

Standard Development Timeline

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. SC approved SAR for initial posting (January 11, 2007).
2. SAR posted for comment (January 15–February 14, 2007).
3. SAR posted for comment (April 10–May 9, 2007).
4. SC authorized moving the SAR forward to standard development (June 27, 2007).

Proposed Action Plan and Description of Current Draft

This is the second posting of the proposed revisions to the standard in accordance with Results-Based Criteria.

Future Development Plan

Anticipated Actions	Anticipated Date
Drafting team considers comments, makes conforming changes, and requests SC approval to proceed to formal comment and ballot.	June –July 2010
Recirculation ballot of standards.	July-August 2010
Receive BOT approval	August 2010

Effective Dates

1. First calendar day of the first calendar quarter one year after applicable regulatory authority approval for all requirements
2. First calendar day of the first calendar quarter one year following Board of Trustees adoption unless governmental authority withholds approval
3. First calendar day of the first calendar quarter that is at least one year following Board of Trustees adoption

Exceptions:

A line operated below 200kV, designated by the Planning Coordinator as an element of an IROL or as a Major WECC transfer path, becomes subject to this standard 12 months after the date the Planning Coordinator or WECC initially designates the lines as being subject to this standard.

An existing transmission line operated at 200kV or higher that is newly acquired by an asset owner and was not previously subject to this standard, becomes subject to this standard 12 months after the acquisition date of the line.

Version History

Version	Date	Action	Change Tracking
1	TBA	<ol style="list-style-type: none"> 1. Added “Standard Development Roadmap.” 2. Changed “60” to “Sixty” in section A, 5.2. 3. Added “Proposed Effective Date: April 7, 2006” to footer. 4. Added “Draft 3: November 17, 2005” to footer. 	01/20/06
1	April 4, 2007	Regulatory Approval — Effective Date	New
2			

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. When this standard has received ballot approval, the text boxes will be moved to the Guideline and Technical Basis Section.

Vegetation Inspection

The systematic examination of vegetation conditions on a maintained transmission line Right-of-Way which may be combined with a general line inspection.

The current glossary definition of this NERC term is modified to allow both maintenance inspections and vegetation inspections to be performed concurrently.

Current definition of Vegetation Inspection: The systematic examination of a transmission corridor to document vegetation conditions.

Introduction

1. **Title:** Transmission Vegetation Management
2. **Number:** FAC-003-2
3. **Objectives:** To improve the reliability of the electric Transmission system by preventing those vegetation related outages that could lead to Cascading.
4. **Applicability**
 - 4.1. **Functional Entities:**

Transmission Owners
 - 4.2. **Facilities:** Defined below, including but not limited to those that cross lands owned by federal¹, state, provincial, public, private, or tribal entities:
 - 4.2.1. Overhead transmission lines operated at 200kV or higher.
 - 4.2.2. Overhead transmission lines operated below 200kV having been identified as included in the definition of an Interconnection Reliability Operating Limit (IROL) under NERC Standard FAC 014 by the Planning Coordinator.
 - 4.2.3. Overhead transmission lines operated below 200 kV having been identified as included in the definition of one of the *Major WECC Transfer Paths in the Bulk Electric System*.
 - 4.2.4. This Standard does not apply to Facilities identified above (4.2.1 through 4.2.3) located in the fenced area of a switchyard, station or substation.
 - 4.3. **Enforcement:** *The reliability obligations of the applicable entities and facilities are contained within the technical requirements of this standard. [Straw proposal]*
 - 4.4. **Other:**

This Standard does not apply to any occurrence, non-occurrence, or other set of circumstances that are beyond the control of a Transmission Owner subject to this reliability standard, including acts of God, flood, drought, earthquake, major storms, fire, hurricane, tornado, landslides, ice storms, vehicle contact with tree, human activity involving: removal of, installation of, or digging around vegetation, animals severing trees, lightning, epidemic, strike, war, riot, civil disturbance, sabotage, vandalism, terrorism, wind shear, or fresh gale (or higher wind speed) that restricts or prevents performance to comply with this reliability standard's requirements. Nothing in this

¹ EPAAct 2005 section 1211c: "Access approvals by Federal agencies".

section should be construed to limit the Transmission Owner's right to exercise its full legal rights on the active transmission line ROW².

5. Background:

This NERC Vegetation Management Standard ("Standard") uses a defense-in-depth approach to improve the reliability of the electric Transmission System by preventing those vegetation related outages that could lead to Cascading. This Standard is not intended to address non-preventable outages such as those due to vegetation fall-ins or blow-ins from outside the Active Transmission Line Right-of-Way, vandalism, human activities and acts of nature. Operating experience indicates that trees that have grown out of specification have contributed to Cascading, especially under heavy electrical loading conditions.

With a defense-in-depth strategy, this Standard utilizes three types of requirements to provide layers of protection to prevent vegetation related outages that could lead to Cascading:

- a) Performance-based — defines a particular reliability objective or outcome to be achieved.
- b) Risk-based — preventive requirements to reduce the risks of failure to acceptable tolerance levels.
- c) Competency-based — defines a minimum capability an entity needs to have to demonstrate it is able to perform its designated reliability functions.

The defense-in-depth strategy for reliability standards development recognizes that each requirement in a NERC reliability standard has a role in preventing system failures, and that these roles are complementary and reinforcing. Reliability standards should not be viewed as a body of unrelated requirements, but rather should be viewed as part of a portfolio of requirements designed to achieve an overall defense-in-depth strategy and comport with the quality objectives of a reliability standard. For this Standard, the requirements have been developed as follows:

- Performance-based: Requirements 1 and 2
- Competency-based: Requirement 3
- Risk-based: Requirements 4, 5, 6 and 7

Thus the various requirements associated with a successful vegetation program could be viewed as using R1, R2 and R3 as first levels of defense; while R4 could be a subsequent or final level of defense. R6 depending on the particular vegetation approach may be either an initial defense barrier or a final defense barrier.

² A strip or corridor of land that is occupied by active transmission facilities. This corridor does not include the parts of the Right-of-Way that are unused or intended for other facilities. However, it is not to be less than the width of the easement itself unless the easement exceeds distances as shown in Table 3 for various voltage classes.

Major outages and operational problems have resulted from interference between overgrown vegetation and transmission lines located on many types of lands and ownership situations. Adherence to the Standard requirements for applicable lines on any kind of land or easement, whether they are Federal Lands, state or provincial lands, public or private lands, franchises, easements or lands owned in fee, will reduce and manage this risk. For the purpose of the Standard the term “public lands” includes municipal lands, village lands, city lands, and a host of other governmental entities.

This Standard addresses vegetation management along applicable overhead lines and does not apply to underground lines, submarine lines or to line sections inside an electric station boundary.

This Standard focuses on transmission lines to prevent those vegetation related outages that could lead to Cascading. It is not intended to prevent customer outages due to tree contact with lower voltage distribution system lines. For example, localized customer service might be disrupted if vegetation were to make contact with a 69kV transmission line supplying power to a 12kV distribution station. However, this Standard is not written to address such isolated situations which have little impact on the overall electric transmission system.

Since vegetation growth is constant and always present, unmanaged vegetation poses an increased outage risk, especially when numerous transmission lines are operating at or near their Rating. This can present a significant risk of multiple line failures and Cascading. Conversely, most other outage causes (such as trees falling into lines, lightning, animals, motor vehicles, etc.) are statistically intermittent. These events are not any more likely to occur during heavy system loads than any other time. There is no cause-effect relationship which creates the probability of simultaneous occurrence of other such events. Therefore these types of events are highly unlikely to cause large-scale grid failures. Thus, this Standard’s emphasis is on vegetation grow-ins.

Requirements and Measures

R1. Each Transmission Owner shall manage vegetation to prevent encroachment that could result in a Sustained Outage of any line identified as an element of an Interconnection Reliability Operating Limit (IROL) or Major Western Electricity Coordinating Council (WECC) transfer path (operating within Rating and Rated Electrical Operating Conditions). Types of encroachment include:

1. An encroachment into the Minimum Vegetation Clearance Distance (MVCD) as shown in Table 2, observed in real time, absent a Sustained Outage,
2. An encroachment due to a fall-in from inside the active transmission line ROW that caused a vegetation-related Sustained Outage,
3. An encroachment due to blowing together of applicable lines and vegetation located inside the active transmission line ROW that caused a vegetation-related Sustained Outage,
4. An encroachment due to a grow-in that caused a vegetation-related Sustained Outage.

[VRF – High] [Time Horizon – Real-time]

M1. Each Transmission Owner has evidence that it managed vegetation to prevent encroachment into the MVCD as described in R1. Examples of acceptable forms of evidence may include dated attestations, dated reports containing no Sustained Outages associated with encroachment types 2 through 4 above, or records confirming no Real-Time observations of any MVCD encroachments.

Multiple Sustained Outages on an individual line, if caused by the same vegetation, will be reported as one outage regardless of the actual number of outages within a 24-hour period. If an investigation of a Fault by a qualified person confirms that a vegetation encroachment within the MVCD occurred, then it shall be considered a Real-time observation.

Rationale

The MVCD is a calculated minimum distance stated in feet (meters) to prevent spark-over between conductors and vegetation, for various altitudes and operating voltages. The distances in Table 2 were derived using a proven transmission design method.

R2. Each Transmission Owner shall manage vegetation to prevent encroachment that could result in a Sustained Outage of applicable lines that are not elements of an Interconnection Reliability Operating Limit (IROL) or Major Western Electricity Coordinating Council (WECC) transfer path (operating within Rating and Rated Electrical Operating Conditions). Types of encroachment include:

Rationale

The MVCD is a calculated minimum distance stated in feet (meters) to prevent spark-over between conductors and vegetation, for various altitudes and operating voltages. The distances in Table 2 were derived using a proven transmission design method.

1. An encroachment into the Minimum Vegetation Clearance Distance (MVCD) as shown in Table 2, observed in real time, absent a Sustained Outage,
2. An encroachment due to a fall-in from inside the active transmission line ROW that caused a vegetation-related Sustained Outage,
3. An encroachment due to blowing together of applicable lines and vegetation located inside the active transmission line ROW that caused a vegetation-related Sustained Outage,
4. An encroachment due to a grow-in that caused a vegetation-related Sustained Outage.

[VRF – Medium] [Time Horizon – Real-time]

M2. Each Transmission Owner has evidence that it managed vegetation to prevent encroachment into the MVCD as described in R2. Examples of acceptable forms of evidence may include dated attestations, dated reports containing no Sustained Outages associated with encroachment types 2 through 4 above, or records confirming no Real-Time observations of any MVCD encroachments.

Multiple Sustained Outages on an individual line, if caused by the same vegetation, will be reported as one outage regardless of the actual number of outages within a 24-hour period. If an investigation of a Fault by a qualified person confirms that a vegetation encroachment within the MVCD occurred, then it shall be considered a Real-time observation.

R3. Each Transmission Owner shall document the procedures, processes, or specifications it uses to prevent the encroachment of vegetation into the MVCD. Such documentation will incorporate the dynamics of a transmission line conductor's movement throughout its Rating and Rated Electrical Operating Conditions and the inter-relationships between vegetation growth rates, vegetation control methods, and inspection frequency, for the Transmission Owner's applicable lines.

Rationale

Provide a basis for evaluation on the intent and competency of the Transmission Owner in maintaining vegetation. There may be many acceptable approaches to maintain clearances. However, the Transmission Owner should be able to state what its approach is and how it conducts work to maintain clearances. See Figure 1 for an illustration of possible conductor locations.

[VRF – Lower] [Time Horizon – Long Term Planning]

M3. The procedures, processes, or specifications provided demonstrate that the Transmission Owner can prevent encroachment into the MVCD considering the factors identified in the requirement.

R4. Each Transmission Owner, without any intentional time delay, shall notify the control center holding switching authority for the associated transmission line when qualified personnel confirm the existence of a vegetation condition that is likely to cause a Fault at any moment.

Rationale

To ensure expeditious communication between qualified field personnel and proper operating personnel when a critical situation is confirmed. Qualified field personnel may include lineworkers and utility arborists.

[VRF – Medium] [Time Horizon – Real-time]

M4. Each Transmission Owner that has a vegetation condition likely to cause a Fault at any moment, as confirmed by qualified personnel, will have evidence that it notified the control center holding switching authority for the associated transmission line without any intentional time delay. Examples of evidence may include control center logs, voice recordings, switching orders, clearance orders and subsequent work orders.

- R5.** Each Transmission Owner shall take corrective action when it is constrained from performing planned vegetation work, where a transmission line is put at potential risk due to the constraint.

[VRF – Medium] [Time Horizon – Operations Planning]

- M5.** Each Transmission Owner has evidence of the corrective action taken for each constraint where a transmission line was put at potential risk. Examples of acceptable forms of evidence may include initially-planned work orders, documentation of constraints from landowners, court orders, inspection records of increased monitoring, documentation of the de-rating of lines, revised work orders, invoices, and evidence that a line was de-energized.

- R6.** Each Transmission Owner shall perform a Vegetation Inspection of all applicable transmission lines at least once per calendar year.

[VRF – Medium] [Time Horizon – Operations Planning]

- M6.** Each Transmission Owner has evidence that it conducted Vegetation Inspections at least once per calendar year for all applicable transmission lines. Examples of acceptable forms of evidence may include completed and dated work orders, dated invoices, or dated inspection records.

Rationale

Legal actions and other events may occur which result in constraints that prevent the Transmission Owner from performing planned vegetation maintenance work. In cases where the transmission line is put at potential risk due to constraints, the intent is for the Transmission Owner to put interim measures in place, rather than do nothing. For example, in the 2003 NE blackout a Transmission Owner was prevented by a court order from performing planned work. However, when the court order expired, the TO failed to take action to maintain the vegetation resulting in a sustained outage that contributed to the cascade. The corrective action process is not intended to address situations where a planned work methodology cannot be performed but an alternate work methodology can be used.

Rationale

Inspections are used by Transmission Owners to assess the condition of the ROW. The information from the assessment can be used to determine risk, determine future work and evaluate recently-completed work. This requirement sets a minimum Vegetation Inspection frequency of once per calendar year. Based upon average growth rates across North America and on common utility practice, this minimum frequency is reasonable. Transmission Owners should consider local and environmental factors that could warrant more frequent inspections.

R7. Each Transmission Owner shall complete the work in an annual vegetation work plan to ensure no vegetation encroachments occur within the MVCD. Modifications to the work plan in response to changing conditions or to findings from vegetation inspections may be made and documented provided they do not put the transmission system at risk of a vegetation encroachment. Examples of reasons for modification to annual plan may include:

- Change in expected growth rate/ environmental factors
- Major storms
- Rescheduling work between growing seasons
- Crew or contractor availability/ Mutual assistance agreements
- Identified unanticipated high priority work
- Weather conditions/Accessibility
- Permitting delays
- Land ownership changes/Change in land use by the landowner
- Funding adjustments (increase or decrease)
- Emerging technologies

Rationale

This requirement sets the expectation that the work identified in the annual work plan will be completed as planned. An annual vegetation work plan allows for work to be modified for changing conditions, taking into consideration anticipated growth of vegetation and all other environmental factors, provided that the changes do not violate the encroachment within the MVCD.

[VRF – Medium] [Time Horizon – Operations Planning]

M7. Each Transmission Owner has evidence that it completed its annual vegetation work plan. Examples of acceptable forms of evidence may include a copy of the completed annual work plan (including modifications if any), dated work orders, dated invoices, or dated inspection records.

Compliance

Compliance Enforcement Authority

- Regional Entity

Compliance Monitoring and Enforcement Processes:

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

Evidence Retention

The Transmission Owner retains data or evidence of Requirements R1 through R7, Measures M1 through M7 for three calendar years to show compliance unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation.

If a Transmission Owner is found non-compliant, it shall keep information related to the non-compliance until found compliant, or for the duration specified above, whichever is longer.

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

Additional Compliance Information

Periodic Data Submittal: The Transmission Owner will submit a quarterly report to its Regional Entity, or the Regional Entity's designee, identifying all Sustained Outages of transmission lines determined by the Transmission Owner to have been caused by vegetation that includes, as a minimum, the following:

- The name of the circuit(s), the date, time and duration of the outage; the voltage of the circuit; a description of the cause of the outage; the category associated with the Sustained Outage; other pertinent comments; and any countermeasures taken by the Transmission Owner.

A Sustained Outage is to be categorized as one of the following:

- Category 1A — Grow-ins: Sustained Outages caused by vegetation growing into applicable transmission lines, that are identified as an IROL or Major WECC Transfer Path, by vegetation inside and/or outside of the active transmission line ROW;
- Category 1B — Grow-ins: Sustained Outages caused by vegetation growing into applicable transmission lines, but are not identified as an IROL or Major WECC Transfer Path, by vegetation inside and/or outside of the active transmission line ROW;

- Category 2 — Fall-ins: Sustained Outages caused by vegetation falling into applicable transmission lines from within the active transmission line ROW;
- Category³ 4 — Blowing together: Sustained Outages caused by vegetation and applicable transmission lines blowing together from within the active transmission line ROW.

The Regional Entity will report the outage information provided by Transmission Owners, as per the above, quarterly to NERC, as well as any actions taken by the Regional Entity as a result of any of the reported Sustained Outages.

³ Category 3 reporting is eliminated.

At the request of the Standards Committee, stakeholders are asked to review and comment on the proposed VSLs for R1 and R2. Following the comment period and nonbinding poll, only one set of VSLs will move forward for R1 and R2.

Time Horizons, Violation Risk Factors, and Violation Severity Levels

Table 1						
R#	Time Horizon	VRF	Violation Severity Level			
			Lower	Moderate	High	Severe
R1-SDT Version	Real-time	High	The Transmission Owner had an encroachment into the MVCD observed in real time, absent a Sustained Outage.	The Transmission Owner had an encroachment due to a fall-in from inside the active transmission line ROW that caused a vegetation-related Sustained Outage.	The Transmission Owner had an encroachment due to blowing together of applicable lines and vegetation located inside the active transmission line ROW that caused a vegetation-related Sustained Outage.	The Transmission Owner had an encroachment due to a grow-in that caused a vegetation-related Sustained Outage.
R1 Staff Version	Real-time	High			The Transmission Owner failed to manage vegetation to prevent encroachment into the MVCD of a line identified as an element of an IROL or Major WECC transfer path and encroachment into the MVCD as identified in FAC-003-Table 2 was observed in real time absent a Sustained Outage.	The Transmission Owner failed to manage vegetation to prevent encroachment into the MVCD of a line identified as an element of an IROL or Major WECC transfer path and a vegetation-related Sustained Outage was caused by one of the following: <ul style="list-style-type: none"> • A fall-in from inside the active transmission line ROW • Blowing together of applicable lines and vegetation located inside the active transmission line ROW • A grow-in
R2-SDT Version	Real-time	Medium	The Transmission Owner had an encroachment into the MVCD observed in real time, absent a	The Transmission Owner had an encroachment due to a fall-in from inside the active transmission line	The Transmission Owner had an encroachment due to blowing together of applicable lines and vegetation located inside the	The Transmission Owner had an encroachment due to a grow-in that caused a vegetation-related Sustained Outage.

Table 1						
R#	Time Horizon	VRF	Violation Severity Level			
			Lower	Moderate	High	Severe
			Sustained Outage.	ROW that caused a vegetation-related Sustained Outage.	active transmission line ROW that caused a vegetation-related Sustained Outage.	
R2 Staff Version	Real-time	Medium			The Transmission Owner failed to manage vegetation to prevent encroachment into the MVCD of a line not identified as an element of an IROL or Major WECC transfer path and encroachment into the MVCD as identified in FAC-003-Table 2 was observed in real time absent a Sustained Outage.	<p>The Transmission Owner failed to manage vegetation to prevent encroachment into the MVCD of a line not identified as an element of an IROL or Major WECC transfer path and a vegetation-related Sustained Outage was caused by one of the following:</p> <ul style="list-style-type: none"> • A fall-in from inside the active transmission line ROW • Blowing together of applicable lines and vegetation located inside the active transmission line ROW • A grow-in
R3	Long-Term Planning	Lower		The Transmission Owner has documented the procedures, processes, or specifications but does not incorporate the inter-relationships between vegetation growth rates, vegetation control methods, and inspection frequency,	The Transmission Owner has documented the procedures, processes, or specifications but does not incorporate the dynamics of a transmission line conductor’s movement throughout its Rating and Rated Electrical Operating Conditions, for the Transmission Owner’s	The Transmission Owner does not have any documented procedures, processes or specifications used to prevent the encroachment of vegetation into the MVCD, for the Transmission Owner’s applicable lines.

Table 1						
R#	Time Horizon	VRF	Violation Severity Level			
			Lower	Moderate	High	Severe
				for the Transmission Owner's applicable lines.	applicable lines.	
R4	Real-time	Medium			The Transmission Owner experienced a vegetation threat confirmed by qualified personnel and notified the control center holding switching authority for that transmission line, but there was intentional delay in that notification.	The Transmission Owner experienced a vegetation threat confirmed by qualified personnel and did not notify the control center holding switching authority for that transmission line.
R5	Operations Planning	Medium				The Transmission Owner did not take corrective action when it was constrained from performing planned vegetation work where a transmission line was put at potential risk.
R6	Operations Planning	Medium	The Transmission Owner failed to inspect 5% or less of the ROW as measured by applicable-line miles (kilometers) (based on units of choice: circuit, pole line, ROW, etc.).	The Transmission Owner failed to inspect more than 5% up to and including 10% of the ROW as measured by applicable-line miles (kilometers) (based on units of choice: circuit, pole line, ROW, etc.).	The Transmission Owner failed to inspect more than 10% up to and including 15% of the ROW as measured by applicable-line miles (kilometers) (based on units of choice: circuit, pole line, ROW, etc.).	The Transmission Owner failed to inspect more than 15% of the ROW as measured by applicable-line miles (kilometers) (based on units of choice: circuit, pole line, ROW, etc.).
R7	Operations Planning	Medium	The Transmission Owner failed to complete up to 5% of its annual work plan (including modifications if any).	The Transmission Owner failed to complete more than 5% and up to 10% of its annual work plan (including modifications if any).	The Transmission Owner failed to complete more than 10% and up to 15% of its annual work plan (including modifications if any).	The Transmission Owner failed to complete more than 15% of its annual work plan (including modifications if any).

Table 1						
R#	Time Horizon	VRF	Violation Severity Level			
			Lower	Moderate	High	Severe
				any).		

Variances

None.

Interpretations

None.

Guidelines and Technical Basis

Requirements R1 and R2:

R1 and R2 are performance-based requirements. The reliability objective or outcome to be achieved is the prevention of vegetation encroachments within a minimum distance of transmission lines. Content-wise, R1 and R2 are the same requirements; however, they apply to different Facilities. Both R1 and R2 require each Transmission Owner to prevent vegetation from encroaching within the Minimum Vegetation Clearance Distance of transmission lines. R1 is applicable to lines “identified as an element of an Interconnection Reliability Operating Limit (IROL) or Major Western Electricity Coordinating Council (WECC) transfer path (operating within Rating and Rated Electrical Operating Conditions) to avoid a Sustained Outage”. R2 applies to all other applicable lines that are not an element of an IROL or Major WECC Transfer Path.

The separation of applicability (between R1 and R2) recognizes that an encroachment into the MVCD of an IROL or Major WECC Transfer Path transmission line is a greater risk to the electric transmission system. Applicable lines that are not an element of an IROL or Major WECC Transfer Path are required to be clear of vegetation but these lines are comparatively less operationally significant. As a reflection of this difference in risk impact, the Violation Risk Factors (VRFs) are assigned as High for R1 and Medium for R2.

These requirements (R1 and R2) state that if vegetation encroaches within the distances prescribed in Table 2, it is in violation of the standard. Table 2 delineates the distances necessary to prevent spark-over based on the Gallet equations as described more fully in a supplemental *Transmission Vegetation Management Standard FAC-003-2 Technical Reference*.

These requirements assume that transmission lines and their conductors are operating within their Rating. If a line conductor is intentionally or inadvertently operated beyond its Rating (potentially in violation of other standards), the occurrence of a clearance encroachment may occur. For example, emergency actions taken by a Transmission Operator or Reliability Coordinator to protect an Interconnection may cause the transmission line to sag more and come closer to vegetation, potentially causing an outage. Such vegetation-related outages are not a violation of these requirements.

Evidence of violation of Requirement R1 and R2 include real-time observation of a vegetation encroachment into the MVCD (absent a Sustained Outage), or a vegetation-related encroachment resulting in a Sustained Outage due to a fall-in from inside the active transmission line ROW, or a vegetation-related encroachment resulting in a Sustained Outage due to blowing together of applicable lines and vegetation located inside the active transmission line ROW, or a vegetation-related encroachment resulting in a Sustained Outage due to a grow-in. If an investigation of a Fault by a qualified person confirms that a vegetation encroachment within the MVCD occurred, then it shall be considered a Real-time observation.

With this approach, the VSLs were defined such that they directly correlate to the severity of a failure to keep vegetation away from conductors and to the corresponding performance level of the Transmission Owner’s vegetation program’s ability to meet the goal of “preventing a Sustained Outage that could lead to Cascading.” Thus violation severity increases with a Transmission Owner’s inability to meet this goal and its potential of leading to a Cascading event. The additional benefits of such a combination are that it simplifies the standard and clearly

defines performance for compliance. A performance-based requirement of this nature will promote high quality, cost effective vegetation management programs that will deliver the overall end result of improved reliability to the system.

Multiple Sustained Outages on an individual line can be caused by the same vegetation, for example a limb that only partially breaks and intermittently contacts a conductor. Such events are considered to be a single vegetation-related Sustained Outage under the Standard where the Sustained Outages occur within a 24 hour period.

The MVCD is a calculated minimum distance stated in feet (or meters) to prevent spark-over, for various altitudes and operating voltages that is used in the design of Transmission Facilities. Keeping vegetation from entering this space will help prevent transmission outages.

Requirement R3:

Requirement R3 is a competency based requirement concerned with the procedures, processes, or specifications, a Transmission Owner uses for vegetation management.

An adequate transmission vegetation management program formally establishes the approach the Transmission Owner uses to plan and perform vegetation work to prevent transmission Sustained Outages and minimize risk to the Transmission System. The approach provides the basis for evaluating the intent, allocation of appropriate resources and the competency of the Transmission Owner in managing vegetation. There are many acceptable approaches to manage vegetation and avoid Sustained Outages. However, the Transmission Owner must be able to state what its approach is and how it conducts work to maintain clearances.

An example of one approach commonly used by industry is ANSI Standard A300, part 7. However, regardless of the approach a utility uses to manage vegetation, any approach a Transmission Owner chooses to use will generally contain the following elements:

1. *the maintenance strategy used (such as minimum vegetation-to-conductor distance or maximum vegetation height) to ensure that MVCD clearances are never violated.*
2. *the work methods that the Transmission Owner uses to control vegetation*
3. *a stated Vegetation Inspection frequency*
4. *an annual work plan*

The conductor's position in space at any point in time is continuously changing as a reaction to a number of different loading variables. Changes in vertical and horizontal conductor positioning are the result of thermal and physical loads applied to the line. Thermal loading is a function of line current and the combination of numerous variables influencing ambient heat dissipation including wind velocity/direction, ambient air temperature and precipitation. Physical loading applied to the conductor affects sag and sway by combining physical factors such as ice and wind loading. The movement of the transmission line conductor and the MVCD is illustrated in Figure 1 below.

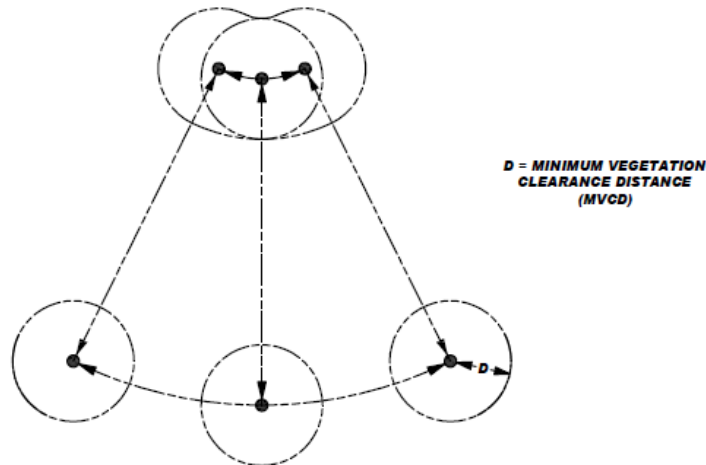


Figure 1

Cross-section view of a single conductor at a given point along the span showing six possible conductor positions due to movement resulting from thermal and mechanical loading.

Requirement R4:

R4 is a risk-based requirement. It focuses on preventative actions to be taken by the Transmission Owner for the mitigation of Fault risk when a vegetation threat is confirmed. R4 involves the notification of potentially threatening vegetation conditions, without any intentional delay, to the control center holding switching authority for that specific transmission line. Examples of acceptable unintentional delays may include communication system problems (for example, cellular service or two-way radio disabled), crews located in remote field locations with no communication access, delays due to severe weather, etc.

Confirmation is key that a threat actually exists due to vegetation. This confirmation could be in the form of a qualified employee who personally identifies such a threat in the field. Confirmation could also be made by sending out a qualified person to evaluate a situation reported by a landowner or an unqualified employee.

Vegetation-related conditions that warrant a response include vegetation that is near or encroaching into the MVCD (a grow-in issue) or vegetation that could fall into the transmission conductor (a fall-in issue). A knowledgeable verification of the risk would include an assessment of the possible sag or movement of the conductor while operating between no-load conditions and its rating.

The Transmission Owner has the responsibility to ensure the proper communication between field personnel and the control center to allow the control center to take the appropriate action until the vegetation threat is relieved. Appropriate actions may include a temporary reduction in the line loading, switching the line out of service, or positioning the system in recognition of the increasing risk of outage on that circuit. The notification of the threat should be communicated in terms of minutes or hours as opposed to a longer time frame for corrective action plans (see R5).

All potential grow-in or fall-in vegetation-related conditions will not necessarily cause a Fault at any moment. For example, some Transmission Owners may have a danger tree identification

program that identifies trees for removal with the potential to fall near the line. These trees would not require notification to the control center unless they pose an immediate fall-in threat.

Requirement R5:

R5 is a risk-based requirement. It focuses upon preventative actions to be taken by the Transmission Owner for the mitigation of Sustained Outage risk when temporarily constrained from performing vegetation maintenance. The intent of this requirement is to deal with situations that prevent the Transmission Owner from performing planned vegetation management work and, as a result, have the potential to put the transmission line at risk. Constraints to performing vegetation maintenance work as planned could result from legal injunctions filed by property owners, the discovery of easement stipulations which limit the Transmission Owner's rights, or other circumstances.

This requirement is not intended to address situations where the transmission line is not at potential risk and the work event can be rescheduled or re-planned using an alternate work methodology. For example, a land owner may prevent the planned use of chemicals on non-threatening, low growth vegetation but agree to the use of mechanical clearing. In this case the Transmission Owner is not under any immediate time constraint for achieving the management objective, can easily reschedule work using an alternate approach, and therefore does not need to take interim corrective action.

However, in situations where transmission line reliability is potentially at risk due to a constraint, the Transmission Owner is required to take corrective action to mitigate the potential risk to the transmission line. A wide range of actions can be taken to address various situations. General considerations include:

- Identifying locations where the Transmission Owner is constrained from performing planned vegetation maintenance work which potentially leaves the transmission line at risk.
- Developing the specific action to mitigate any potential risk associated with not performing the vegetation maintenance work as planned.
- Documenting and tracking the specific action taken for each location.
- In developing the specific action to mitigate the potential risk to the transmission line the Transmission Owner could consider location specific measures such as modifying the inspection and/or maintenance intervals. Where a legal constraint would not allow any vegetation work, the interim corrective action could include limiting the loading on the transmission line.
- The Transmission Owner should document and track the specific corrective action taken at each location. This location may be indicated as one span, one tree or a combination of spans on one property where the constraint is considered to be temporary.

Requirement R6:

R6 is a risk-based requirement. This requirement sets a minimum time period for completing Vegetation Inspections that fits general industry practice. In addition, the fact that Vegetation Inspections can be performed in conjunction with general line inspections further facilitates a

Transmission Owner's ability to meet this requirement. However, the Transmission Owner may determine that more frequent inspections are needed to maintain reliability levels, dependent upon such factors as anticipated growth rates of the local vegetation, length of the growing season for the geographical area, limited Active Transmission ROW width, and rainfall amounts. Therefore it is expected that some transmission lines may be designated with a higher frequency of inspections.

The VSL for Requirement R6 has VSL categories ranked by the percentage of the required ROW inspections completed. To calculate the percentage of inspection completion, the Transmission Owner may choose units such as: line miles or kilometers, circuit miles or kilometers, pole line miles, ROW miles, etc.

For example, when a Transmission Owner operates 2,000 miles of 230 kV transmission lines this Transmission Owner will be responsible for inspecting all 2,000 miles of 230 kV transmission lines at least once during the calendar year. If one of the included lines was 100 miles long, and if it was not inspected during the year, then the amount failed to inspect would be $100/2000 = 0.05$ or 5%. The "Low VSL" for R6 would apply in this example.

Requirement R7:

R7 is a risk-based requirement. The Transmission Owner is required to implement an annual work plan for vegetation management to accomplish the purpose of this standard. Modifications to the work plan in response to changing conditions or to findings from vegetation inspections may be made and documented provided they do not put the transmission system at risk. The annual work plan requirement is not intended to necessarily require a "span-by-span", or even a "line-by-line" detailed description of all work to be performed. It is only intended to require that the Transmission Owner provide evidence of annual planning and execution of a vegetation management maintenance approach which successfully prevents encroachment of vegetation into the MVCD.

The ability to modify the work plan allows the Transmission Owner to change priorities or treatment methodologies during the year as conditions or situations dictate. For example recent line inspections may identify unanticipated high priority work, weather conditions (drought) could make herbicide application ineffective during the plan year, or a major storm could require redirecting local resources away from planned maintenance. This situation may also include complying with mutual assistance agreements by moving resources off the Transmission Owner's system to work on another system. Any of these examples could result in acceptable deferrals or additions to the annual work plan. Modifications to the annual work plan must always ensure the reliability of the electric Transmission system.

In general, the vegetation management maintenance approach should use the full extent of the Transmission Owner's easement, fee simple and other legal rights allowed. A comprehensive approach that exercises the full extent of legal rights on the active transmission line ROW is superior to incremental management in the long term because it reduces the overall potential for encroachments, and it ensures that future planned work and future planned inspection cycles are sufficient.

When developing the annual work plan the Transmission Owner should allow time for procedural requirements to obtain permits to work on federal, state, provincial, public, tribal lands. In some cases the lead time for obtaining permits may necessitate preparing work plans more than a year prior to work start dates. Transmission Owners may also need to consider those special landowner requirements as documented in easement instruments.

This requirement sets the expectation that the work identified in the annual work plan will be completed as planned. Therefore, deferrals or relevant changes to the annual plan shall be documented. Depending on the planning and documentation format used by the Transmission Owner, evidence of successful annual work plan execution could consist of signed-off work orders, signed contracts, printouts from work management systems, spreadsheets of planned versus completed work, timesheets, work inspection reports, or paid invoices. Other evidence may include photographs, and walk-through reports.

FAC-003 — TABLE 2 — Minimum Vegetation Clearance Distances (MVCD)⁴
For **Alternating Current** Voltages

(AC) Nominal System Voltage (kV)	(AC) Maximum System Voltage (kV)	MVCD feet (meters) sea level	MVCD feet (meters) 3,000ft (914.4m)	MVCD feet (meters) 4,000ft (1219.2m)	MVCD feet (meters) 5,000ft (1524m)	MVCD feet (meters) 6,000ft (1828.8m)	MVCD feet (meters) 7,000ft (2133.6m)	MVCD feet (meters) 8,000ft (2438.4m)	MVCD feet (meters) 9,000ft (2743.2m)	MVCD feet (meters) 10,000ft (3048m)	MVCD feet (meters) 11,000ft (3352.8m)
765	800	8.06ft (2.46m)	8.89ft (2.71m)	9.17ft (2.80m)	9.45ft (2.88m)	9.73ft (2.97m)	10.01ft (3.05m)	10.29ft (3.14m)	10.57ft (3.22m)	10.85ft (3.31m)	11.13ft (3.39m)
500	550	5.06ft (1.54m)	5.66ft (1.73m)	5.86ft (1.79m)	6.07ft (1.85m)	6.28ft (1.91m)	6.49ft (1.98m)	6.7ft (2.04m)	6.92ft (2.11m)	7.13ft (2.17m)	7.35ft (2.24m)
345	362	3.12ft (0.95m)	3.53ft (1.08m)	3.67ft (1.12m)	3.82ft (1.16m)	3.97ft (1.21m)	4.12ft (1.26m)	4.27ft (1.30m)	4.43ft (1.35m)	4.58ft (1.40m)	4.74ft (1.44m)
230	242	2.97ft (0.91m)	3.36ft (1.02m)	3.49ft (1.06m)	3.63ft (1.11m)	3.78ft (1.15m)	3.92ft (1.19m)	4.07ft (1.24m)	4.22ft (1.29m)	4.37ft (1.33m)	4.53ft (1.38m)
161*	169	2ft (0.61m)	2.28ft (0.69m)	2.38ft (0.73m)	2.48ft (0.76m)	2.58ft (0.79m)	2.69ft (0.82m)	2.8ft (0.85m)	2.91ft (0.89m)	3.03ft (0.92m)	3.14ft (0.96m)
138*	145	1.7ft (0.52m)	1.94ft (0.59m)	2.03ft (0.62m)	2.12ft (0.65m)	2.21ft (0.67m)	2.3ft (0.70m)	2.4ft (0.73m)	2.49ft (0.76m)	2.59ft (0.79m)	2.7ft (0.82m)
115*	121	1.41ft (0.43m)	1.61ft (0.49m)	1.68ft (0.51m)	1.75ft (0.53m)	1.83ft (0.56m)	1.91ft (0.58m)	1.99ft (0.61m)	2.07ft (0.63m)	2.16ft (0.66m)	2.25ft (0.69m)
88*	100	1.15ft (0.35m)	1.32ft (0.40m)	1.38ft (0.42m)	1.44ft (0.44m)	1.5ft (0.46m)	1.57ft (0.48m)	1.64ft (0.50m)	1.71ft (0.52m)	1.78ft (0.54m)	1.86ft (0.57m)
69*	72	0.82ft (0.25m)	0.94ft (0.29m)	0.99ft (0.30m)	1.03ft (0.31m)	1.08ft (0.33m)	1.13ft (0.34m)	1.18ft (0.36m)	1.23ft (0.37m)	1.28ft (0.39m)	1.34ft (0.41m)

* Such lines are applicable to this standard only if PC has determined such per FAC-014 (refer to the Applicability Section above).

⁴ The distances in this Table are the minimums required to prevent Flashover; however prudent vegetation maintenance practices dictate that substantially greater distances will be achieved at time of vegetation maintenance.

Table 2 (cont.) — Minimum Vegetation Clearance Distances (MVCD)
For **Direct Current** Voltages

(DC) Nominal Pole to Ground Voltage (kV)	MVCD feet (meters) sea level	MVCD feet (meters) 3,000ft (914.4m) Alt.	MVCD feet (meters) 4,000ft (1219.2m) Alt.	MVCD feet (meters) 5,000ft (1524m) Alt.	MVCD feet (meters) 6,000ft (1828.8m) Alt.	MVCD feet (meters) 7,000ft (2133.6m) Alt.	MVCD feet (meters) 8,000ft (2438.4m) Alt.	MVCD feet (meters) 9,000ft (2743.2m) Alt.	MVCD feet (meters) 10,000ft (3048m) Alt.	MVCD feet (meters) 11,000ft (3352.8m) Alt.
±750	13.92ft (4.24m)	15.07ft (4.59m)	15.45ft (4.71m)	15.82ft (4.82m)	16.2ft (4.94m)	16.55ft (5.04m)	16.9ft (5.15m)	17.27ft (5.26m)	17.62ft (5.37m)	17.97ft (5.48m)
±600	10.07ft (3.07m)	11.04ft (3.36m)	11.35ft (3.46m)	11.66ft (3.55m)	11.98ft (3.65m)	12.3ft (3.75m)	12.62ft (3.85m)	12.92ft (3.94m)	13.24ft (4.04m)	(13.54ft 4.13m)
±500	7.89ft (2.40m)	8.71ft (2.65m)	8.99ft (2.74m)	9.25ft (2.82m)	9.55ft (2.91m)	9.82ft (2.99m)	10.1ft (3.08m)	10.38ft (3.16m)	10.65ft (3.25m)	10.92ft (3.33m)
±400	4.78ft (1.46m)	5.35ft (1.63m)	5.55ft (1.69m)	5.75ft (1.75m)	5.95ft (1.81m)	6.15ft (1.87m)	6.36ft (1.94m)	6.57ft (2.00m)	6.77ft (2.06m)	6.98ft (2.13m)
±250	3.43ft (1.05m)	4.02ft (1.23m)	4.02ft (1.23m)	4.18ft (1.27m)	4.34ft (1.32m)	4.5ft (1.37m)	4.66ft (1.42m)	4.83ft (1.47m)	5ft (1.52m)	5.17ft (1.58m)

Table 3 – Minimum Distance from the Centerline of the Circuit to the edge of the active transmission line ROW

69 - 138 kV	37.5 ft.
139 - 230 kV	50 ft.
231 - 345 kV	75 ft.
346 - 500 kV	87.5 ft.
501 - 765 kV	100 ft.