

A. Introduction

1. **Title:** Facility Ratings Methodology
2. **Number:** FAC-008-1.2
3. **Purpose:** To ensure that Facility Ratings used in the reliable planning and operation of the Bulk Electric System (BES) bulk power system are determined based on an established methodology or methodologies technically sound principles. A Facility Rating is one of the fundamental 'starting points' for the determination of the system operating limits.
4. **Applicability**
 - 4.1. Transmission Owner.
 - 4.2. Generator Owners that own units connected directly to the Bulk Electric System through a generator step-up transformer.
5. **Proposed Effective Date:** May 1, 2006 The first day of the first calendar quarter that is twelve months beyond the date approved by applicable regulatory authorities.

B. Requirements

- R1.** The Transmission Owner and Generator Owner shall each document its current have a documented methodology used for developing determining Facility Ratings (Facility Ratings Methodology) of its solely and jointly owned Facilities. The methodology shall include that contains all of the following criteria: *[Violation Risk Factor: Medium] [Mitigation Time Horizon: Operations Planning]*
- R1.1.** A statement that a Facility Rating shall equal the most limiting applicable Equipment Rating of the individual equipment that comprises that Facility.
- R1.2.** The method by which the Rating (of major BES equipment that comprises a Facility) is determined.
- R1.2.1.** The scope of equipment addressed shall include, but not be limited to, generators, transmission conductors, transformers, relay protective devices, terminal equipment, and series and shunt compensation devices.
- R1.2.2.** The scope of Ratings addressed shall include, as a minimum, both Normal and Emergency Ratings.
- R1.3.** Consideration of the following:
- R1.1.** The methodology used to establish the Equipment Rating for each component of the Facility shall be consistent with one or more commonly accepted industry Equipment Rating standards or practices.¹
- R1.2.** The underlying assumptions, design criteria, and methods used to determine the Equipment Ratings identified in R1.1, including identification of how the following were considered:
- R1.2.1.** Equipment Rating standard(s) used in development of this methodology.
- R1.2.2.** Ratings provided by equipment manufacturers.

¹ The industry Equipment Rating standard or practice used must be either a nameplate rating; an IEEE Standard; or a recognized, published industry-accepted practice such as a CIGRE guideline, the Westinghouse Transmission and Distribution Handbook, or other similar document.

- ~~R1.3.2.~~ Design criteria (e.g., including applicable references to industry Rating practices such as manufacturer's warranty, IEEE, ANSI or other standards).
- R1.2.3. Ambient conditions.
- R1.2.4. Operating limitations².
- ~~R1.3.5.~~ Other assumptions.
- R1.3. A statement that a Facility Rating shall respect the most limiting applicable Equipment Rating of the individual equipment that comprises that Facility.
- R1.4. The method by which the Rating (of major bulk power system equipment that comprises a Facility) is determined.
- R1.4.1. The scope of equipment addressed shall include, but not be limited to, generators, transmission conductors, transformers, relay protective devices, terminal equipment, series and shunt compensation devices.
- R1.4.2. The scope of Ratings addressed shall include, as a minimum, both Normal and Emergency Ratings.
- R2. 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 Authorities that have responsibility for the area in which the associated Facilities are located, within 15 business days of receipt of a request. [Violation Risk Factor: Lower] [Mitigation Time Horizon: Operations Planning]
- R3. If a Reliability Coordinator, Transmission Operator, Transmission Planner, or Planning Authority 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 ~~written~~ 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] [Mitigation Time Horizon: Operations Planning]
- R4. The Transmission Owner and Generator Owner shall each ~~have establish~~ Facility Ratings for its solely and jointly owned Facilities that are consistent with the associated Facility Ratings Methodology. [Violation Risk Factor: Medium] [Time Horizon for Mitigation: Real-time Operations] (FAC-009-1)
- ~~R5.~~ 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 Reliability Coordinator(s), Planning Authority(ies), Transmission Planner(s), and Transmission Operator(s) as scheduled by such requesting entities.
- R5. ~~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 Reliability Coordinator(s), Planning Authority(ies), Transmission Planner(s), and Transmission~~

² Including real-time operations re-ratings based on impaired equipment.

~~Operator(s) as scheduled by such requesting entities. [Violation Risk Factor: Medium]
[Mitigation Time Horizon: Real-time Operations] (FAC-009-1)~~

C. Measures

- ~~M1. The Transmission Owner and Generator Owner shall each have a documented Facility Ratings Methodology that includes all of the items identified in FAC-008 Requirement 1.1 through FAC-008 Requirement 1.3.54.~~
- ~~M2. 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 15 business days of a request as follows:~~
- ~~M2. The Reliability Coordinator shall have access to the Facility Ratings Methodologies used for Rating Facilities in its Reliability Coordinator Area, accordance with Requirement 2.~~
- ~~M3.1 The Transmission Operator shall have access to the Facility Ratings Methodologies used for Rating Facilities in its portion of the Reliability Coordinator Area.~~
- ~~M3.2 The Transmission Planner shall have access to the Facility Ratings Methodologies used for Rating Facilities in its Transmission Planning Area.~~
- ~~M3.3 The Planning Authority shall have access to the Facility Ratings Methodologies used for Rating Facilities in its Planning Authority Area.~~
- M3. If the Reliability Coordinator, Transmission Operator, Transmission Planner, or Planning Authority 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 ~~that it provided a written response to that commenting entity within 45 calendar days, (such as a copy 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~~ 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 3.
- M4. The Transmission Owner and Generator Owner shall each be able to demonstrate that its ~~developed its~~ Facility Ratings are consistent with its Facility Ratings Methodology (Requirement 4). (FAC-009-1)
- M5. The Transmission Owner's and Generator Owner's set of Facility Ratings shall ~~each~~ 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) (FAC-009-1)
- M6. 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 Authority(ies), Transmission Planner(s), and Transmission Operator(s) ~~as scheduled by such requesting entities~~ in accordance with Requirement 5. (FAC-009-1)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

~~Regional~~ Electricity Reliability Organization

1.2. Compliance Monitoring Period and Reset ~~Time Frame~~Time fFrame

~~Each Transmission Owner and Generator Owner shall self-certify its compliance to the Compliance Monitor annually. The Compliance Monitor may conduct a targeted audit once in each calendar year (January–December) and an investigation upon complaint to assess performance. (FAC-009-1)~~

~~The Performance Reset Period shall be twelve months from the last finding of non-compliance. (FAC-009-1)~~

~~Each Transmission Owner and Generator Owner shall self-certify its compliance to the Compliance Monitor at least once every three years. 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 one or more times every three years according to schedule.)~~
- ~~- Triggered Investigations~~
- ~~- New Transmission Owners and Generator Owners shall each demonstrate compliance through an on-site audit conducted by the Compliance Monitor within the first year that it commences operation. The Compliance Monitor shall also conduct an on-site audit once every nine years and an investigation upon complaint to assess performance.~~
- ~~- Other methods as provided for in the Compliance Monitoring Enforcement Program~~

The Performance-Reset Period shall be ~~twelve~~12 months from the last finding of non-compliance.

1.3. Data Retention

The Transmission Owner and Generator Owner shall each keep all superseded portions of its Facility Ratings Methodology for ~~12 months~~three years beyond the date of the change in that methodology and shall keep all documented comments on the Facility Ratings Methodology and associated responses for ~~three~~five years.

~~The Transmission Owner and Generator Owner shall each keep documentation for 12 months.~~

In addition, entities found non-compliant shall keep information related to the non-compliance until found compliant.

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

~~The Compliance Monitor shall retain audit data for three years. (FAC-009)~~

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 upon complaint:

- 1.4.1 Facility Ratings Methodology
- 1.4.2 Industry Equipment Rating standards or practice(s) used for developing Equipment Ratings
- ~~1.4.21.4.3~~ Superseded portions of its Facility Ratings Methodology that had been replaced, changed or revised within the past 12 months
- ~~1.4.31.4.4~~ Documented comments provided by a Reliability Coordinator, Transmission Operator, Transmission Planner or Planning Authority 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

1. Violation Severity Levels

~~2.1.1.1.~~ **Lower:** There shall be a ~~level~~ lower violation if one ~~non-compliance if any or more~~ of the following conditions exists:

~~2.1.11.1.1~~ 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.

~~2.1.21.1.2~~ The Facility Ratings Methodology does not address one of the required equipment types identified in FAC-008 R1.~~24~~.1.

~~2.1.31.1.3~~ No evidence of responses to a Reliability Coordinator's, Transmission Operator, Transmission Planner, or Planning Authority's comments on the Facility Ratings Methodology.

~~2.1.41.1.4~~ Not all requested Facility Ratings associated with existing Facilities were provided to the Reliability Coordinator(s), Planning Authority(ies), Transmission Planner(s), and Transmission Operator(s) in accordance with their respective schedules.

1.2. **Moderate:** There shall be a moderate violation if one or both of the following conditions exists:

~~2.2.11.2.1~~ The Facility Ratings Methodology is missing the assumptions used to determine Facility Ratings or does not address two of the required equipment types identified in FAC-008 R1.~~24~~.1.

~~2.2.21.2.2~~ Not all Facility Ratings associated with new Facilities, modifications to existing Facilities, and re-ratings of existing Facilities were provided to the Reliability Coordinator(s), Planning Authority(ies), Transmission Planner(s), and Transmission Operator(s) in accordance with their respective schedules.

1.3. **High:** There shall be a high violation if one or both of the following conditions exists:

~~2.3.11.3.1~~ The Facility Ratings Methodology does not address three of the required equipment types identified in FAC-008-1 R1.~~24~~.1.

~~2.3.21.3.2~~ Facility Ratings provided were not developed consistent with the Facility Ratings Methodology.

1.4. **Severe:** There shall be a severe violation if one or both of the following conditions exists:

1.4.1 The Facility Ratings Methodology does not address both Normal and Emergency Ratings or the Facility Ratings Methodology was not made available for inspection within 15 business days of receipt of a request.

2.4.21.4.2 No Facility Ratings were provided to the Reliability Coordinator(s), Planning Authority(ies), Transmission Planner(s), or Transmission Operator(s) in accordance with their respective schedules.

E. Regional Differences

None Identified.

F. References

None Identified

Version History

Version	Date	Action	Change Tracking
1	01/01/05	1. Lower cased the word “draft” and “drafting team” where appropriate. 2. Changed incorrect use of certain hyphens (–) to “en dash” (–) and “em dash (—). Changed “Timeframe” to “Time Frame” in item D, 1.2.	01/20/05