

### 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.

**Proposed Action Plan and Description of Current Draft:**

This is the second posting of the proposed standard and its associated implementation plan for a 45 day comment period with an initial ballot conducted during the last 10 days of the comment period. and ballot.

**Future Development Plan:**

Anticipated Actions	Anticipated Date
1. Respond to comments on the second draft of the proposed standard and the initial ballot	October 11, 2010
2. Conduct a re-circulation ballot for 10 days.	October 29, 2010
3. BOT adoption.	December, 2010

### 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.*

**Planning Transfer Capability (PTC):** ~~The A-forecast of the~~ Transfer Capability ~~between areas~~ that is ~~calculated for use in~~ the ~~planning period~~planning horizon ~~beyond 13 months~~when performing planning analyses.

**Planning Transfer Capability Methodology Implementation Document (PTCMID):** A document that describes the ~~implementation of a process~~method for calculating Planning Transfer Capability (PTC), ~~and provides information related to a Planning Coordinator's calculation of PTC.~~

**A. Introduction**

Note: The calculation of Planning Transfer Capabilities is not meant to be a starting point for calculation of Available Transfer Capabilities or Available Flowgate Capabilities.

- 1. Title:** Planning Transfer Capability
- 2. Number:** FAC-013-2
- 3. Purpose:** To ensure that Planning Coordinators calculate Planning Transfer Capabilities using an established method such that those forecasts of Transfer Capabilities are available ~~forean be the reliable used effectively in the reliable~~ planning 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 ~~First day of the first calendar quarter that is six months beyond the date that~~ 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 prepare and keep current a Planning Transfer Capability ~~Methodology Implementation~~ Document (PTCIDPTCMD) that includes, at a minimum, the following information: [*Violation Risk Factor: ~~Lower~~Medium*] [*Time Horizon: Planning*]
  - ~~1.1. A list of all Transmission Operators for which the Planning Coordinator determines Planning Transfer Capabilities and for each of these Transmission Operators.~~
  - 1.1. A description of the assumptions and criteria used in the calculation of Planning Transfer Capabilities (PTCs) to include at a minimum how each of the following are addressed, or an explanation for any of the following not used in the calculation of PTC.
    - Generation dispatch, including expected outages, additions and retirements
    - Transmission system topology, including expected transmission outages, additions, and retirements
    - System demand
    - Current and projected transmission uses
    - Parallel path impacts (loop flows)
    - Contingencies
    - Reliability margins applied to reflect uncertainty with BES conditions.
  - 1.2. A list of all PTCs to be calculated.
  - 1.3. A statement that PTCs shall respect all applicable System Operating Limits (SOLs).

1.4. A statement that the assumptions and criteria used to calculate PTCs are as, or more, limiting than the assumptions and criteria used in the operating horizon.

1.5. A description of how generation/load is adjusted to determine the PTCs identified in Requirement R1, Part 1.2.

~~A list of the interfaces for which the Planning Coordinator determines a Planning Transfer Capability.~~

~~A detailed explanation of the methods used to calculate Planning Transfer Capabilities, including how those methods are or are not consistent with the methods selected by the Transmission Operator and described in the associated Transmission Service Provider's Available Transfer Capability Implementation Document (ATCID).~~

~~For each case in which the method used to determine a Planning Transfer Capability is not consistent with the method selected by the Transmission Operator and described in the associated Transmission Service Provider's Available Transfer Capability Implementation Document (ATCID), a justification of the inconsistency.~~

**R2.** Each Planning Coordinator shall issue its PTCMD, and any revisions to the PTCMD, to notify the following entities prior before to the effectiveness of such revisions implementing a new or revised PTCID: [Violation Risk Factor: Lower] [Time Horizon: Planning]

2.1. Each Planning Coordinator adjacent to the Planning Coordinator's planning coordinator area.

~~2.1.2.2.~~ Each Transmission Planner within the Planning Coordinator's planning coordinator area.

~~2.2.~~ Each Transmission Service Provider within the Planning Coordinator's planning coordinator area.

~~2.3.~~ Each Transmission Operator within the Planning Coordinator's planning coordinator area.

~~2.4.2.3.~~ Each Transmission Planner within the Planning Coordinator's planning coordinator area. Any other functional entity that has a reliability-related need for such PTCs and makes a written request for such PTCs.

**R3.** If a recipient of the PTC Methodology MD provides documented technical comments on 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 PTC Methodology D and, if no change will be made to that PTC Methodology MD, the reason why. [Violation Risk Factor: Lower] [Time Horizon: Planning]

~~Each Planning Coordinator shall make available its current PTCID to all of the entities specified in Requirement R2. [Violation Risk Factor: Lower] [Time Horizon: Planning]~~

**R3.R4.** Each Planning Coordinator shall verify, and if assumptions or criteria as described in Requirement 1 Part 1.1 have changed, necessary recalculate its PTCs consistent with its PTCID PTCMD for each season (Spring, Summer, Fall, and Winter) for years two through five at least once each calendar year with no more than 15 months between verifications. [Violation Risk Factor: Lower Medium] [Time Horizon: Planning]

**R4.R5.** The Planning Coordinator shall make its PTCs available no later than 30 ten calendar days (following their being verified cation or recalculated-recalculation of those PTCs) to those entities identified in Requirement R2. [Violation Risk Factor: Lower] [Time Horizon: Planning]

~~Each Transmission Planner within the Planning Coordinator's planning coordinator area.~~

~~Any other entities specified in Requirement R2 that have a reliability related need for such PTCs and make a written request for such PTCs.~~

### C. Measures

- M1. Each Planning Coordinator shall have a current, dated ~~PTCID~~PTCMD that includes the information specified in Requirement R1.
- M2. Each Planning Coordinator shall have evidence (such as dated e-mail or dated transmittal letters~~phone logs~~ along with its dated new or revised ~~PTCID~~PTCMD) that it issued its PTCMD and each revision to its PTCMD, to notified~~the entities specified in Requirement R2 prior to the effectiveness of such revisions~~implementing a new or revised PTCID.
- M3. ~~Each Planning Coordinator shall have evidence that it has made its PTCID available to the entities listed in Requirement R2. If the recipient of the PTCMD provides documented comments on its technical review of that PTCMD, the Planning Coordinator that distributed that PTCMD shall have evidence that it provided a written response to that commenter in accordance with Requirement R3.~~
- M4. Each Planning Coordinator ~~shall~~ have evidence that it verified, and if necessary recalculated, its PTCs consistent with its ~~PTCID~~PTCMD in accordance with Requirement R4~~for each winter and summer season for years two through five at least once every three months.~~
- M5. Each Planning Coordinator shall have evidence, such as dated copies of e-mails or transmittal letters~~dated phone logs~~, that it made its PTCs~~ID~~ available to the entities listed in Requirement R5 no later than ~~30~~ten calendar days following their verification or recalculation.

### D. Compliance

#### 1. Compliance Monitoring Process

##### 1.1. Compliance Enforcement Authority

Regional Entity.

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

~~Not applicable.~~

##### ~~1.3.1.2. Compliance Monitoring and Enforcement Processes:~~

- Compliance Audits
- Self-Certifications
- Spot Checking
- Compliance Violation Investigations
- Self-Reporting
- Complaints

##### ~~1.4.1.3. 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 maintain its current, in force ~~PATCMID~~ and any prior versions of the ~~PTCMID~~ that were in force since the last compliance audit to show compliance with R1.
- The Planning Coordinator shall maintain evidence since its last compliance audit to show compliance with R2.
- The Planning Coordinator shall maintain evidence to show compliance with ~~R2~~, R3, R4, and R5 for the most recent calendar year plus the current year.
- 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.

**1.5.1.4. Additional Compliance Information**

None.

2. Violation Severity Levels

R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1.	<p>The Planning Coordinator has a <del>PTCIDPTCMD</del> but failed to address one or two of the items listed in Requirement R1, Part 1.1 that does not incorporate changes made up to three months ago.</p>	<p><del>The Planning Coordinator has a PTCMD but failed to incorporate 1 of the items listed in Requirement R1, Parts 1.2 through 1.5</del></p> <p style="text-align: center;"><del>OR</del></p> <p>The Planning Coordinator has a <del>PTCIDPTCMD</del> but failed to address two or more of the items listed in Requirement R1, Part 1.1 that does not incorporate changes made three months or more but not more than six months ago.</p>	<p>The Planning Coordinator has a <del>PTCIDPTCMD</del> but failed to incorporate 2 of the items listed in Requirement R1, Parts 1.2 through 1.5 that does not incorporate changes made six months or more but not more than one year ago.</p> <p><del>OR</del></p> <p>The Planning Coordinator has a <del>PTCID</del>, and it includes some, but not all, of the items described in R1.</p>	<p>The Planning Coordinator <del>does not have a</del> <del>has a PTCIDPTCMD</del> that does not incorporate changes made a year or more ago.</p> <p style="text-align: center;"><del>OR</del></p> <p>The Planning Coordinator has a <del>PTCIDPTCMD</del> but failed to incorporate 3 or more of the items listed in Requirement R1, Parts 1.2 through 1.5, but it includes none of the items described in R1.</p> <p><del>OR</del></p> <p>The Planning Coordinator does not have a <del>PTCID</del>.</p>
R2	<p>The Planning Coordinator notified one or more of the parties specified in R2 of a new or <del>revised</del><del>modified</del> <del>PTCIDPTCMD</del> after its <del>implementation</del>, but not more than 30 calendar days after its implementation.</p>	<p>The Planning Coordinator notified one or more of the parties specified in R2 of a new or <del>revised</del><del>modified</del> <del>PTCIDPTCMD</del> more than 30 <del>calendar days after its implementation</del>, but not more than <del>40</del>, calendar days after its implementation.</p>	<p>The Planning Coordinator notified one or more of the parties specified in R2 of a new or <del>revised</del><del>modified</del> <del>PTCIDPTCMD</del> more than <del>40</del> <del>calendar days</del>, but not more than <del>50</del>, calendar days after its implementation.</p>	<p>The Planning Coordinator failed to notify one or more of the parties specified in R2 of a new or <del>revised</del><del>modified</del> <del>PTCIDPTCMD</del> more than <del>50</del> calendar days <del>after its following its</del> implementation.</p> <p><del>OR</del></p> <p>The Planning Coordinator did not notify any of the parties specified in R2 of a new or modified <del>PTCID</del>.</p>
R3	<p>The Planning Coordinator <del>provided a documented response to a documented technical comment as required in Requirement R3 after 45 calendar days, but not more than 60 calendar days after receipt of the comment, made its PTCID available</del></p>	<p>The Planning Coordinator <del>provided a documented response to a documented technical comment as required in R3 after 60 calendar days, but not more than 70 calendar days after receipt of the comment.</del></p>	<p>The Planning Coordinator <del>provided a documented response to a documented technical comment as required in R3 after 80 calendar days after receipt of the comment.</del> N/A</p>	<p>The Planning Coordinator failed to provide a documented response to a documented technical comment as required in R3. The Planning Coordinator made its <del>PTCID</del> available to none of the entities</p>

R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
	<del>to some, but not all, of the entities described in R3.</del>	N/A		<del>described in R3.</del>
R4.	The Planning Coordinator failed to <u>verify and recalculate, if necessary,</u> 5% or less of its PTCs, as specified in the <u>PTCIDPTCMD.</u>	The Planning Coordinator failed to <u>verify and recalculate, if necessary,</u> more than 5% up to and including 10% of its PTCs as specified in the <u>PTCIDPTCMD.</u>	The Planning Coordinator failed to <u>verify and recalculate, if necessary,</u> more than 10% up to and including 15% of its PTCs, as specified in the <u>PTCIDPTCMD.</u>	The Planning Coordinator failed to <u>verify and recalculate, if necessary, more than 15% or more</u> of its PTCs, as specified in the <u>PTCIDPTCMD.</u>
R5.	<u>The Planning Coordinator notified one or more of the parties specified in Requirement R5 of its PTCs more than 30 calendar days after their verification and recalculation, but not more than 60 calendar days after their verification and recalculation.</u> <del>The Planning Coordinator made the PTCs available to some, but not all, of the entities described in R5, Part 5.2.</del>	<u>The Planning Coordinator notified one or more of the parties specified in Requirement R5 of its PTCs more than 60 calendar days after their verification and recalculation, but not more than 70 calendar days after their verification and recalculation.</u> <del>The Planning Coordinator made the PTCs available to none of the entities described in R5, Part 5.2.</del>	<u>The Planning Coordinator notified one or more of the parties specified in Requirement R5 of its PTCs more than 70 calendar days after their verification and recalculation.</u> <del>The Planning Coordinator made the PTCs available to some, but not all, of the entities described in R5, Part 5.1.</del>	<u>The Planning Coordinator failed to notify one or more of the parties specified in Requirement R5 of its PTCs after their verification and recalculation.</u> <del>The Planning Coordinator made the PTCs available to none of the entities described in R5, Part 5.1.</del>



**E. Regional Differences**

None identified.

**Version History**

<b>Version</b>	<b>Date</b>	<b>Action</b>	<b>Change Tracking</b>
1	08/01/05	<ol style="list-style-type: none"> <li>1. Changed incorrect use of certain hyphens (-) to “en dash (–).”</li> <li>2. Lower cased the word “draft” and “drafting team” where appropriate.</li> <li>3. Changed Anticipated Action #5, page 1, from “30-day” to “Thirty-day.”</li> <li>4. Added or removed “periods.”</li> </ol>	01/20/05
2		<ol style="list-style-type: none"> <li>1. Modified to be consistent with directives contained in FERC Order 729</li> <li>2. Removed Reliability Coordinator as an applicable entity</li> </ol>	Merged FAC-012 and FAC-013 into FAC-013-2.