

Reliability Standard Audit Worksheet¹

FAC-002-2 – Facility Interconnection Studies

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							X	
R2			X												
R3		X				X						X			
R4												X			
R5			X ³												

Legend:

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

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 interconnected Transmission systems.

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Findings

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

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

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 Planner and each Planning Coordinator shall study the reliability impact of interconnecting new, or materially modifying existing, generation, transmission, or electricity end-user Facilities, including:
- 1.1. The reliability impact of the new, or materially modified existing, Facilities on affected system(s);
 - 1.2. Adherence to applicable NERC Reliability Standards; regional and Transmission Owner planning criteria; and Facility interconnection requirements;
 - 1.3. Steady-state, short-circuit, and dynamics studies, as necessary, to evaluate system performance under both normal and contingency conditions; and
 - 1.4. Study assumptions, system performance, alternatives considered, and coordinated recommendations. While these studies may be performed independently, the results shall be evaluated and coordinated by the entities involved.
- M1.** Each Transmission Planner or each Planning Coordinator shall have evidence (such as study reports, including documentation of reliability issues) that it met all requirements in Requirement R1.

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.
List of studies associated with Requirement R1 performed during the compliance monitoring period.
Studies and/or reports that meet the requirements in Requirement R1.

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):

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Audit ID: Audit ID if available; or NCRnnnnn-YYYYMMDD

RSAW Version: RSAW_FAC-002-2_2014_v1 Revision Date: Month, Year RSAW Template: RSAWyyyyRn.m

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Compliance Assessment Approach Specific to FAC-002-2, R1

This section to be completed by the Compliance Enforcement Authority

	(R1) For a sample selected by auditor, review evidence and verify it addresses the following:
	(R1 Part 1.1) The reliability impact of the new, or materially modified existing, Facilities on affected system(s);
	(R1 Part 1.2) Adherence to applicable NERC Reliability Standards; regional and Transmission Owner planning criteria; and Facility interconnection requirements;
	(R1 Part 1.3) Steady-state, short-circuit, and dynamics studies, as necessary, to evaluate system performance under both normal and contingency conditions; and
	(R1 Part 1.4) Study assumptions, system performance, alternatives considered, and coordinated recommendations. While these studies may be performed independently, the results shall be evaluated and coordinated by the entities involved.
Note to Auditor: For information regarding what constitutes a “material modification” refer to the Guidelines and Technical Basis section of FAC-002-2.	

Auditor Notes:



R2 Supporting Evidence and Documentation

- R2.** Each Generator Owner seeking to interconnect new, or materially modify existing, generation Facilities shall coordinate and cooperate on studies with its Transmission Planner or Planning Coordinator, including but not limited to the provision of data as described in R1, Parts 1.1-1.4.
- M2.** Each Generator Owner shall have evidence (such as documents containing the data provided in response to the requests of the Transmission Planner or Planning Coordinator) that it met all requirements in Requirement R2.

Registered Entity Response (Required):

Question: Has entity sought to interconnect new, or materially modified existing, generation Facilities during the compliance monitoring period?

- Yes, entity has sought to interconnect new, or materially modified existing, generation Facilities during the compliance monitoring period.
- No, entity has not sought to interconnect new, or materially modified existing, generation Facilities during the compliance monitoring period.
- Other: [provide explanation 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.
Data and information provided in response to the requests of the Transmission Planner or Planning Coordinator.

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-002-2, R2

This section to be completed by the Compliance Enforcement Authority

	For a sample selected by auditor, review evidence and verify entity coordinated and cooperated with Transmission Planner or Planning Coordinator.
Note to Auditor: See Question to obtain instances of applicable interconnection requests for audit testing. Select a sample of such requests for audit testing. If auditor can obtain reasonable assurance that answer to question is NO, then no further audit testing of this requirement is necessary.	

Auditor Notes:

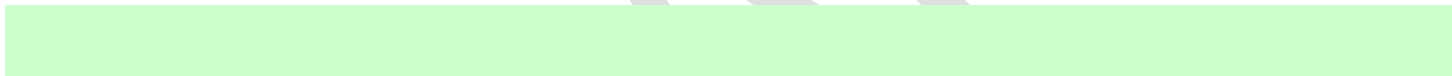
R3 Supporting Evidence and Documentation

- R3.** Each Transmission Owner, each Distribution Provider, and each Load-Serving Entity seeking to interconnect new, or materially modify existing, transmission Facilities or electricity end-user Facilities shall coordinate and cooperate on studies with its Transmission Planner or Planning Coordinator, including but not limited to the provision of data as described in R1, Parts 1.1-1.4.
- M3.** Each Transmission Owner, each Distribution Provider, and each Load-Serving Entity shall have evidence (such as documents containing the data provided in response to the requests of the Transmission Planner or Planning Coordinator) that it met all requirements in Requirement R3.

Registered Entity Response (Required):

Question: Has entity sought to interconnect new, or materially modified existing, transmission Facilities or electricity end-user Facilities during the compliance monitoring period?

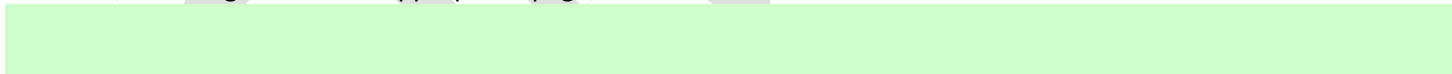
- Yes, entity has sought to interconnect new, or materially modified existing, transmission Facilities or electricity end-user Facilities during the compliance monitoring period.
- No, entity has not sought to interconnect new, or materially modified existing, transmission Facilities or electricity end-user Facilities during the compliance monitoring period.
- Other: [provide explanation 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.
Data and information provided in response to the requests of the Transmission Planner or Planning Coordinator.

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.

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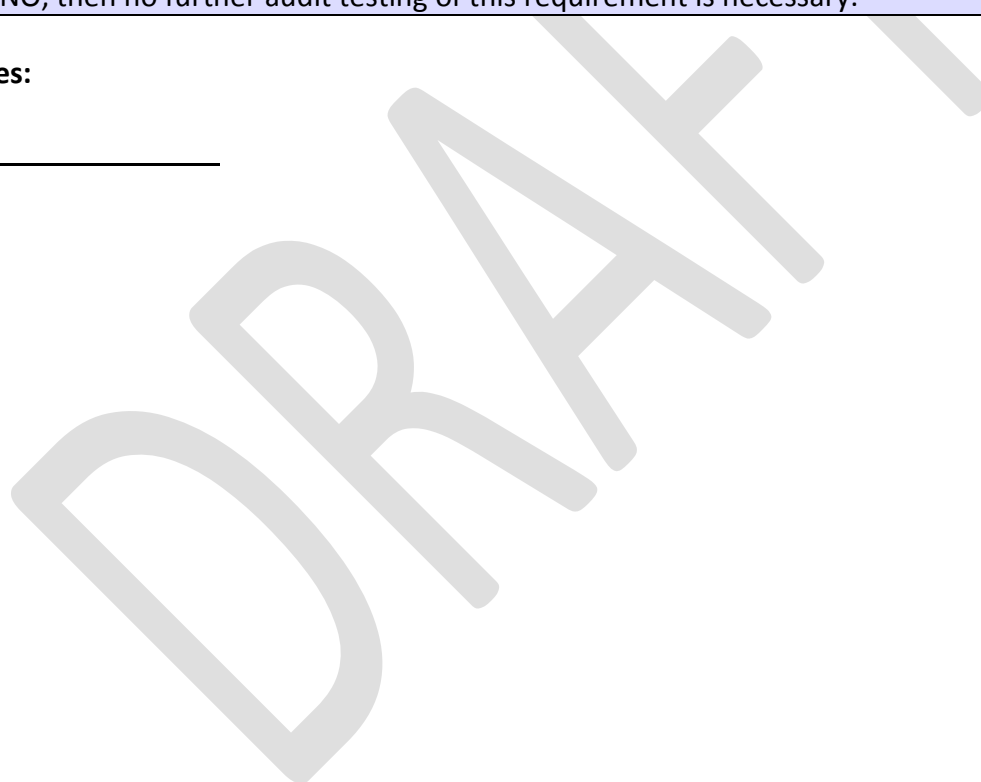
Compliance Assessment Approach Specific to FAC-002-2, R3

This section to be completed by the Compliance Enforcement Authority

	For a sample selected by auditor, review evidence and verify entity coordinated and cooperated with Transmission Planner or Planning Coordinator.
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Note to Auditor: See Question to obtain instances of applicable interconnection requests for audit testing. Select a sample of such requests for audit testing. If auditor can obtain reasonable assurance that answer to question is NO, then no further audit testing of this requirement is necessary.
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Auditor Notes:



R4 Supporting Evidence and Documentation

- R4.** Each Transmission Owner shall coordinate and cooperate with its Transmission Planner or Planning Coordinator on studies regarding requested new or materially modified interconnections to its Facilities, including but not limited to the provision of data as described in R1, Parts 1.1-1.4.
- M4.** Each Transmission Owner and each applicable Generator Owner shall have evidence (such as documents containing the data provided in response to the requests of the Transmission Planner or Planning Coordinator) that it met all requirements in Requirement R4.

Registered Entity Response (Required):

Question: Has entity received any request(s) regarding new or materially modified interconnections to its Facilities during the compliance monitoring period?

- Yes, entity has received request(s) regarding new or materially modified interconnections to its Facilities during the compliance monitoring period?
- No, entity has not received request(s) regarding new or materially modified interconnections to its Facilities during the compliance monitoring period?
- Other: [provide explanation 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.

Data and information provided in response to the requests of the Transmission Planner or Planning Coordinator.

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.

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

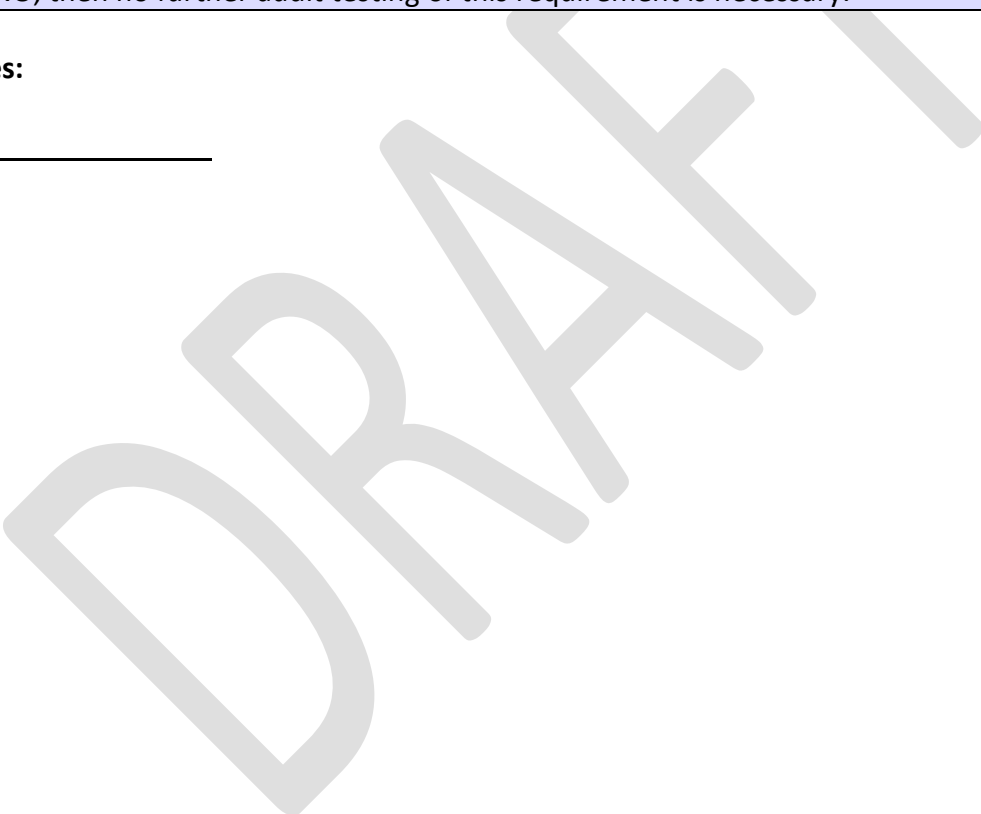
Compliance Assessment Approach Specific to FAC-002-2, R4

This section to be completed by the Compliance Enforcement Authority

	For a sample selected by auditor, review evidence and verify entity coordinated and cooperated with Transmission Planner or Planning Coordinator.
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Note to Auditor: See Question to obtain instances of applicable interconnection requests for audit testing. Select a sample of such requests for audit testing. If auditor can obtain reasonable assurance that answer to question is NO, then no further audit testing of this requirement is necessary.
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Auditor Notes:



R5 Supporting Evidence and Documentation

R5. Each applicable Generator Owner shall coordinate and cooperate with its Transmission Planner or Planning Coordinator on studies regarding requested interconnections to its Facilities, including but not limited to the provision of data as described in R1, Parts 1.1-1.4.

M5. Each applicable Generator Owner shall have evidence (such as documents containing the data provided in response to the requests of the Transmission Planner or Planning Coordinator) that it met all requirements in Requirement R5.

Registered Entity Response (Required):

Question: Has entity received any request(s) to interconnect to its Facilities during the compliance monitoring period?

- Yes, entity has received request(s) to interconnect to its Facilities during the compliance monitoring period.
- No, entity has not received request(s) to interconnect to its Facilities during the compliance monitoring period.
- Other: [provide explanation 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.
Data and information provided in response to the requests of the Transmission Planner or Planning Coordinator.

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.

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

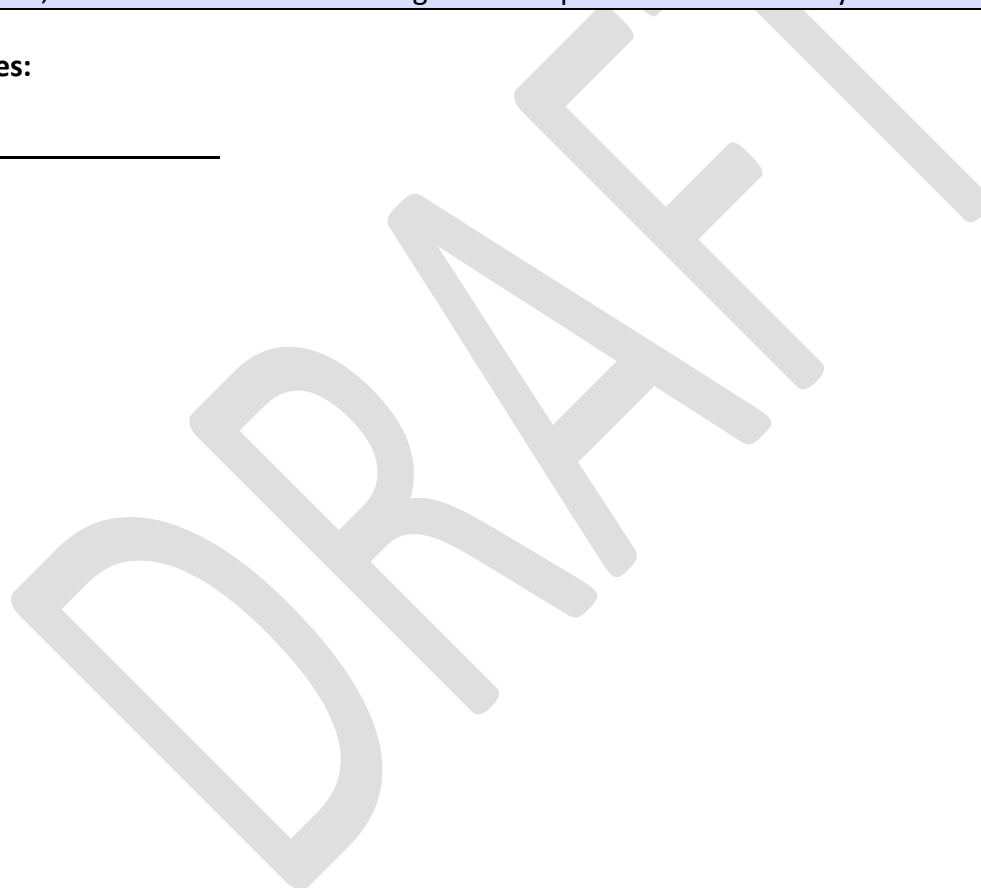
Compliance Assessment Approach Specific to FAC-002-2, R5

This section to be completed by the Compliance Enforcement Authority

	For a sample selected by auditor, review evidence and verify entity coordinated and cooperated with Transmission Planner or Planning Coordinator.
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Note to Auditor: See Question to obtain instances of applicable interconnection requests for audit testing. Select a sample of such requests for audit testing. If auditor can obtain reasonable assurance that answer to question is NO, then no further audit testing of this requirement is necessary.

Auditor Notes:



Additional Information:

Reliability Standard

The full text of FAC-002-2 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	06/10/2014	NERC Compliance	New Document

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.

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