reliability standard shall not require the public disclosure of commercially sensitive information. All market participants shall have equal opportunity to access commercially non-sensitive information that is required for compliance with reliability standards.	Yes

Identified Existing or Potential Regional or Interconnection Variances	
Region(s)/ Interconnection	Explanation
N/A	

For Use by NERC Only

SAR Status Tracking (Check off as appropriate).	
☐ Draft SAR reviewed by NERC Staff ☐ Draft SAR presented to SC for acceptance ☐ DRAFT SAR approved for posting by the SC	☐ Final SAR endorsed by the SC ☐ SAR assigned a Standards Project by NERC ☐ SAR denied or proposed as Guidance document

Version History

Version	Date	Owner	Change Tracking
1	June 3, 2013		Revised
1	August 29, 2014	Standards Information Staff	Updated template
2	January 18, 2017	Standards Information Staff	Revised
2	June 28, 2017	Standards Information Staff	Updated template
3	February 22, 2019	Standards Information Staff	Added instructions to submit via Help Desk
4	February 25, 2020	Standards Information Staff	Updated template footer

Errata to Reliability Standard TOP-003-6

Action

Accept the errata changes to TOP-003-6 to remove the word "using" from Requirement R5 and correct the grammar of the word "methods" in Requirement R2 Part 2.5.5.

Background

Section 12.0 of the Standard Processes Manual states:

> *"From time to time, an error may be discovered in a Reliability Standard. Such errors may be corrected (i) following a Final Ballot prior to Board of Trustees adoption, (ii) following Board of Trustees adoption prior to filing with Applicable Governmental Authorities; and (iii) following filing with Applicable Governmental Authorities. If the Standards Committee agrees that the correction of the error does not change the scope or intent of the associated Reliability Standard, and agrees that the correction has no material impact on the end users of the Reliability Standard, then the correction shall be filed for approval with Applicable Governmental Authorities as appropriate. The NERC Board of Trustees has resolved to concurrently approve any errata approved by the Standards Committee."*

Reliability Standard TOP-003-6 passed the final ballot on July 31, 2023 and was presented to the Board of Trustees for adoption on August 17, 2023.

When Reliability Standard TOP-003-6 was revised under Project 2021-06 Modifications to IRO-010 and TOP-003, the drafting team revised Requirement R5 by adding information to what would be received by each Transmission Operator, Balancing Authority, Generator Owner, Generator Operator, Transmission Owner, and Distribution Provider. However, when making this revision and deleting Requirement R5 Parts 5.1, 5.2, and 5.3 the team inadvertently did not delete the word "using." Correction of this error is necessary to clarify satisfaction of the obligations of the documented specifications in Requirements R3 and R4.

Additionally, a grammatical error is corrected: In Section 2.5.5, the word "methods" is corrected to "method(s)," consistent with Section 1.5.5 ("A mutually agreeable method(s) for securely transferring data and information.").

Correction of these errors would not change the scope or intent of the associated Reliability Standard and would have no material impact on the end users of the Reliability Standard.

Standard Development Timeline

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

Description of Current Draft

This is the final draft of the proposed standard.

Completed Actions	Date
Standards Committee approved Standard Authorization Request (SAR) for posting	January 20, 2021
SAR posted for comment	July 8 - August 6, 2021
SAR posted for comment	January 11 - February 9, 2022
45-day formal comment period with ballot	October 25 - December 9, 2022
45-day formal comment period with additional ballot	May 5 - June 11, 2023
10-day final ballot	July 21 – 31, 2023

Anticipated Actions	Date
Board adoption	August 2023

A. Introduction

1. **Title:** Transmission Operator and Balancing Authority Data and Information Specification and Collection

2. **Number:** TOP-003-6

3. **Purpose:** To ensure that each Transmission Operator and Balancing Authority has the data and information it needs to plan, monitor, and assess the operation of its Transmission Operator Area or Balancing Authority Area.

4. **Applicability:**

   4.1 Functional Entities:

   4.1.1 Transmission Operator

   4.1.2 Balancing Authority

   4.1.3 Generator Owner

   4.1.4 Generator Operator

   4.1.5 Transmission Owner

   4.1.6 Distribution Provider

5. **Effective Date:** See Implementation Plan for Project 2021-06.

B. Requirements and Measures

R1. Each Transmission Operator shall maintain documented specification(s) for the data and information necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments. The specification shall include, but not be limited to: *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning]*

1.1. A list of data and information needed by the Transmission Operator to support its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments including non-BES data and information, external network data and information, and identification of the entities responsible for responding to the specification as deemed necessary by the Transmission Operator.

1.2. Provisions for notification of current Protection System and Remedial Action Scheme (RAS) status or degradation that impacts System reliability.

1.3. Provisions for notification of BES generating unit(s) during local forecasted cold weather to include:

1.3.1. Operating limitations based on:

1.3.1.1. capability and availability;

1.3.1.2. fuel supply and inventory concerns;

1.3.1.3. fuel switching capabilities; and

1.3.1.4. environmental constraints

1.3.2. Generating unit(s) minimum:

1.3.2.1. design temperature; or

1.3.2.2. historical operating temperature; or

1.3.2.3. current cold weather performance temperature determined by an engineering analysis.

1.4. Identification of a mutually agreeable process for resolving conflicts.

1.5. Method(s) for the entity identified in Part 1.1 to provide the data and information that includes at a minimum the following.

1.5.1. Specified deadlines or periodicity which data and information is to be provided;

1.5.2. Performance criteria for the availability and accuracy of data and information as applicable;

1.5.3. Provisions to update or correct data and information, as applicable or necessary;

1.5.4. A mutually agreeable format;

1.5.5. Mutually agreeable method(s) for securely transferring data and information.

M1. Each Transmission Operator shall make available its dated, current, in force documented specification(s) for data and information.

R2. Each Balancing Authority shall maintain documented specification(s) for the data and information necessary for it to perform its analysis functions and Real-time monitoring. The data specification shall include, but not be limited to: *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning]*

2.1. A list of data and information needed by the Balancing Authority to support its analysis functions and Real-time monitoring including non-Bulk Electric System data and information, and external network data and information, as deemed necessary by the Balancing Authority, and identification of the entity responsible for responding to the specification.

2.2. Provisions for notification of current Protection System and Remedial Action Scheme status or degradation that impacts System reliability.

2.3. Provisions for notification of BES generating unit(s) status during local forecasted cold weather to include:

2.3.1. Operating limitations based on:

2.3.1.1. capability and availability;

2.3.1.2. fuel supply and inventory concerns;

2.3.1.3. fuel switching capabilities; and

2.3.1.4. environmental constraints.

2.3.2. Generating unit(s) minimum:

2.3.2.1. design temperature; or

2.3.2.2. historical operating temperature; or

2.3.2.3. current cold weather performance temperature determined by an engineering analysis.

2.4. Identification of a mutually agreeable process in resolving conflicts

2.5. Methods for the entity identified in Part 2.1 to provide data and information that includes at a minimum the following.

2.5.1. Specific deadlines or periodicity in which data and information is to be provided;

2.5.2. Performance criteria for the availability and accuracy of data and information, as applicable;

2.5.3. Provisions to update or correct data and information, as applicable or necessary.

2.5.4. A mutually agreeable format.

2.5.5. A mutually agreeable method(s) for securely transferring data and information.

M2. Each Balancing Authority shall make available its dated, current, in force documented specification(s) for data and information.

R3. Each Transmission Operator shall distribute its data and information specification(s) to entities that have data and information required by the Transmission Operator's Operational Planning Analyses, Real- time monitoring, and Real-time Assessments. *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning]*

M3. Each Transmission Operator shall make available evidence that it has distributed its data specification(s) to entities that have data and information required by the Transmission Operator's Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.

Such evidence could include but is not limited to web postings with an electronic notice of the posting, dated operator logs, voice recordings, postal receipts showing the recipient, date and contents, or e-mail records.

R4. Each Balancing Authority shall distribute its data and information specification(s) to entities that have data and information required by the Balancing Authority's analysis functions and Real-time monitoring. *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning]*

M4. Each Balancing Authority shall make available evidence that it has distributed its data specification(s) to entities that have data and information required by the Balancing Authority's analysis functions and Real-time monitoring. Such evidence could include but is not limited to web postings with an electronic notice of the posting, dated operator logs, voice recordings, postal receipts showing the recipient, or e-mail records.

R5. Each Transmission Operator, Balancing Authority, Generator Owner, Generator Operator, Transmission Owner, and Distribution Provider receiving a data and information specification(s) in Requirement R3 or R4 shall satisfy the obligations of the documented specifications. *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning, Same-Day Operations, Real-time Operations]*

M5. Each Transmission Operator, Balancing Authority, Generator Owner, Generator Operator, Transmission Owner, and Distribution Provider receiving a specification(s) in Requirement R3 or R4 shall make available evidence that it has satisfied the obligations of the documented specification. Such evidence could include, but is not limited to, electronic or hard copies of data transmittals or attestations of receiving entities.

C. Compliance

1. Compliance Monitoring Process

4.1.1 Compliance Enforcement Authority: "Compliance Enforcement Authority" (CEA) 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.

4.1.2 Evidence Retention: The following evidence retention period(s) identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the CEA may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

Each responsible 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.

Each Transmission Operator shall retain its dated, current, in force, documented specification for the data and information necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments in accordance with Requirement R1 and Measurement M1 as well as any documents in force since the last compliance audit.

Each Balancing Authority shall retain its dated, current, in force, documented specification(s) for the data and information necessary for it to perform its analysis functions and Real-time monitoring in accordance with Requirement R2 and Measurement M2 as well as any documents in force since the last compliance audit.

Each Transmission Operator shall retain evidence for three calendar years that it has distributed its specification(s) to entities that have data required by the Transmission Operator's Operational Planning Analyses, Real-time monitoring, and Real-time Assessments in accordance with Requirement R3 and Measurement M3.

Each Balancing Authority shall retain evidence for three calendar years that it has distributed its specification(s) to entities that have data required by the Balancing Authority's analysis functions and Real-time monitoring in accordance with Requirement R4 and Measurement M4.

Each Balancing Authority, Generator Owner, Generator Operator, Transmission Operator, Transmission Owner, and Distribution Provider receiving a specification(s) in Requirement R3 or R4 shall retain evidence for the most

recent 90-calendar days that it has satisfied the obligations of the documented specifications in accordance with Requirement R5 and Measurement M5.

4.1.3 Compliance Monitoring and Enforcement Program: As defined in the NERC Rules of Procedure, "Compliance Monitoring and Enforcement Program" refers to the identification of the processes that will be used to evaluate data or information for the purpose of assessing performance or outcomes with the associated reliability standard.

Violation Severity Levels

R#	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	Operations Planning	Lower	The Transmission Operator did not include one or two of the parts (Part 1.1 through Part 1.5) of the documented specification(s) for the data and information necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real- time Assessments.	The Transmission Operator did not include three of the parts (Part 1.1 through Part 1.5) of the documented specification(s) for the data and information necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real- time Assessments.	The Transmission Operator did not include four of the parts (Part 1.1 through Part 1.5) of the documented specification(s) for the data and information necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.	The Transmission Operator did not include any of the parts (Part 1.1 through Part 1.5) of the documented specification(s) for the data and information necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real- time Assessments. OR, The Transmission Operator did not have a documented specification(s) for the data and information necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real- time Assessments.
R2	Operations Planning	Lower	The Balancing Authority did not include two or fewer of the parts (Part 2.1 through Part 2.5) of the documented specification(s) for the data and information necessary for it to perform its analysis functions and Real- time monitoring.	The Balancing Authority did not include three of the parts (Part 2.1 through Part 2.5) of the documented specification(s) for the data and information necessary for it to perform its analysis functions and Real- time	The Balancing Authority did not include four of the parts (Part 2.1 through Part 2.5) of the documented specification(s) for the data and information necessary for it to perform its analysis functions and Real- time monitoring.	The Balancing Authority did not include any of the parts (Part 2.1 through Part 2.5) of the documented specification(s) for the data and information necessary for it to perform its analysis functions and Real- time monitoring.

R#	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
				monitoring.		OR, The Balancing Authority did not have a documented specification(s) for the data and information necessary for it to perform its analysis functions and Real- time monitoring.
For the Requirement R3 and R4 VSLs only, the intent of the SDT is to start with the Severe VSL first and then to work your way to the left until you find the situation that fits. In this manner, the VSL will not be discriminatory by size of entity. If a small entity has just one affected reliability entity to inform, the intent is that that situation would be a Severe violation.						
R3	Operations Planning	Lower	The Transmission Operator did not distribute its Specification(s) to one entity, or 5% or less of the entities, whichever is greater, that have data and information required by the Transmission Operator's Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.	The Transmission Operator did not distribute its Specification(s) to two entities, or more than 5% and less than or equal to10% of the reliability entities, whichever is greater, that have data and information required by the Transmission Operator's Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.	The Transmission Operator did not distribute its Specification(s) to three entities, or more than 10% and less than or equal to 15% of the reliability entities, whichever is greater, that have data and information required by the Transmission Operator's Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.	The Transmission Operator did not distribute its Specification(s) to four or more entities, or more than 15% of the entities that have data and information required by the Transmission Operator's Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.
R4	Operations Planning	Lower	The Balancing Authority did not distribute its Specification(s) to one entity, or 5% or less of the entities, whichever is greater, that have data and information required	The Balancing Authority did not distribute its Specification(s) to two entities, or more than 5% and less than or equal to 10% of the entities, whichever is greater, that	The Balancing Authority did not distribute its Specification(s) to three entities, or more than10% and less than or equal to 15% of the entities, whichever is greater, that	The Balancing Authority did not distribute its Specification(s) to four or more entities, or more than 15% of the entities that have data and information required by

R#	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
			by the Balancing Authority's analysis functions and Real-time monitoring.	have data and information required by the Balancing Authority's analysis functions and Real-time monitoring.	have data and information required by the Balancing Authority's analysis functions and Real-time monitoring.	the Balancing Authority's analysis functions and Real-time monitoring.
R5	Operations Planning, Same-Day Operations, Real-time Operations	Medium	The responsible entity receiving a specification(s) in Requirement R3 or R4 satisfied the obligations in the specification but failed to meet one of the parts in Requirement R1 Part1.5 or Requirement R2 Part 2.5.	The responsible entity receiving a specification(s) in Requirement R3 or R4 satisfied the obligations in the specification but failed to meet two of the parts in Requirement R1 Part 1.5 or Requirement R2 Part 2.5.	The responsible entity receiving a specification(s) in Requirement R3 or R4 satisfied the obligations in the specification but failed to meet three or more of the parts in Requirement R1 Part 1.5 or Requirement R2 Part 2.5.	The responsible entity receiving a specification(s) in Requirement R3 or R4 did not satisfy the obligations of the documented specifications.

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
0	August 8, 2005	Removed "Proposed" from Effective Date	Errata
1		Modified R1.2 Modified M1 Replaced Levels of Non-compliance with the Feb 28, BOT approved Violation Severity Levels (VSLs)	Revised
1	October 17, 2008	Adopted by NERC Board of Trustees	
1	March 17, 2011	Order issued by FERC approving TOP- 003-1 (approval effective 5/23/11)	
2	May 6, 2012	Revised under Project 2007-03	Revised
2	May 9, 2012	Adopted by Board of Trustees	Revised
3	April 2014	Changes pursuant to Project 2014-03	Revised
3	November 13, 2014	Adopted by Board of Trustees	Revisions under Project 2014-03
3	November 19, 2015	FERC approved TOP-003-3. Docket No. RM15-16-000, Order No. 817	
4	February 6, 2020	Adopted by NERC Board of Trustees	Revisions under Project 2017-07
4	October 30, 2020	FERC approved TOP-003-4. Docket No. RD20-4-000	
5	May 2021	Changes pursuant to Project 2019-06	Revised
5	June 11, 2021	Board approved	Project 2019-06 Cold Weather
5	August 24, 2021	FERC approved TOP –003-5 Docket No. RD21-5-000, Order 176	
6	TBD	Adopted by NERC Board of Trustees	Revisions under project 2021-06
6.1	Errata	Approved by the Standards Committee	

Standard Development Timeline

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

Description of Current Draft

This is the final draft of the proposed standard.

Completed Actions	Date
Standards Committee approved Standard Authorization Request (SAR) for posting	January 20, 2021
SAR posted for comment	July 8 - August 6, 2021
SAR posted for comment	January 11 - February 9, 2022
45-day formal comment period with ballot	October 25 - December 9, 2022
45-day formal comment period with additional ballot	May 5 - June 11, 2023
10-day final ballot	July 21 – 31, 2023

Anticipated Actions	Date
Board adoption	August 2023

A. Introduction

1. **Title:** Transmission Operator and Balancing Authority Data and Information Specification and Collection

~~1.~~2. **Number:** TOP-003-~~5~~6

~~2.~~3. **Purpose:** To ensure that each Transmission Operator and Balancing Authority has the ~~Transmission Operator and Balancing Authority have~~ data ~~needed~~and information it needs to ~~fulfill their operational and planning responsibilities~~plan, monitor, and assess the operation of its Transmission Operator Area or Balancing Authority Area.

~~3.~~4. **Applicability:**

4.1 Functional Entities:

4.1.1 Transmission Operator

4.1.2 Balancing Authority

4.1.3 Generator Owner

4.1.4 Generator Operator

4.1.5 Transmission Owner

4.1.6 Distribution Provider

5. **Effective Date:** See Implementation Plan for Project 2021~~9~~-06.

B. Requirements and Measures

R1. Each Transmission Operator shall maintain ~~a~~ documented specification(s) for the data and information necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments. The ~~data~~ specification shall include, but not be limited to: *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning]*

1.1. A list of data and information needed by the Transmission Operator to support its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments including non-BES data and information, external network data and information, and identification of the entities responsible for responding to the specification as deemed necessary by the Transmission Operator.

1.2. Provisions for notification of current Protection System and Remedial Action Scheme (RAS) status or degradation that impacts System reliability.

1.3. Provisions for notification of BES generating unit(s) during local forecasted cold weather to include:

1.3.1. Operating limitations based on:

1.3.1.1. capability and availability;

1.3.1.2. fuel supply and inventory concerns;

1.3.1.3. fuel switching capabilities; and

1.3.1.4. environmental constraints

1.3.2. Generating unit(s) minimum:

1.3.2.1. design temperature; or

1.3.2.2. historical operating temperature; or

1.3.2.3. current cold weather performance temperature determined by an engineering analysis.

1.4. ~~A~~ Identification of a mutually agreeable process for resolving conflicts.

1.5. Method(s) for the entity identified in Part 1.1 to provide the data and information that includes at a minimum the following.

~~**1.4.**~~ Specified deadlines or periodicity ~~for providing data.~~

~~**1.4.1.**~~**1.5.1.** ~~The deadline by~~ which ~~the respondent~~data and information is to ~~provide the indicated data.~~be provided;

1.5.2. Performance criteria for the availability and accuracy of data and information as applicable;

1.5.3. Provisions to update or correct data and information, as applicable or necessary;

1.5.4. A mutually agreeable format;

1.5.5. Mutually agreeable method(s) for securely transferring data and information.

M1. Each Transmission Operator shall make available its dated, current, in force documented specification(s) for data and information.

R2. Each Balancing Authority shall maintain ~~a~~ documented specification(s) for the data and information necessary for it to perform its analysis functions and Real-time monitoring. The data specification shall include, but not be limited to: *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning]*

2.1. A list of data and information needed by the Balancing Authority to support its analysis functions and Real-time monitoring including non-Bulk Electric System data and information, and external network data and information, as deemed necessary by the Balancing Authority, and identification of the entity responsible for responding to the specification.

2.2. Provisions for notification of current Protection System and Remedial Action Scheme status or degradation that impacts System reliability.

2.3. Provisions for notification of BES generating unit(s) status during local forecasted cold weather to include:

2.3.1. Operating limitations based on:

2.3.1.1. capability and availability;

2.3.1.2. fuel supply and inventory concerns;

2.3.1.3. fuel switching capabilities; and

2.3.1.4. environmental constraints.

2.3.2. Generating unit(s) minimum:

2.3.2.1. design temperature; or

2.3.2.2. historical operating temperature; or

2.3.2.3. current cold weather performance temperature determined by an engineering analysis.

2.4. ~~A~~ Identification of a mutually agreeable process in resolving conflicts

2.5. Methods for the entity identified in Part 2.1 to provide data and information that includes at a minimum the following.

~~**2.4.**~~ Specific deadlines or periodicity ~~for providing data.~~

~~**2.4.1.**~~**2.5.1.** ~~The deadline by~~in which ~~the respondent~~data and information is to ~~provide the indicated data.~~be provided;

2.5.2. Performance criteria for the availability and accuracy of data and information, as applicable;

2.5.3. Provisions to update or correct data and information, as applicable or necessary.

2.5.4. A mutually agreeable format.

2.5.5. A mutually agreeable method(s) for securely transferring data and information.

M2. Each Balancing Authority shall make available its dated, current, in force documented specification(s) for data and information.

R3. Each Transmission Operator shall distribute its data and information specification(s) to entities that have data and information required by the Transmission Operator's Operational Planning Analyses, Real- time monitoring, and Real-time Assessments. *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning]*

M3. Each Transmission Operator shall make available evidence that it has distributed its data specification(s) to entities that have data and information required by the Transmission Operator's Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.

Such evidence could include but is not limited to web postings with an electronic notice of the posting, dated operator logs, voice recordings, postal receipts showing the recipient, date and contents, or e-mail records.

R4. Each Balancing Authority shall distribute its data and information specification(s) to entities that have data and information required by the Balancing Authority's analysis functions and Real-time monitoring. *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning]*

M4. Each Balancing Authority shall make available evidence that it has distributed its data specification(s) to entities that have data and information required by the Balancing Authority's analysis functions and Real-time monitoring. Such evidence could include but is not limited to web postings with an electronic notice of the posting, dated operator logs, voice recordings, postal receipts showing the recipient, or e-mail records.

R5. Each Transmission Operator, Balancing Authority, Generator Owner, Generator Operator, Transmission Owner, and Distribution Provider receiving a data and information specification(s) in Requirement R3 or R4 shall satisfy the obligations of the documented specifications ~~using:~~. *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning, Same-Day Operations, Real-time Operations]*

~~**5.1.** A mutually agreeable format~~

~~**5.2.** A mutually agreeable process for resolving data conflicts~~

~~**5.3.** A mutually agreeable security protocol~~

M5. Each Transmission Operator, Balancing Authority, Generator Owner, Generator Operator, Transmission Owner, and Distribution Provider receiving a ~~data~~ specification(s) in Requirement R3 or R4 shall make available evidence that it has satisfied the obligations of the documented specification~~s~~. Such evidence could include, but is not limited to, electronic or hard copies of data transmittals or attestations of receiving entities.

C. Compliance

1. Compliance Monitoring Process

4.1.1 Compliance Enforcement Authority: "Compliance Enforcement Authority" (CEA) 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.

4.1.2 Evidence Retention: The following evidence retention period(s) identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the ~~Compliance Enforcement Authority~~CEA may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

Each responsible entity shall keep data or evidence to show compliance as identified below unless directed by its ~~Compliance Enforcement Authority~~CEA to retain specific evidence for a longer period of time as part of an investigation~~:~~.

Each Transmission Operator shall retain its dated, current, in force, documented specification for the data and information necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments in accordance with Requirement R1 and Measurement M1 as well as any documents in force since the last compliance audit.

Each Balancing Authority shall retain its dated, current, in force, documented specification(s) for the data and information necessary for it to perform its analysis functions and Real-time monitoring in accordance with Requirement R2 and Measurement M2 as well as any documents in force since the last compliance audit.

Each Transmission Operator shall retain evidence for three calendar years that it has distributed its ~~data~~ specification(s) to entities that have data required by the Transmission Operator's Operational Planning Analyses, Real-time monitoring, and Real-time Assessments in accordance with Requirement R3 and Measurement M3.

Each Balancing Authority shall retain evidence for three calendar years that it has distributed its ~~data~~ specification(s) to entities that have data required by the Balancing Authority's analysis functions and Real-time monitoring in accordance with Requirement R4 and Measurement M4.

Each Balancing Authority, Generator Owner, Generator Operator, Transmission Operator, Transmission Owner, and Distribution Provider receiving a ~~data~~

specification(s) in Requirement R3 or R4 shall retain evidence for the most recent 90-calendar days that it has satisfied the obligations of the documented specifications in accordance with Requirement R5 and Measurement M5.

4.1.3 Compliance Monitoring and Enforcement Program: As defined in the NERC Rules of Procedure, "Compliance Monitoring and Enforcement Program" refers to the identification of the processes that will be used to evaluate data or information for the purpose of assessing performance or outcomes with the associated reliability standard.

Violation Severity Levels

R#	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	Operations Planning	Lower	The Transmission Operator did not include ~~two or fewer~~ one or two of the parts (Part 1.1 through Part 1.5) of the documented specification(s) for the data and information necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real- time Assessments.	The Transmission Operator did not include three of the parts (Part 1.1 through Part 1.5) of the documented specification(s) for the data and information necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real- time Assessments.	The Transmission Operator did not include four of the parts (Part 1.1 through Part 1.5) of the documented specification(s) for the data and information necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.	The Transmission Operator did not include any of the parts (Part 1.1 through Part 1.5) of the documented specification(s) for the data and information necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real- time Assessments. OR, The Transmission Operator did not have a documented specification(s) for the data and information on necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real- time Assessments.
R2	Operations Planning	Lower	The Balancing Authority did not include two or fewer of the parts (Part 2.1 through Part 2.5) of the documented specification(s) for the data and information necessary for it to perform its analysis functions and Real- time monitoring.	The Balancing Authority did not include three of the parts (Part 2.1 through Part 2.5) of the documented specification(s) for the data and information necessary for it to perform its analysis functions and Real- time	The Balancing Authority did not include four of the parts (Part 2.1 through Part 2.5) of the documented specification(s) for the data and information necessary for it to perform its analysis functions and Real- time monitoring.	The Balancing Authority did not include any of the parts (Part 2.1 through Part 2.5) of the documented specification(s) for the data and information necessary for it to perform its analysis functions and Real- time monitoring.

R#	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
				monitoring.		OR, The Balancing Authority did not have a documented specification(s) for the data and information necessary for it to perform its analysis functions and Real- time monitoring.
For the Requirement R3 and R4 VSLs only, the intent of the SDT is to start with the Severe VSL first and then to work your way to the left until you find the situation that fits. In this manner, the VSL will not be discriminatory by size of entity. If a small entity has just one affected reliability entity to inform, the intent is that that situation would be a Severe violation.						
R3	Operations Planning	Lower	The Transmission Operator did not distribute its ~~data~~ Ss~~pecification~~(s) to one entity, or 5% or less of the entities, whichever is greater, that have data and information required by the Transmission Operator's Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.	The Transmission Operator did not distribute its ~~data~~ Ss~~pecification~~(s) to two entities, or more than 5% and less than or equal to 10% of the reliability entities, whichever is greater, that have data and information required by the Transmission Operator's Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.	The Transmission Operator did not distribute its ~~data~~ Ss~~pecification~~(s) to three entities, or more than 10% and less than or equal to 15% of the reliability entities, whichever is greater, that have data and information required by the Transmission Operator's Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.	The Transmission Operator did not distribute its ~~data~~ Ss~~pecification~~(s) to four or more entities, or more than 15% of the entities that have data and information required by the Transmission Operator's Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.
R4	Operations Planning	Lower	The Balancing Authority did not distribute its ~~data~~ Ss~~pecification~~(s) to one entity, or 5% or less of the entities, whichever is greater, that have data and information required	The Balancing Authority did not distribute its ~~data~~ ~~s~~Specification(s) to two entities, or more than 5% and less than or equal to 10% of the entities, whichever is greater, that	The Balancing Authority did not distribute its ~~data~~ Ss~~pecification~~(s) to three entities, or more than10% and less than or equal to 15% of the entities, whichever is greater, that	The Balancing Authority did not distribute its ~~data~~ Ss~~pecification~~(s) to four or more entities, or more than 15% of the entities that have data and information required by

R#	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
			by the Balancing Authority's analysis functions and Real-time monitoring.	have data and information required by the Balancing Authority's analysis functions and Real-time monitoring.	have data and information required by the Balancing Authority's analysis functions and Real-time monitoring.	the Balancing Authority's analysis functions and Real-time monitoring.
R5	Operations Planning, Same-Day Operations, Real-time Operations	Medium	The responsible entity receiving a ~~data~~ specification(s) in Requirement R3 or R4 satisfied the obligations in the ~~data~~ specification but failed ~~did not~~ to meet one of the parts ~~criteria shown~~ in Requirement R15 ~~(~~Part~~s~~ 15.51~~-~~ or ~~5.3)~~ Requirement R2 Part 2.5.	The responsible entity receiving a ~~data~~ specification(s) in Requirement R3 or R4 satisfied the obligations in the ~~data~~ specification but ~~did not~~failed to meet two of the parts ~~criteria shown~~ in Requirement R15 ~~(~~Part~~s~~ 15.51 ~~– 5.3)~~ or Requirement R2 Part 2.5.	The responsible entity receiving a ~~data~~ specification(s) in Requirement R3 or R4 satisfied the obligations in the ~~data~~ specification but ~~did not~~failed to meet three or more of the parts ~~criteria shown~~ in Requirement R15 ~~(~~Part~~s~~ 15.15 ~~– 5.3).~~ or Requirement R2 Part 2.5.	The responsible entity receiving a ~~data~~ specification(s) in Requirement R3 or R4 did not satisfy the obligations of the documented specifications ~~for data~~.

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
0	August 8, 2005	Removed "Proposed" from Effective Date	Errata
1		Modified R1.2 Modified M1 Replaced Levels of Non-compliance with the Feb 28, BOT approved Violation Severity Levels (VSLs)	Revised
1	October 17, 2008	Adopted by NERC Board of Trustees	
1	March 17, 2011	Order issued by FERC approving TOP- 003-1 (approval effective 5/23/11)	
2	May 6, 2012	Revised under Project 2007-03	Revised
2	May 9, 2012	Adopted by Board of Trustees	Revised
3	April 2014	Changes pursuant to Project 2014-03	Revised
3	November 13, 2014	Adopted by Board of Trustees	Revisions under Project 2014-03
3	November 19, 2015	FERC approved TOP-003-3. Docket No. RM15-16-000, Order No. 817	
4	February 6, 2020	Adopted by NERC Board of Trustees	Revisions under Project 2017-07
4	October 30, 2020	FERC approved TOP-003-4. Docket No. RD20-4-000	
5	May 2021	Changes pursuant to Project 2019-06	Revised
5	June 11, 2021	Board approved	Project 2019-06 Cold Weather
5	August 24, 2021	FERC approved TOP –003-5 Docket No. RD21-5-000, Order 176	
6	TBD	Adopted by NERC Board of Trustees	Revisions under project 2021-06
6.1	Errata	Approved by the Standards Committee	

Project 2021-08 Modifications to FAC-008-5

Action

Authorize initial posting of proposed Reliability Standard FAC-008-6 and the associated Implementation Plan for a 45-day formal comment period, with ballot pools formed in the first 30 days, and parallel initial ballots and non-binding polls on the Violation Risk Factors (VRFs) and Violation Severity Levels (VSLs), conducted during the last 10 days of the comment period.

Background

Project 2021-08 seeks to modify Reliability Standard FAC-008 to address the inconsistent understanding of "jointly owned" as well as the concern of non-electrical equipment in the determination of Generator Owner Facility Ratings (Requirement R1).

At the October 20, 2021 meeting, the Standards Committee (SC) accepted the Standard Authorization Request (SAR). At the same meeting, the SC authorized soliciting members for the SAR Drafting Team (SAR DT). The formal comment period for the SAR and the solicitation for the SAR DT occurred from December 9, 2021 — January 27, 2022.

At the April 20, 2022 meeting, the SC appointed the chair, vice chair, and members to the Project 2021-08 Modifications to FAC-008 SAR DT. On September 21, 2022, the SC accepted the revised Project 2021-08 Modifications to FAC-008 SAR, authorized drafting revisions to the Reliability Standard identified in the SAR, and appointed the Project 2021-08 SAR DT as the Project 2021-08 Standard Drafting Team (SDT).

From October 17, 2022 – June 22, 2023, the SDT conducted 16 meetings (including a two-day in-person meeting) to make revisions to the standard language, associated Implementation Plan, and VRFs and VSLs.

Summary

The Quality Review (QR) for this posting was performed from April 12 – April 25, 2023. The QR team members from NERC were Lauren Perotti, Jon Hoffman, Scott Barfield, Ryan Mauldin, Teri Stasko, Latrice Harkness, Alison Oswald, Marisa Hecht, and Al McMeekin. The SDT also reached out to the industry for additional QR. The QR members from the industry included Ken Lanehome (BPA), Sarah Habriga (ATC LLC), and the NERC Facility Ratings Task Force.

The SDT reviewed all QR comments and revised the proposed Reliability Standard and Implementation Plan where appropriate.

NERC staff recommends that the SC authorize posting of the proposed Reliability Standard FAC-008-6 and associated Implementation Plan for formal comment and ballot.

Standard Development Timeline

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

Description of Current Draft

This is the first draft of the proposed standard for a formal 45-day comment period.

Completed Actions	Date
Standards Committee approved Standard Authorization Request (SAR) for posting	10/20/2021
SAR posted for comment	12/9/2021 – 1/27/2022

Anticipated Actions	Date
45-day formal or informal comment period with ballot	9/5/2023 – 10/19/2023
45-day formal or informal comment period with additional ballot	11/4/2023 – 12/19/2023
10-day final ballot	TBD
Board adoption	TBD

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

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

Term(s):

None.

A. Introduction

1. **Title:** Facility Ratings

2. **Number:** FAC-008-6

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:** 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.[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.

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.

[1] 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.[2]

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.

M4. Reserved.

R5. Reserved.

M5. Reserved.

R6. Each Transmission Owner and Generator Owner shall develop Facility Ratings for its solely and jointly owned BES Facilities accurately identifying the rating of the most Limiting Element(s) in accordance with its associated Facility Ratings methodology or documentation for determining its Facility Ratings. *[ViolationRisk Factor: Medium] [Time Horizon: Operations Planning]*

For a BES Facility where no entity owns the Facility in its entirety, all applicable entities that own the Facility shall coordinate development of a common Facility Rating using one or a combination of the following:

- Entities shall use the most limiting Equipment Rating of their solely owned Elements and the most limiting Equipment Rating(s) from the other Element owner(s).
- For Element(s) with multiple owners, the owners shall designate one

[2] Such as temporary de-ratings of impaired equipment in accordance with good utility practice.

owner to solely develop the most limiting Equipment Rating(s) for the Element(s).

M6. Each Transmission Owner and Generator Owner shall have evidence to show that its Facility Ratings accurately identify the rating of the most Limiting Element(s) in accordance 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. Where no entity owns a Facility in its entirety, each entity shall have evidence to show that its Facility Ratings were developed in accordance with Requirement R6 Part 6.1.

R7. Reserved.

M7. Reserved.

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:

8.1.1. Facility Ratings

8.1.2. 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.

R9. Each Transmission Owner and Generator Owner shall have a process to correct each rating discrepancy found in either Element or Equipment Rating(s) used to develop Facility Ratings, that includes developing timelines to: *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning]*

Complete the corrections

9.2. Determine if an extent of condition review is necessary

9.3. Perform extent of condition review when necessary

M9. Each Transmission Owner and Generator Owner shall have a documented process to correct rating discrepancies found in either Element or Equipment Rating(s) that includes the items identified in Requirement R9, Parts 9.1, 9.2, and 9.3

C. Compliance

1. Compliance Monitoring Process

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

1.2. Evidence Retention: The following evidence retention period(s) identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the 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 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 Transmission Owner (and Generator Owner that is subject to Requirement R2) shall keep evidence for Measure M8 for three calendar years.
- The Transmission Owner and Generator Owner shall keep its current discrepancy correction process and any modifications to the process for three calendar years for Measure M9.
- 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.

1.3. Compliance Monitoring and Enforcement Program: As defined in the NERC

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

Violation Severity Levels

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1.	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.
R2.	The Generator Owner failed to include in its Facility Rating methodology one of the following Parts of Requirement R2: • 2.1. • 2.2.1 • 2.2.2 • 2.2.3 • 2.2.4	The Generator Owner failedto include in its Facility Rating methodology two of the following Parts of Requirement R2: • 2.1 • 2.2.1 • 2.2.2 • 2.2.3 • 2.2.4	The Generator Owner's Facility Rating methodology did not address all the components of Requirement R2, Part 2.4. OR The Generator Owner failedto include in its Facility Rating Methodology, three of the following Parts of Requirement R2: • 2.1. • 2.2.1 • 2.2.2 • 2.2.3 • 2.2.4	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 OR The Generator Owner failed to include in its Facility Rating Methodology four or more of the following Parts of Requirement R2: • 2.1 • 2.2.1 • 2.2.2 • 2.2.3 • 2.2.4

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
R3.	The Transmission Owner failed to include in its Facility Rating methodology one of the following Parts of Requirement R3: • 3.1 • 3.2.1 • 3.2.2 • 3.2.3 • 3.2.4	The Transmission Owner failed to include in its Facility Rating methodology two of the following Parts of Requirement R3: • 3.1 • 3.2.1 • 3.2.2 • 3.2.3 • 3.2.4	The Transmission Owner's Facility Rating methodology did not address either of the following Parts of Requirement R3: • 3.4.1 • 3.4.2 OR The Transmission Owner failed to include in its Facility Rating methodologythree of the following Parts of Requirement R3: • 3.1 • 3.2.1 • 3.2.2 • 3.2.3 • 3.2.4	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 OR The Transmission Owner failedto include in its Facility Rating methodology four or more of the following Parts of Requirement R3: • 3.1 • 3.2.1 • 3.2.2 • 3.2.3 • 3.2.4
R4. Reserved.				
R5. Reserved.				

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
R6.	The responsible entity failed to develop Facility Ratings for 5% or less of its BES Facilities in accordance with Requirement R6, Part 6.1.	The responsible entity failed to develop Facility Ratings for more than 5% of its BES Facilities, but less than up to (and including) 10% of its BES Facilities in accordance with Requirement R6 and Requirement R6, Part 6.1.	The responsible entity failed to develop Facility Ratings for more than 10% of its BES Facilities, but less than up to (and including) 15% of its BES Facilities in accordance with Requirement R6 and Requirement R6, Part 6.1.	The responsible entity failed to develop Facility Ratings for more than15% of its BES Facilities in accordance with Requirement R6 and Requirement R6, Part 6.1.
R7. Reserved.				
R8.	The responsible entity provided its Facility Ratings to all of the requesting entities butmissed meeting the schedules by up to and including 15 calendar days. (R8, Part 8.1) OR 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) OR The responsible entity	The responsible entity provided its Facility Ratings to all of the requesting entities but missed meetingthe schedules by more than15 calendar days but less than or equal to 25 calendar days. (R8, Part 8.1) OR 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) OR The responsible entity	The responsible entity provided its Facility Ratings to all of the requesting entities but missed meetingthe schedules by more than25 calendar days but less than or equal to 35 calendar days. (R8, Part 8.1) OR 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) OR The responsible entity	The responsible entity providedits Facility Ratings to all of the requesting entities but missed meeting the schedules by more than 35 calendar days. (R8, Part 8.1) OR The responsible entity provided less than 85% of the required Rating information to all of the requesting entities. (R8, Part 8.1) OR The responsible entity providedthe required Rating informationto the requesting entity, but didso more

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
	provided the required Rating information to the requesting entity, but the information was provided up to and including 15 calendar days late. (R8, Part 8.2) OR The responsible entity provided less than 100%, but not less than or equalto 95% of the required Rating information to therequesting entity. (R8, Part 8.2	provided the required Rating information to the requesting entity, but did somore 15 calendar days but less than or equal to 25 calendar days late. (R8, Part8.2) OR The responsible entity provided less than 95%, butnot less than or equal to 90% of the required Rating information to the requesting entity. (R8, Part 8.2)	provided the required Rating information to the requesting entity, but did somore than 25 calendar daysbut less than or equal to 35 calendar days late. (R8, Part8.2) OR The responsible entity provided less than 90%, butno less than or equal to 85% of the required Rating information to the requesting entity. (R8, Part8.2)	than 35 calendar days late. (R8, Part 8.2) OR The responsible entity provided less than 85 % of the required Rating information to the requesting entity. (R8, Part 8.2) OR The responsible entity failed to provide its Rating information to the requesting entity. (R8, Part 8.1)
R9	The entity failed to include one of the elements required by Parts 9.1, 9.2, and 9.3.	The entity failed to include two of the elements required by Parts 9.1, 9.2, and 9.3.	The entity failed to include all elements required by Parts 9.1, 9.2, and 9.3.	The entity failed to have a process as required by Requirement R9.

D. Regional Variances

None.

E. Associated Documents

NERC Reliability Standard FAC-008-6 Implementation Plan

NERC Reliability Standard FAC-008-6 Technical Rationale.

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)	
4	May 9, 2020	R7 and R8 and associated elements adopted by NERC Board of Trustees for retirement as part of Project 2018-03 Standards Efficiency Review Retirements.	
4	September 17, 2020	Remanded by FERC (Order No. 873).	Withdrawn
5	February 4, 2021	Adopted by NERC Board of Trustees	Requirement R8 and associated elements restored in response

Version	Date	Action	Change Tracking
			to FERC Order No. 873.
5	April 7,2021	FERC Order approving FAC-008-5. Docket No. RD21-4-000	
5	October 1,2021	Effective Date	
6	TBD	TBD	Revised under Project 2021-08

Standard Development Timeline

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

Description of Current Draft

This is the first draft of the proposed standard for a formal 45-day comment period.

Completed Actions	Date
Standards Committee approved Standard Authorization Request (SAR) for posting	10/20/2021
SAR posted for comment	12/9/2021 – 1/27/2022

Anticipated Actions	Date
45-day formal or informal comment period with ballot	9/5/2023 – 10/19/2023
45-day formal or informal comment period with additional ballot	11/4/2023 – 12/19/2023
10-day final ballot	TBD
Board adoption	TBD

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

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

Term(s):

None.

A. Introduction

1. **Title:** Facility Ratings

2. **Number:** FAC-008-6~~5~~

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:** 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.[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.

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.

[1] 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.[2]

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.

M4. Reserved.

R5. Reserved.

M5. Reserved.

R6. Each Transmission Owner and Generator Owner shall ~~have~~ develop Facility Ratings for its solely and jointly owned BES Facilities accurately identifying the rating of the most Limiting Element(s) in accordance ~~that are consistent~~ with ~~the~~ its associated Facility Ratings methodology or documentation for determining its Facility Ratings. *[ViolationRisk Factor: Medium] [Time Horizon: Operations Planning]*

6.1. For a BES Facility where no entity owns the Facility in its entirety, all applicable entities that own the Facility shall coordinate development of a common Facility Rating using one or a combination of the following:

- Entities shall use the most limiting Equipment Rating of their solely owned Elements and the most limiting Equipment Rating(s) from the

[2] Such as temporary de-ratings of impaired equipment in accordance with good utility practice.

other Element owner(s).

- For Element(s) with multiple owners, the owners shall designate one owner to solely develop the most limiting Equipment Rating(s) for the Element(s).

M6. Each Transmission Owner and Generator Owner shall have evidence to show that its Facility Ratings accurately identify the rating of the most Limiting Element(s) in accordance ~~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)~~. Where no entity owns a Facility in its entirety, each entity shall have evidence to show that its Facility Ratings were developed in accordance with Requirement R6 Part 6.1.

R7. Reserved.

M7. Reserved.

[2] Such as temporary de-ratings of impaired equipment in accordance with good utility practice.

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:

8.1.1. Facility Ratings

8.1.2. 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.

R9. Each Transmission Owner and Generator Owner shall have a process to correct each rating discrepancy found in either Element or Equipment Rating(s) used to develop Facility Ratings, that includes developing timelines to: *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning]*

9.1. Complete the corrections

9.2. Determine if an extent of condition review is necessary

9.3. Perform extent of condition review when necessary

M9. Each Transmission Owner and Generator Owner shall have a documented process to correct rating discrepancies found in either Element or Equipment Rating(s) that includes the items identified in Requirement R9, Parts 9.1, 9.2, and 9.3

C. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority: "Compliance Enforcement Authority" (CEA) 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.~~1.2. Evidence Retention: The following evidence retention period(s) identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified belowis shorter than the time since the last audit, the ~~Compliance Enforcement Authority~~ 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 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 Transmission Owner (and Generator Owner that is subject to Requirement R2) shall keep evidence for Measure M8 for three calendar years.
- The Transmission Owner and Generator Owner shall keep its current discrepancy correction process and any modifications to the process for three calendar years for Measure M9.
- 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.

~~1.4.~~1.3. Compliance Monitoring and Enforcement Program: As defined in the NERC Rules of Procedure, “Compliance Monitoring and Enforcement Program” refersto 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
R1.	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.
R2.	The Generator Owner failed to include in its Facility Rating methodology one of the following Parts of Requirement R2: • 2.1. • 2.2.1 • 2.2.2 • 2.2.3 • 2.2.4	The Generator Owner failed to include in its Facility Rating methodology two of the following Parts of Requirement R2: • 2.1 • 2.2.1 • 2.2.2 • 2.2.3 • 2.2.4	The Generator Owner's Facility Rating methodology did not address all the components of Requirement R2, Part 2.4. OR The Generator Owner failed to include in its Facility Rating Methodology, three of the following Parts of Requirement R2: • 2.1. • 2.2.1 • 2.2.2 • 2.2.3 • 2.2.4	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 OR The Generator Owner failed to include in its Facility Rating Methodology four or more of the following Parts of Requirement R2: • 2.1 • 2.2.1 • 2.2.2 • 2.2.3 • 2.2.4

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
R3.	The Transmission Owner failed to include in its Facility Rating methodology one of the following Parts of Requirement R3: • 3.1 • 3.2.1 • 3.2.2 • 3.2.3 • 3.2.4	The Transmission Owner failed to include in its Facility Rating methodology two of the following Parts of Requirement R3: • 3.1 • 3.2.1 • 3.2.2 • 3.2.3 • 3.2.4	The Transmission Owner's Facility Rating methodology did not address either of the following Parts of Requirement R3: • 3.4.1 • 3.4.2 OR The Transmission Owner failed to include in its Facility Rating methodology three of the following Parts of Requirement R3: • 3.1 • 3.2.1 • 3.2.2 • 3.2.3 • 3.2.4	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 OR The Transmission Owner failed to include in its Facility Rating methodology four or more of the following Parts of Requirement R3: • 3.1 • 3.2.1 • 3.2.2 • 3.2.3 • 3.2.4
R4. Reserved.				
R5. Reserved.				

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
R6.	The responsible entity failed to develop ~~establish~~ Facility Ratings ~~consistent with the associated Facility Ratings methodology or documentation for determining the Facility Ratings~~ for 5% or less of its BES Facilities in accordance with Requirement R6, Part 6.1. ~~solely owned and jointly owned Facilities. (R6)~~	The responsible entity failed to develop ~~establish~~ Facility Ratings ~~consistent with the associated Facility Ratings methodology or documentation for determining the Facility Ratings~~ for more than 5% of its BES Facilities~~or more~~, but less than up to (and including) 10% of its BES Facilities in accordance with Requirement R6 and Requirement R6, Part 6.1. ~~solely owned and jointly owned Facilities. (R6)~~	The responsible entity failed to develop ~~establish~~ Facility Ratings ~~consistent with the associated Facility Ratings methodology or documentation for determining the Facility Ratings~~ for more than 10% of its BES Facilities, but less than up to (and including) 15% of its BES ~~solely owned and jointly owned~~ Facilities in accordance with Requirement R6 and Requirement R6, Part 6.1. ~~(R6)~~	The responsible entity failed to develop ~~establish~~ Facility Ratings ~~consistent with the associated Facility Ratings methodology or documentation for determining the Facility Ratings~~ for more than15% of its BES ~~solely owned and jointly owned~~ Facilities in accordance with Requirement R6 and Requirement R6, Part 6.1. ~~(R6)~~

R7. Reserved.				
R8.	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) OR The responsible entity provided less than 100%,	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) OR The responsible entity provided less than 95%, but	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) OR The responsible entity provided less than 90%, but	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) OR The responsible entity provided less than 85% of the required Rating information to all of the

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
	but not less than or equal to 95% of the required Rating information to all of the requesting entities. (R8, Part 8.1) OR The responsible entity provided the required Rating information to the requesting entity, but the information was provided up to and including 15 calendar days late. (R8, Part 8.2) OR 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)	not less than or equal to 90% of the required Rating information to all of the requesting entities. (R8, Part 8.1) OR 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 calendar days late. (R8, Part 8.2) OR 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)	not less than or equal to 85% of the required Rating information to all of the requesting entities. (R8, Part 8.1) OR 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 to 35 calendar days late. (R8, Part 8.2) OR 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)	requesting entities. (R8, Part 8.1) OR 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) OR The responsible entity provided less than 85 % of the required Rating information to the requesting entity. (R8, Part 8.2) OR The responsible entity failed to provide its Rating information to the requesting entity. (R8, Part 8.1)

R # R #	Violation Severity Levels Violation Severity Levels			
	Lower VSL Lower VSL	Moderate VSL Moderate VSL	High VSL High VSL	Severe VSL Severe VSL
R9	The entity failed to include one of the elements required by Parts 9.1, 9.2, and 9.3.	The entity failed to include two of the elements required by Parts 9.1, 9.2, and 9.3.	The entity failed to include all elements required by Parts 9.1, 9.2, and 9.3.	The entity failed to have a process as required by Requirement R9.

D. Regional Variances

None.

E. Associated Documents

NERC Reliability Standard FAC-008-6 Implementation Plan

NERC Reliability Standard FAC-008-6 Technical Rationale.

~~None.~~

Version History

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1	Feb 7, 2006	Approved by Board of Trustees	New
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Version	Date	Action	Change Tracking
			to FERC Order No. 873.
5	April 7,2021	FERC Order approving FAC-008-5. Docket No. RD21-4-000	
5	October 1,2021	Effective Date	
6	TBD	TBD	Revised under Project 2021-08

Implementation Plan

Project 2021-08 Modifications to FAC-008-5
Reliability Standard FAC-008-6

Applicable Standard(s)

- Reliability Standard FAC-008-6 – Facility Ratings

Requested Retirement(s)

- Reliability Standard FAC-008-5 – Facility Ratings

Applicable Entities

- Generator Owner
- Transmission Owner

Background

Project 2021-08 was initiated to review and address a Standards Authorization Request (SAR) that was submitted to the NERC Standards Committee in July 2021. The SAR identified an industry need for clarity on the use of the term "jointly owned" and what information is required to be shared between neighboring entities, and clarity to allow the inclusion of non-electrical equipment in the determination of GO Facility Ratings.

Project 2021-08 SAR Drafting Team was formed to review the SAR and determine the next steps required to address the issues identified. Following review of the SDT through several public meetings, the SAR was updated with a couple of updates to the scope. The updated SAR recommends the Standard Drafting team to clarify the term "jointly owned", examine the appropriateness and effectiveness of R1, and to ensure that R6 is reviewed as a risk-based requirement. The updated SAR was accepted by the Standards Committee in September 2022, and the SDT was initiated to address the SAR and revise FAC-008-5.

Proposed Reliability Standard FAC-008-6 includes revisions to language in R6 to ensure it is reviewed as a risk-based requirement and provides clarity on how jointly owned Facility ratings should be coordinated between entities. A new requirement R9 is also proposed to require an applicable entity to have a process by which discrepancies found in Equipment Ratings and Facility Ratings shall be corrected.

General Considerations

The standard drafting team chose to use a phased-in implementation period for some Requirements considering the revisions made within the standard. Requirement R1, R2, and R3 will have the effective date of FAC-008-6, whereas Requirement R6 and R9 will

have a later compliance date as described below.

This implementation plan reflects the consideration of the following factors:

- New sub-requirement with R6 including details on how joint owners should coordinate Facility Ratings.
- New requirement R9 requiring entities to develop a process for addressing ratings discrepancies for either Element or Equipment Ratings.

Effective Date and Phased-In Compliance Dates

The effective date(s) for the proposed Reliability Standard are provided below. Where the standard drafting team identified the need for a longer implementation period for compliance with a particular section of a proposed Reliability Standard (i.e., an entire requirement or a portion thereof), the additional time for compliance with that section is specified below. The phased-in compliance date for those particular sections represents the date that entities must begin to comply with that particular section of the Reliability Standard, even when the Reliability Standard goes into effect at an earlier date.

Reliability Standard FAC-008-6– Facility Ratings

Where approval by an applicable governmental authority is required, the standard shall become effective on the first day of the first calendar quarter that is three (3) months after the effective date of the applicable governmental authority's order approving the standard, or as otherwise provided for by the applicable governmental authority.

Where approval by an applicable governmental authority is not required, the standard shall become effective on the first day of the first calendar quarter that is three (3) months after the date the standard is adopted by the NERC Board of Trustees, or as otherwise provided for in that jurisdiction.

Compliance Date for FAC-008-6 – Requirement R6

Applicable Entities shall not be required to comply with Requirement R6 until twelve (12) months after the effective date of Reliability Standard FAC-008-6.

Compliance Date for FAC-008-6 – Requirement R9

Applicable Entities shall not be required to comply with Requirement R9 until twenty-four (24) months after the effective date of Reliability Standard FAC-008-6.

Retirement Date

Reliability Standard FAC-008-5 – Facility Ratings

Reliability Standard FAC-008-5 shall be retired immediately prior to the effective date of the revised standard in the particular jurisdiction in which the revised

standard is becoming effective.

Project 2021-07 Extreme Cold Weather Grid Operations, Preparedness, and Coordination

Action

- Approve the following waiver of provisions of the Standard Processes Manual (SPM) for Project 2021-07:
  - Additional formal comment and ballot period (s) reduced from 45 days to as little as 25 days, with ballot conducted during the last 10 days of the comment period. (Sections 4.9 and 4.12)
  - Final ballot reduced from 10 days to five calendar days. (Section 4.9)

Background

As stated in the SAR, the primary purpose of this project is intended to address reliability related findings from FERC, NERC, and Regional Entity Joint Staff Inquiry into the February 2021 Cold Weather Grid Operations (joint inquiry). From February 8 - 20, 2021, extreme cold weather and precipitation caused large numbers of generating units to experience outages, derates, or failures to start, resulting in energy and transmission emergencies (referred to as "the Event"). The total Event firm load shed was the largest controlled firm load shed event in U.S. history and was the third largest in quantity of outaged megawatts (MW) of load after the August 2003 northeast blackout and the August 1996 west coast blackout. The Event was most severe from February 15 - February 18, 2021, and it contributed to power outages affecting millions of electricity customers throughout the regions of ERCOT, SPP, and MISO South. Additionally, the February 2021 event is the fourth cold weather event in the past 10 years that jeopardized bulk-power system reliability.

At its November 2021 meeting, the NERC Board of Trustees (Board) approved the following resolution regarding Project 2021-07:

> **FURTHER RESOLVED**, that the Board hereby directs that the development of new or revised Reliability Standards to address the recommendations of the joint inquiry team for cold weather operations, preparedness, and coordination to be completed in accordance with the timelines recommended by the joint inquiry team, as follows:
>
> - New and revised Reliability Standards to be submitted for regulatory approval before Winter 2022/2023: development completed by September 30, 2022, for the Board's consideration in October 2022;
> - New and revised Reliability Standards to be submitted for regulatory approval before Winter 2023/2024: development completed by September 30, 2023, for the Board's consideration in October 2023.

Work under Project 2021-07 has since proceeded in two phases, consistent with the Board's resolution. The first phase of work completed in the fall of 2022 and resulted in Reliability Standards EOP-011-3 and EOP-012-1. The second phase of work, which is underway, is developing Reliability Standards EOP-011-4 and TOP-002-5.

On February 16, 2023, shortly before the first ballot on the phase two standards, FERC issued an order approving Reliability Standards EOP-011-3 and EOP-012-2 while directing five areas for additional revisions. FERC directed NERC to submit a revised EOP-012 standard by February 2024.[1]

In summary, there are two sets of deadlines governing Project 2017-07: the Board's September 30, 2023 deadline for the completion of EOP-011-4 and TOP-002-5, and FERC's February 2024 deadline for completion of EOP-012-2.

NERC Standard Processes Manual Section 16.0 Waiver provides as follows:

> The Standards Committee may waive any of the provisions contained in this manual for good cause shown, but limited to the following circumstances:
>
> - In response to a national emergency declared by the United States or Canadian government that involves the reliability of the Bulk Electric System or cyber attack on the Bulk Electric System;
> - Where necessary to meet regulatory deadlines;
> - Where necessary to meet deadlines imposed by the NERC Board of Trustees; or
> - Where the Standards Committee determines that a modification to a proposed Reliability Standard or its Requirement(s), a modification to a defined term, a modification to an Interpretation, or a modification to a Variance has already been vetted by the industry through the standards development process or is so insubstantial that developing the modification through the processes contained in this manual will add significant time delay.

Summary

Due to the issuance of FERC's February 16, 2023 Order directing further revisions to EOP-012 by February 2024, the Project 2021-07 drafting team was delayed in the planned development timeline for the standards addressing the phase 2 recommendations of the February 2021 joint inquiry report. The Project 2021-07 SDT leadership and NERC staff request that the SC consider a waiver of certain provisions of the SPM regarding the length of comment periods and ballots in order to meet the September 30, 2023 development deadline for EOP-011-4 and TOP-002-5 set by the Board.

The Project 2021-07 SDT leadership and NERC staff also request that the SC consider a waiver of these same provisions for EOP-012-2, in the event shortened comment and ballot periods are needed to develop a consensus standard by the February 2024 FERC deadline.

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[1] *Order Approving Extreme Cold Weather Reliability Standards EOP-011-3 and EOP-012-2 and Directing Modification of Reliability Standard EOP-012-1,* 182 FERC ¶ 61,094 (Feb. 16, 2023), available here.

The requesters ask to shorten the additional formal comment and ballot period(s) for Project 2021-07 from 45 days to as few as 25 days, with a ballot and non-binding poll during the last 10 days of the 25 day period. In addition, the requesters ask to shorten the final ballot from 10 days to five days.

NERC Legal and Regulatory Update
July 6, 2023 – August 7, 2023

NERC FILINGS TO FERC SUBMITTED SINCE LAST SC UPDATE

FERC Docket No.	Filing Description	FERC Submittal Date
	None	

FERC ISSUANCES SINCE LAST SC UPDATE

FERC Docket No.	Issuance Description	FERC Issuance Date
EL23-69-000	Order Denying Petition FERC issued an order denying the petition for rulemaking for a physical security Reliability Standard filed by Secure-the-Grid Coalition.	7/27/2023

ANTICIPATED UPCOMING FILINGS

FERC Docket No.	Filing Description	Anticipated Filing Date
TBD	Petition for approval of ROP Section 300 and Standard Processes Manual	9/17/2023
RD20-2-000	CIP SDT Schedule Compliance Filing	9/15/2023
TBD	Petition for approval of modifications to IRO-010 and TOP-003	9/17/2023
RR10-1-000; RR13-3-000	Annual Report of NERC on Wide-Area Analysis of Technical Feasibility Exceptions (TFEs)	9/28/2023

Standards Committee Expectations

Approved by Standards Committee January 12, 2012

Background

Standards Committee (SC) members are elected by members of their segment of the Registered Ballot Body, to help the SC fulfill its purpose. According to the Standards Committee Charter, the SC's purpose is:

> *In compliance with the NERC Reliability Standards Development Procedure, the Standards Committee manages the NERC standards development process for the North American-wide reliability standards with the support of the NERC staff to achieve broad bulk power system reliability goals for the industry. The Standards Committee protects the integrity and credibility of the standards development process.*

The purpose of this document is to outline the key considerations that each member of the SC must make in fulfilling his or her duties. Each member is accountable to the members of the Segment that elected them, other members of the SC, and the NERC Board of Trustees for carrying out their responsibilities in accordance with this document.

Expectations of Standards Committee Members

1. SC members represent their segment, not their organization or personal views. Each member is expected to identify and use mechanisms for being in contact with members of the segment in order to maintain a current perspective of the views, concerns, and input from that segment. NERC can provide mechanisms to support communications if an SC member requests such assistance.
2. SC members base their decisions on what is best for reliability and must consider not only what is best for their segment, but also what is in the best interest of the broader industry and reliability.
3. SC members should make every effort to attend scheduled meetings, and when not available are required to identify and brief a proxy from the same segment. SC business cannot be conducted in the absence of a quorum, and it is essential that each SC member make a commitment to being present.
4. SC members should not leverage or attempt to leverage their position on the SC to influence the outcome of standards projects.
5. The role of the SC is to manage the standards process and the quality of the output, not the technical content of standards.

Parliamentary Procedures

Based on Robert's Rules of Order, Newly Revised, 11th Edition, plus "Organization and Procedures Manual for the NERC Standing Committees"

Motions

Unless noted otherwise, all procedures require a "second" to enable discussion.

When you want to…	Procedure	Debatable	Comments
Raise an issue for discussion	Move	Yes	The main action that begins a debate.
Revise a Motion currently under discussion	Amend	Yes	Takes precedence over discussion of main motion. Motions to amend an amendment are allowed, but not any further. The amendment must be germane to the main motion, and cannot reverse the intent of the main motion.
Reconsider a Motion already approved	Reconsider	Yes	Allowed only by member who voted on the prevailing side of the original motion.
End debate	Call for the Question *or* End Debate	No	If the Chair senses that the committee is ready to vote, he may say "if there are no objections, we will now vote on the Motion." The vote is subject to a 2/3 majority approval. Also, any member may call the question. This motion is not debatable. The vote is subject to a 2/3 vote.
Record each member's vote on a Motion	Request a Roll Call Vote	No	Takes precedence over main motion. No debate allowed, but the members must approve by 2/3 majority.
Postpone discussion until later in the meeting	Lay on the Table	Yes	Takes precedence over main motion. Used only to postpone discussion until later in the meeting.
Postpone discussion until a future date	Postpone until	Yes	Takes precedence over main motion. Debatable only regarding the date (and time) at which to bring the Motion back for further discussion.
Remove the motion for any further consideration	Postpone indefinitely	Yes	Takes precedence over main motion. Debate can extend to the discussion of the main motion. If approved, it effectively "kills" the motion. Useful for disposing of a badly chosen motion that can not be adopted or rejected without undesirable consequences.
Request a review of procedure	Point of order	No	Second not required. The Chair or secretary shall review the parliamentary procedure used during the discussion of the Motion.

Notes on Motions

Seconds. A Motion must have a second to ensure that at least two members wish to discuss the issue. The “seconder” is not recorded in the minutes. Neither are motions that do not receive a second.

Announcement by the Chair. The Chair should announce the Motion before debate begins. This ensures that the wording is understood by the membership. Once the Motion is announced and seconded, the Committee “owns” the motion, and must deal with it according to parliamentary procedure.

Voting

Voting Method	When Used	How Recorded in Minutes
Unanimous Consent The standard practice.	When the Chair senses that the Committee is substantially in agreement, and the Motion needed little or no debate. No actual vote is taken.	The minutes show "by unanimous consent."
Vote by Voice	The standard practice.	The minutes show Approved or Not Approved (or Failed).
Vote by Show of Hands (tally)	To record the number of votes on each side when an issue has engendered substantial debate or appears to be divisive. Also used when a Voice Vote is inconclusive. (The Chair should ask for a Vote by Show of Hands when requested by a member).	The minutes show both vote totals, and then Approved or Not Approved (or Failed).
Vote by Roll Call	To record each member's vote. Each member is called upon by the Secretary, and the member indicates either "Yes," "No," or "Present" if abstaining.	The minutes will include the list of members, how each voted or abstained, and the vote totals. Those members for which a "Yes," "No," or "Present" is not shown are considered absent for the vote.