

**A. Introduction**

- 1. Title:** Establish and Communicate Facility Ratings
- 2. Number:** FAC-009-1
- 3. Purpose:** To ensure that Facility Ratings used in the reliable planning and operation of the Bulk Electric System (BES) are determined based on an established methodology or methodologies.
- 4. Applicability**
  - 4.1.** Transmission Owner
  - 4.2.** Generator Owner
- 5. Effective Date:** October 7, 2006

**B. Requirements**

- R1.** The Transmission Owner and Generator Owner shall each establish Facility Ratings for its solely and jointly owned Facilities that are consistent with the associated Facility Ratings Methodology.
- R2.** 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.

**C. Measures**

- M1.** The Transmission Owner and Generator Owner shall each be able to demonstrate that it developed its Facility Ratings consistent with its Facility Ratings Methodology.
  - M1.1** The Transmission Owner's and Generator Owner's 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.
- M2.** The Transmission Owner and Generator Owner shall each have evidence 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.

**D. Compliance**

- 1. Compliance Monitoring Process**
  - 1.1. Compliance Monitoring Responsibility**

Regional Reliability Organization
  - 1.2. Compliance Monitoring Period and Reset Time Frame**

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.

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

**1.3. Data Retention**

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 retain audit data for three years.

**1.4. Additional Compliance Information**

The Transmission Owner and Generator Owner shall each make the following available for inspection during a targeted 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 Facility Ratings
- 1.4.3 Evidence that Facility Ratings were distributed
- 1.4.4 Distribution schedules provided by entities that requested Facility Ratings

**2. Levels of Non-Compliance**

- 2.1. **Level 1:** 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.
- 2.2. **Level 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.
- 2.3. **Level 3:** Facility Ratings provided were not developed consistent with the Facility Ratings Methodology.
- 2.4. **Level 4:** 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.

**Version History**

Version	Date	Action	Change Tracking
1	08/01/05	1. Lower cased the word “draft” and “drafting team” where appropriate. 2. Changed incorrect use of certain hyphens (-) to “en dash” (–) and “em dash (—).” 3. Changed “Timeframe” to “Time Frame” in item D, 1.2.	01/20/06