

## A. Introduction

1. **Title:** **Facility Connection Requirements**
2. **Number:** FAC-001-1
3. **Purpose:** To avoid adverse impacts on reliability, Transmission Owners and Generator Owners must establish Facility connection and performance requirements.
4. **Applicability:**
  - 4.1. Transmission Owner
  - 4.2. Applicable Generator Owner
    - 4.2.1 Generator Owner with an executed Agreement to evaluate 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.
5. **Effective Date:**
  - 5.1. In those jurisdictions where regulatory approval is required, all requirements applied to the Transmission Owner become effective upon regulatory approval. In those jurisdictions where no regulatory approval is required, all requirements applied to the Transmission Owner and Regional Entity become effective upon Board of Trustees' adoption.
  - 5.2. In those jurisdictions where regulatory approval is required, all requirements applied to the Generator Owner become effective on the first calendar day of the first calendar quarter one year after the date of the order approving the standard from applicable regulatory authorities. In those jurisdictions where no regulatory approval is required, all requirements applied to the Generator Owner become effective on the first calendar day of the first calendar quarter one year after Board of Trustees' adoption.

## B. Requirements

- R1. The Transmission Owner shall document, maintain, and publish Facility connection requirements to ensure compliance with NERC Reliability Standards and applicable Regional Entity, subregional, Power Pool, and individual Transmission Owner planning criteria and Facility connection requirements. The Transmission Owner's Facility connection requirements shall address connection requirements for:
  - 1.1. Generation Facilities,
  - 1.2. Transmission Facilities, and
  - 1.3. End-user Facilities

*[VRF – Medium]*
- R2. Each applicable Generator Owner shall, within 45 days of having an executed Agreement to evaluate 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 (under FAC-002-1), document and publish its Facility connection requirements to ensure compliance with NERC Reliability Standards and applicable Regional Entity, subregional, Power Pool, and individual Transmission Owner planning criteria and Facility connection requirements.

*[VRF – Medium]*

- R3.** Each Transmission Owner and each applicable Generator Owner (in accordance with Requirement R2) shall address the following items in its Facility connection requirements:
- 3.1.** Provide a written summary of its plans to achieve the required system performance as described in Requirements R1 or R2 throughout the planning horizon:
- 3.1.1.** Procedures for coordinated joint studies of new Facilities and their impacts on the interconnected Transmission systems.
  - 3.1.2.** Procedures for notification of new or modified Facilities to others (those responsible for the reliability of the interconnected Transmission systems) as soon as feasible.
  - 3.1.3.** Voltage level and MW and MVAR capacity or demand at point of connection.
  - 3.1.4.** Breaker duty and surge protection.
  - 3.1.5.** System protection and coordination.
  - 3.1.6.** Metering and telecommunications.
  - 3.1.7.** Grounding and safety issues.
  - 3.1.8.** Insulation and insulation coordination.
  - 3.1.9.** Voltage, Reactive Power, and power factor control.
  - 3.1.10.** Power quality impacts.
  - 3.1.11.** Equipment Ratings.
  - 3.1.12.** Synchronizing of Facilities.
  - 3.1.13.** Maintenance coordination.
  - 3.1.14.** Operational issues (abnormal frequency and voltages).
  - 3.1.15.** Inspection requirements for existing or new Facilities.
  - 3.1.16.** Communications and procedures during normal and emergency operating conditions.

*[VRF – Medium]*

- R4.** The Transmission Owner shall maintain and update its Facility connection requirements as required. The Transmission Owner shall make documentation of these requirements available to the users of the transmission system, the Regional Entity, and ERO on request (five business days).

*[VRF – Medium]*

**C. Measures**

- M1.** The Transmission Owner shall make available (to its Compliance Enforcement Authority) evidence that it met all the requirements stated in Requirement R1.

- M2.** Each Generator Owner that has an executed Agreement to evaluate 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 shall make available (to its Compliance Enforcement Authority) evidence that it met all requirements stated in Requirement R2.
- M3.** Each Transmission Owner and each applicable Generator Owner (in accordance with Requirement R2) shall make available (to its Compliance Enforcement Authority) evidence that it met all requirements stated in Requirement R3.
- M4.** The Transmission Owner shall make available (to its Compliance Enforcement Authority) evidence that it met all the requirements stated in Requirement R4.

**D. Compliance**

**1. Compliance Monitoring Process**

**1.1. Compliance Enforcement Authority**

Compliance Monitor: Regional Entity

**1.2. Compliance Monitoring and Enforcement Processes:**

Compliance Audits

Self-Certifications

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

**1.3. Data Retention**

The Transmission Owner 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 Transmission Owner shall retain evidence of Requirement R1, Measure M1, Requirement R3, Measure M3, and Requirement R4, Measure M4 from its last audit.

The Generator Owner 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 Generator Owner shall retain evidence of Requirement R2, Measure M2, and Requirement R3, Measure M3 from its last audit.

The Compliance Enforcement Authority shall keep the last audit records and all requested and submitted subsequent audit records.

**1.4. Additional Compliance Information**

None.

2. Violation Severity Levels

R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	Not Applicable.	<p>The Transmission Owner failed to do one of the following:</p> <p>Document or maintain or publish Facility connection requirements as specified in the Requirement</p> <p>OR</p> <p>Failed to include one (1) of the components as specified in R1.1, R1.2 or R1.3.</p>	<p>The Transmission Owner failed to do one of the following:</p> <p>Failed to include (2) of the components as specified in R1.1, R1.2 or R1.3</p> <p>OR</p> <p>Failed to document or maintain or publish its Facility connection requirements as specified in the Requirement <b>and</b> failed to include one (1) of the components as specified in R1.1, R1.2 or R1.3.</p>	The Transmission Owner did not develop Facility connection requirements.
R2	The Generator Owner failed to document and publish Facility connection requirements until more than 45 calendar days but less than or equal to 60 calendar days after having an Agreement to evaluate 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.	The Generator Owner failed to document and publish Facility connection requirements until more than 60 calendar days but less than or equal to 70 calendar days after having an Agreement to evaluate 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.	The Generator Owner failed to document and publish Facility connection requirements until more than 70 calendar days but less than or equal to 80 calendar days after having an Agreement to evaluate 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.	The Generator Owner failed to document and publish Facility connection requirements until more than 80 days after having an Agreement to evaluate 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.
R3	The responsible entity’s Facility connection	The responsible entity’s Facility connection	The responsible entity’s Facility connection	The responsible entity’s Facility connection

	requirements failed to address one of the parts listed in Requirement R3, parts 3.1.1 through 3.1.16.	requirements failed to address two of the parts listed in Requirement R3, parts 3.1.1 through 3.1.16.	requirements failed to address three of the parts listed in Requirement R3, parts 3.1.1 through 3.1.16.	requirements failed to address four or more of the parts listed in Requirement R3, parts 3.1.1 through 3.1.16.
R4	The responsible entity made the requirements available more than five business days but less than or equal to 10 business days after a request.	The responsible entity made the requirements available more than 10 business days but less than or equal to 20 business days after a request.	The responsible entity made the requirements available more than 20 business days less than or equal to 30 business days after a request.	The responsible entity made the requirements available more than 30 business days after a request.

**E. Regional Differences**

1. None identified.

**Version History**

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
1		Added requirements for Generator Owner and brought overall standard format up to date.	Revision under Project 2010-07
1	February 9, 2012	Adopted by the Board of Trustees	

**\* FOR INFORMATIONAL PURPOSES ONLY \***

**Enforcement Dates: Standard FAC-001-1 — Facility Connection Requirements**

**United States**

<b>Standard</b>	<b>Requirement</b>	<b>Enforcement Date</b>	<b>Inactive Date</b>
FAC-001-1	All		

This standard has not yet been approved by the applicable regulatory authority.