

**A. Introduction**

- 1. Title:** Establish and Communicate Transfer Capabilities
- 2. Number:** FAC-013-1
- 3. Purpose:** To ensure that Transfer Capabilities 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.** Reliability Coordinator required by its Regional Reliability Organization to establish inter-regional and intra-regional Transfer Capabilities
  - 4.2.** Planning Authority required by its Regional Reliability Organization to establish inter-regional and intra-regional Transfer Capabilities
- 5. Effective Date:** October 7, 2006

**B. Requirements**

- R1.** The Reliability Coordinator and Planning Authority shall each establish a set of inter-regional and intra-regional Transfer Capabilities that is consistent with its current Transfer Capability Methodology.
- R2.** The Reliability Coordinator and Planning Authority shall each provide its inter-regional and intra-regional Transfer Capabilities to those entities that have a reliability-related need for such Transfer Capabilities and make a written request that includes a schedule for delivery of such Transfer Capabilities as follows:
  - R2.1.** The Reliability Coordinator shall provide its Transfer Capabilities to its associated Regional Reliability Organization(s), to its adjacent Reliability Coordinators, and to the Transmission Operators, Transmission Service Providers and Planning Authorities that work in its Reliability Coordinator Area.
  - R2.2.** The Planning Authority shall provide its Transfer Capabilities to its associated Reliability Coordinator(s) and Regional Reliability Organization(s), and to the Transmission Planners and Transmission Service Provider(s) that work in its Planning Authority Area.

**C. Measures**

- M1.** The Reliability Coordinator and Planning Authority shall each be able to demonstrate that it developed its Transfer Capabilities consistent with its Transfer Capability Methodology.
- M2.** The Reliability Coordinator and Planning Authority shall each have evidence that it provided its Transfer Capabilities in accordance with schedules supplied by the requestors of such Transfer Capabilities.

**D. Compliance**

- 1. Compliance Monitoring Process**
  - 1.1. Compliance Monitoring Responsibility**  
Regional Reliability Organization
  - 1.2. Compliance Monitoring Period and Reset Timeframe**  
The Reliability Coordinator and Planning Authority shall each verify compliance through self-certification submitted to the Compliance Monitor annually. The Compliance

Monitor may conduct a targeted audit once in each calendar year (January–December) and an investigation upon a complaint to assess compliance.

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

**1.3. Data Retention**

The Planning Authority and Reliability Coordinator 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.

**1.4. Additional Compliance Information**

The Planning Authority and Reliability Coordinator 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 Transfer Capability Methodology.
- 1.4.2 Inter-regional and Intra-regional Transfer Capabilities.
- 1.4.3 Evidence that Transfer Capabilities were distributed.
- 1.4.4 Distribution schedules provided by entities that requested Transfer Capabilities.

**2. Levels of Non-Compliance**

- 2.1. **Level 1:** Not applicable.
- 2.2. **Level 2:** Not all requested Transfer Capabilities were provided in accordance with their respective schedules.
- 2.3. **Level 3:** Transfer Capabilities were not developed consistent with the Transfer Capability Methodology.
- 2.4. **Level 4:** No requested Transfer Capabilities were provided in accordance with their respective schedules.

**E. Regional Differences**

None identified.

**Version History**

Version	Date	Action	Change Tracking
1	08/01/05	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