

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. SAC approves SAR for posting (March 20, 2002).
2. Drafting team posts draft SAR for comment periods (April 2, 2002–May 3, 2002) (September 24, 2002–October 25, 2002) (December 13, 2002–January 31, 2003).
3. SAC approves development of standard (February 27, 2003).
4. JIC assigns development of standard to NERC (March 21, 2003).
5. Drafting team posts drafts for comment (July 1, 2003–August 29, 2003) (December 1, 2003–January 21, 2004) (February 18, 2005– April 3, 2005).
6. Drafting team posts Implementation Plan for comment (June 1, 2005–July 15, 2005).
7. Drafting team posts standards and Implementation Plan for 30-day pre-ballot review (September 1–30, 2005).
8. First ballot conducted October 4–14, 2005 but failed to achieve a quorum.
9. Re-ballot conducted October 18–November 8, 2005.
10. Recirculation ballot conducted November 15–28, 2005.

Description of Current Draft:

Final draft for board adoption.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Board adopts standard.	November 1, 2005
2. Effective date.	May 1, 2006

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.

No new terms introduced in this standard.

A. Introduction

1. **Title:** **Transfer Capability Methodology**
2. **Number:** FAC-012-1
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. **Proposed Effective Date:** May 1, 2006

B. Requirements

- R1. The Reliability Coordinator and Planning Authority shall each document its current methodology used for developing its inter-regional and intra-regional Transfer Capabilities (Transfer Capability Methodology). The Transfer Capability Methodology shall include all of the following:
 - R1.1. A statement that Transfer Capabilities shall respect all applicable System Operating Limits (SOLs).
 - R1.2. A definition stating whether the methodology is applicable to the planning horizon or the operating horizon.
 - R1.3. A description of how each of the following is addressed, including any reliability margins applied to reflect uncertainty with projected BES conditions:
 - R1.3.1. Transmission system topology
 - R1.3.2. System demand
 - R1.3.3. Generation dispatch
 - R1.3.4. Current and projected transmission uses
- R2. The Reliability Coordinator shall issue its Transfer Capability Methodology, and any changes to that methodology, prior to the effectiveness of such changes, to all of the following:
 - R2.1. Each Adjacent Reliability Coordinator and each Reliability Coordinator that indicated a reliability-related need for the methodology.
 - R2.2. Each Planning Authority and Transmission Planner that models any portion of the Reliability Coordinator's Reliability Coordinator Area.
 - R2.3. Each Transmission Operator that operates in the Reliability Coordinator Area.
- R3. The Planning Authority shall issue its Transfer Capability Methodology, and any changes to that methodology, prior to the effectiveness of such changes, to all of the following:
 - R3.1. Each Transmission Planner that works in the Planning Authority's Planning Authority Area.
 - R3.2. Each Adjacent Planning Authority and each Planning Authority that indicated a reliability-related need for the methodology.

R3.3. Each Reliability Coordinator and Transmission Operator that operates any portion of the Planning Authority's Planning Authority Area.

R4. If a recipient of the Transfer Capability Methodology provides documented technical comments on the methodology, the Reliability Coordinator or Planning Authority 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.

C. Measures

M1. The Planning Authority and Reliability Coordinator's methodology for determining Transfer Capabilities shall each include all of the items identified in FAC-012 Requirement 1.1 through Requirement 1.3.4.

M2. The Reliability Coordinator shall have evidence it issued its Transfer Capability Methodology in accordance with FAC-012 Requirement 2 through Requirement R2.3.

M3. The Planning Authority shall have evidence it issued its Transfer Capability Methodology in accordance with FAC-012 Requirement 3 through Requirement 3.3.

M4. If the recipient of the Transfer Capability Methodology provides documented comments on its technical review of that Transfer Capability Methodology, the Reliability Coordinator or Planning Authority that distributed that Transfer Capability Methodology shall have evidence that it provided a written response to that commenter in accordance with FAC-012 Requirement 4.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organization

1.2. Compliance Monitoring Period and Reset Timeframe

Each Planning Authority and Reliability Coordinator shall self-certify its compliance to the Compliance Monitor at least once every three years. New Planning Authorities and Reliability Coordinators shall each demonstrate compliance through an on-site audit conducted by the Compliance Monitor within the first year that it commences operation. The Compliance Monitor shall also conduct an on-site audit once every nine years 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 Planning Authority and Reliability Coordinator shall each keep all superseded portions to its Transfer Capability Methodology for 12 months beyond the date of the change in that methodology and shall keep all documented comments on the Transfer Capability Methodology and associated responses for three years. 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 an on-site 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 Superseded portions of its Transfer Capability Methodology that have been made within the past 12 months.
- 1.4.3 Documented comments provided by a recipient of the Transfer Capability Methodology on its technical review of the Transfer Capability Methodology, and the associated responses.

2. Levels of Non-Compliance

- 2.1. **Level 1:** There shall be a level one non-compliance if either of the following conditions exists:
 - 2.1.1 The Transfer Capability Methodology is missing any one of the required statements or descriptions identified in FAC-012 R1.1 through R1.3.4.
 - 2.1.2 No evidence of responses to a recipient’s comments on the Transfer Capability Methodology.
- 2.2. **Level 2:** The Transfer Capability Methodology is missing a combination of two of the required statements or descriptions identified in FAC-012 R1.1 through R1.3.4, or a combination thereof.
- 2.3. **Level 3:** The Transfer Capability Methodology is missing a combination of three or more of the required statements or descriptions identified in FAC-012 R1.1 through R1.3.4.
- 2.4. **Level 4:** The Transfer Capability Methodology was not issued to all of the required entities.

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

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Description of Current Draft:

Final draft for Board Adoption.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Board adopts standard.	November 1, 2005
2. Effective date.	July 1, 2006

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.

No new terms introduced in this standard.

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. **Proposed Effective Date:** July 1, 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