

Reliability Standard Audit Worksheet¹

FAC-001-3 – Facility Interconnection Requirements

This section to be completed by the Compliance Enforcement Authority.

Audit ID: Audit ID if available; or REG-NCRnnnnn-YYYYMMDD
Registered Entity: Registered name of entity being audited
NCR Number: NCRnnnnn
Compliance Enforcement Authority: Region or NERC performing audit
Compliance Assessment Date(s)²: Month DD, YYYY, to Month DD, YYYY
Compliance Monitoring Method: [On-site Audit | Off-site Audit | Spot Check]
Names of Auditors: Supplied by CEA

Applicability of Requirements

	BA	DP	GO	GOP	IA	LSE	PA	PSE	RC	RP	RSG	TO	TOP	TP	TSP
R1												X			
R2			X ³												
R3												X			
R4			X ³												
R5												X			
R6			X												
R7						X									

Legend:

¹ NERC developed this Reliability Standard Audit Worksheet (RSAW) language in order to facilitate NERC’s and the Regional Entities’ assessment of a registered entity’s compliance with this Reliability Standard. The NERC RSAW language is written to specific versions of each NERC Reliability Standard. Entities using this RSAW should choose the version of the RSAW applicable to the Reliability Standard being assessed. While the information included in this RSAW provides some of the methodology that NERC has elected to use to assess compliance with the requirements of the Reliability Standard, this document should not be treated as a substitute for the Reliability Standard or viewed as additional Reliability Standard requirements. In all cases, the Regional Entity should rely on the language contained in the Reliability Standard itself, and not on the language contained in this RSAW, to determine compliance with the Reliability Standard. NERC’s Reliability Standards can be found on NERC’s website. Additionally, NERC Reliability Standards are updated frequently, and this RSAW may not necessarily be updated with the same frequency. Therefore, it is imperative that entities treat this RSAW as a reference document only, and not as a substitute or replacement for the Reliability Standard. It is the responsibility of the registered entity to verify its compliance with the latest approved version of the Reliability Standards, by the applicable governmental authority, relevant to its registration status.

The NERC RSAW language contained within this document provides a non-exclusive list, for informational purposes only, of examples of the types of evidence a registered entity may produce or may be asked to produce to demonstrate compliance with the Reliability Standard. A registered entity’s adherence to the examples contained within this RSAW does not necessarily constitute compliance with the applicable Reliability Standard, and NERC and the Regional Entity using this RSAW reserves the right to request additional evidence from the registered entity that is not included in this RSAW. Additionally, this RSAW includes excerpts from FERC Orders and other regulatory references. The FERC Order cites are provided for ease of reference only, and this document does not necessarily include all applicable Order provisions. In the event of a discrepancy between FERC Orders, and the language included in this document, FERC Orders shall prevail.

² Compliance Assessment Date(s): The date(s) the actual compliance assessment (on-site audit, off-site spot check, etc.) occurs.

³ Applicable Generator Owner: Generator Owner with a fully executed Agreement to conduct a study on the reliability impact of interconnecting a third party Facility to the Generator Owner’s existing Facility that is used to interconnect to the Transmission system.

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Text with blue background:	Fixed text – do not edit
Text entry area with Green background:	Entity-supplied information
Text entry area with white background:	Auditor-supplied information

Findings

(This section to be completed by the Compliance Enforcement Authority)

Req.	Finding	Summary and Documentation	Functions Monitored
R1			
R2			
R3			
R4			
R5			
R6			
R7			

Req.	Areas of Concern

Req.	Recommendations

Req.	Positive Observations

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Subject Matter Experts

Identify the Subject Matter Expert(s) responsible for this Reliability Standard.

Registered Entity Response (Required; Insert additional rows if needed):

SME Name	Title	Organization	Requirement(s)

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R1 Supporting Evidence and Documentation

R1. Each Transmission Owner shall document Facility interconnection requirements, update them as needed, and make them available upon request. Each Transmission Owner's Facility interconnection requirements shall address interconnection requirements for:

- 1.1. generation Facilities;
- 1.2. transmission Facilities; and
- 1.3. end-user Facilities.

M1. Each Transmission Owner shall have evidence (such as dated, documented Facility interconnection requirements) that it met all requirements in Requirement R1.

Registered Entity Response (Required):

Question: Has the entity received any request(s) (for Facilities seeking interconnection to the Bulk Electric System) to make Facility interconnection requirements available during the compliance assessment period?

Yes No

[If Yes, provide a list of instances of request(s) for Facility interconnection requirements made of the entity and proceed to the Compliance Narrative section below. If No, proceed to the Compliance Narrative section below.]

Registered Entity Response (Required):

Compliance Narrative:

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
Dated, documented Facility interconnection requirements.
Communication such as e-mails, letters, etc., of Facility interconnection requirements to requesting entity, if applicable.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s)	Description of Applicability of Document
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				or Section(s)	

Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to FAC-001-3, R1

This section to be completed by the Compliance Enforcement Authority

	(R1) Review evidence and verify it addresses the following:
	(Part 1.1) generation Facilities
	(Part 1.2) transmission Facilities, and
	(Part 1.3) end-user Facilities
	Review evidence and verify Facility interconnection requirements documentation has been updated, as needed.
	For all, or a selected sample, of request for Facility interconnection requirements, review evidence and verify these requirements were provided.

Note to Auditor:

Auditor Notes:

R2 Supporting Evidence and Documentation

- R2.** Each applicable Generator Owner shall document Facility interconnection requirements and make them available upon request within 45 calendar days of full execution of an Agreement to conduct a study on the reliability impact of interconnecting a third party Facility to the Generator Owner’s existing Facility that is used to interconnect to the Transmission system.

- M2.** Each applicable Generator Owner shall have evidence (such as dated, documented Facility interconnection requirements) that it met all requirements in Requirement R2.

Registered Entity Response (Required):

Question: Has the entity fully executed an Agreement (during the compliance assessment period) to conduct a study on the reliability impact of interconnecting a third party Facility to one of the entity’s existing Facilities that is used to interconnect to the Transmission system?

Yes No

[If Yes, provide a list of Agreements fully executed and proceed to the next question. If No, proceed to the next question.]

Question: Has entity received any request(s) to make Facility interconnection requirements available during the compliance assessment period?

Yes No

[If Yes, provide a list of instances of request(s) for Facility interconnection requirements made of the entity and proceed to the Compliance Narrative section below. If No, proceed to the Compliance Narrative section below.]

Registered Entity Response (Required):

Compliance Narrative:

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Dated, documented Facility interconnection requirements, if applicable.
Dated, documented Agreement(s) to conduct a study, if applicable.
Communication such as e-mails, letters, etc., of Facility interconnection requirements to third party, if

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applicable.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to FAC-001-3, R2

This section to be completed by the Compliance Enforcement Authority

For all, or a selected sample, review evidence and verify for each Agreement to perform a study, as described in Requirement R2, that the requirements were documented in the specified timeframe and were made available upon request.

Note to Auditor:

Auditor Notes:

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R3 Supporting Evidence and Documentation

- R3.** Each Transmission Owner shall address the following items in its Facility interconnection requirements:
 - 3.1** Procedures for coordinated studies of new or materially modified existing interconnections and their impacts on affected system(s).
 - 3.2** Procedures for notifying those responsible for the reliability of affected system(s) of new or materially modified existing interconnections.

- M3.** Each Transmission Owner shall have evidence (such as dated, documented Facility interconnection requirements addressing the procedures) that it met all requirements in Requirement R3.

Registered Entity Response (Required):

Compliance Narrative:

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Dated, documented Facility interconnection requirements.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to FAC-001-3, R3

This section to be completed by the Compliance Enforcement Authority

	(R3) Review evidence and verify it addresses the following:
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	(Part 3.1) Procedures for coordinated studies of new or materially modified existing interconnections and their impacts on affected system(s).
	(Part 3.2) Procedures for notification of new or materially modified existing interconnections to those responsible for the reliability of affected system(s).
Note to Auditor: For information regarding what constitutes a “material modification” refer to the Guidelines and Technical Basis section of FAC-001-3.	

Auditor Notes:

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R4 Supporting Evidence and Documentation

- R4.** Each applicable Generator Owner shall address the following items in its Facility interconnection requirements:
- 4.1** Procedures for coordinated studies of new interconnections and their impacts on affected system(s).
 - 4.2** Procedures for notifying those responsible for the reliability of affected system(s) of new interconnections.
- M4.** Each applicable Generator Owner shall have evidence (such as dated, documented Facility interconnection requirements addressing the procedures) that it met all requirements in Requirement R4.

Registered Entity Response (Required):

Question: Has the entity fully executed an Agreement (during the compliance assessment period) to conduct a study on the reliability impact of interconnecting a third party Facility to one of the entity’s existing Facilities that is used to interconnect to the Transmission system?

Yes No

[If Yes, provide a list of Agreements fully executed and proceed to the next question. If No, proceed to the next question.]

Registered Entity Response (Required):

Compliance Narrative:

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Dated, documented Facility interconnection requirements.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

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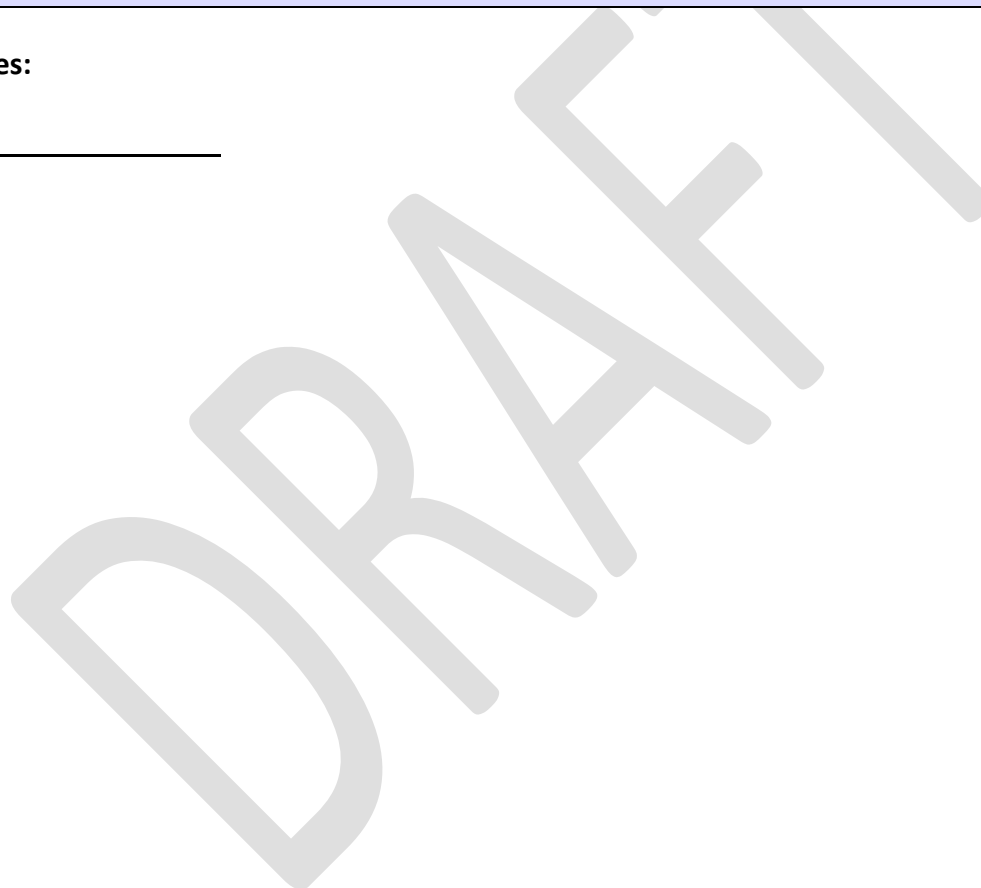
Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to FAC-001-2, R4

This section to be completed by the Compliance Enforcement Authority

	(R4) Review evidence and verify it addresses the following:
	(Part 4.1) Procedures for coordinated studies of new interconnections and their impacts on affected system(s).
	(Part 4.2) Procedures for notification of new interconnections to those responsible for the reliability of affected system(s).
Note to Auditor:	

Auditor Notes:



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R5 Supporting Evidence and Documentation

- R5.** Each Transmission Owner with Transmission Facilities operating in an Interconnection shall confirm that each Transmission Facility is within a Balancing Authority Area’s metered boundaries.

- M5.** Each Transmission Owner shall have evidence (such as dated, documented Facility interconnection requirements addressing the procedures) that it met all requirements in Requirement R5.

Registered Entity Response (Required):

Compliance Narrative:

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
Dated, documented Facility interconnection requirements.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to FAC-001-3, R5

This section to be completed by the Compliance Enforcement Authority

	Review evidence and verify the entity confirmed that its Transmission Facilities operating within an interconnection are included within a Balancing Authority Area’s metered boundaries.
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Note to Auditor:

Auditor Notes:

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R6 Supporting Evidence and Documentation

- R6.** Each Generator Owner with generation Facilities operating in an Interconnection shall confirm that each generation Facility is within a Balancing Authority Area’s metered boundaries.

- M6.** Each Generator Owner shall have evidence (such as dated, documented Facility interconnection requirements addressing the procedures) that it met all requirements in Requirement R6.

Registered Entity Response (Required):

Compliance Narrative:

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
Dated, documented Facility interconnection requirements.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to FAC-001-3, R6

This section to be completed by the Compliance Enforcement Authority

	Review evidence and verify the entity confirmed that its generation Facilities operating within an interconnection are included within a Balancing Authority Area’s metered boundaries.
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Note to Auditor:

Auditor Notes:

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R7 Supporting Evidence and Documentation

- R7.** Each Load-Serving Entity with Load operating in an Interconnection shall confirm that each load is within a Balancing Authority Area’s metered boundaries.

- M7.** Each applicable Load Serving Entity shall have evidence (such as dated, documented Facility interconnection requirements addressing the procedures) that it met all requirements in Requirement R7.

Registered Entity Response (Required):

Compliance Narrative:

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
Dated, documented Facility interconnection requirements.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to FAC-001-3, R7

This section to be completed by the Compliance Enforcement Authority

	Review evidence and verify the entity confirmed that its Load operating within an interconnection is included within a Balancing Authority Area’s metered boundaries.
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Note to Auditor:

Auditor Notes:

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Additional Information:

Reliability Standard

The full text of FAC-001-3 may be found on the NERC Web Site (www.nerc.com) under “Program Areas & Departments”, “Reliability Standards.”

In addition to the Reliability Standard, there is an applicable Implementation Plan available on the NERC Web Site.

In addition to the Reliability Standard, there is background information available on the NERC Web Site.

Capitalized terms in the Reliability Standard refer to terms in the NERC Glossary, which may be found on the NERC Web Site.

Sampling Methodology [If developer deems reference applicable]

Sampling is essential for auditing compliance with NERC Reliability Standards since it is not always possible or practical to test 100% of either the equipment, documentation, or both, associated with the full suite of enforceable standards. The Sampling Methodology Guidelines and Criteria (see NERC website), or sample guidelines, provided by the Electric Reliability Organization help to establish a minimum sample set for monitoring and enforcement uses in audits of NERC Reliability Standards.

Regulatory Language [Developer to ensure RSAW has been provided to NERC Legal for links to appropriate Regulatory Language – See example below]

E.g. FERC Order No. 742 paragraph 34: “Based on NERC’s.....”

E.g. FERC Order No. 742 Paragraph 55, Commission Determination: “We affirm NERC’s.....”

Selected Glossary Terms [If developer deems applicable]

The following Glossary terms are provided for convenience only. Please refer to the NERC web site for the current enforceable terms.

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Revision History for RSAW

Version	Date	Reviewers	Revision Description
1	08/13/2015	NERC Compliance Assurance, RSAW Task Force, Standards Drafting Team	New Document. Draft RSAW posted with draft Reliability Standard – Posting 30 July 2015

Revision History for RSAW Template

Version	Date	Reviewers	Revision Description
0.9	11/6/2013	RSAW Working Group	Initial Draft
1.0	11/20/2013	CMFG	First Review
1.1	12/1/2014	RSAW TF, CMFG	Minor text changes
1.2	2/17/2014	Jerry Hedrick	Removed Internal Controls approach for additional consideration

ⁱ Items in the Evidence Requested section are suggested evidence that may, but will not necessarily, demonstrate compliance. These items are not mandatory and other forms and types of evidence may be submitted at the entity's discretion.