

## Standard Development Timeline

This section is maintained by the drafting team during the development of the standard and will be removed when the standard is adopted by the NERC Board of Trustees (Board).

### Description of Current Draft

Completed Actions	Date
Standards Committee approved Standard Authorization Request (SAR) for posting	08/19/15
SAR posted for comment	08/20/15 – 09/21/15

Anticipated Actions	Date
45-day formal comment period with initial ballot	August 2018 – September 2018
10-day final ballot	September 2018
NERC Board adoption	November 2018

## **New or Modified Term(s) Used in NERC Reliability Standards**

This section includes all new or modified terms used in the proposed standard that will be included in the *Glossary of Terms Used in NERC Reliability Standards* upon applicable regulatory approval. Terms used in the proposed standard that are already defined and are not being modified can be found in the *Glossary of Terms Used in NERC Reliability Standards*. The new or revised terms listed below will be presented for approval with the proposed standard. Upon Board adoption, this section will be removed.

**Term(s):**

None

Upon Board adoption, the rationale boxes will be moved to the Supplemental Material Section.

## A. Introduction

1. **Title:** Assessment of Transfer Capability for the Near-Term Transmission Planning Horizon
2. **Number:** FAC-013-3
3. **Purpose:** To ensure that Planning Coordinators have a methodology for, and perform an annual assessment to identify potential future Transmission System weaknesses and limiting Facilities that could impact the Bulk Electric System's (BES) ability to reliably transfer energy in the Near-Term Transmission Planning Horizon.
4. **Applicability:**
  - 4.1. Planning Coordinators
5. **Effective Date:**  
See Implementation Plan for FAC-013-3.

## B. Requirements and Measures

- R1. Each Planning Coordinator shall have a documented methodology it uses to perform an annual assessment of Transfer Capability in the Near-Term Transmission Planning Horizon (Transfer Capability methodology). The Transfer Capability methodology shall include, at a minimum, the following information: *[Violation Risk Factor: Medium]*  
*[Time Horizon: Long-term Planning ]*
  - 1.1. Criteria for the selection of the transfers to be assessed.
  - 1.2. Reserved for future use.
  - 1.3. A statement that the assumptions and criteria used to perform the assessment are consistent with the Planning Coordinator's Planning Assessments.
  - 1.4. A description of how each of the following assumptions and criteria used in performing the assessment are addressed:
    - 1.4.1. Generation dispatch, including but not limited to long term planned outages, additions and retirements.
    - 1.4.2. Transmission system topology, including but not limited to long term planned Transmission outages, additions, and retirements.
    - 1.4.3. System demand.
    - 1.4.4. Current approved and projected Transmission uses.
    - 1.4.5. Parallel path (loop flow) adjustments.
    - 1.4.6. Contingencies

**1.4.7. Monitored Facilities.**

**1.5.** A description of how simulations of transfers are performed through the adjustment of generation, Load or both.

**M1.** Each Planning Coordinator shall have a Transfer Capability methodology that includes the information specified in Requirement R1.

**R2.** Each Planning Coordinator shall issue its Transfer Capability methodology, and any revisions to the Transfer Capability methodology, to the following entities subject to the 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 area or overlapping the Planning Coordinator's area.

**2.1.2.** Each Transmission Planner within the Planning Coordinator's Planning Coordinator area.

**2.2.** Distribute to each functional entity that has a reliability-related need for the Transfer Capability methodology and submits a request for that methodology within 30 calendar days of receiving that written request.

**M2.** Each Planning Coordinator shall have evidence such as dated e-mail or dated transmittal letters that it provided the new or revised Transfer Capability methodology in accordance with Requirement R2

**R3.** If a recipient of the Transfer Capability methodology provides documented 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 Transfer Capability methodology and, if no change will be made to that Transfer Capability methodology, the reason why. *[Violation Risk Factor: Lower][Time Horizon: Long-term Planning]*  
**(Retirement approved by FERC effective January 21, 2014.)**

**M3.** Each Planning Coordinator shall have evidence, 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. **(Retirement approved by FERC effective January 21, 2014.)**

- R4.** During each calendar year, each Planning Coordinator shall conduct simulations and document an assessment based on those simulations in accordance with its Transfer Capability methodology for at least one year in the Near-Term Transmission Planning Horizon. *[Violation Risk Factor: Medium] [Time Horizon: Long-term Planning]*
- M4.** Each Planning Coordinator shall have evidence such as dated assessment results, that it conducted and documented a Transfer Capability assessment in accordance with Requirement R4.
- R5.** Each Planning Coordinator shall make the documented Transfer Capability assessment results available within 45 calendar days of the completion of the assessment to the recipients of its Transfer Capability methodology pursuant to Requirement R2, Parts 2.1 and Part 2.2. However, if a functional entity that has a reliability related need for the results of the annual assessment of the Transfer Capabilities makes a written request for such an assessment after the completion of the assessment, the Planning Coordinator shall make the documented Transfer Capability assessment results available to that entity within 45 calendar days of receipt of the request *[Violation Risk Factor: Lower] [Time Horizon: Long-term Planning]*
- M5.** Each Planning Coordinator shall have evidence, such as dated copies of e-mails or transmittal letters, that it made its documented Transfer Capability assessment available to the entities in accordance with Requirement R5
- 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. The provision of such data shall be subject to the legal and regulatory obligations of the Planning Coordinator's area regarding the disclosure of confidential and/or sensitive information. *[Violation Risk Factor: Lower] [Time Horizon: Long-term Planning]*
- 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.

## C. Compliance

### 1. Compliance Monitoring Process

#### 1.1. Compliance Enforcement Authority:

“Compliance Enforcement Authority” means NERC or the Regional Entity, or any entity as otherwise designated by an Applicable Governmental Authority, in their respective roles of monitoring and/or enforcing compliance with mandatory and enforceable Reliability Standards in their respective jurisdictions.

**1.2. Evidence Retention:** The following evidence retention period(s) identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to provide other evidence to show that it was compliant for the full-time period since the last audit.

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 have its current Transfer Capability methodology and any prior versions of the Transfer Capability methodology that were in force since the last compliance audit to show compliance with Requirement R1.
- The Planning Coordinator shall retain evidence since its last compliance audit to show compliance with Requirement R2.
- The Planning Coordinator shall retain evidence to show compliance with Requirements R3, R4, R5 and R6 for the most recent assessment. (R3 retired-Retirement approved by FERC effective January 21, 2014.)
- 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.

**1.3. Compliance Monitoring and Enforcement Program:** As defined in the NERC Rules of Procedure, “Compliance Monitoring and Enforcement Program” refers to the identification of the processes that will be used to evaluate data or information for the purpose of assessing performance or outcomes with the associated Reliability Standard.

Complaints

## Violation Severity Levels

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
<b>R1.</b>	<p>The Planning Coordinator has a Transfer Capability methodology but failed to address one or two of the items listed in Requirement R1, Part 1.4.</p>	<p>The Planning Coordinator has a Transfer Capability methodology, but failed to incorporate one of the following Parts of Requirement R1 into that methodology:</p> <ul style="list-style-type: none"> <li>• Part 1.1</li> <li>• Part 1.3</li> <li>• Part 1.5</li> </ul> <p>OR</p> <p>The Planning Coordinator has a Transfer Capability methodology but failed to address three of the items listed in Requirement R1, Part 1.4.</p>	<p>The Planning Coordinator has a Transfer Capability methodology, but failed to incorporate two of the following Parts of Requirement R1 into that methodology:</p> <ul style="list-style-type: none"> <li>• Part 1.1</li> <li>• Part 1.3</li> <li>• Part 1.5</li> </ul> <p>OR</p> <p>The Planning Coordinator has a Transfer Capability methodology but failed to address four of the items listed in Requirement R1, Part 1.4.</p>	<p>The Planning Coordinator did not have a Transfer Capability methodology.</p> <p>OR</p> <p>The Planning Coordinator has a Transfer Capability methodology, but failed to incorporate three or more of the following Parts of Requirement R1 into that methodology:</p> <ul style="list-style-type: none"> <li>• Part 1.1</li> <li>• Part 1.3</li> <li>• Part 1.5</li> </ul> <p>OR</p> <p>The Planning Coordinator has a Transfer Capability methodology but failed to address more than four of the items listed in Requirement R1, Part 1.4.</p>

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
<b>R2.</b>	<p>The Planning Coordinator notified one or more of the parties specified in Requirement R2 of a new or revised Transfer Capability methodology after its implementation, but not more than 30 calendar days after its implementation.</p> <p>OR</p> <p>The Planning Coordinator provided the transfer Capability methodology more than 30 calendar days but not more than 60 calendar days after the receipt of a request.</p>	<p>The Planning Coordinator notified one or more of the parties specified in Requirement R2 of a new or revised Transfer Capability methodology more than 30 calendar days after its implementation, but not more than 60 calendar days after its implementation.</p> <p>OR</p> <p>The Planning Coordinator provided the Transfer Capability methodology more than 60 calendar days but not more than 90 calendar days after receipt of a request</p>	<p>The Planning Coordinator notified one or more of the parties specified in Requirement R2 of a new or revised Transfer Capability methodology more than 60 calendar days, but not more than 90 calendar days after its implementation.</p> <p>OR</p> <p>The Planning Coordinator provided the Transfer Capability methodology more than 90 calendar days but not more than 120 calendar days after receipt of a request.</p>	<p>The Planning Coordinator failed to notify one or more of the parties specified in Requirement R2 of a new or revised Transfer Capability methodology more than 90 calendar days after its implementation.</p> <p>OR</p> <p>The Planning Coordinator provided the Transfer Capability methodology more than 120 calendar days after receipt of a request.</p>
<b>R3.</b> <i>(Retirement approved by FERC effective)</i>	<p>The Planning Coordinator provided a documented response to a documented concern with its Transfer Capability methodology as required in Requirement</p>	<p>The Planning Coordinator provided a documented response to a documented concern with its Transfer Capability methodology as required in Requirement</p>	<p>The Planning Coordinator provided a documented response to a documented concern with its Transfer Capability methodology as required in Requirement</p>	<p>The Planning Coordinator failed to provide a documented response to a documented concern with its Transfer Capability methodology as required in</p>



R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
January 21, 2013.)	R3 more than 45 calendar days, but not more than 60 calendar days after receipt of the concern.	R3 more than 60 calendar days, but not more than 75 calendar days after receipt of the concern.	R3 more than 75 calendar days, but not more than 90 calendar days after receipt of the concern.	Requirement R3 by more than 90 calendar days after receipt of the concern.  OR  The Planning Coordinator failed to respond to a documented concern with its Transfer Capability methodology.
R4.	The Planning Coordinator conducted a Transfer Capability assessment outside the calendar year, but not by more than 30 calendar days.	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.	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.	The Planning Coordinator failed to conduct a Transfer Capability assessment outside the calendar year by more than 90 calendar days.  OR  The Planning Coordinator failed to conduct a Transfer Capability assessment.
R5.	The Planning Coordinator made its documented Transfer Capability assessment available to one or more of the	The Planning Coordinator made its Transfer Capability assessment available to one or more of the recipients of its	The Planning Coordinator made its Transfer Capability assessment available to one or more of the recipients of its	The Planning Coordinator failed to make its documented Transfer Capability assessment available to one or more of

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
	recipients of its Transfer Capability methodology more than 45 calendar days after the requirements of R5,, but not more than 60 calendar days after completion of the assessment.	Transfer Capability methodology more than 60 calendar days after the requirements of R5, but not more than 75 calendar days after completion of the assessment.	Transfer Capability methodology more than 75 calendar days after the requirements of R5, but not more than 90 days after completion of the assessment.	the recipients of its Transfer Capability methodology more than 90 days after the requirements of R5.  OR The Planning Coordinator failed to make its documented Transfer Capability assessment available to any of the recipients of its Transfer Capability methodology under the requirements of R5.
<b>R6.</b>	The Planning Coordinator provided the requested data as required in Requirement R6 more than 45 calendar days after receipt of the request for data, but not more than 60 calendar days after the receipt of the request for data.	The Planning Coordinator provided the requested data as required in Requirement R6 more than 60 calendar days after receipt of the request for data, but not more than 75 calendar days after the receipt of the request for data.	The Planning Coordinator provided the requested data as required in Requirement R6 more than 75 calendar days after receipt of the request for data, but not more than 90 calendar days after the receipt of the request for data.	The Planning Coordinator provided the requested data as required in Requirement R6 more than 90 after the receipt of the request for data.  OR The Planning Coordinator failed to provide the

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
				requested data as required in Requirement R6.

**D. Regional Variances**

None.

**E. Associated Documents**

Link to the Implementation Plan and other important associated documents.

## Version History

Version	Date	Action	Change Tracking
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> </ol> Added or removed “periods.”	01/20/05
2	01/24/11	Approved by BOT	
2	11/17/11	FERC Order issued approving FAC-013-2	
2	05/17/12	FERC Order issued directing the VRF’s for Requirements R1. and R4. be changed from “Lower” to “Medium.” FERC Order issued correcting the High and Severe VSL language for R1.	
2	02/7/13	R3 and associated elements approved by NERC Board of Trustees for retirement as part of the Paragraph 81 project (Project 2013-02) pending applicable regulatory approval.	
2	11/21/13	R3 and associated elements approved by FERC for retirement as part of the Paragraph 81 project (Project 2013-02)	

## Rationale

During development of this standard, text boxes were embedded within the standard to explain the rationale for various parts of the standard. Upon Board adoption, the text from the rationale text boxes was moved to this section.

### **Rationale for R1:**

Text, text, text

### **Rationale for R2:**

Text, text, text