

Preliminary assessment of the relevance and impact of the standard:**FAC-013-2 – Assessment of Transfer Capability for the Near-Term Transmission Planning Horizon****A. Relevance of the standard to be filed**

The purpose of the standard is to ensure that the 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 (BES) ability to reliably transfer energy in the near-term transmission planning horizon.

To achieve these objectives, the requirements of the standard shall address the following aspects:

- Documentation of the methodology used to perform an annual assessment of transfer capability in the near-term transmission planning horizon;
- Simulations and documented assessments based on the simulations

B. Applicability

The standard applies to the planning coordinators.

C. Relevance for special provisions for Quebec (Appendix QC-FAC-013-2)

This standard applies to the main transmission system since this system includes interconnection paths and elements that affect the transfer capabilities.

D. Preliminary assessment of the impact of the adoption of the standard in Quebec

The impact of these standards is moderate since the implementation of the calculation methodology of the ATC, TTC and AFC as referenced in the standard MOD-029-1a is in progress.

Since this standard applies to the planning coordinator, only the System Control Direction of Hydro-Québec TransÉnergie is affected by its application in Quebec. This has little impact on the latter since it already integrates, on a voluntary basis, the requirements of these standards.

Summary of impacts

This summary establishes in a condensed and preliminary manner, the impacts on material, human or financial resources of the proposed standard compared to the latest revision studied or adopted by the Régie de l'énergie. The impact may vary depending on the actual applicability of the standard with certain entities whose impact is lower on the reliability on the bulk electric system in Quebec.

FAC-013-2

	Low	Moderate	Important
Implementation of the standard		●	
Maintenance of the standard		●	
Compliance Monitoring	●		

Legend:

Low:	Normal industry practice or standard involving minor adjustments to processes or practices in place.
Moderate:	Changes that require an allocation of certain material, human or financial resources to implement, maintain and monitor compliance of the proposed standard.
Important:	Changes that require significant provision and allocation of material, human or financial resources to implement, maintain and monitor compliance of the proposed standard.

A more accurate assessment will be developed from forms "Evaluation of the impacts of proposed standards" to be received from the registered entities during the comment period. This assessment will be submitted with the standard to the Régie de l'énergie.

E. Supersede of standards

Upon coming into effect, the standard FAC-013-2 shall supersede the standard FAC-013-1.

A. Introduction

1. **Title:** Assessment of Transfer Capability for the Near-Term Transmission Planning Horizon
2. **Number:** FAC-013-2
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:**

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 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. 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 assessment are consistent with the Planning Coordinator's planning practices.
 - 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.
- 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.
- 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]*
- 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]*
- 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]*
- 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]*

C. Measures

- M1.** Each Planning Coordinator shall have a 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 that it provided the new or revised Transfer Capability methodology in accordance with Requirement R2
- 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.
- 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.
- 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.
- 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. 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 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.
- 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 Assessment Processes

Compliance Audits

Self-Certifications

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

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 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"> • Part 1.1 • Part 1.2 • Part 1.3 • Part 1.5 <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"> • Part 1.1 • Part 1.2 • Part 1.3 • Part 1.5 <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"> • Part 1.1 • Part 1.2 • Part 1.3 • Part 1.5 <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>

R2	<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>
R3	<p>The Planning Coordinator provided a documented response to a documented concern with its Transfer Capability methodology as required in Requirement R3 more than 45 calendar days, but not more than 60 calendar days after receipt of the concern.</p>	<p>The Planning Coordinator provided a documented response to a documented concern with its Transfer Capability methodology as required in Requirement R3 more than 60 calendar days, but not more than 75 calendar days after receipt of the concern.</p>	<p>The Planning Coordinator provided a documented response to a documented concern with its Transfer Capability methodology as required in Requirement R3 more than 75 calendar days, but not more than 90 calendar days after receipt of the concern.</p>	<p>The Planning Coordinator failed to provide a documented response to a documented concern with its Transfer Capability methodology as required in Requirement R3 by more than 90 calendar days after receipt of the concern.</p> <p>OR</p> <p>The Planning Coordinator failed to respond to a documented concern with its Transfer Capability methodology.</p>

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.
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R5	The Planning Coordinator made its documented Transfer Capability assessment available to one or more of the 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.	The Planning Coordinator made its Transfer Capability assessment available to one or more of the recipients of its 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.	The Planning Coordinator made its Transfer Capability assessment available to one or more of the recipients of its 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 Planning Coordinator failed to make its documented Transfer Capability assessment available to one or more of 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.
R6	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 requested data as required in Requirement R6.

E. Regional Variances

None.

F. Associated Documents

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
2	01/24/11	Approved by BOT	
2	11/17/11	FERC Order issued approving FAC-013-2	
2	5/17/12	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.	

Standard FAC-013-2 — Assessment of Transfer Capability for the Near-Term Transmission Planning Horizon

Appendix QC-FAC-013-2 Provisions specific to the standard FAC-013-2 applicable in Québec

This appendix establishes specific provisions for the application of the standard in Québec. Provisions of the standard and of its appendix must be read together for the purposes of understanding and interpretation. Where the standard and appendix differ, the appendix shall prevail.

A. Introduction

- 1. Title:** Assessment of Transfer Capability for the Near-Term Transmission Planning Horizon
- 2. Number:** FAC-013-2
- 3. Purpose:** No specific provision
- 4. Applicability:** No specific provision
- 5. Effective Date:**
 - 5.1.** Adoption of the standard by the Régie de l'énergie: Month xx 201x
 - 5.2.** Adoption of the appendix by the Régie de l'énergie: Month xx 201x
 - 5.3.** Effective date of the standard and its appendix in Québec: Month xx 201x
- 6. Scope:** Main Transmission System (MTS)

B. Requirements

No specific provision

C. Measures

No specific provision

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

The Régie de l'énergie is responsible, in Québec, for compliance enforcement with respect to the reliability standard and its appendix that it adopts.

1.2. Data Retention

No specific provision

1.3. Compliance Monitoring and Assessment Processes

No specific provision

1.4. Additional Compliance Information

No specific provision

2. Violation Severity Levels

No specific provision

E. Regional Variances

No specific provision

**Standard FAC-013-2 — Assessment of Transfer Capability for the Near-Term
Transmission Planning Horizon**

Appendix QC-FAC-013-2
Provisions specific to the standard FAC-013-2 applicable in Québec

F. Associated Documents

No specific provision

G. Violation Risk Factor

No specific provision

Version History of the Appendix

Version	Date	Action	Change Tracking
0			New