

Standard Development Roadmap

This section is maintained by the drafting team during the development of the standard and will be removed when the standard becomes effective.

Development Steps Completed:

1. SAC approved SAR and standard for posting (January 11, 2007).
2. Posted for initial comment period from January 15–February 28, 2007.

Proposed Action Plan and Description of Current Draft:

This is the second draft of the proposed standard, posted for a 30-day comment period, along with the associated implementation plan from July 19–August 17, 2007.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Post response to comments.	September 4, 2007
2. Post for 30-day pre-ballot review.	September 13– October 12, 2007
3. Conduct initial ballot.	October 15–24, 2007
4. Respond to comments with initial ballot.	October 28, 2007
5. Conduct recirculation ballot.	October 29– November 7, 2007
6. Post for BOT 30-day preview.	To be determined
7. BOT adoption.	To be determined

Definitions of Terms Used in Standard

This section includes all newly defined or revised terms used in the proposed standard. Terms already defined in the Reliability Standards Glossary of Terms are not repeated here. New or revised definitions listed below become approved when the proposed standard is approved. When the standard becomes effective, these defined terms will be removed from the individual standard and added to the Glossary.

None.

- R2.2.** The underlying assumptions, design criteria, and methods used to determine the Equipment Ratings identified in R2.1 including identification of how the following were considered:
 - R2.2.1.** Equipment Rating standard(s) used in development of this methodology.
 - R2.2.2.** Ratings provided by equipment manufacturers.
 - R2.2.3.** Ambient conditions (for particular or average conditions or as they vary in real-time).
 - R2.2.4.** Operating limitations.²
- R2.3.** A statement that a Facility Rating shall respect the most limiting applicable Equipment Rating of the individual equipment that comprises that Facility.
- R2.4.** The method by which the Rating (of equipment that comprises a Facility) is determined.
 - R2.4.1.** 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.
 - R2.4.2.** The scope of Ratings addressed shall include, as a minimum, both Normal and Emergency Ratings.
- R3.** The Transmission Owner and Generator Owner shall each make its Facility Ratings Methodology available for inspection and technical review by those Reliability Coordinators, Transmission Operators, Transmission Planners and Planning Coordinators that have responsibility for the area in which the associated Facilities are located, within 21 calendar days of receipt of a request. [*Violation Risk Factor: Lower*][*Time Horizon: Operations Planning*]
- R4.** If a Reliability Coordinator, Transmission Operator, Transmission Planner or Planning Coordinator provides written comments on its technical review of a Transmission Owner's or Generator Owner's Facility Ratings Methodology, the Transmission Owner or Generator Owner shall provide a response to that commenting entity within 45 calendar days of receipt of those comments. The response shall indicate whether a change will be made to the Facility Ratings Methodology and, if no change will be made to that Facility Ratings Methodology, the reason why. [*Violation Risk Factor: Lower*][*Time Horizon: Operations Planning*]
- R5.** The Transmission Owner and Generator Owner shall each have Facility Ratings for its solely and jointly owned Facilities that are consistent with the associated Facility Ratings Methodology. [*Violation Risk Factor: Medium*][*Time Horizon: Operations Planning, Same-day Operations, Real-time Operations*]
- R6.** The Transmission Owner and Generator Owner shall each provide Facility Ratings for its solely and jointly owned Facilities that are existing Facilities, new Facilities, modifications to existing Facilities and re-ratings of existing Facilities to its associated

² Including temporary de-ratings of impaired equipment in accordance with good utility practice.

Reliability Coordinator(s), Planning Coordinator(s), Transmission Planner(s), and Transmission Operator(s) as scheduled by such requesting entities. *[Violation Risk Factor: Medium][Time Horizon: Operations Planning, Same-day Operations, Real-time Operations]*

R7. If a Transmission Owner receives a request (from an associated Reliability Coordinator, Transmission Operator, Transmission Planner or Planning Coordinator) for identification of the most limiting Equipment that comprises a Facility and the hypothetical increase in the Facility's Rating if that most limiting Equipment that comprises that Facility were not considered in the development of that Facility Rating, the Transmission Owner shall provide the requested information within 30 calendar days,(or a later date if specified by the requester) if the Facility Rating meets all of the following criteria: *[Violation Risk Factor: Lower][Time Horizon: Operations Planning]*

R7.1. It is a thermal rating.

R7.2. It is not limited by a conductor rating.

R7.3. It can be classified as one of the following:

- An Interconnection Reliability Operating Limit
- A limitation of Total Transfer Capability
- An impediment to generation deliverability
- An impediment to service to major cities or load pockets

C. Measures

M1. The Generator Owner shall have a documented Facility Ratings Methodology that considers all of the items identified in Requirement 1.1 through Requirement 1.5.

M2. The Transmission Owner and Generator Owner shall each have a documented Facility Ratings Methodology that includes all of the items identified in Requirement 2.1 through Requirement 2.4.

M3. The Transmission Owner and Generator Owner shall each have evidence, such as a copy of a dated electronic note, or other comparable evidence to show that it made its Facility Ratings Methodology available for inspection within 21 calendar days of a request in accordance with Requirement 3.

M4. If the Reliability Coordinator, Transmission Operator, Transmission Planner or Planning Coordinator provides documented comments on its technical review of a Transmission Owner's or Generator Owner's Facility Ratings Methodology, the Transmission Owner or Generator Owner shall have evidence, (such as a copy of a dated electronic note or other comparable evidence from the Transmission Owner or Generator Owner addressed to the commenter that includes the response to the comment,) that it provided a response to that commenting entity in accordance with Requirement 4.

- M5.** The Transmission Owner and Generator Owner shall have evidence to show or shall be able to demonstrate that its Facility Ratings are consistent with its Facility Ratings Methodology (Requirement 5).
- M6.** The Transmission Owner's and Generator Owner's set of Facility Ratings shall include ratings for its solely and jointly owned Facilities including new Facilities, existing Facilities, modifications to existing Facilities and re-ratings of existing Facilities. (Requirement 5)
- M7.** The Transmission Owner and Generator Owner shall each have evidence, such as a copy of a dated electronic note, or other comparable evidence to show that it provided its Facility Ratings to its associated Reliability Coordinator(s), Planning Coordinator(s), Transmission Planner(s), and Transmission Operator(s) in accordance with Requirement 6.
- M8.** The Transmission Owner shall have evidence, such as a copy of a dated electronic note, or other comparable evidence to show that it provided requested information (identification of the most limiting Equipment that comprises a Facility and the hypothetical increase in the Facility's Rating if that most limiting Equipment that comprises that Facility were not considered in the development of that Facility's Rating) to its associated Reliability Coordinator(s), Planning Coordinator(s), Transmission Planner(s), and Transmission Operator(s) in accordance with Requirement 7.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Entity.

1.2. Compliance Monitoring Period and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (conducted annually with submission according to schedule).
- Spot check audits (conducted anytime with up to 30 days notice given to prepare).
- Periodic audit (conducted once every three years according to schedule for the Transmission Operator and once every six years according to schedule for the Generator Operator).
- Investigations.
- Other methods as provided for in the Compliance Monitoring Enforcement Program.

The Reset Time Frame shall be one month from the last finding of noncompliance.

1.3. Data Retention

The Generator Owner shall keep its evidence for Measures 1 through 7 for three years plus current, or since the last audit, whichever is longer.

The Transmission Owner shall keep its evidence for Measures 2 through 7 for three years plus current or since the last audit, whichever is longer.

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 Monitor shall keep the last audit and all subsequent compliance records.

1.4. Additional Compliance Information

The Transmission Owner and Generator Owner shall each make the following available for inspection during an on-site audit by the Compliance Monitor or within 15 business days of a request as part of an investigation:

1.4.1 Facility Ratings Methodology.

1.4.2 Industry Equipment Rating standards or practice(s) used for developing Equipment Ratings.

1.4.3 Superseded portions of its Facility Ratings Methodology that had been replaced, changed or revised within the past 12 months.

1.4.3.1 The Compliance Monitor may, at its determination, request some or all the previous three years of the superseded portions of the entity's Facility Ratings Methodology that had been replaced, changed or revised as part of an audit or investigation.

1.4.4 Documented comments provided by a Reliability Coordinator, Transmission Operator, Transmission Planner or Planning Coordinator on its technical review of a Transmission Owner's or Generator Owner's Facility Ratings methodology, and the associated responses.

1.4.5 Facility Ratings.

1.4.6 Evidence that Facility Ratings were distributed.

1.4.7 Distribution schedules provided by entities that requested Facility Ratings.

2. Violation Severity Levels

2.1. Lower: There shall be a lower violation if one or more of the following conditions exists:

2.1.1 The Facility Ratings Methodology does not contain a statement that a Facility Rating shall equal the most limiting applicable Equipment Rating of the individual equipment that comprises that Facility.

2.1.2 The Facility Ratings Methodology does not address one of the required equipment types identified in FAC-008 R2.4.1.

2.1.3 No evidence of responses to a Reliability Coordinator's, Transmission Operator, Transmission Planner, or Planning Coordinator's comments on the Facility Ratings Methodology.

E. Regional Variances

None Identified.

F. Associated Documents

None Identified.

Version History

Version	Date	Action	Change Tracking