

**Compliance Questionnaire and**

**Reliability Standard Audit Worksheet**

**FAC-002-1 — Coordination of Plans For New Generation, Transmission, and End-User Facilities**

**Registered Entity:** *(Must be completed by the Compliance Enforcement Authority)*

**NCR Number:** *(Must be completed by the Compliance Enforcement Authority)*

**Applicable Function(s): GO, TO, DP, LSE, TP, PA**

**Auditors:**

**Disclaimer**

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.

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# Subject Matter Experts

Identify your company’s subject matter expert(s) responsible for this Reliability Standard. Include the person's title, organization and the requirement(s) for which they are responsible. Insert additional lines if necessary.

**Response: *(Registered Entity Response Required)***

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| --- | --- | --- | --- |
| **SME Name** | **Title** | **Organization** | **Requirement** |
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# Reliability Standard Language

**FAC-002**-1 **— Coordination of Plans for New Generation, Transmission and End-User Facilities**

**Purpose:**

To avoid adverse impacts on reliability, Generator Owners and Transmission Owners and electricity end-users must meet facility connection and performance requirements.

**Applicability:**

Generator Owner

Transmission Owner

Distribution Provider

Load-Serving Entity

Transmission Planner

Planning Authority

**NERC BOT Approval Date:**

**FERC Approval Date:**

**Reliability Standard Enforcement Date in the United States:**

**Requirements**:

**R1.** The Generator Owner, Transmission Owner, Distribution Provider, and Load-Serving Entity seeking to integrate generation facilities, transmission facilities, and electricity end-user facilities shall each coordinate and cooperate on its assessments with its Transmission Planner and Planning Authority. The assessment shall include:

**R1.1.** Evaluation of the reliability impact of the new facilities and their connections on the

interconnected transmission systems.

**R1.2.** Ensurance of compliance with NERC Reliability Standards and applicable Regional, subregional,

Power Pool, and individual system planning criteria and facility connection requirements.

**R1.3.** Evidence that the parties involved in the assessment have coordinated and cooperated on the

assessment of the reliability impacts of new facilities on the interconnected transmission systems. While

these studies may be performed independently, the results shall be jointly evaluated and coordinated by the

entities involved.

**R1.4.** Evidence that the assessment included steady-state, short-circuit, and dynamics studies as necessary to

evaluate system performance under both normal and contingency conditions in accordance with Reliability Standards TPL-001-0, TPL-002-0 and TPL-003-0.

**R1.5.** Documentation that the assessment included study assumptions, system performance,

alternatives considered, and jointly coordinated recommendations.

**Describe, in narrative form, how you meet compliance with this requirement: *(Registered Entity Response Required)***

# R1 Supporting Evidence and Documentation

**Response: *(Registered Entity Response Required)***

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Provide the following:**  **Document Title and/or File Name, Page & Section, Date & Version** | | |
| **Title** | | **Date** | **Version** | |
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| *Audit Team: Additional Evidence Reviewed:* | |  |  | |
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***This section must be completed by the Compliance Enforcement Authority.***

**Compliance Assessment Approach Specific to FAC-002-1 R1.**

Verify the assessments include:

Evaluation of the reliability impact of the new facilities and their connections on the

interconnected transmission systems.

Ensurance of compliance with NERC Reliability Standards and applicable Regional, subregional,

Power Pool, and individual system planning criteria and facility connection requirements.

Evidence that the parties involved in the assessment have coordinated and cooperated on the

assessment of the reliability impacts of new facilities on the interconnected transmission systems.

Evidence that the assessment included steady-state, short-circuit, and dynamics studies as necessary to

evaluate system performance in accordance with Reliability Standards TPL-001-0, TPL-002-0 and TPL-003-0.

Documentation that the assessment included study assumptions, system performance,

alternatives considered, and jointly coordinated recommendations.

**Detailed notes:**

**R2.** The Planning Authority, Transmission Planner, Generator Owner, Transmission Owner, Load-Serving Entity, and Distribution Provider shall each retain its documentation (of its evaluation of the reliability impact of the new facilities and their connections on the interconnected transmission systems) for three years and shall provide the documentation to the Regional Reliability Organization(s) and NERC on request (within 30 calendar days).

(Retirement approved by FERC effective January 21, 2014.)

# Supplemental Information

**Other ‑** The list of questions above is not all inclusive of evidence required to show compliance with the Reliability Standard. Provide additional information here**, as necessary that** demonstrates compliance with this Reliability Standard.

**Entity** **Response: *(Registered Entity Response)***

# Compliance Findings Summary (to be filled out by auditor)

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| Req. | NF | PV | OEA | NA | Statement |
| 1 |  |  |  |  |  |
| 2 | (Retirement approved by FERC effective January 21, 2014.) | | | | |

**Excerpts From FERC Orders -- For Reference Purposes Only**

**Updated Through October 5, 2011**

**FAC-002-1**

**Order 693**

http://www.nerc.com/files/order\_693.pdf

P681 "Proposed Reliability Standard FAC‑002‑0 requires that each generation owner,

transmission owner, distribution provider, LSE, transmission planner and

planning authority assess the impact of integrating generation, transmission and

end‑user facilities into the interconnected transmission system."

P687 “…The Commission does not intend to limit which organizational approach is

used by the entities, only to assure that a single competent and collaborative

analysis is performed….”

P690 “…we note that including TPL‑001‑0 through TPL‑003‑0 will result in the

FAC‑002 Reliability Standard being consistent with Order No. 2003, which

requires interconnecting entities to take into account multiple contingencies in

interconnection studies….”

P690 ” …we note that the Standards of Conduct were designed to address such

interactions. The entities participating in the assessment effort can continue to

contribute to this assessment and observe the Standards of Conduct at the same

time. If any entity finds an area where it believes the Standards of Conduct

prevent it from cooperating with the assessment process, it may seek clarification

from the Commission as to whether that area of involvement is in conflict with

the Standards of Conduct…"

***North American Electric Reliability Corporation*, 134 FERC ¶ 61,015 (2011)**

**January 10, 2011**

FERC approved modifications of six Reliability Standards, including FAC-002-1, made pursuant to outstanding directives from the Commission's Order No. 693.

**Revision History**

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| **Version** | **Date** | **Reviewers** | **Revision Description** |
| 1 | December 2010 | QRSAW WG | Revised Findings Table, modified Supporting Evidence tables and Added Revision History |
| 1 | January 2011 | Craig Struck | Reviewed for format consistency and content. |
| 1 | September 2011 | QRSAW WG | Modified to address Order No. 693 Directives contained in Paragraph 693. |
| 1 | October 5, 2011 | NERC Legal | Updated excerpts from FERC orders from November 24, 2008 through and including October 5, 2011. |
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