

**Reliability Standard Audit Worksheet[[1]](#footnote-1)**

FAC-001-4 – Facility Interconnection Requirements

***This section to be completed by the Compliance Enforcement Authority.***

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| **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]](#footnote-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**

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|  | **BA** | **DP** | **GO** | **GOP** | **IA** | **LSE** | **PA** | **PSE** | **RC** | **RP** | **RSG** | **TO** | **TOP** | **TP** | **TSP** |
| **R1** |  |  |  |  |  |  |  |  |  |  |  | X |  |  |  |
| **R2** |  |  | X[[3]](#footnote-3) |  |  |  |  |  |  |  |  |  |  |  |  |
| **R3** |  |  |  |  |  |  |  |  |  |  |  | X |  |  |  |
| **R4** |  |  | X3 |  |  |  |  |  |  |  |  |  |  |  |  |

**Legend:**

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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)**

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| **Req.** | **Finding** | **Summary and Documentation** | **Functions Monitored** |
| **R1** |  |  |  |
| **R2** |  |  |  |
| **R3** |  |  |  |
| **R4** |  |  |  |

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| **Req.** | **Areas of Concern** |
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| **Req.** | **Recommendations** |
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| **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):**

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| **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. generation Facilities;
	2. transmission Facilities; and
	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) to make Facility interconnection requirements available during the compliance assessment period? If Yes, provide a list of requests for Facility interconnection requirements received by the entity. If No, describe how this was determined in the narrative section below.

 [ ]  Yes [ ]  No

[Note: A separate spreadsheet or other document may be used. If so, provide the document reference 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[[4]](#endnote-1):

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| **Provide the following evidence, or other evidence to demonstrate compliance.**  |
| Dated, documented Facility interconnection requirements. |
| Communication of Facility interconnection requirements to requesting entities, if applicable.  |

Registered Entity Evidence (Required):

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| --- |
| **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):

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Compliance Assessment Approach Specific to FAC-001-4, R1

***This section to be completed by the Compliance Enforcement Authority***

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|  | (R1) Review evidence and verify it addresses the following:  |
|  | (1.1) generation Facilities |
|  | (1.2) transmission Facilities, and |
|  | (1.3) end-user Facilities |
|  | Verify communication of Facility interconnection requirements to requesting entities, if applicable. |
|  | For all, or a sample of, requests for Facility interconnection requirements, verify the Facility interconnection requirements were provided to the requesting entity. |
| **Note to Auditor:** See the response to the Question to obtain instances of requests for Facility interconnection requirements made of the entity. Select all or a sample of such requests for audit testing. |

**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 executed an Agreement during the audit period to conduct a study on the reliability impact of interconnecting a third party Facility to one of this entity’s existing Facilities that is used to interconnect to the Transmission system? If Yes, provide a list of executed Agreements. If No, describe how this was determined in the narrative section below.

 [ ]  Yes [ ]  No

[Note: A separate spreadsheet or other document may be used. If so, provide the document reference 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 Requestedi:

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| **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 of Facility interconnection requirements to requesting entities, if applicable. |

Registered Entity Evidence (Required):

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| **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):

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Compliance Assessment Approach Specific to FAC-001-4, R2

***This section to be completed by the Compliance Enforcement Authority***

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|  | For all, or a sample of, Agreements to perform a study as described in Requirement R2, verify Facility interconnection requirements were documented and made available upon request within 45 calendar days of full execution of the Agreement. |
| **Note to Auditor:** See the response to the Questions to obtain instances of Agreements to conduct a study. Select all or a sample of such Agreements for audit testing. |

**Auditor Notes:**

R3 Supporting Evidence and Documentation

**R3.** Each Transmission Owner shall address the following items in its Facility interconnection requirements:

* 1. Procedures for coordinated studies for new interconnections or existing interconnections seeking to make a qualified change as defined by the Planning Coordinator and their impacts on affected systems.
	2. Procedures for notifying those responsible for the reliability of affected system(s) of new interconnections or existing interconnections seeking to make a qualified change.
	3. Procedures for confirming with those responsible for the reliability of affected systems that new Facilities or existing Facilities seeking to make a qualified change are within a Balancing Authority Area.

**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 Requestedi:

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

Registered Entity Evidence (Required):

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| **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):

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Compliance Assessment Approach Specific to FAC-001-4, R3

***This section to be completed by the Compliance Enforcement Authority***

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|  | (R3) Verify the entity’s Facility interconnection requirements address: |
|  | (3.1) Procedures for coordinated studies of new interconnections or existing interconnections seeking to make a qualified change as defined by the Planning Coordinator and their impacts on affected system(s). |
|  | (3.2) Procedures for notifying those responsible for the reliability of affected system(s) of new interconnections or existing interconnections seeking to make a qualified change. |
|  | (3.3) Procedures for confirming with those responsible for the reliability of affected systems that new Facilities or existing Facilities seeking to make a qualified change are within a Balancing Authority Area.  |
| **Note to Auditor:** FAC-002-4 R6 requires the Planning Coordinator to have a publicly available definition of qualified change. For information regarding possible examples of what a Planning Coordinator could include in their definition of a “qualified change” refer to the Guidelines and Technical Basis section of FAC-001-4. |

**Auditor Notes:**

R4 Supporting Evidence and Documentation

**R4**. Each applicable Generator Owner shall address the following items in its Facility interconnection requirements:

* 1. Procedures for coordinated studies of new interconnections and their impacts on affected system(s).
	2. Procedures for notifying those responsible for the reliability of affected system(s) of new interconnections.
	3. Procedures for confirming with those responsible for the reliability of affected systems that new Facilities or existing Facilities seeking to make a qualified change as defined by the Planning Coordinator are within a Balancing Authority Area.

**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):**

**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 Requestedi:

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

Registered Entity Evidence (Required):

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| **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):

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Compliance Assessment Approach Specific to FAC-001-4, R4

***This section to be completed by the Compliance Enforcement Authority***

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|  | (R4) Verify the entity’s Facility interconnection requirements address:  |
|  | (4.1) Procedures for coordinated studies of new interconnections and their impacts on affected system(s). |
|  | (4.2) Procedures for notification of new interconnections to those responsible for the reliability of affected system(s). |
|  | (4.3) Procedures for confirming with those responsible for the reliability of affected systems that new Facilities or existing Facilities seeking to make a qualified change as defined by the Planning Coordinator are within a Balancing Authority Area. |
| **Note to Auditor:** FAC-002-4 R6 requires the Planning Coordinator to have a publicly available definition of qualified change. For information regarding possible examples of what a Planning Coordinator could include in their definition of a “qualified change” refer to the Guidelines and Technical Basis section of FAC-001-4. |

**Auditor Notes:**

Additional Information:

Reliability Standard



The full text of FAC-001-4 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

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

FERC approved Reliability Standards FAC-001-4 and FAC-002-4 in an order issued on November 17, 2022 in docket number RD22-5-000. The order is available [here](https://elibrary.ferc.gov/eLibrary/filelist?accession_num=20221117-3030).

Revision History for RSAW

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| **Version** | **Date** | **Reviewers** | **Revision Description** |
| 1 | 12/5/2023 | NERC Compliance Assurance, RSAW Task Force | New Document |

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 RSAW may provide 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 reserve the right to request additional evidence from the registered entity that is not included in this RSAW. This RSAW may include excerpts from FERC Orders and other regulatory references which 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. [↑](#footnote-ref-1)
2. Compliance Assessment Date(s): The date(s) the actual compliance assessment (on-site audit, off-site spot check, etc.) occurs. [↑](#footnote-ref-2)
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. [↑](#footnote-ref-3)
4. 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. [↑](#endnote-ref-1)