

A. Introduction

1. **Title:** Facility Interconnection Requirements
2. **Number:** FAC-001-4
3. **Purpose:** To avoid adverse impacts on the reliability of the Bulk Electric System, Transmission Owners and applicable Generator Owners must document and make Facility interconnection requirements available so that entities seeking to interconnect will have the necessary information.
4. **Applicability:**
 - 4.1. **Functional Entities:**
 - 4.1.1. Transmission Owner
 - 4.1.2. Applicable Generator Owner
 - 4.1.2.1. 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.
5. **Effective Date:** See Implementation Plan for Project 2020-05.

B. Requirements and Measures

- 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: *[Violation Risk Factor: Lower] [Time Horizon: Long-term Planning]*
- 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.
- 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. *[Violation Risk Factor: Lower] [Time Horizon: Long-term Planning]*
- M2.** Each applicable Generator Owner shall have evidence (such as dated, documented Facility interconnection requirements) that it met all requirements in Requirement R2.
- R3.** Each Transmission Owner shall address the following items in its Facility interconnection requirements: *[Violation Risk Factor: Lower] [Time Horizon: Long-Term Planning]*
- 3.1.** 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.
 - 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.
- 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.
- R4.** Each applicable Generator Owner shall address the following items in its Facility interconnection requirements: *[Violation Risk Factor: Lower] [Time Horizon: Long-Term Planning]*
- 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.
- 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.
- 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.

C. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority: “Compliance Enforcement Authority” means NERC or the Regional Entity, or any entity as otherwise designated by an Applicable Governmental Authority, in their respective roles of monitoring and/or enforcing compliance with mandatory and enforceable Reliability Standards in their respective jurisdictions.

1.2. Evidence Retention: The following evidence retention period(s) identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to provide other evidence to show that it was compliant for the full-time period since the last audit.

The applicable entity 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 responsible entities shall retain documentation as evidence for three years.
- If a responsible entity is found non-compliant, it shall keep information related to the non-compliance until mitigation is complete and approved or for the time specified above, whichever is longer.
- The CEA shall keep the last audit records and all requested and submitted subsequent audit records.

1.3. Compliance Monitoring and Enforcement Program: As defined in the NERC Rules of Procedure, “Compliance Monitoring and Enforcement Program” refers to the identification of the processes that will be used to evaluate data or information for the purpose of assessing performance or outcomes with the associated Reliability Standard.

Violation Severity Levels

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
R1.	Long-term Planning	Lower	N/A	<p>The Transmission Owner documented Facility interconnection requirements and updated them as needed, but failed to make them available upon request.</p> <p>OR</p> <p>The Transmission Owner documented Facility interconnection requirements and made them available upon request, but failed to update them as needed.</p> <p>OR</p> <p>The Transmission Owner documented Facility interconnection requirements,</p>	<p>The Transmission Owner documented Facility interconnection requirements, but failed to update them as needed and failed to make them available upon request.</p> <p>OR</p> <p>The Transmission Owner documented Facility interconnection requirements, updated them as needed, and made them available upon request, but failed to address interconnection requirements for two of the Facilities as</p>	<p>The Transmission Owner did not document Facility interconnection requirements.</p>

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
				updated them as needed, and made them available upon request, but failed to address interconnection requirements for one of the Facilities as specified in R1, Parts 1.1, 1.2, or 1.3.	specified in R1, Parts 1.1, 1.2, or 1.3.	
R2.	Long-term Planning	Lower	The applicable Generator Owner failed to document Facility interconnection requirements and make them available upon request until more than 45 calendar days but less than or equal to 60 calendar days after full execution of an Agreement to conduct a study on the reliability impact of interconnecting a third	The applicable Generator Owner failed to document Facility interconnection requirements and make them available upon request until more than 60 calendar days but less than or equal to 70 calendar days after full execution of an Agreement to conduct a study on the reliability impact of interconnecting a third	The applicable Generator Owner failed to document Facility interconnection requirements and make them available upon request until more than 70 calendar days but less than or equal to 80 calendar days after full execution of an Agreement to conduct a study on the reliability impact of interconnecting a third	The applicable Generator Owner failed to document Facility interconnection requirements and make them available upon request until more than 80 calendar days after full execution of an Agreement to conduct a study on the reliability impact of interconnecting a third party Facility to the Generator Owner's

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
			party Facility to the Generator Owner’s existing Facility that is used to interconnect to the Transmission system.	party Facility to the Generator Owner’s existing Facility that is used to interconnect to the Transmission system.	party Facility to the Generator Owner’s existing Facility that is used to interconnect to the Transmission system.	existing Facility that is used to interconnect to the Transmission system.
R3.	Long-term Planning	Lower	N/A	The Transmission Owner failed to address one part of Requirement R3 (Part 3.1 through Part 3.3).	The Transmission Owner failed to address two parts of Requirement R3 (Part 3.1 through Part 3.3).	The Transmission Owner failed to address three parts of Requirement R3 (Part 3.1 through Part 3.3).
R4.	Long-term Planning	Lower	N/A	The Generator Owner failed to address one part of Requirement R4 (Part 4.1 through Part 4.3).	The Generator Owner failed to address two parts of Requirement R4 (Part 4.1 through Part 4.3).	The Generator Owner failed to address three parts of Requirement R4 (Part 4.1 through Part 4.3).

D. Regional Variances

None.

E. Associated Documents

None.

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	
1	September 19, 2013	A FERC order was issued on September 19, 2013, approving FAC-001-1. This standard became enforceable on November 25, 2013 for Transmission Owners. For Generator Owners, the standard becomes enforceable on January 1, 2015.	
2		Revisions to implement the recommendations of the FAC Five-Year Review Team.	Revision under Project 2010-02
2	August 14, 2014	Adopted by the Board of Trustees	
2	November 6, 2014	FERC letter order issued approving FAC-001-2.	
3	February 11, 2016	Adopted by the Board of Trustees	Moved BAL-005-0.2b Requirement R1 into FAC-001-3 Requirements R3 and R4
3	September 20, 2017	FERC Order No. 836 issued approving FAC-001-3	
3	February 19, 2021	FERC letter Order issued approving FAC-001-3 Errata	
4	May 12, 2022	Adopted by the Board of Trustees	Revisions under Project 2020-05
4	November 17, 2022	FERC Order RD22-5-000 issued approving FAC-001-4	
4	December 2, 2022	Effective Date	1/1/2024