

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 Transfer Capability (PTC)- Horizon:** The Transfer Capability that is calculated for the ~~transmission~~ planning period ~~beyond 13 months~~ that covers years one through five.~~

~~**Planning Transfer Capability Methodology Document (PTCMD):** A document that describes the process for calculating Planning Transfer Capability (PTC).~~

A. Introduction

1. **Title:** Planning Assessment of Transfer Capability for the Near-Term Transmission Planning Horizon.
2. **Number:** FAC-013-2
3. **Purpose:** To ensure that Planning Coordinators ~~calculate~~have a methodology for, and perform an annual assessment of, the ability to transfer energy (in the Near-Term Transmission Planning Transfer Capabilities using an established method such as Horizon) to identify potential future weaknesses and limiting Facilities that those forecasts of Transfer Capabilities are available for the reliable planning 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 ~~prepare and keep current~~have a documented methodology it uses to perform an annual assessment of Transfer Capability in the Near-Term Transmission Planning Horizon (Transfer Capability Methodology Document (PTCMD) that includes). 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.
 - ~~1.1.1.4.~~1.4. A description of how each of the following assumptions and criteria used in ~~the calculation of Planning Transfer Capabilities (PTCs) to include at a minimum how each of the following performing the assessment are addressed, or an explanation for any of the following not used in the calculation of PTC.:~~
 - 1.4.1. Generation dispatch, including ~~expected~~but not limited to planned outages, additions and retirements.
 - 1.4.2. Transmission system topology, including ~~expected transmission~~but not limited to planned Transmission outages, additions, and retirements.
 - 1.4.3. System demand.
 - 1.4.4. Current approved and projected ~~transmission~~Transmission uses.
 - 1.4.5. Parallel path ~~impacts~~(loop flows)flow adjustments.

1.4.6. 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).

~~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~~**1.4.7.**
Monitored Facilities.

~~1.4.1.5.~~ A description of how simulations of transfers are performed through the adjustment of generation/load is adjusted to determine the PTCs identified in Requirement R1, Part 1.2, Load or both.

R2. Each Planning Coordinator shall issue its PTCMD Transfer Capability Methodology, and any revisions to the PTCMD Transfer Capability Methodology, to the following entities prior~~subject~~ to the effectiveness of such revisions~~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~~Planning Coordinator area ~~or overlapping the Planning Coordinator's area.~~

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

~~2.1.2.2.~~ Any~~Distribute to each~~ other functional entity that has a reliability-related need for ~~such PTCs~~the results of the annual assessment of Transfer Capabilities and makes a written request for such ~~PTCs~~assessment results within 30 calendar days of such a request.

R3. If a recipient of the PTCMD Transfer Capability Methodology provides documented ~~technical comments on~~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 PTCMD Transfer Capability Methodology and, if no change will be made to that PTCMD Transfer Capability Methodology, the reason why. [Violation Risk Factor: Lower][Time Horizon: Long-term Planning]

R4. ~~Each~~During each calendar year, each Planning Coordinator shall ~~verify, conduct and if assumptions or criteria as described~~document a Transfer Capability assessment based on the simulations performed in Requirement 1 Part 1.1 have changed, recalculate its PTCs consistentaccordance with its PTCMD Transfer Capability Methodology for ~~years two through five~~at least once each calendar year with no more than 15 months between verificationsone year in the Near-Term Transmission Planning Horizon. [Violation Risk Factor: Lower] [Time Horizon: Long-term Planning]

R5. ~~The~~Each Planning Coordinator shall make ~~its PTCs~~the documented Transfer Capability assessment results available ~~no later than 30~~within 45 calendar days ~~(following the verification or recalculation of those PTCs)~~the completion of the assessment to those entities identified in Requirement R2the 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 ~~current, dated PTCMD~~ 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 along with its dated that it provided the new or revised PTCMD) that it issued its PTCMD and each revision to its PTCMD, to the entities specified~~ Transfer Capability Methodology in accordance with Requirement R2 ~~prior to the effectiveness of such revisions.~~
- M3.** ~~If the recipient of the PTCMD provides documented comments on its technical review of that PTCMD, the~~ Each Planning Coordinator ~~that distributed that PTCMD~~ shall have evidence ~~that it, 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 ~~that it verified, and if necessary recalculated, its PTCs consistent with its PTCMD~~ 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 ~~PTCs~~ documented Transfer Capability assessment available to the entities ~~listed in~~ accordance with Requirement R5 ~~no later than 30 calendar days following their verification or recalculation.~~
- 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 ~~maintain~~have its ~~current~~, in force ~~PTCMD~~Transfer Capability Methodology and any prior versions of the ~~PTCMD~~Transfer Capability Methodology that were in force since the last compliance audit to show compliance with Requirement R1.
- The Planning Coordinator shall ~~maintain~~retain evidence since its last compliance audit to show compliance with Requirement R2.
- The Planning Coordinator shall ~~maintain~~retain evidence to show compliance with Requirements R3, R4, R5 and R6 for the most recent ~~calendar year plus the current year~~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 <u>PTCMDTransfer Capability Methodology</u> but failed to address one or two of the items listed in Requirement R1, Part 1.44.</p>	<p>The Planning Coordinator has a <u>PTCMDTransfer Capability Methodology</u> but failed to incorporate 4<u>one</u> of the items listed in Requirement R1, Parts 1.1, 1.2 through, 1.3 and 1.5</p> <p>OR</p> <p>The Planning Coordinator has a <u>PTCMDPlanning Transfer Methodology</u> but failed to address two or more <u>three</u> of the items listed in Requirement R1, Part 1.44.</p>	<p>The Planning Coordinator has a <u>PTCMDTransfer Capability Methodology</u> but failed to incorporate 2<u>two</u> of the items listed in Requirement R1, Parts 1.2 through 1.2, 1.3 and 1.5.</p> <p>OR</p> <p><u>The Planning Coordinator has a Planning Transfer Methodology but failed to address four of the items listed in Requirement R1, Part 1.4.</u></p>	<p>The Planning Coordinator does<u>did</u> not have a <u>PTCMDTransfer Capability Methodology</u>.</p> <p>OR</p> <p>The Planning Coordinator has a <u>PTCMDhad a Transfer Capability Methodology</u> but failed to incorporate 3<u>three</u> or more of the items listed in Requirement R1, Parts 1.2 through 1.2, 1.3 and 1.5.</p> <p>OR</p> <p><u>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.</u></p>
R2	<p>The Planning Coordinator notified one or more of the parties specified in <u>Requirement</u> R2 of a new or revised <u>PTCMDTransfer Capability Methodology</u> after its implementation, but not more than 30 calendar days after its implementation.</p> <p>OR</p> <p><u>The Planning Coordinator provided</u></p>	<p>The Planning Coordinator notified one or more of the parties specified in <u>Requirement</u> R2 of a new or revised <u>PTCMDTransfer Capability Methodology</u> more than 30 calendar days after its implementation, but not more than 40<u>60</u> calendar days after its implementation.</p> <p>OR</p> <p><u>The Planning Coordinator provided</u></p>	<p>The Planning Coordinator notified one or more of the parties specified in <u>Requirement</u> R2 of a new or revised <u>PTCMDTransfer Capability Methodology</u> more than 40<u>60</u> calendar days, but not more than 50<u>90</u> calendar days after its implementation.</p> <p>OR</p> <p><u>The Planning Coordinator provided</u></p>	<p>The Planning Coordinator failed to notify one or more of the parties specified in <u>Requirement</u> R2 of a new or revised <u>PTCMDTransfer Capability Methodology</u> more than 50<u>90</u> calendar days after its implementation.</p> <p>OR</p> <p><u>The Planning Coordinator provided the Transfer Capability Methodology</u></p>

R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
	<u>the Transfer Capability Methodology after receipt of a request but not more than 30 calendar days after receipt of a request.</u>	<u>the Transfer Capability Methodology more than 30 calendar days but not more than 60 calendar days after receipt of a request.</u>	<u>the Transfer Capability Methodology more than 60 calendar days but not more than 90 calendar days after receipt of a request.</u>	<u>more than 90 calendar days after receipt of a request.</u>
R3	The Planning Coordinator provided a documented response to a documented technical comment concern with its <u>Transfer Capability Methodology</u> as required in Requirement R3 after <u>more than 45 calendar days, but not more than 60 calendar days after receipt of the commentconcern.</u>	The Planning Coordinator provided a documented response to a documented technical comment concern with its <u>Transfer Capability Methodology</u> as required in Requirement R3 after <u>more than 60 calendar days, but not more than 75 calendar days after receipt of the commentconcern.</u>	The Planning Coordinator provided a documented response to a documented technical comment concern with its <u>Transfer Capability Methodology</u> as required in Requirement R3 after <u>more than 75 calendar days, but not more than 90 calendar days after receipt of the commentconcern.</u>	The Planning Coordinator failed to provide a documented response to a documented technical comment concern with its <u>Transfer Capability Methodology</u> as required in Requirement R3 <u>by more than 90 calendar days after receipt of the concern.</u> <u>OR</u> <u>The Planning Coordinator failed to respond to a documented concern with its Transfer Capability Methodology.</u>
R4.	<u>The Planning Coordinator conducted a Transfer Capability assessment outside the calendar year, but not by more than 30 calendar days.</u>	<u>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.</u>	<u>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.</u>	<u>The Planning Coordinator failed to conduct a Transfer Capability assessment outside the calendar year by more than 90 calendar days.</u> <u>OR</u> <u>The Planning Coordinator failed to conduct a Transfer Capability assessment.</u>
R4R5	The Planning Coordinator failed to verify and recalculate, if necessary, 5% or less of its PTCs, as specified in the PTCMD. The Planning Coordinator made its documented <u>Transfer Capability assessment available to one or more of the</u>	The Planning Coordinator failed to verify and recalculate, if necessary, more than 5% up to and including 10% of its PTCs as specified in the PTCMD. The Planning Coordinator made its <u>Transfer Capability assessment available to one or</u>	The Planning Coordinator failed made its <u>Transfer Capability assessment available to verify and recalculate, if necessary, one or more of the recipients of its Transfer Capability Methodology more than 10% up to and including 15% of its</u>	The Planning Coordinator failed to verify and recalculate, if necessary, make its <u>documented Transfer Capability assessment available to one or more of the recipients of its Transfer Capability Methodology more than 15%90</u>

R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
	<p><u>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.</u></p>	<p><u>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.</u></p>	<p><u>PTCs, as specified in the PTCMD, 75 calendar days after completion of the assessment, but not more than 90 days after completion of the assessment..</u></p>	<p><u>days after completion of the assessment.</u> <u>OR</u> <u>The Planning Coordinator failed to make its PTCs, as specified in the PTCMD documented Transfer Capability assessment available to any of the recipients of its Transfer Capability Methodology.</u></p>
<p><u>R5</u> <u>R6</u></p>	<p><u>The Planning Coordinator notified one or more of the parties specified provided the requested data as required in Requirement R5 of its PTCs R6 more than 30 45 calendar days after their verification and recalculation receipt of the request for data, but not more than 60 calendar days after their verification and recalculation the receipt of the request for data.</u></p>	<p><u>The Planning Coordinator notified one or more of the parties specified provided the requested data as required in Requirement R5 of its PTCs R6 more than 60 calendar days after their verification and recalculation receipt of the request for data, but not more than 70 75 calendar days after their verification and recalculation the receipt of the request for data.</u></p>	<p><u>The Planning Coordinator notified one or more of the parties specified provided the requested data as required in Requirement R5 of its PTCs R6 more than 70 75 calendar days after their verification and recalculation receipt of the request for data, but not more than 90 calendar days after the receipt of the request for data.</u></p>	<p><u>The Planning Coordinator provided the requested data as required in Requirement R6 more than 90 after the receipt of the request for data.</u> <u>OR</u> <u>The Planning Coordinator failed to notify one or more of provide the parties specified requested data as required in Requirement R5 of its PTCs after their verification and recalculation R6.</u></p>

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	<u>TBD</u>	<ol style="list-style-type: none"> 1. Modified to be consistent with directives contained in FERC Order 729 2. Removed Reliability Coordinator as an applicable entity 3.1. 	Merged FAC 012 and FAC 013 into FAC 013- 2. <u>TBD</u>