

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. The Standards Committee approved the SAR for posting on March 11, 2010.
2. The SAR was posted for industry comment from March 15, 2010 through April 29, 2010.
3. Standards Committee approved moving the project into the standards development phase on March 11, 2020.
4. The Standards Committee appointed the Standard Drafting Team on April 9, 2010.
5. The first draft of the standard was posted for a 45 day comment period on March 15, 2010.
6. The second draft of the proposed standard was posted for a 45 day comment period and successive ballot on September 20, 2010.

Proposed Action Plan and Description of Current Draft:

This is the third posting of the proposed standard and its associated implementation plan for a 30 day comment period and ballot.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Respond to comments on the third draft of the proposed standard	December 2010
2. Respond to comments on the initial ballot of the proposed standard	December 2010
3. Conduct a re-circulation ballot for 10 days.	January 2011
4. BOT adoption.	January 2011

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.

Near-Term Transmission Planning Horizon: The transmission planning period that covers years one through five.

A. Introduction

1. **Title:** Assessment of Transfer Capability for the Near-Term Transmission Planning Horizon.
2. **Number:** FAC-013-2
3. **Purpose:** To ensure that Planning Coordinators have a methodology for, and perform an annual assessment of, the ability to transfer energy (in the Near-Term Transmission Planning Horizon) to identify potential future weaknesses and limiting Facilities that could impact the reliability of the Bulk Electric System (BES).
4. **Applicability**
 - 4.1. Planning Coordinators
5. **Effective Date:**

In those jurisdictions where regulatory approval is required, the latter of either the first day of the first calendar quarter twelve months after applicable regulatory approval or the first day of the first calendar quarter six months after MOD-001-1, MOD-028-1, MOD-029-1, and MOD-030-2 are effective.

In those jurisdictions where no regulatory approval is required, the latter of either the first day of the first calendar quarter twelve months after Board of Trustees adoption or the first day of the first calendar quarter six months after MOD-001-1, MOD-028-1, MOD-029-1 and MOD-030-2 are effective.

B. Requirements

- R1. Each Planning Coordinator shall have a documented methodology it uses to perform an annual assessment of Transfer Capability in the Near-Term Transmission Planning Horizon (Transfer Capability Methodology). The Transfer Capability Methodology shall include, at a minimum, the following information: [*Violation Risk Factor: Lower*] [*Time Horizon: Long-term Planning*]
 - 1.1. Criteria for the selection of the transfers to be assessed.
 - 1.2. A statement that the assessment shall respect known System Operating Limits (SOLs).
 - 1.3. A statement that the assumptions and criteria used to perform the assessments are consistent with the Planning Coordinator's planning practices.
 - 1.4. A description of how each of the following assumptions and criteria used in performing the assessment are addressed:
 - 1.4.1. Generation dispatch, including but not limited to planned outages, additions and retirements.
 - 1.4.2. Transmission system topology, including but not limited to planned Transmission outages, additions, and retirements.
 - 1.4.3. System demand.
 - 1.4.4. Current approved and projected Transmission uses.
 - 1.4.5. Parallel path (loop flow) adjustments.
 - 1.4.6. Contingencies
 - 1.4.7. Monitored Facilities.

- 1.5.** A description of how simulations of transfers are performed through the adjustment of generation, Load or both.
- R2.** Each Planning Coordinator shall issue its Transfer Capability Methodology, and any revisions to the Transfer Capability Methodology, to the following entities subject to the following: [*Violation Risk Factor: Lower*] [*Time Horizon: Long-term Planning*]
 - 2.1.** Distribute to the following prior to the effectiveness of such revisions:
 - 2.1.1.** Each Planning Coordinator adjacent to the Planning Coordinator's Planning Coordinator area or overlapping the Planning Coordinator's area.
 - 2.1.2.** Each Transmission Planner within the Planning Coordinator's Planning Coordinator area.
 - 2.2.** Distribute to each other functional entity that has a reliability-related need for the results of the annual assessment of Transfer Capabilities and makes a written request for such assessment results within 30 calendar days of such a request.
- R3.** If a recipient of the Transfer Capability Methodology provides documented concerns with the methodology, the Planning Coordinator shall provide a documented response to that recipient within 45 calendar days of receipt of those comments. The response shall indicate whether a change will be made to the Transfer Capability Methodology and, if no change will be made to that Transfer Capability Methodology, the reason why. [*Violation Risk Factor: Lower*][*Time Horizon: Long-term Planning*]
- R4.** During each calendar year, each Planning Coordinator shall conduct and document a Transfer Capability assessment based on the simulations performed in accordance with its Transfer Capability Methodology for at least one year in the Near-Term Transmission Planning Horizon. [*Violation Risk Factor: Lower*] [*Time Horizon: Long-term Planning*]
- R5.** Each Planning Coordinator shall make the documented Transfer Capability assessment results available within 45 calendar days of the completion of the assessment to the recipients of its Transfer Capability Methodology. [*Violation Risk Factor: Lower*] [*Time Horizon: Long-term Planning*]
- R6.** If a recipient of a documented Transfer Capability assessment requests data to support the assessment results, the Planning Coordinator shall provide such data to that entity within 45 calendar days of receipt of the request. [*Violation Risk Factor: Lower*] [*Time Horizon: Long-term Planning*]

C. Measures

- M1.** Each Planning Coordinator shall have a Transfer Capability Methodology that includes the information specified in Requirement R1.
- M2.** Each Planning Coordinator shall have evidence such as dated e-mail or dated transmittal letters that it provided the new or revised Transfer Capability Methodology in accordance with Requirement R2.
- M3.** Each Planning Coordinator shall have evidence, such as dated e-mail or dated transmittal letters, that the Planning Coordinator provided a written response to that commenter in accordance with Requirement R3.
- M4.** Each Planning Coordinator shall have evidence such as dated assessment results, that it conducted and documented a Transfer Capability assessment in accordance with Requirement R4.

- M5.** Each Planning Coordinator shall have evidence, such as dated copies of e-mails or transmittal letters, that it made its documented Transfer Capability assessment available to the entities in accordance with Requirement R5.
- M6.** Each Planning Coordinator shall have evidence, such as dated copies of e-mails or transmittal letters, that it made its documented Transfer Capability assessment data available in accordance with Requirement R6.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

Regional Entity

1.2. Compliance Monitoring and Enforcement Processes:

Compliance Audits

Self-Certifications

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

1.3. Data Retention

The Planning Coordinator 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 Planning Coordinator shall have its in force Transfer Capability Methodology and any prior versions of the Transfer Capability Methodology that were in force since the last compliance audit to show compliance with Requirement R1.
- The Planning Coordinator shall retain evidence since its last compliance audit to show compliance with Requirement R2.
- The Planning Coordinator shall retain evidence to show compliance with Requirements R3, R4, R5 and R6 for the most recent assessment.
- If a Planning Coordinator is found non-compliant, it shall keep information related to the non-compliance until found compliant or for the time periods specified above, whichever is longer.

The Compliance Enforcement Authority shall keep the last audit records and all requested and submitted subsequent audit records.

1.4. Additional Compliance Information

None.

2. Violation Severity Levels

R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1.	<p>The Planning Coordinator has a Transfer Capability Methodology but failed to address one or two of the items listed in Requirement R1, Part 1.4.</p>	<p>The Planning Coordinator has a Transfer Capability Methodology but failed to incorporate one of the Requirement R1 Parts 1.1,1.2, 1.3 and 1.5</p> <p style="text-align: center;">OR</p> <p>The Planning Coordinator has a Planning Transfer Methodology but failed to address three of the items listed in Requirement R1, Part 1.4.</p>	<p>The Planning Coordinator has a Transfer Capability Methodology but failed to incorporate two of the items listed in Requirement R1, Parts 1.1, 1.2, 1.3 and 1.5.</p> <p style="text-align: center;">OR</p> <p>The Planning Coordinator has a Planning Transfer Methodology but failed to address four of the items listed in Requirement R1, Part 1.4.</p>	<p>The Planning Coordinator did not have a Transfer Capability Methodology.</p> <p style="text-align: center;">OR</p> <p>The Planning Coordinator had a Transfer Capability Methodology but failed to incorporate three or more of the items listed in Requirement R1, Parts 1.1, 1.2, 1.3 and 1.5.</p> <p style="text-align: center;">OR</p> <p>The Planning Coordinator has a Planning Transfer Methodology but failed to address more than four of the items listed in Requirement R1, Part 1.4.</p>
R2	<p>The Planning Coordinator notified one or more of the parties specified in Requirement R2 of a new or revised Transfer Capability Methodology after its implementation, but not more than 30 calendar days after its implementation.</p> <p style="text-align: center;">OR</p> <p>The Planning Coordinator provided the Transfer Capability Methodology</p>	<p>The Planning Coordinator notified one or more of the parties specified in Requirement R2 of a new or revised Transfer Capability Methodology more than 30 calendar days after its implementation, but not more than 60 calendar days after its implementation.</p> <p style="text-align: center;">OR</p> <p>The Planning Coordinator provided the Transfer Capability Methodology</p>	<p>The Planning Coordinator notified one or more of the parties specified in Requirement R2 of a new or revised Transfer Capability Methodology more than 60 calendar days, but not more than 90 calendar days after its implementation.</p> <p style="text-align: center;">OR</p> <p>The Planning Coordinator provided the Transfer Capability Methodology more than 60 calendar days but not</p>	<p>The Planning Coordinator failed to notify one or more of the parties specified in Requirement R2 of a new or revised Transfer Capability Methodology more than 90 calendar days after its implementation.</p> <p style="text-align: center;">OR</p> <p>The Planning Coordinator provided the Transfer Capability Methodology more than 90 calendar days after</p>

R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
	after receipt of a request but not more than 30 calendar days after receipt of a request.	more than 30 calendar days but not more than 60 calendar days after receipt of a request.	more than 90 calendar days after receipt of a request.	receipt of a request.
R3	The Planning Coordinator provided a documented response to a documented concern with its Transfer Capability Methodology as required in Requirement R3 more than 45 calendar days, but not more than 60 calendar days after receipt of the concern.	The Planning Coordinator provided a documented response to a documented concern with its Transfer Capability Methodology as required in Requirement R3 more than 60 calendar days, but not more than 75 calendar days after receipt of the concern.	The Planning Coordinator provided a documented response to a documented concern with its Transfer Capability Methodology as required in Requirement R3 more than 75 calendar days, but not more than 90 calendar days after receipt of the concern.	The Planning Coordinator failed to provide a documented response to a documented concern with its Transfer Capability Methodology as required in Requirement R3 by more than 90 calendar days after receipt of the concern. OR The Planning Coordinator failed to respond to a documented concern with its Transfer Capability Methodology.
R4.	The Planning Coordinator conducted a Transfer Capability assessment outside the calendar year, but not by more than 30 calendar days.	The Planning Coordinator conducted a Transfer Capability assessment outside the calendar year, by more than 30 calendar days, but not by more than 60 calendar days.	The Planning Coordinator conducted a Transfer Capability assessment outside the calendar year, by more than 60 calendar days, but not by more than 90 calendar days.	The Planning Coordinator failed to conduct a Transfer Capability assessment outside the calendar year by more than 90 calendar days. OR The Planning Coordinator failed to conduct a Transfer Capability assessment.
R5.	The Planning Coordinator made its documented Transfer Capability assessment available to one or more of the recipients of its Transfer Capability Methodology more than 45 calendar days after completion of the assessment but, but not more than 60 calendar days after completion of the assessment.	The Planning Coordinator made its Transfer Capability assessment available to one or more of the recipients of its Transfer Capability Methodology more than 60 calendar days after completion of the assessment, but not more than 75 calendar days after completion of the assessment.	The Planning Coordinator made its Transfer Capability assessment available to one or more of the recipients of its Transfer Capability Methodology more than 75 calendar days after completion of the assessment, but not more than 90 days after completion of the assessment..	The Planning Coordinator failed to make its documented Transfer Capability assessment available to one or more of the recipients of its Transfer Capability Methodology more than 90 days after completion of the assessment. OR The Planning Coordinator failed to

R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
				make its documented Transfer Capability assessment available to any of the recipients of its Transfer Capability Methodology.
R6.	The Planning Coordinator provided the requested data as required in Requirement R6 more than 45 calendar days after receipt of the request for data, but not more than 60 calendar days after the receipt of the request for data.	The Planning Coordinator provided the requested data as required in Requirement R6 more than 60 calendar days after receipt of the request for data, but not more than 75 calendar days after the receipt of the request for data.	The Planning Coordinator provided the requested data as required in Requirement R6 more than 75 calendar days after receipt of the request for data, but not more than 90 calendar days after the receipt of the request for data.	The Planning Coordinator provided the requested data as required in Requirement R6 more than 90 after the receipt of the request for data. OR The Planning Coordinator failed to provide the requested data as required in Requirement R6.

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking
1	08/01/05	<ol style="list-style-type: none"> 1. Changed incorrect use of certain hyphens (-) to “en dash (–).” 2. Lower cased the word “draft” and “drafting team” where appropriate. 3. Changed Anticipated Action #5, page 1, from “30-day” to “Thirty-day.” 4. Added or removed “periods.” 	01/20/05
2	TBD	<ol style="list-style-type: none"> 1. Modified to be consistent with directives contained in FERC Order 729 	TBD