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**New York State  
Standardized Interconnection Requirements and Application Process  
For New Distributed Generators 5 MW or Less Connected in Parallel with Utility  
Distribution Systems**

**New York State  
Public Service Commission**

**August 2017**

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## **Section I. Application Process**

### **New York State Standardized Interconnection Requirements and Application Process for New Distributed Generators 5 MW or Less Connected in Parallel with Utility Distribution Systems (“SIR”)**

#### **A. Introduction**

This section provides a framework for processing applications to:

- interconnect new distributed generation (“DG”) facilities with a generator nameplate rating of 5 MW or less [aggregated on the customer side of the point of common coupling (“PCC”)], and
- review any modifications affecting the interface at the PCC to existing DG facilities with a nameplate rating of 5 MW or less (aggregated on the customer side of the PCC) that have been interconnected to the utility distribution system and where an existing contract between the applicant and the utility is in place.

Generation neither designed to operate, nor operating, in parallel with the utility’s electrical system is not subject to these requirements. This section will ensure that applicants are aware of the technical interconnection requirements and utility interconnection policies and practices. This section will also provide applicants with an understanding of the process and information required to allow utilities to review and accept the applicants’ equipment for interconnection in a reasonable and expeditious manner.

The time required to complete the process will reflect the complexity of the proposed project. Projects using previously submitted designs certified per the requirements of Section II.H will move through the process more quickly, and several steps may be satisfied with an initial application depending on the detail and completeness of the application and supporting documentation submitted by the applicant. Applicants submitting systems utilizing certified equipment however, are not exempt from providing utilities with complete design packages necessary for the utilities to verify the electrical characteristics of the generator systems, the interconnecting facilities, and the impacts of the applicants’ equipment on the utilities’ systems.

The application process and the attendant services must be offered on a non-discriminatory basis. The utilities must clearly identify their costs related to the applicants’ interconnections, specifically those costs the utilities would not have incurred but for the applicants’ interconnections. The utilities will keep a log of all applications, milestones met, and justifications for application-specific requirements. The applicants are to be responsible for payment of the utilities’ costs, as provided for herein.

All application timelines shall commence the next Business Day following receipt of information from the applicant.

Staff of the Department of Public Service (“DPS Staff”) will monitor the application process to ensure that applications are addressed in a timely manner. To perform this monitoring function, DPS Staff will meet periodically with utility and applicant representatives.

A glossary of terms used herein is provided in Section III.

## **B. Application Process Steps for Systems 50 kW or Less**

**Exception 1:** For inverter based systems above 50 kW up to 300 kW, applicants may follow the expedited application process outlined in this section provided that the inverter based system has been certified and tested in accordance with the most recent revision of UL 1741 and the utility has approved the project accordingly. The utility has ten (10) Business Days upon receipt of the original application submittal to determine if the application is complete, project is eligible for the expedited process, and whether it is approved for interconnection if eligible for expedited process. The utility shall notify the applicant in writing of its findings upon review of the application. If the utility determines that the inverter based system is not eligible for the expedited application process, the applicant can:

- 1) Proceed with the remaining steps of Section I.C of the SIR (Systems above 50 kW up to 5 MW); or
- 2) Request a review by DPS Staff.

**Exception 2:** For non-inverter based system 50 kW or less, the applicant should be aware that additional information and review time may be required by the utility (refer to Step 3). The applicant must include the items required in Step 5 of the Application Process Steps for Systems above 50 kW up to 5 MW in its original application. This exception should not be considered the rule, but used by the utility only in justified situations. Utilities are encouraged to use the expedited process whenever possible. The utility has ten (10) Business Days upon receipt of the original application submittal to determine if the application is complete, project is eligible for expedited process, and whether it is approved for interconnection if eligible for expedited process. The utility shall notify the applicant in writing of its findings upon review of the application. If the utility determines that the non-inverter based system is not eligible for the expedited application process, the applicant can:

- 1) Proceed with the remaining steps of Section I.C of the SIR (Systems above 50 kW up to 5 MW); or
- 2) Request a review by DPS Staff.

**Exception 3:** For all systems 50 kW or less, that are proposed to be installed in underground secondary network areas, the applicant should be aware that additional information and review time may be required by the utility (refer to Step 3). In some cases, interconnection may not be allowed or approved. DG systems interconnected to underground secondary network systems can cause unique design issues and overall reliability problems for the utilities. For this reason,

additional review and analysis may be needed on a case by case basis. The utility has ten (10) Business Days upon receipt of the original application submittal to determine if the application is complete, project is eligible for the expedited process, and whether it is approved for interconnection if eligible for expedited process. The utility shall notify the applicant in writing of its findings upon review of the application. If the utility determines that the DG system cannot be interconnected, the applicant can request a review by DPS Staff.

### **STEP 1: Initial Communication from the Potential Applicant**

Communication could range from a general inquiry to a completed application.

### **STEP 2: The Inquiry is Reviewed by the Utility to Determine the Nature of the Project**

Technical staff from the utility may discuss the scope of the interconnection with the potential applicant (either by phone or in person) and provide a copy of the SIR document and any utility specific technical specifications that may apply. A utility representative shall be designated to serve as the single point of contact for the applicant in coordinating the potential applicant's project with the utility.

### **STEP 3: Potential Applicant Files an Application**

The potential applicant submits an application package in the name of the customer<sup>1</sup> to the utility. No application fee is required of the applicant for systems 50 kW or less. A complete application package will consist of all items detailed in Appendix F. Electronic submission of all documents is acceptable, inclusive of electronic signature. Electronic signatures must meet the requirements for filing documents electronically with the Secretary of the Commission. The utility has ten (10) Business Days upon receipt of the original application submittal to determine if the application is complete, meets the SIR technical requirements in Section II, and/or approved for interconnection if all other requirements are met. The utility shall notify the applicant by email, fax, or other form of written communication. If the application is deemed not complete by the utility, the utility shall provide a detailed explanation of the deficiencies identified and a list of the additional information required from the applicant. Once it has received the required information, the utility shall notify the applicant of the acceptance or rejection of the application within ten (10) Business days. If the applicant fails to submit the additional information to the utility within thirty (30) Business Days following the date of the utility's written notification, the application shall be deemed withdrawn and no further action on the part of the utility is required.

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<sup>1</sup> All Net Metering project applications shall be submitted in the customer's name. Per the Community Distributed Generation program Order (15-E-0082), the project sponsor shall submit the interconnection application to the electric utility for approval. The sponsor may be any single entity, including the generation facility developer, an energy service company (ESCO), a municipal entity such as a town or village, a business or not for-profit corporation, a limited liability company, a partnership, or other form of business or civic association.

The utility's notification of acceptance to the applicant shall include an executed New York State Standardized Interconnection Contract and the applicant may proceed with the proposed installation. The utility shall also indicate in its response to the applicant whether or not it plans to witness the testing and verification process in person.

An accepted application will be placed in each utility's interconnection inventory upon the utility's receipt of the New York State Standardized Contract executed by the applicant. If the final acceptance as set out in Step 6 below is not completed within twelve (12) months of receipt of such executed copy of the New York State Standardized Contract as a result of applicant inactivity, the utility has the right to notify the applicant by U.S. first class mail with delivery receipt confirmation that the applicant's project will be removed from the utility's interconnection inventory if the applicant does not respond within thirty (30) Business Days of the issue of such notification and provide a project status update and/or justification as to why the project should remain in the utility's interconnection inventory for an additional period of time.

'With respect to an applicant proposing to install a system rated 25 kW or less, that is to be net-metered, if the utility determines that it is necessary to install a dedicated transformer(s) or other equipment to protect the safety and adequacy of electric service provided to other customers, the applicant shall be informed of its responsibility for the actual costs for installing the dedicated transformer(s) and other safety equipment. Appendix E sets forth the responsibility each applicant shall have with respect to the actual cost of the dedicated transformer(s) and other safety equipment.

#### **STEP 4: System Installation**

The applicant will install the DG system according to the utility accepted design and the equipment manufacturer's requirements. If there are substantive design variations from the originally accepted system diagram, a revised system diagram (and other drawings for non-inverter based systems) shall be submitted by the applicant for the utility's review and acceptance. All inverter based systems will be allowed to interconnect to the utility system for a period not to exceed two hours, for the sole purpose of assuring proper operation of the installed equipment.

For net metered systems as defined in Section II.A.6, any modifications related to existing metering configurations to allow for net metering shall be completed by the utility within ten (10) Business Days of either notification to the utility that the installation has been completed or request for a verification test, whichever comes first.

#### **STEP 5: The Applicant's Facility is Tested in Accordance with the Standardized Interconnection Requirements**

Verification testing will be performed by the applicant in accordance with the written verification test procedure provided by the equipment manufacturer. If the utility requested to witness the testing and verification process in person as required in Step 3, the verification testing will be performed within ten (10) Business Days of the system installation completion

date, at a mutually agreeable time. If the utility has opted not to witness the test, the applicant will send the utility within five (5) Business Days of completion of such tests a written notification certifying that the system has been installed and tested in compliance with the SIR, the utility-accepted design and the equipment manufacturer's instructions. The applicant's facility will be allowed to commence parallel operation upon satisfactory completion of the tests in Step 5. The applicant must have complied with, and must continue to comply with, all contractual and technical requirements.

### **STEP 6: Final Acceptance**

Within five (5) Business Days of receiving the written notification of successful test completion from Step 5, the utility will issue to the applicant a formal letter of acceptance for interconnection. Within five (5) Business Days of the completion of the on-site verification, the utility will issue to the applicant either a formal letter of acceptance for interconnection or a detailed explanation of the deficiencies in the system.

### **C. Application Process Steps for Systems above 50 kW up to 5 MW**

For inverter based systems above 50 kW up to 300 kW, certified and tested in accordance with the most recent revision of UL 1741, applicants and utilities are encouraged, but not required, to use the expedited application process (Section I.B).

**Exception 1:** For all systems 50 kW up to 5 MW that are proposed to be installed in underground secondary network areas, the applicant should be aware that a CESIR may be required by the utility, based on each utility's specific technical requirements and design considerations on a case-by-case basis. In some cases, interconnection may not be allowed or approved. DG systems interconnected to underground secondary network systems can cause unique design issues and overall reliability problems for the utilities. The utility has ten (10) Business Days upon receipt of the original application submittal to determine if the application is complete and whether it is eligible for interconnection. The utility shall notify the applicant in writing of its findings upon review of the application. If the utility determines that the DG system cannot be interconnected or requires additional information be submitted and/or additional review time is needed, the applicant can:

- (1) Work with the utility on an appropriate timeframe and approval schedule agreeable to both parties; or
- (2) Request a review by DPS Staff.

### **STEP 1: Initial Communication from the Potential Applicant.**

Communication could range from a general inquiry to a completed application.

**STEP 2: The Inquiry is Reviewed by the Utility to Determine the Nature of the Project.**

Technical staff from the utility may discuss the scope of the interconnection with the potential applicant (either by phone or in person) and shall provide a copy of the SIR and any utility specific technical specifications that may apply. A utility representative shall be designated to serve as the single point of contact for the applicant in coordinating the potential applicant's project with the utility. At this time the applicant may also request that a Pre-Application Report (see Appendix D herein) be provided by the utility. The applicant shall provide a non-refundable fee of \$750 with its request for completion of the Pre-Application Report. The Pre-Application Report shall be provided to the applicant within ten (10) Business Days of receipt of the form and payment of the fee. The Pre-Application Report will be non-binding and shall only provide the electrical system data and information requested that is readily available to the utility. Should the applicant formally apply to interconnect their proposed DG project within fifteen (15) Business Days of receipt of the utility's Pre-Application Report, the \$750 will be applied towards the application fee in Step 3.

**STEP 3: Potential Applicant Files an Application**

The potential applicant submits an application to the utility in the name of the customer<sup>2</sup>. A complete application package will consist of all items detailed in Appendix F. Electronic submission of all documents is acceptable, inclusive of electronic signature. Electronic signatures must meet the requirements for filing documents electronically with the Secretary of the Commission. If a Pre-Application Report has been provided to the customer, and an application is received by the utility within fifteen (15) Business Days of the date of issue of the Pre-Application Report, a \$750 credit will be applied towards the application fee. Otherwise, payment of a non-refundable \$750 application fee is required except that the application fee shall be refunded to net metering customer-generators unless applied toward the cost of installing a dedicated transformer (s) or other safety equipment. If the applicant proceeds with the project to completion, the application fee will be applied as a payment to the utility's total cost for interconnection, including the cost of processing the application.

The utility shall review the application to determine whether it is complete in accordance with Appendix F, and whether any additional information is required from the applicant. The utility shall notify the applicant in writing within ten (10) Business Days following receipt of the application. If the application is not complete, the utility's notification shall specify what is missing from the application and provide a list of additional information needed. The utility shall notify the applicant by email, fax, or other form of written communication.

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<sup>2</sup> All Net Metering project applications shall be submitted in the customer's name. Per the Community Distributed Generation program Order (15-E-0082), the project sponsor shall submit the interconnection application to the electric utility for approval. The sponsor may be any single entity, including the generation facility developer, an energy service company (ESCO), a municipal entity such as a town or village, a business or not for-profit corporation, a limited liability company, a partnership, or other form of business or civic association.

If the applicant fails to submit all items required by Appendix F, or to provide additional information identified by the utility within thirty (30) Business Days following the date of the utility's notification, the application shall be deemed withdrawn and no further action on the part of the utility is required.

If the required documentation is presented in this step, it will allow the utility to move to Step 4 and perform the required reviews and allow the process to proceed as expeditiously as possible.

An accepted application will be placed in each utility's interconnection inventory upon the utility's receipt of the New York State Standardized Contract executed by the applicant. If the final acceptance as set out in Step 6 below is not completed within twelve (12) months of receipt of such executed copy of the New York State Standardized Contract as a result of applicant inactivity, the utility has the right to notify the applicant by U.S. first class mail with delivery receipt confirmation that the applicant's project will be removed from the utility's interconnection inventory if the applicant does not respond within thirty (30) Business Days of the issue of such notification and provide a project status update and/or justification as to why the project should remain in the utility's interconnection inventory for an additional period of time.

The utility will refund any advance payments for services or construction not yet completed should the applicant be removed from the utility's interconnection inventory. If the costs incurred by the utility exceed the advance payments made by the applicant prior to removal from the interconnection inventory, the applicant will receive a bill for any balance due to the utility.

**STEP 4: Utility Performs Preliminary / Supplemental Screening Analysis and Develops a Cost Estimate for the Coordinated Electric System Interconnection Review (CESIR) if required**

The utility shall perform a Preliminary Screening Analysis of the proposed system interconnection utilizing the technical screens A through F detailed in Appendix G. The Preliminary Analysis shall be completed and a written response detailing the results of each screen and the overall outcome of the Preliminary Analysis shall be sent to the applicant within fifteen (15) Business Days of the completion of Step 3. Depending on the results of the Preliminary Analysis and the subsequent choices of the applicant, the following process(es) will apply:

- a. If the Preliminary Analysis finds that the applicant's proposed system passes all of the relevant technical screens (i.e. screens A through F) and is in compliance with the Interconnection Requirements outlined in Section II, there are no requirements for Interconnection Facilities or Distribution Upgrades. As such the utility will return a signed and executed New York State Standardized Interconnection Contract to the applicant and the applicant may proceed with the interconnection process.

If the Preliminary Analysis finds that the applicant's proposed system cannot pass all of the relevant technical screens (i.e. screens A through F), the utility shall provide the technical reasons, data and analysis supporting the Preliminary Analysis results in writing. The applicant

shall notify the utility within ten (10) Business Days following such notification whether to (i) proceed to a Preliminary Analysis results meeting, (ii) proceed to Supplemental Review, (iii) proceed to a full CESIR, or (iv) withdraw the Interconnection Request. If the applicant fails to notify the utility of their decision within thirty (30) Business Days of notification of the Preliminary Analysis results, the Interconnection Request shall be removed from the queue and no further action on the part of the utility is required.

i. If the applicant chooses to proceed to a Preliminary Analysis results meeting and modifications that obviate the need for Supplemental Analysis are identified, and the applicant and the utility agree to such modifications, the utility shall return a signed and executed New York State Standardized Interconnection Contract within fifteen (15) Business Days of the Preliminary Analysis results meeting if no Interconnection Facilities or Distribution Upgrades are required. If Interconnection Facilities or Distribution Upgrades are required and agreed to, the utility shall provide the applicant with a non-binding cost estimate of any Interconnection Facilities or Distribution Upgrades within fifteen (15) Business Days of the Preliminary Analysis results meeting. The applicant shall notify the utility within fifteen (15) Business Days following such notification indicating the intention of the applicant to revise its application as requested and proceed with the interconnection process or withdraw its application. The applicant may request one extension of no more than fifteen (15) Business Days to respond. If the applicant fails to notify the utility of their decision within fifteen (15) Business Days of notification of the Preliminary Analysis results, or at the end of the extension, if one was requested, the Interconnection Request shall be removed from the queue and no further action on the part of the utility is required. If the applicant does notify the utility of its intention to accept the proposed upgrades and proceed with interconnection, the utility will return a signed and executed New York State Standardized Interconnection Contract to the applicant within fifteen (15) Business Days of receiving the notification.

If the applicant chooses to proceed to a Preliminary Analysis results meeting and modifications that obviate the need for Supplemental Analysis are not identified and agreed to, the applicant shall notify the utility within ten (10) business days of the meeting of their intention to (i) proceed to Supplemental Analysis, (ii) proceed to a full CESIR, or (iii) withdraw the Interconnection Request. If the applicant fails to notify the utility of their decision within thirty (30) business days, the Interconnection Request shall be removed from the queue and no further action on the part of the utility is required.

ii. Applicants that elect to proceed to Supplemental Analysis shall provide a nonrefundable fee of \$2,500 with their response. The utility shall complete the Supplemental Analysis within twenty (20) Business Days, absent extraordinary circumstances, following authorization and receipt of the fee. If the Supplemental Analysis finds that the applicant's proposed system passes all of the relevant technical screens (i.e. screens G through I) and is in compliance with the Interconnection Requirements outlined in Section II, then there are no requirements for Interconnection Facilities or Distribution Upgrades. Thus, the utility will return a signed and executed New York State Standardized Interconnection Contract to the applicant within fifteen

(15) Business Days of providing the applicant the results of the Supplemental Review and the applicant may proceed with the interconnection process.

If the Supplemental Analysis finds that the applicant's proposed system cannot pass all of the relevant technical screens (i.e. screens G through I), the utility shall provide the technical reasons, data, and analysis supporting the Supplemental Analysis results in writing. The applicant shall notify the utility within ten (10) Business Days following such notification whether to (i) proceed to a Supplemental Analysis results meeting, (ii) proceed to a full CESIR, or (iii) withdraw the Interconnection Request. If the applicant fails to notify the utility of their decision within thirty (30) Business Days of notification of the Preliminary Analysis results, the Interconnection Request shall be removed from the queue and no further action on the part of the utility is required.

i. If the applicant chooses to proceed to a Supplemental Analysis results meeting and modifications that obviate the need for a CESIR are identified, and the applicant and the utility agree to such modifications, the utility shall return a signed and executed New York State Standardized Interconnection Contract within fifteen (15) Business Days of the Preliminary Analysis results meeting if no Interconnection Facilities or Distribution Upgrades are required. If Interconnection Facilities or Distribution Upgrades are required and agreed to, the utility shall provide the applicant with a non-binding cost estimate of any Interconnection Facilities or Distribution Upgrades within fifteen (15) Business Days of the Supplemental Analysis results meeting. The applicant shall notify the utility within fifteen (15) Business Days following such notification indicating the intention of the applicant to accept the upgrades and proceed with the interconnection process or withdraw its application. The applicant may request one extension of no more than fifteen (15) Business Days to respond. If the applicant fails to notify the utility of their decision within fifteen (15) Business Days of notification of the Preliminary Analysis results, or at the end of the extension, if one was requested, the Interconnection Request shall be deemed inactive and no further action on the part of the utility will be required until positive confirmation is received. If the applicant does notify the utility of its intention to accept the upgrades and proceed with interconnection, the utility will return a signed and executed New York State Standardized Interconnection Contract to the applicant within fifteen (15) Business Days of receiving the notification.

ii. If the applicant chooses to proceed to a Supplemental Review results meeting and modifications that obviate the need for Supplemental analysis are not identified and agreed to, the applicant shall notify the utility, within ten (10) business days of the meeting, of their intention to proceed to a full CESIR or withdraw the Interconnection Request. If the applicant fails to notify the utility of their decision within thirty (30) business days, the Interconnection Request shall be removed from the queue and no further action on the part of the utility is required.

iii. If the applicant and the utility are unable to identify or agree to modifications that enable the applicant to pass either the Initial or Supplemental Analysis or if the applicant chooses at any time in the above process to proceed directly to a CESIR, the utility shall provide the applicant with an estimate of costs associated with the completion of the

CESIR within five (5) Business Days of the final notification to/from the applicant. The applicant shall notify the utility within ten (10) business days of receiving this cost estimate of their intention to proceed to a full CESIR and move on to Step 5 or to withdraw their application.”

An accepted application will be placed in each utility’s interconnection inventory upon the utility’s receipt of the New York State Standardized Contract executed by the applicant. If the final acceptance as set out in Step 11 below is not completed within twelve (12) months of receipt of such executed copy of the New York State Standardized Contract as a result of applicant inactivity, the utility has the right to notify the applicant by U.S. first class mail with delivery receipt confirmation that the applicant’s project will be removed from the utility’s interconnection inventory if the applicant does not respond within thirty (30) Business Days of the issue of such notification and provide a project status update and/or justification as to why the project should remain in the utility’s interconnection inventory for an additional period of time.

If a local permitting moratorium prevents an applicant from meeting the above timelines, the utilities may grant affected project applicants an extension. To be granted an extension of the required timelines, the applicant must submit the New York State Standard Moratorium Attestation Form, Appendix I. Upon payment of 25% expected upgrade costs, if applicant has received its CESIR, executed Interconnection Contract, and submission of the Attestation Form, the remainder of the total upgrade payment shall be adjusted to 120 business days from the end of the moratorium. The project will retain its exact interconnection queue position for up to twelve months from the date of the executed Interconnection Contract, or the date that the 25% upgrade cost payment was received. If applicable, the unused portion of the 25% payment shall be refunded if the project does not move forward after receiving an extension.

#### **STEP 5: Applicant Commits to the Completion of the CESIR**

Prior to commencement of the CESIR, the applicant shall provide the following information to the utility:

- a complete, detailed interconnection design package
- proof of site control by executing the New York State Standard Site Control Certification Form, Appendix J
- the name, phone number, and agent letter of authorization (if appropriate) of the individual(s) responsible for addressing technical and contractual questions regarding the proposed system, and
- if applicable, advance payment of the costs associated with the completion of the CESIR

The complete detailed interconnection design package shall include:

- (1) Electrical schematic drawing(s), including a site plan, reflecting the complete proposed system design which are easily interpreted and of a quality necessary for full interconnection. The drawings shall show all electrical components proposed for the installation and their connections to the existing on-site electrical system from that point to the PCC, and shall be clearly marked to distinguish between new and existing equipment. For those systems proposed to be interconnected at a system voltage of 1000

volts or greater, the drawings shall be sealed by a NYS licensed Professional Engineer.

- (2) A complete listing of all interconnection devices proposed for use at the PCC. A set of specifications for this equipment shall be provided by the applicant upon request from the utility.
- (3) The written verification test procedure provided by the equipment manufacturer, if such procedure is required by this document. For non-inverter based systems, testing equipment must be capable of measuring that protection settings operate within the appropriate times and thresholds set forth in Section II.
- (4) Three (3) copies of the following information:
  - Proposed three line diagram of the generation system showing the interconnection of major electrical components within the system. Single line diagrams shall be acceptable for single phase installations. Proposed equipment ratings clearly need to indicate:
    - 1) Number, individual ratings, and type of units comprising the above rating;
    - 2) General high voltage bus configuration and relay functions; and
    - 3) Proposed generator step-up transformer MVA ratings, impedances, tap settings and winding voltage ratings;
  - Electrical studies as requested by the utility to demonstrate that the design is within acceptable limits, inclusive and not limited to the following: system fault, relay coordination, flicker, voltage drop, and harmonics. This shall include all relay, communication, and controller set points.

If the utility determines that the detailed interconnection design package provided by the applicant is incomplete or otherwise deficient, the utility shall notify the applicant within ten (10) Business Days and provide a detailed explanation of the deficiencies identified and a list of what is required by the applicant. Unless otherwise notified by the utility, the CESIR review period begins upon confirmed receipt and acceptance of the applicants interconnection design package and associated fees.

#### **STEP 6: Utility Completes the CESIR**

The CESIR will consist of two parts:

- (1) a detailed review and explanation of the impacts to the utility system associated with the interconnection of the proposed system, and
- (2) a detailed review and explanation of the proposed system's compliance with the applicable criteria set forth below.

A CESIR will be performed by the utility to determine if the proposed generation on the circuit

results in any protective coordination, fault current, thermal, voltage, power quality, or equipment stress concerns.

The CESIR shall be completed within sixty (60) Business Days of receipt of the information set forth in Step 5. For systems utilizing type-tested equipment, the time required to complete the CESIR may be reduced. The utility shall complete the CESIR within sixty (60) Business Days, absent extraordinary circumstances, following authorization, receipt of the CESIR fee, and complete information set forth in Step 5. If the applicant fails to provide the utility authorization to proceed, CESIR fee and information requested within thirty (30) Business Days, the interconnection request shall be removed from the queue and no further action on the part of the utility is required.

For systems above 2 MW up to 5 MW, additional studies may often be required. A mutually agreed-upon schedule for a CESIR for these systems will not exceed an additional twenty (20) Business Days, or eighty (80) Business Days in total.

Upon completion of the CESIR, the utility will provide the following, in writing, to the applicant:

- (1) notification of whether the proposed system meets the applicable criteria considered in the CESIR process;
- (2) utility system impacts, if any;
- (3) a description of where the proposed system is not in compliance with these requirements;
- (4) detailed description of reasoning and justification for any system upgrades and associated equipment deemed necessary for interconnection of the project;
- (5) a good faith, detailed estimate of the total cost of completion of the interconnection of the proposed system and/or a statement of cost responsibility for a dedicated transformer(s) or other required interconnection equipment, which is valid for sixty (60) Business Days. This estimate must meet the following requirements:
  - (a) with respect to an applicant that is not to be net-metered, an estimate shall be provided and shall include the costs associated with any required modifications to the utility system, administration, metering, and on-site verification testing;
  - (b) with respect to an applicant that is to be net-metered and that is a Farm Wind, Farm Waste, Non-Residential Wind, Non-Residential Micro-hydroelectric, Non-Residential Fuel Cell or Non-Residential Solar applicant intending to install electric generating equipment with a rated capacity of more than 25 kW, an estimate shall be provided and shall include the applicant's responsibility for the actual cost of installing any dedicated transformer(s) and other safety equipment up to the maximum set forth in subsection (c) below;

- (c) with respect to an applicant that is to be net- metered, if the utility determines that it is necessary to install a dedicated transformer(s) or other equipment to protect the safety and adequacy of electric service provided to other customers, the applicant shall be informed of its responsibility for the actual costs for installing the dedicated transformer(s) and other safety equipment. The table in Appendix F reflects the maximum responsibility each designated applicant shall have with respect to the actual cost of the dedicated transformer(s) and other safety equipment;

Appendix E sets forth the responsibility each applicant shall have with respect to the actual cost of the dedicated transformer(s) and other safety equipment.

Utility cost estimates provided in the CESIR shall be detailed and broken down by specific equipment requirements, material needs, labor, overhead, and any other categories or efforts incorporated in the estimate. Contingencies associated with the cost estimates shall not exceed +/- 25%.

### **STEP 7: Applicant Commits to Utility Construction of Utility's System Modifications**

The applicant and utility will execute the New York Standardized Interconnection Contract for interconnection and the applicant will provide the utility with an advance payment of 25% of the utility's estimated costs as identified in Step 6 within sixty (60) Business Days. .

The utility is not required to procure any equipment or materials associated with the project or begin construction until full payment has been received. The applicant has a total of one hundred twenty (120) Business Days to provide full payment to the utility from the time of the executed contract. Utility retains the right to re-assess the project's inventory position if the applicant exceeds either of these timeframes.

If a local permitting moratorium prevents an applicant from meeting the above timelines, the utilities may grant affected project applicants an extension. To be granted an extension of the required timelines, the applicant must submit the New York State Standard Moratorium Attestation Form, Appendix I. Upon payment of 25% expected upgrade costs, if applicant has received its CESIR, executed Interconnection Contract, and submission of the Attestation Form, the remainder of the total upgrade payment shall be adjusted to 120 business days from the end of the moratorium. The project will retain its exact interconnection queue position for up to twelve months from the date of the executed Interconnection Contract, or the date that the 25% upgrade cost payment was received. If applicable, the unused portion of the 25% payment shall be refunded if the project does not move forward after receiving an extension.

### **STEP 8: Project Construction**

The applicant shall build the facility in accordance with the utility-accepted design. The utility shall commence construction/installation of system modifications and metering requirements as identified in Step 6. Utility system modifications will vary in construction time depending on the extent of work and equipment required; the schedule for this work is to be discussed and agreed upon with the applicant in Step 6.

### **STEP 9: The Applicant's Facility is Tested in Accordance with the Standardized Interconnection Requirements**

The verification testing shall be performed by the applicant in accordance with the written test procedure(s) provided by the applicant in Step 5 and any site-specific requirements identified by the utility in Step 6. The final verification testing shall be conducted within ten (10) Business Days of notification to the utility by the applicant of complete installation at a mutually agreeable time, and the utility shall be given the opportunity to witness the tests. If the utility opts not to witness the tests, the applicant shall send the utility within five (5) Business Days of completion of such testing a written notification certifying that the system has been installed and tested in compliance with the SIR, the utility-accepted design, and the equipment manufacturer's instructions.

### **STEP 10: Interconnection**

The applicant's facility will be allowed to commence parallel operation upon satisfactory completion of the tests in Step 9. In addition, the applicant must have complied with and must continue to comply with the contractual and technical requirements.

### **STEP 11: Final Acceptance and Utility Cost Reconciliation**

If the utility witnessed the verification testing, then, within ten (10) Business Days of the completion of such testing, the utility will issue to the applicant either a formal letter of acceptance for interconnection or a detailed explanation of the deficiencies in the system. If the utility did not witness the verification testing, then, within ten (10) Business Days of receiving the written test notification from Step 9, the utility will either issue to the applicant a formal letter of acceptance for interconnection, or will request that the applicant and utility set a date and time to witness operation of the DG system. This witnessed verification testing must be completed within twenty (20) Business Days after being requested. Within ten (10) Business Days of the completion of any such witnessed testing, the utility will issue to the applicant either a formal letter of acceptance for interconnection or a detailed explanation of the deficiencies in the DG system. At this time, the utility shall prepare and submit to the applicant a final reconciliation invoice of its actual costs minus the application fee and advance payments made by the applicant. The invoice shall be submitted within thirty (30) days of the later of the completion of the accepted installation or the submission of final "as built" by the applicant. The applicant will receive either a bill for any balance due or a reimbursement for overpayment as determined by the utility's reconciliation, except that a net metering applicant may not be charged in excess of the cost of installing the dedicated transformer(s) or other safety equipment described above in Step 6. The applicant may contest the reconciliation with the utility. If the utility's final reconciliation invoice states a balance due from the applicant, unless it is challenged by a formal complaint interposed by the applicant, it shall be paid to the utility within thirty (30) business days or the utility reserves the right to lock the generating system offline. If the utility's final reconciliation invoice states a reimbursement for overpayment to be paid by the utility, unless the reimbursement amount is challenged by a formal complaint interposed by the applicant, it shall be paid to the applicant within thirty (30) business days. If the applicant is not

satisfied, a formal complaint may be filed with the Commission.

#### **D. Web-Based Standard Interconnection Requirements**

Each utility shall maintain a web-based system to provide customers and contractors current information regarding the status of their SIR application process. The system shall be customer specific and post the current status of the SIR process. At a minimum the following content shall be provided:

1. The applicant's name and project/application identification number.
2. Description of the project, including at a minimum, the project's type (energy source), size, metering, and location.
3. SIR project application status, including all the steps completed and to be completed, along with corresponding completion/deadline dates associated with each step.
  - If the next action is to be taken by the utility, the expected date that action will be completed,
  - If the next action is to be taken by the applicant, what exactly is required and a contact for more information,
4. Information regarding any outstanding information request made by the utility of the applicant, and
5. The status of all amounts paid and/or due to the utility by the applicant.

Access shall be available for the customer and their authorized agent(s), such that both can access the information. The web site must be, however, secure and private from unauthorized access.

The utility web site shall also provide the ability for applicants with systems 25 kW and less to submit their application for interconnection via the web. The web-based application process must be consistent with Appendix B of the SIR and include the ability to attach associated documentation or drawings associated with each project. Electronic signatures shall be accepted and approved by utilities on associated documentation for this process.

## **Section II. Interconnection Requirements**

### **A. Design Requirements**

#### **1. Common**

The generator-owner shall provide appropriate protection and control equipment, including a protective device that utilizes an automatic disconnect device that will disconnect the generation in the event that the portion of the utility system that serves the generator is de-energized for any reason or for a fault in the generator-owner's system. The generator-owner's protection and control equipment shall be capable of automatically disconnecting the generation upon detection of an islanding condition and upon detection of a utility system fault.

The type and size of the generation facility is based on electrical generator nameplate data (AC output).

The generator-owner's protection and control scheme shall be designed to ensure that the generation remains in operation when the frequency and voltage of the utility system is within the limits specified by the required operating ranges. Upon request from the utility, the generator-owner shall provide documentation detailing compliance with the requirements set forth in this document.

The specific design of the protection, control, and grounding schemes will depend on the size and characteristics of the generator-owner's generation, as well the generator-owner's load level, in addition to the characteristics of the particular portion of the utility's system where the generator-owner is interconnecting.

The generator-owner shall have, as a minimum, an automatic disconnect device(s) sized to meet all applicable local, state, and federal codes and operated by over and under voltage and over and under frequency protection. For three-phase installations, the over and under voltage function should be included for each phase and the over and under frequency protection on at least one phase. All phases of a generator or inverter interface shall disconnect for voltage or frequency trip conditions sensed by the protective devices. Voltage protection shall be wired phase to ground for single phase installations and for applications using wye grounded-wye grounded service transformers.

The settings below are listed for single-phase and three-phase applications using wye grounded-wye grounded service transformers or wye grounded-wye grounded isolation transformers. For applications using other transformer connections, a site-specific review will be conducted by the utility and the revised settings identified in Step 6 of the Application Process.

The requirements set forth in this document are intended to be consistent with those contained in the most current version of IEEE Std 1547, Standard for Interconnecting Distributed Resources with Electric Power Systems. The requirements in IEEE Std 1547 above and beyond those contained in this document shall be followed and any other Standards included in or referenced

to in IEEE Std 1547 shall be adhered to.

### **Voltage Response**

The required operating range for the generators shall be from 88% to 110% of nominal voltage magnitude. In addition, the generator shall not cause the system voltage at the PCC to deviate from a range of 95% to 105% of the utility system voltage. For excursions outside these limits the protective device shall automatically initiate a disconnect sequence from the utility system as detailed in the most current version of IEEE Std 1547. Clearing time is defined as the time the range is initially exceeded until the generator-owner's equipment ceases to energize the PCC and includes detection and intentional time delay. Other static or dynamic voltage functionalities shall be permitted as agreed upon by the utility and generator-owner

### **Frequency Response**

The required operating range for the generators shall be from 59.3 Hz to 60.5 Hz. If deemed necessary due to abnormal system conditions the utility may request that the generator operate at frequency ranges below 59.3 Hz in coordination with the load shedding schemes of the utility system. For excursions outside these limits the protective device shall automatically initiate a disconnect sequence from the utility system as detailed in the most current version of IEEE Std 1547. Clearing time is defined as the time the range is initially exceeded until the generator-owner's equipment ceases to energize the PCC and includes detection and intentional time delay. Other static or dynamic frequency functionalities shall be permitted as agreed upon by the utility and generator-owner

### **Reconnection to the Utility System**

If the generation facility is disconnected as a result of the operation of a protective device, the generator-owner's equipment shall remain disconnected until the utility's service voltage and frequency have recovered to acceptable voltage and frequency limits as defined in the most current version of IEEE Std 1547 for a minimum of five (5) minutes. Systems greater than 25 kW that do not utilize inverter based interface equipment shall not have automatic recloser capability unless otherwise approved by the utility. If the utility determines that a facility must receive permission to reconnect, then any automatic reclosing functions must be disabled and verified to be disabled during verification testing.

## **2. Synchronous Generators**

Synchronous generation shall require synchronizing facilities. These shall include automatic synchronizing equipment or manual synchronizing with relay supervision, voltage regulator, and power factor control.

For all synchronous generators sufficient reactive power capability shall be provided by the generator-owner to withstand normal voltage changes on the utility's system. The generator voltage VAR schedule, voltage regulator, and transformer ratio settings shall be jointly determined by the utility and the generator-owner to ensure proper coordination of voltages and

regulator action. Generator-owners shall have synchronous generator reactive power capability to withstand voltage changes up to 5% of the base voltage levels.

A voltage regulator must be provided and be capable of maintaining the generator voltage under steady state conditions within plus or minus 1.5% of any set point and within an operating range of plus or minus 5% of the rated voltage of the generator.

Generator-owners shall adopt one of the following grounding methods for synchronous generators:

- a) Solid grounding
- b) High- or low-resistance grounding
- c) High- or low-reactance grounding
- d) Ground fault neutralizer grounding

Synchronous generators shall not be permitted to connect to utility secondary network systems without the acceptance of the utility.

### **3. Induction Generators**

Induction generation may be connected and brought up to synchronous speed (as an induction motor) if it can be demonstrated that the initial voltage drop measured at the PCC is acceptable based on current inrush limits. The same requirements also apply to induction generation connected at or near synchronous speed because a voltage dip is present due to an inrush of magnetizing current. The generator-owner shall submit the expected number of starts per specific time period and maximum starting kVA draw data to the utility.

Starting or rapid load fluctuations on induction generators can adversely impact the utility's system voltage. Corrective step-switched capacitors or other techniques may be necessary. These measures can, in turn, cause ferroresonance. If these measures are installed on the customer's side of the PCC, the utility will review these measures and may require the customer to install additional equipment.

### **4. Inverters**

Direct current generation can only be installed in parallel with the utility's system using a synchronous inverter. The design shall be such as to disconnect this synchronous inverter upon a utility system event. Inverters intended to provide local grid support during system events that result in voltage and/or frequency excursions as described in Section II.A.1 shall be provided with the required onboard functionality to allow for the equipment to remain online for the duration of the event.

It is recommended that equipment be selected from the Department of Public Service "Certified Interconnection Equipment list" maintained on the Commission's website. Interconnected DG systems utilizing equipment not found in such list must meet all functional requirements of the current version of IEEE Std 1547 and be protected by utility grade relays (as defined in these

requirements) using settings approved by the utility and verified in the field. The field verification test must demonstrate that the equipment meets the voltage and frequency requirements detailed in this section.

Synchronization or re-synchronization of an inverter to the utility system shall not result in a voltage deviation that exceeds the requirements contained in Section II.E, Power Quality. Only inverters designed to operate in parallel with the utility system shall be utilized for that purpose.

### 5. Minimum Protective Function Requirements

Protective system requirements for distributed generation facilities result from an assessment of many factors, including but not limited to:

- Type and size of the distributed generation facility
- Voltage level of the interconnection
- Location of the distributed generation facility on the circuit
- Distribution transformer
- Distribution system configuration
- Available fault current
- Load that can remain connected to the distributed generation facility under isolated conditions
- Amount of existing distributed generation on the local distribution system.

As a result, protection requirements cannot be standardized according to any single criteria. Minimum protective function requirements shall be as detailed in the table below. Function numbers, as detailed in the latest version of ANSI C37.2, are listed with each function. All voltage, frequency, and clearing time set points shall be field adjustable.

Synchronous Generators	Induction Generators	Inverters
Over/Under Voltage (Function 27/59)	Over/Under Voltage (Function 27/59)	Over/Under Voltage (Function 27/59)
Over/Under Frequency (Function 81O/81U)	Over/Under Frequency (Function 81O/81U)	Over/Under Frequency (Function 81O/81U)
Anti-Islanding Protection	Anti-Islanding Protection	Anti-Islanding Protection
Overcurrent (Function 50P/50G/51P/51G)	Overcurrent (Function 50P/50G/51P/51G)	Overcurrent (Function 50P/50G/51P/51G)

The need for additional protective functions shall be determined by the utility on a case- by-case basis. If the utility determines a need for additional functions, it shall notify the generator-owner in writing of the requirements. The notice shall include a description of the specific aspects of the utility system that necessitate the addition, and an explicit justification for the necessity of the

enhanced capability. The utility shall specify and provide settings for those functions that the utility designates as being required to satisfy protection practices. Any protective equipment or setting specified by the utility shall not be changed or modified at any time by the generator-owner without written consent from the utility.

The generator-owner shall be responsible for ongoing compliance with all applicable local, state, and federal codes and standardized interconnection requirements as they pertain to the interconnection of the generating equipment. Protective devices shall utilize their own current transformers and potential transformers and not share electrical equipment associated with utility revenue metering.

A failure of the generator-owner's protective devices, including loss of control power, shall open the automatic disconnect device, thus disconnecting the generation from the utility system. A generator-owner's protection equipment shall utilize a non-volatile memory design such that a loss of internal or external control power, including batteries, will not cause a loss of interconnection protection functions or loss of protection set points.

All interface protection and control equipment shall operate as specified independent of the calendar date.

## **6. Metering**

The need for additional revenue metering or modifications to existing metering will be reviewed on a case-by-case basis and shall be consistent with metering requirements adopted by the Commission.

Any incremental metering costs are included in interconnection costs that may be required of an applicant.

The following tables summarize the New York Net Metering Rules:

### New York (PSL §66-j) - Net Metering\*

Incentive Type:	Net Metering Rules								
Eligible Renewable/Other Technologies:	Solar			Micro-hydroelectric		Biogas	Micro CHP	Fuel Cell	
Applicable Sectors:	Residential	Non-Residential	Farm Service Solar	Residential	Non-Residential	Farm-Waste & Non-Residential	Residential	Residential	Non-Residential
Limit on System Size:	25 kW	Up to 2 MW	Up to 100 kW	25 kW	Up to 2 MW	2 MW	10 kW	10 kW	Up to 2 MW
Remote Net Metering:	No**	Yes	Yes	No**	Yes	Yes	No	No**	Yes
Limit on Overall Enrollment:	6% of 2005 Electric Demand per IOU for Solar, Biogas, Micro CHP, Micro-hydroelectric and Fuel Cells combined.								

<b>New York (PSL §66-l) - Net Metering*</b>			
<b>Incentive Type:</b>	Net Metering Rules		
<b>Eligible Renewable/Other Technologies:</b>	Wind		
<b>Applicable Sectors:</b>	Residential	Non-Residential	Farm-Service Wind
<b>Limit on System Size:</b>	25 kW	Up to 2 MW	500 kW
<b>Remote Net Metering</b>	No**	Yes	Yes
<b>Limit on Overall Enrollment:</b>	.3% of 2005 Demand per IOU		

\* Refer to specific utility tariff leaves for more detailed rules and regulations applicable to net metering.

\*\* Residential customers who own or operate a farm operation as defined by Agriculture and Markets Law §301(11) and locate solar photovoltaic, micro-hydroelectric, wind, or fuel cells on property owned or leased by the customer are also eligible for remote net metering.

## **B. Operating Requirements**

The generator-owner shall provide a 24-hour telephone contact. This contact will be used by the utility to arrange access for repairs, inspection, or emergencies. The utility will make such arrangements (except for emergencies) during normal business hours.

Voltage and frequency trip set point adjustments shall be accessible to service personnel only.

Any changes to these settings must be reviewed and approved by the utility.

The generator-owner shall not supply power to the utility during any outages of the utility system that serves the PCC. The generator-owner's generation may be operated during such outages only with an open tie to the utility. Islanding will not be permitted. The generator-owner shall not energize a de-energized utility circuit for any reason.

The disconnect switch specified for system size larger than 25 kW and non-inverter based systems of 25 kW or less in Section II.D, Disconnect Switch, may be opened by the utility at any time for any of the following reasons:

- a. to eliminate conditions that constitute a potential hazard to utility personnel or the general public;
- b. pre-emergency or emergency conditions on the utility system;
- c. a hazardous condition is revealed by a utility inspection;

- d. protective device tampering;
- e. parallel operation prior to utility approval to interconnect.

The disconnect switch may be opened by the utility for the following reasons, after notice to the responsible party has been delivered and a reasonable time to correct (consistent with the conditions) has elapsed:

- a. A generator-owner has failed to make available records of verification tests and maintenance of its protective devices;
- b. A generator-owner's system adversely impacts the operation of utility equipment or equipment belonging to other utility customers;
- c. A generator-owner's system is found to adversely affect the quality of service to adjoining customers.

The utility will provide a name and telephone number so that the generator-owner can obtain information about the utility lock-out.

The generator-owner shall be allowed to disconnect from the utility without prior notice in order to self-generate.

If a generator-owner proposes any modification to the system that has an impact on the interface at the PCC after it has been installed and a contract between the utility and the generator-owner has already been executed, then any such modifications must be reviewed and approved by the utility before the modifications are made.

### **C. Dedicated Transformer**

The utility reserves the right to require a power-producing facility to connect to the utility system through a dedicated transformer. The transformer shall either be provided by the connecting utility at the generator-owner's expense, purchased from the utility, or conform to the connecting utility's specifications. The transformer that is part of the normal electrical service connection of a generator-owner's facility may meet this requirement if there are no other customers supplied from it. A dedicated transformer is not required if the installation is designed and coordinated with the utility to protect the utility system and its customers adequately from potential detrimental net effects caused by the operation of the generator.

If the utility determines a need for a dedicated transformer, it shall notify the generator-owner in writing of the requirements. The notice shall include a description of the specific aspects of the utility system that necessitate the addition, the conditions under which the dedicated transformer is expected to enhance safety or prevent detrimental effects, and the expected response of a normal, shared transformer installation to such conditions.

#### **D. Disconnect Switch**

Generating equipment with system size larger than 25 kW and non-inverter based systems of 25 kW or less shall be capable of being isolated from the utility system by means of an external, manual, visible, gang-operated, load break disconnecting switch. The disconnect switch shall be installed, owned, and maintained by the customer- generator, and located between the generating equipment and its interconnection point with the utility system.

The disconnect switch must be rated for the voltage and current requirements of the installation.

The basic insulation level (BIL) of the disconnect switch shall be such that it will coordinate with that of the utility's equipment. Disconnect devices shall meet applicable requirements of the most current revision of UL, ANSI, and IEEE standards, and shall be installed to meet all applicable local, state, and federal codes. (New York City Building Code may require additional certification.)

The disconnect switch shall be clearly marked, "Generator Disconnect Switch," with permanent 3/8 inch or larger letters.

The customer-generator will propose, and the utility will approve, the location of the disconnect switch. The location and nature of the disconnect switch shall be indicated in the immediate proximity of the electric service entrance. The disconnect switch shall be readily accessible for operation and locking by utility personnel in accordance with Section II.B, Operating Requirements. The disconnect switch must be lockable in the open position with a 3/8" shank utility padlock.

For installations above 600V or with a full load output of greater than 960A, a draw-out type circuit breaker with the provision for padlocking at the draw-out position will not be an acceptable disconnect switch for the purposes of this requirement unless the use of such a circuit breaker is specifically granted by the utility, based on site-specific technical requirements. If the utility grants such use, the generator-owner will be required, upon the utility's request, to provide qualified operating personnel to open the draw-out circuit breaker and ensure isolation of the DG system, with such operation to be witnessed by the utility followed immediately by the utility locking the device to prevent re-energization. In an emergency or outage situation, where there is no access to the draw- out breaker or no qualified personnel, utilities may disconnect the electric service to the premise in order to isolate the DG system.

#### **E. Power Quality**

The maximum harmonic limits for electrical equipment shall be in accordance with the latest version of IEEE Std 519 IEEE Recommended Practices and Requirements for Harmonic Control in Electric Power Systems to limit the maximum individual frequency voltage harmonic to 3% of the fundamental frequency and the total harmonic distortion (THD) to 5% on the utility side of the PCC. Mitigation measures necessary to comply with these requirements shall at the generator-owner's expense.

## **F. Power Factor**

If the average power factor, as measured at the PCC, is less than 0.9 (leading or lagging), the method of power factor correction necessitated by the installation of the generator will be negotiated with the utility as a commercial item. If the average power factor of the generator is proven to be above the minimum of 0.9 (leading or lagging) by the customer and accepted by the utility, that power factor value shall be used for any further utility design calculations and requirements.

Induction power generators may be provided VAR capacity from the utility system at the generator-owner's expense. The installation of VAR correction equipment by the generator-owner on the generator-owner's side of the PCC must be reviewed and approved by the utility prior to installation.

## **G. Islanding**

Systems must be designed and operated so that islanding is not sustained on utility distribution circuits or on substation bus and transmission systems. The requirements listed in this document are designed and intended to prevent islanding. Special protection schemes and system modifications may be necessary based on the capacity of the proposed system and the configuration and existing loading on the subject circuit.

The need for zero sequence voltage (3Vo) and direct transfer trip (DTT) protection schemes shall be evaluated based on minimum loads on the associated feeder and substation bus, including certain fault conditions resulting from system installation to protect for an islanded condition.

## **H. Equipment Certification**

In order for the equipment to be acceptable for interconnection to the utility system without additional protective devices, the interface equipment must be equipped with the minimum protective function requirements listed in the table in Section II.A.5 and be tested by a Nationally Recognized Testing Laboratory (NRTL) recognized by the United States Occupational Safety and Health Administration (OSHA) in compliance with the most current revision of UL 1741.

For each interconnection application, documentation including the proposed equipment certification, stating compliance with UL 1741 by an NRTL, shall be provided by the applicant to the utility. Supporting information from an NRTL website or UL's website stating compliance is acceptable for documentation.

If an equipment manufacturer, vendor, or any other party desires, documentation indicating compliance as stated above may be submitted to the Department of Public Service for listing under the "Certified Interconnection Equipment (Certified Equipment)" list on the Commission's website (<http://www.dps.ny.gov/distgen.htm>).

Certification information for equipment tested and certified to the most current revision of UL 1741 by a non-NRTL shall be provided by the manufacturer, or vendor to the contacts listed on

the Public Service Commission's website (<http://www.dps.ny.gov/distgen.htm>) for review before final acceptance and posting under the Certified Equipment list. Utilities are not responsible for reviewing and approving equipment tested and certified by a non-NRTL.

If equipment is UL 1741 certified by an NRTL and compliance documentation is submitted to the utility, the utility shall accept such equipment for interconnection in New York State. All equipment certified to the most current revision of UL 1741 by an NRTL shall be deemed 'certified equipment' even if it does not appear on the Commission's website under the Certified Equipment list.

Utility grade relays need not be certified per the requirements of this section.

For DG systems that are already interconnected with the utility's electrical system and seek to use the New York State Standardized Interconnection Requirements and Application Process in order to qualify for net metering, no DG system will be required to obtain recertification the latest equipment certification standards, as long as the DG system met the equipment certification requirements by the utility in effect at the time of the DG unit's interconnection.

## **I. Verification Testing**

All interface equipment must include a verification test procedure as part of the documentation presented to the utility. Except for the case of small single-phase inverters as discussed later, the verification test must establish that the protection settings meet the SIR requirements. The verification testing may be site-specific and is conducted periodically to assure continued acceptable performance.

Upon initial parallel operation of a generating system, or any time interface hardware or software is changed, the verification test must be performed. A qualified individual must perform verification testing in accordance with the manufacturer's published test procedure. Qualified individuals include professional engineers, factory-trained and certified technicians, and licensed electricians with experience in testing protective equipment. The utility reserves the right to witness verification testing or require written certification that the testing was successfully performed.

Verification testing shall be performed at least once every four years. All verification tests prescribed by the manufacturer shall be performed. If wires must be removed to perform certain tests, each wire and each terminal must be clearly and permanently marked. The generator-owner shall maintain verification test reports for inspection by the utility.

Single-phase inverters and inverter systems rated 25 kW and below shall be verified upon initial parallel operation and once every four years as follows: the generator-owner shall interrupt the utility source and verify that the equipment automatically disconnects and does not reconnect for at least five minutes after the utility source is reconnected. The owner shall maintain a log of these operations for inspection by the connecting utility. Any system that depends upon a battery for trip power shall be checked and logged at least annually for proper voltage. Once every four (4) years the battery must be either replaced or a discharge test performed.

## **J. Interconnection Inventory**

The utilities will manage the queue of interconnection applications in their inventories in the order in which they are received and according to the timelines set forth in this document.

To ensure applications are addressed in a timely manner and monitor the overall interconnection activities, utilities shall submit an SIR inventory of projects monthly to the Public Service Commission by the 15th day of the following month. Therefore, 12 interconnection inventory submissions shall be provided each year by each of the electric utilities. Utilities shall provide DPS Staff with redacted and unredacted versions of its interconnection inventory, including the current queue, for the associated time period in Excel format. At a minimum the following information shall be provided in the inventory:

1. Utility Name
2. Applicant Name
3. System Type
4. System Capacity
5. Net Metered (Yes/No)
6. Protective Equipment
7. Application Review Start and End date
8. Preliminary Screening Analysis Start and End date
9. CESIR Start and End date
10. CESIR Costs
11. Utility Interconnection Costs
12. Customer Interconnection Costs
13. Utility System Upgrade Costs
14. Customer System Upgrade Costs
15. Verification Testing date
16. Final Letter of Acceptance date
17. Total percentage of SIR connected demand

Monthly Interconnection Inventory submissions should also be accompanied by the Net Metering Cap summary information tracked by each utility.

### Section III. Glossary of Terms

**Automatic Disconnect Device:** An electronic or mechanical switch used to isolate a circuit or piece of equipment from a source of power without the need for human intervention.

**Business Day:** Monday through Friday, excluding utility holidays.

**Cease to Energize:** Cessation of energy flow capability

**Coordinated Electric System Interconnection Review:** Any studies performed by utilities to ensure that the safety and reliability of the electric grid with respect to the interconnection of distributed generation as discussed in this document.

**Customer-Generator:** A utility customer who owns or operates electric generating equipment located and used at the customer's premises, and/or the utility customer's agent.

**Dedicated Transformer:** A transformer installed by the utility to isolate a DG system.

**Direct Transfer Trip:** Remote operation of a circuit breaker by means of a communication channel.

**Disconnect (verb):** To isolate a circuit or equipment from a source of power. If isolation is accomplished with a solid-state device, "Disconnect" shall mean to cease the transfer of power.

**Disconnect Switch:** A mechanical device used for isolating a circuit or equipment from a source of power.

**Draw-out Type Circuit Breaker:** Circuit breakers that are disconnected by physically separating, or racking, the breaker assembly away from the switchgear bus.

**Farm Waste, Net Meter, Farm Applicant:** A farm applicant who is proposing to install a farm waste anaerobic digester generating system, not to exceed 2 MW, at a farm, per the requirements of New York State Public Service Law §66-j.

**Fuel Cell, Net Meter, Residential Applicant:** A residential applicant who is proposing to install a fuel cell electric generating system located and used at the applicant's premises, not to exceed a combined rated capacity of not more than 10 kW, per the requirements of New York State Public Service Law §66-j.

**Fuel Cell, Net Meter, Non-Residential Applicant:** A non-residential applicant who is proposing to install a fuel cell electric generating system located and used at the applicant's premises, not to exceed a combined rated capacity of not more than 2 MW, per the requirements of New York State Public Service Law §66-j.

**Generator-Owner:** An applicant to operate on-site power generation equipment in parallel with the utility grid per the requirements of this document.

**Islanding:** A condition in which a portion of the utility system that contains both load and distributed generation is isolated from the remainder of the utility system. (Adopted from IEEE Std 929.)

**Micro-Combined Heat and Power, Net Meter, Residential Applicant:** A residential applicant who is proposing to install a micro-combined heat and power (Micro-CHP) generating system located and used at the applicant's premises, not to exceed 10 kW, per the requirements of New York State Public Service Law §66-j.

**Micro-Hydroelectric, Net Meter, Residential Applicant:** A residential applicant who is proposing to install a micro-hydroelectric generating equipment located and used at the applicant's premises, not to exceed 25 kW, per the requirement of New York State Public Service Law §66-j.

**Micro-Hydroelectric, Net Meter, Non-Residential Applicant:** A non-residential applicant who is proposing to install a micro-hydroelectric generating equipment located and used at the applicant's premises, not to exceed 2 MW, per the requirement of New York State Public Service Law §66-j.

**Point of Common Coupling (PCC):** The point at which the interconnection between the electric utility and the customer interface occurs. Typically, this is the customer side of the utility revenue meter.

**Preliminary Review:** A review of the generator-owner's proposed system capacity, location on the utility system, system characteristics, and general system regulation to determine if the interconnection is viable.

**Protective Device:** A device that continuously monitors a designated parameter related to the operation of the generation system that operates if preset limits are exceeded

**Remote Net Metering:** Per the Public Service Law (PSL) §66-j & §66-l Remote Net Metering allows certain types of customers and/or distributed generation technology (see tables in Section II) the option to apply excess generation credits from the customer's generator to certain other meters on property that is owned or leased by the same customer and located within the service territory of the same utility to which the customer-generator's net energy meters are interconnected and within the same load zone.

**Required Operating Range:** The range of magnitudes of the utility system voltage or frequency where the generator-owner's equipment, if operating, is required to remain in operation for the purposes of compliance with UL 1741. Excursions outside these ranges must result in the automatic disconnection of the generation within the prescribed time limits

**Safety Equipment:** Includes dedicated transformers or equipment and facilities to protect the safety and adequacy of electric service provided to other customers.

**Solar, Net Meter, Residential Applicant:** A residential applicant who is proposing to install a photovoltaic generating system, not to exceed 25 kW, in an owner occupied residence per the requirements of New York State Public Service Law §66-j.

**Solar, Net Meter, Non-Residential Applicant:** A non-residential applicant who is proposing to install a solar generating system located and used at the applicant's premises, not to exceed 2 MW, pursuant to New York State Public Service Law §66-j.

**Utility Grade Relay:** A relay that is constructed to comply with, as a minimum, the most current version of the following standards for non-nuclear facilities:

<u>Standard</u>	<u>Conditions Covered</u>
ANSI/IEEE C37.90	Usual Service Condition Ratings - <ul style="list-style-type: none"><li>• Current and Voltage Maximum design for all relay AC and DC auxiliary relays</li><li>• Make and carry ratings for tripping contacts Tripping contacts duty cycle</li><li>• Dielectric tests by manufacturer</li><li>• Dielectric tests by user</li></ul>
ANSI/IEEE C37.90.1	Surge Withstand Capability (SWC) Fast Transient Test
IEEE C37.90.2	Radio Frequency Interference
ANSI C37.2	Electric Power System Device Function Numbers
IEC 255-21-1	Vibration
IEC 255-22-2	Electrostatic Discharge
IEC 255-5	Insulation (Impulse Voltage Withstand)

**Verification Test:** A test performed upon initial installation and repeated periodically to determine that there is continued acceptable performance.

**Wind, Net Meter, Residential Applicant:** A residential applicant who is proposing to install a wind electric generating system, not to exceed a combined rated capacity of 25 kW, located and used at the applicant's primary residence, per the requirements of New York State Public Service Law §66-1.

**Wind, Net Meter, Non-Residential Applicant:** A non-residential applicant who is proposing to install a wind electric generating system located and used at the applicant's premises, not to exceed 2 MW, pursuant to New York State Public Service Law §66-1.

**Wind, Net Meter, Farm Applicant:** A farm applicant who is proposing to install a wind electric generating system, not to exceed a combined rated capacity of 500 kW, located and used at the applicant's primary residence, per the requirements of New York State Public Service Law §66-1.

**APPENDIX A**

**NEW YORK STATE STANDARDIZED CONTRACT  
FOR INTERCONNECTION OF NEW DISTRIBUTED GENERATION UNITS WITH  
CAPACITY OF 5 MW OR LESS CONNECTED IN PARALLEL WITH  
UTILITY DISTRIBUTION SYSTEMS**

**Customer Information:**

**Utility Information:**

Name:

Name:

Address:

Address:

Telephone:

Telephone:

Fax:

Fax:

Email:

Email:

Unit Application/File No.:

Utility Account Number:

## **DEFINITIONS**

**Dedicated Facilities** means the equipment and facilities on the Utility's system necessary to permit operation of the Unit in parallel with the Utility's system.

**Delivery Service** means the services the Utility may provide to deliver capacity or energy generated by Customer to a buyer to a delivery point(s), including related ancillary services.

**"Net energy metering"** means the use of a net energy meter to measure, during the billing period applicable to a customer-generator, the net amount of electricity supplied by an electric corporation and provided to the corporation by a customer-generator.

**"SIR"** means the New York State Standardized Interconnection Requirements for new distributed generation units with a nameplate capacity of 5 MW or less connected in parallel with the Utility's distribution system

**"Unit"** means the distributed generation unit with a nameplate capacity of 5 MW or less located on the Customer's premises at the time the Utility approves such Unit for operation in parallel with the Utility's system. This Agreement relates only to such Unit, but a new agreement shall not be required if the Customer makes physical alterations to the Unit that do not result in an increase in its nameplate generating capacity. The nameplate generating capacity of the Unit shall not exceed 5 MW, except for fuel cell electric generating units which shall not exceed 1.5 MW and farm waste generating units shall not exceed 2.0 MW.

## **I. TERM AND TERMINATION**

**1.1 Term:** This Agreement shall become effective when executed by both Parties and shall continue in effect until terminated.

**1.2 Termination:** This Agreement may be terminated as follows:

- a. The Customer may terminate this Agreement at any time, by giving the Utility sixty (60) days' written notice.
- b. Failure by the Customer to seek final acceptance by the Utility within twelve (12) months after completion of the utility construction process described in the SIR shall automatically terminate this Agreement.
- c. Either Party may, by giving the other Party at least sixty (60) days' prior written notice, terminate this Agreement in the event that the other Party is in default of any of the material terms and conditions of this Agreement. The terminating Party shall specify in the notice the basis for the termination and shall provide a reasonable opportunity to cure the default.
- d. The Utility may, by giving the customer at least sixty (60) days' prior written notice, terminate this Agreement for cause. The Customer's non-compliance with an upgrade to the SIR, unless the Customer's installation is "grandfathered," shall constitute good cause.

**1.3 Disconnection and Survival of Obligations:** Upon termination of this Agreement the Unit will be disconnected from the Utility's electric system. The termination of this Agreement shall not relieve either Party of its liabilities and obligations, owed or continuing at the time of the termination.

**1.4 Suspension:** This Agreement will be suspended during any period in which the Customer is not eligible for delivery service from the Utility

## **II. SCOPE OF AGREEMENT**

**2.1 Scope of Agreement:** This Agreement relates solely to the conditions under which the Utility and the Customer agree that the Unit may be interconnected to and operated in parallel with the Utility's system.

**2.2 Electricity Not Covered:** The Utility shall have no duty under this Agreement to account for, pay for, deliver, or return in kind any electricity produced by the Facility and delivered into the Utility's System unless the system is net metered as described in Public Service Law Sections 66-j or 66-l.

### III. INSTALLATION, OPERATION AND MAINTENANCE OF UNIT

**3.1 Compliance with SIR:** Subject to the provisions of this Agreement, the Utility shall be required to interconnect the Unit to the Utility's system, for purposes of parallel operation, if the Utility accepts the Unit as in compliance with the SIR. The Customer shall have a continuing obligation to maintain and operate the Unit in compliance with the SIR.

**3.2 Observation of the Unit - Construction Phase:** The Utility may, in its discretion and upon reasonable notice, conduct reasonable on-site verifications during the construction of the Unit. Whenever the Utility chooses to exercise its right to conduct observations herein it shall specify to the Customer its reasons for its decision to conduct the observation. For purposes of this paragraph and paragraphs 3.3 through 3.5, the term "on-site verification" shall not include testing of the Unit, and verification tests shall not be required except as provided in paragraphs 3.3 and 3.4.

**3.3 Observation of the Unit - Ten-day Period:** The Utility may conduct on-site verifications of the Unit and observe the execution of verification testing within a reasonable period of time, not exceeding ten (10) business days after system installation. The applicant's facility will be allowed to commence parallel operation upon satisfactory completion of the verification test. The applicant must have complied with and must continue to comply with all contractual and technical requirements.

**3.4 Observation of the Unit - Post-Ten-day Period:** If the Utility does not perform an on-site verification of the Unit and observe the execution of verification testing within the ten-day period, the Customer will send the Utility within five (5) days of the verification testing a written notification certifying that the Unit has been installed and tested in compliance with the SIR, the utility-accepted design and the equipment manufacturer's instructions. The Customer may begin to produce energy upon satisfactory completion of the verification test. After receiving the verification test notification, the Utility will either issue to the Customer a formal letter of acceptance for interconnection, or may request that the applicant and utility set a date and time to conduct an on-site verification of the Unit and make reasonable inquiries of the Customer, but only for purposes of determining whether the verification tests were properly performed. The Customer shall not be required to perform the verification tests a second time, unless irregularities appear in the verification test report or there are other objective indications that the tests were not properly performed in the first instance.

**3.5 Observation of the Unit - Operations:** The Utility may conduct on-site verification of the operations of the Unit after it commences operations if the Utility has a reasonable basis for doing so based on its responsibility to provide continuous and reliable utility service or as authorized by the provisions of the Utility's Retail Electric Tariff relating to the verification of customer installations generally.

**3.6 Costs of Dedicated Facilities:** During the term of this Agreement, the Utility shall design, construct and install the Dedicated Facilities. The Customer shall be responsible for paying the incremental capital cost of such Dedicated Facilities attributable to the Customer's Unit. All costs associated with the operation and maintenance of the Dedicated Facilities after the Unit

first produces energy shall be the responsibility of the Utility.

#### **IV. DISCONNECTION OF THE UNIT**

**4.1 Emergency Disconnection:** The Utility may disconnect the Unit, without prior notice to the Customer (a) to eliminate conditions that constitute a potential hazard to Utility personnel or the general public; (b) if pre-emergency or emergency conditions exist on the Utility system; (c) if a hazardous condition relating to the Unit is observed by a Utility inspection; or (d) if the Customer has tampered with any protective device. The Utility shall notify the Customer of the emergency if circumstances permit.

**4.2 Non-Emergency Disconnection:** The Utility may disconnect the Unit, after notice to the responsible party has been provided and a reasonable time to correct, consistent with the conditions, has elapsed, if (a) the Customer has failed to make available records of verification tests and maintenance of his protective devices; (b) the Unit system interferes with Utility equipment or equipment belonging to other customers of the Utility; (c) the Unit adversely affects the quality of service of adjoining customers.

**4.3 Disconnection by Customer:** The Customer may disconnect the Unit at any time.

**4.4 Utility Obligation to Cure Adverse Effect:** If, after the Customer meets all interconnection requirements, the operations of the Utility are adversely affecting the performance of the Unit or the Customer's premises, the Utility shall immediately take appropriate action to eliminate the adverse effect. If the Utility determines that it needs to upgrade or reconfigure its system the Customer will not be responsible for the cost of new or additional equipment beyond the point of common coupling between the Customer and the Utility.

#### **V. ACCESS**

**5.1 Access to Premises:** The Utility shall have access to the disconnect switch of the Unit at all times. At reasonable hours and upon reasonable notice consistent with Section III of this Agreement, or at any time without notice in the event of an emergency (as defined in paragraph 4.1), the Utility shall have access to the Premises.

**5.2 Utility and Customer Representatives:** The Utility shall designate, and shall provide to the Customer, the name and telephone number of a representative or representatives who can be reached at all times to allow the Customer to report an emergency and obtain the assistance of the Utility. For the purpose of allowing access to the premises, the Customer shall provide the Utility with the name and telephone number of a person who is responsible for providing access to the Premises.

**5.3 Utility Right to Access Utility-Owned Facilities and Equipment:** If necessary for the purposes of this Agreement, the Customer shall allow the Utility access to the Utility's equipment and facilities located on the Premises. To the extent that the Customer does not own all or any part of the property on which the Utility is required to locate its equipment or facilities

to serve the Customer under this Agreement, the Customer shall secure and provide in favor of the Utility the necessary rights to obtain access to such equipment or facilities, including easements if the circumstances so require.

## **VI. DISPUTE RESOLUTION**

**6.1 Good Faith Resolution of Disputes:** Each Party agrees to attempt to resolve all disputes arising hereunder promptly, equitably and in a good faith manner.

**6.2 Mediation:** If a dispute arises under this Agreement, and if it cannot be resolved by the Parties within ten (10) business days after written notice of the dispute, the parties agree to submit the dispute to mediation by a mutually acceptable mediator, in a mutually convenient location in New York State, in accordance with the then current CPR Institute for Dispute Resolution Mediation Procedure, or to mediation by a mediator provided by the New York Public Service Commission. The Parties agree to participate in good faith in the mediation for a period of up to 90 days. If the Parties are not successful in resolving their disputes through mediation, then the parties may refer the dispute for resolution to the New York Public Service Commission, which shall maintain continuing jurisdiction over this Agreement.

**6.3 Escrow:** If there are amounts in dispute of more than two thousand dollars (\$2,000), the Customer shall either place such disputed amounts into an independent escrow account pending final resolution of the dispute in question, or provide to the Utility an appropriate irrevocable standby letter of credit in lieu thereof.

## **VII. INSURANCE**

**7.1** The Customer is not required to provide general liability insurance coverage as part of this Agreement, the SIR, or any other Utility requirement. Due to the risk of incurring damages however, the Public Service Commission recommends that every distributed generation customer protect itself with insurance.

**7.2 Effect:** The inability of the Utility to require the Customer to provide general liability insurance coverage for operation of the Unit is not a waiver of any rights the Utility may have to pursue remedies at law against the Customer to recover damages.

## **VIII. MISCELLANEOUS PROVISIONS**

**8.1 Beneficiaries:** This Agreement is intended solely for the benefit of the Parties hereto, and if a Party is an agent, its principal. Nothing in this Agreement shall be construed to create any duty to, or standard of care with reference to, or any liability to, any other person.

**8.2 Severability:** If any provision or portion of this Agreement shall for any reason be held or adjudged to be invalid or illegal or unenforceable by any court of competent jurisdiction, such portion or provision shall be deemed separate and independent, and the remainder of this Agreement shall remain in full force and effect.

**8.3 Entire Agreement:** This Agreement constitutes the entire Agreement between the Parties and supersedes all prior agreements or understandings, whether verbal or written.

**8.4 Waiver:** No delay or omission in the exercise of any right under this Agreement shall impair any such right or shall be taken, construed or considered as a waiver or relinquishment thereof, but any such right may be exercised from time to time and as often as may be deemed expedient. In the event that any agreement or covenant herein shall be breached and thereafter waived, such waiver shall be limited to the particular breach so waived and shall not be deemed to waive any other breach hereunder.

**8.5 Applicable Law:** This Agreement shall be governed by and construed in accordance with the law of the State of New York.

**8.6 Amendments:** This Agreement shall not be amended unless the amendment is in writing and signed by the Utility and the Customer.

**8.7 Force Majeure:** For purposes of this Agreement, "Force Majeure Event" means any event: (a) that is beyond the reasonable control of the affected Party; and (b) that the affected Party is unable to prevent or provide against by exercising reasonable diligence, including the following events or circumstances, but only to the extent they satisfy the preceding requirements: acts of war, public disorder, insurrection, or rebellion; floods, hurricanes, earthquakes, lightning, storms, and other natural calamities; explosions or fires; strikes, work stoppages, or labor disputes; embargoes; and sabotage. If a Force Majeure Event prevents a Party from fulfilling any obligations under this Agreement, such Party will promptly notify the other Party in writing, and will keep the other Party informed on a continuing basis of the scope and duration of the Force Majeure Event. The affected Party will specify in reasonable detail the circumstances of the Force Majeure Event, its expected duration, and the steps that the affected Party is taking to mitigate the effects of the event on its performance. The affected Party will be entitled to suspend or modify its performance of obligations under this Agreement, other than the obligation to make payments then due or becoming due under this Agreement, but only to the extent that the effect of the Force Majeure Event cannot be mitigated by the use of reasonable efforts. The affected Party will use reasonable efforts to resume its performance as soon as possible.

**8.8 Assignment to Corporate Party:** At any time during the term, the Customer may assign this Agreement to a corporation or other entity with limited liability, provided that the Customer obtains the consent of the Utility. Such consent will not be withheld unless the Utility can demonstrate that the corporate entity is not reasonably capable of performing the obligations of the assigning Customer under this Agreement.

**8.9 Assignment to Individuals:** At any time during the term, the Customer may assign this Agreement to another person, other than a corporation or other entity with limited liability, provided that the assignee is the owner, lessee, or is otherwise responsible for the Unit.

**8.10 Permits and Approvals:** Customer shall obtain all environmental and other permits lawfully required by governmental authorities prior to the construction and for the operation of the Unit during the term of this Agreement.

**8.11 Limitation of Liability:** Neither by inspection, if any, or non-rejection, nor in any other way, does the Utility give any warranty, express or implied, as to the adequacy, safety, or other characteristics of any structures, equipment, wires, appliances or devices owned, installed or maintained by the Customer or leased by the Customer from third parties, including without limitation the Unit and any structures, equipment, wires, appliances or devices appurtenant thereto.

**ACCEPTED AND AGREED:**

**Customer Signature:**

**Printed Name:**

**Title:**

**Date:**

**Utility Signature:**

**Printed Name:**

**Title:**

**Date:**

**APPENDIX B**

**NEW YORK STATE STANDARDIZED APPLICATION FOR  
INTERCONNECTION OF INVERTER BASED PARALLEL  
GENERATION EQUIPMENT TO THE ELECTRIC SYSTEM OF**

**Utility:**

**Customer:**

Name: Phone: (     ) )  
Address: Fax: (     ) )  
Email:  
Municipality:  
Utility Account No.: Utility Meter No.:

**Agent (if any):**

Name: Phone: (     ) )  
Address: Fax: (     ) )  
Email:

**Consulting Engineer or Contractor:**

Name: Phone: (     ) )  
Address: Fax: (     ) )  
Email:

**Existing Electric Service:**

Capacity: \_\_\_\_\_ Amperes  
Voltage: \_\_\_\_\_ Volts  
Service Character:   ( ) Single Phase   ( ) Three Phase

**Location of Protective Interface Equipment on Property:**

*(Include address if different from customer address.)*

**Energy Producing Inverter Information:**

Total AC Nameplate Rating of All Inverters:

Inverter

Inverter or System Tested to UL 1741 (most current version):

Yes  No *If no, attach product literature.*

Manufacturer:

Model:

Quantity:

Rating per inverter: \_\_\_\_\_ kW

Type:  Forced Commutated  Line Commutated

Utility Interactive  Stand Alone

Rated Output: \_\_\_\_\_ Amperes \_\_\_\_\_ Volts

Ramp Rate:

Method of Grounding:  Grounded  Ungrounded

Quantity of Inverters:

*If there is more than one inverter of different types of manufacturers, please provide information on a separate sheet.*

If applicable:

Step Up Transformer Winding Configuration:

Wye-Wye  Wye-Delta  Delta-Wye

Other existing DG such as emergency generators, other renewable technologies, microturbines, hydro, fuel cells, battery storage, etc:

Yes  No

*If yes, provide information about existing generation on separate sheet and include detail on one-line diagram.*

**Signature:**

\_\_\_\_\_  
CUSTOMER/AGENT SIGNATURE

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
DATE

## APPENDIX C

### NEW YORK STATE STANDARDIZED APPLICATION FOR INTERCONNECTION OF NON-INVERTER BASED PARALLEL GENERATION EQUIPMENT TO THE ELECTRIC SYSTEM OF

#### Utility:

#### Customer:

Name: Phone: (     )     )

Address: Fax: (     )     )

Email:

Municipality:

Utility Account No.:

Utility Meter No.:

#### Agent (if any):

Name: Phone: (     )     )

Address: Fax: (     )     )

Email:

#### Consulting Engineer or Contractor:

Name: Phone: (     )     )

Address: Fax: (     )     )

Email:

#### Estimated In-Service Date:

#### Existing Electric Service:

Capacity: \_\_\_\_\_ Amperes

Voltage: \_\_\_\_\_ Volts

Service Character:    ( ) Single Phase       ( ) Three Phase

Secondary 3 Phase Transformer Connection:    ( ) Wye       ( ) Delta

#### Location of Protective Interface Equipment on Property:

*(Include address if different from customer address.)*

#### Energy Producing Inverter Information:

Manufacturer:

Model No.:

Version No.:

Synchronous  Induction  Other

Rating: \_\_\_\_\_ kW

Rating: \_\_\_\_\_ kVA

Rated Output: \_\_\_\_\_ VA

Rated Voltage: \_\_\_\_\_ Volts

Rated Frequency: \_\_\_\_\_ Hz

Rated Speed: \_\_\_\_\_ RPM

Efficiency: \_\_\_\_\_ %

Power Factor: \_\_\_\_\_ %

Rated Current: \_\_\_\_\_ Amps

Locked Rotor Current: \_\_\_\_\_ Amps

Synchronous Speed: \_\_\_\_\_ RPM

Winding Connection:

Min. Operating Freq./Time:

Generator Connection:  Delta  Wye  Wye Grounded

System Tested to UL 1741 (most current version) (Total System):

Yes  No *If no, attach product literature.*

Equipment Tested to UL 1741 (most current version) (i.e., Protection System):

Yes  No *If no, attach product literature.*

Three Line Diagram attached:  Yes

Verification Test Plan attached:  Yes

If applicable, Certification to UL 1741 attached:  Yes



**For Induction Machines:**

Rotor Resistance ( $R_r$ ): \_\_\_\_\_ ohms      Exciting Current: \_\_\_\_\_ Amps

Rotor Reactance ( $X_r$ ): \_\_\_\_\_ ohms      Reactive Power Required:

Magnetizing Reactance ( $X_m$ ): \_\_\_\_\_ ohms, \_\_\_\_\_ VARs (No Load)

Stator Resistance ( $R_s$ ): \_\_\_\_\_ ohms, \_\_\_\_\_ VARs (Full Load)

Stator Reactance ( $X_s$ ): \_\_\_\_\_ ohms

Short Circuit Reactance ( $X''_d$ ): \_\_\_\_\_ ohms,

Phases:    ( ) Single Phase    ( ) Three Phase

Frame Size: \_\_\_\_\_      Design Letter: \_\_\_\_\_

Temp. Rise: \_\_\_\_\_ °C

Step Up Transformer Winding Configuration:

( ) Wye-Wye      ( ) Wye-Delta      ( ) Delta-Wye

**Signature:**

\_\_\_\_\_  
CUSTOMER/AGENT SIGNATURE

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
DATE

## APPENDIX D

### PRE-APPLICATION REPORT FOR THE CONNECTION OF PARALLEL GENERATION EQUIPMENT TO THE UTILITY DISTRIBUTION SYSTEM

Utility:

<b>DG Project Information: (Provided to Utility by Applicant)</b>
Customer name
Location of Project: (Address and/or GPS Coordinates)
DG technology type
DG fuel source / configuration
Proposed project size in kW (AC)
Date of Pre-Application Request
<b>Pre-Application Report: (Provided to Applicant by Utility – 10 Business Days)</b>
Operating voltage of closest distribution line
Phasing at site
Approximate distance to 3-Phase (if only 1 or 2 phases nearby)
Circuit capacity (MW)
Fault current availability, if readily obtained
Circuit peak load for the previous calendar year
Circuit minimum load for the previous calendar year
Approximate distance (miles) between serving substation and project site
Number of substation banks
Total substation bank capacity (MW)
Total substation peak load (MW)
Aggregate existing distributed generation on the circuit (kW)
Aggregate queued distributed generation on the circuit (kW)

## APPENDIX E

### COST RESPONSIBILITY FOR DEDICATED TRANSFORMER(S) AND OTHER SAFETY EQUIPMENT FOR NET METERED CUSTOMERS

Generator Type	Generator Size	Equipment Cost to <b>Residential</b> Net Metered Customers	Equipment Cost to <b>Non-Residential</b> Net Metered Customers****
Micro-CHP	Less than or equal to 10 kW	\$350 maximum	N/A
Fuel Cell	Less than or equal to 10 kW	\$350 maximum	As determined by Utility*
Fuel Cell	Over 10 kW up to 2MW	N/A	As determined by Utility*
Solar	Less than or equal to 25 kW	\$350 maximum	\$350 maximum
Solar****	Over 25 kW up to 2 MW	N/A	As determined by Utility*
Micro-hydroelectric	Less than or equal to 25 kW	\$350 maximum	As determined by Utility*
Micro-hydroelectric	Over 25 kW up to 2 MW	N/A	As determined by Utility*
Wind **	Less than or equal to 25 kW	\$750 maximum	\$750 maximum
Wind	Over 25 kW up to 2 MW	N/A	As determined by Utility*
Farm Wind ***	Over 25 kW up to 500 kW	N/A	\$5,000 maximum***
Farm Waste ***	Up to 2 MW	N/A	\$5,000 maximum***

\* Subject to review by the Commission at the request of the Customer. Such costs can include the total costs for upgrades to ensure the adequacy of the distribution system which would not have been necessary but for the interconnection of the net metered DG resource (as per PSL §66-j(3)(c)(iii) or PSL §66-l(3)(c)(iii)).

\*\* Residential and Non-Residential Wind Customers with a total rated capacity up to 25 kW, Farm Wind and Farm Waste Customers may be required to also pay for feeder line upgrades that would not be required but for the interconnection of the net metered DG resource. Residential and Non-Residential Wind, Farm Wind and Farm Waste Customers are responsible for all feeder line upgrade costs if the total nameplate rating of the generating equipment exceeds 20% of the rated capacity of the feeder line (as per PSL §66-l(5)(c)(ii) and PSL §66-j(5)(b)(iii)). Farm Wind Customers are responsible for 50% of feeder line upgrade costs if the total nameplate rating of the generating equipment does not exceed 20% of the rated capacity of the feeder line(as per PSL §66-l(2)).

\*\*\* For Farm Waste projects with a total nameplate rating of the generation equipment that does not exceed 20% of the rated capacity of the local feeder line to which the project will connect, the CESIR costs are included in the \$5,000 limitation. For Farm Wind projects with a total nameplate rating of the generation equipment that does not exceed 20% of the rated capacity of the local feeder line to which the project will connect, that portion of the CESIR costs related to transformers or other equipment installed at the customer's site is included in the \$5,000 limitation; however, the customer is also responsible for 50% of the CESIR costs related to feeder line upgrades. For Farm Waste and Farm Wind projects with a total nameplate rating of the generation equipment that does exceed 20% of the rated capacity of the local feeder line to which the project will connect, CESIR costs related to

transformers or other equipment installed at the customer's site is included in the \$5,000 limitation; however, Farm Wind and Farm Waste customer are responsible for the CESIR costs related to feeder line upgrades. For farm waste electric generation at a Non-farm location, the interconnection cost for installing dedicated transformers or other equipment for farm waste generating equipment rated over 25kW will be determined by the utility.

\*\*\*\* Equipment Upgrade Cost Sharing Requirements: the first project triggering an eligible upgrade will initially bear 100% of the cost, while subsequent projects benefitting from those upgrade will reimburse the first project developer. The share of the costs paid by subsequent developers shall be calculated as the ratio of the total upgrade cost to the total AC watts the upgrade serves. If a third project uses the upgrade, the utility will perform a new calculation based on the new number of total watts served; the third project will pay its share and the utility will divide the third project's contribution among the first two projects. Sharing continues according to this formula until the capacity of the upgrade is used up or the net costs to the participating projects falls to \$100,000 or lower, whichever comes first. The Utilities shall administer the allocation process and track the payments among contributing projects. The Utilities are authorized to collect a \$750 fee from developers for processing each reimbursement. The Equipment Upgrade Cost Sharing Requirement is limited in several ways. First, cost sharing only applies to substation 3V0 protection, substation transformer upgrades, and other substation-level shared upgrades. Second, only those upgrades that cost in excess of \$250,000 are subject to sharing. Third, projects below 200 kW AC in size are not required to participate.

## APPENDIX F

### APPLICATION PACKAGE CHECKLIST

Completed standard application form	✓
New York State Standardized Acknowledgement of Property Owner Consent Form – For Systems above 50 kW up to 5 MW Only – Refer to Appendix H for form	✓
Signed copy of the standard contract	✓
Letter of authorization, signed by the Customer, to provide for the contractor to act as the customer's agent, if necessary	✓
If requesting a new service, a site plan with the proposed interconnection point identified by a Google Earth, Bing Maps or similar satellite image. For those projects on existing services, account and meter numbers shall be provided	✓
Description / Narrative of the project and site proposed. If multiple DG systems are being proposed at the same site/location, this information needs to be identified and explained in detail.	✓
DG technology type	✓
DG fuel source / configuration	✓
Proposed project size in AC kW	✓
Project is net metered, remote, or community net metered	✓
Metering configuration	✓
Copy of the certificate of compliance referencing UL 1741	✓
Copy of the manufacturer's data sheet for the interface equipment	✓
Copy of the manufacturer's verification test procedures, if required	✓
System Diagram - A three line diagram for designs proposed on three phase systems, including detailed information on the wiring configuration at the PCC and an exact representation of existing utility service. One line diagrams shall be acceptable for single phase installations	✓

## **APPENDIX G**

### **PRELIMINARY SCREENING ANALYSIS**

#### **Screen A: Is the PCC on a Networked Secondary System?**

Does the proposed system connect to a secondary network system?

- If yes (fail),
- If no (pass), continue to Screen B.

#### **Screen B: Is Certified Equipment Used?**

Does the Interconnection Request propose to use equipment that has been listed to meet UL1741 (Inverters, Converters and Charge Controllers for Use in Independent Power Systems) by a nationally recognized testing laboratory?

- If yes (pass), continue to Screen C.
- If no (fail)

#### **Screen C: Is the Electric Power System (EPS) Rating Exceeded?**

Do the maximum aggregated Gross Ratings for all the Generating Facilities connected to an EPS exceed any EPS rating, modified per established Distribution Provider practice, absent any Generating Facilities?

- If yes (fail),
- If no (pass), continue to Screen D.

### Screen D: Is the Line Configuration Compatible with the Interconnection Type?

Line Configuration Screen: Identify primary distribution line configuration that will serve the Generating Facility. Based on the type of Interconnection to be used for the Generating Facility, determine from the table below if the proposed Generating Facility passes the Screen.

- If yes (pass), continue to Screen E.
- If no (fail)

Primary Distribution Line Type	Type of Interconnection to Primary Distribution Line	Result / Criteria
Three-phase, three wire, > 5 kV	3-phase	Pass
Three-phase, four wire, >5 kV	Effectively-grounded 3 phase	Pass
All	Single phase, phase-phase, or ineffectively grounded sources or transformers	Fail

### Screen E: Simplified Penetration Test

Is the aggregate Generating facility capacity on the Line Section less than 15% of the annual peak load for all Line Sections bounded by automatic sectionalizing devices?

- If yes (pass), continue to Screen F.
- If no (fail), Supplemental Review is required, continue to Screen F.

### Screen F: Simplified Voltage Fluctuation Test

In aggregate with existing generation on the Line Section

- a. Can the Generating Facility parallel with the Distribution Provider's Distribution System without causing a voltage fluctuation at the PCC greater than 5% of the prevailing voltage level of the Distribution System at the PCC?

- If yes (pass), Preliminary Screening Analysis is complete.
- If no (fail), Supplemental Review is required

## **SUPPLEMENTAL SCREENING ANALYSIS**

### **Screen G: Supplemental Penetration Test**

Where 12 months of line section minimum load data is available, can be calculated, can be estimated from existing data, or determined from a power flow model, is the aggregate Generating Facility capacity on the Line Section less than 100% of the minimum load for all line sections bounded by automatic sectionalizing devices upstream of the Generating Facility?

- If yes (pass), continue to Screen H.
- If no (fail), a quick review of the failure may determine the requirements to address the failure; otherwise the Interconnecting Customer may be required go on to the Coordinated Electric System Interconnection Review (CESIR) process. Continue to Screen H.

### **Screen H: Power Quality and Voltage Tests**

In aggregate with existing generation on the Line Section,

- a. Can it be determined within the Supplemental Review that the voltage regulation on the line section can be maintained in compliance with current voltage regulation requirements under all system conditions?
- b. Can it be determined within the Supplemental Review that the voltage fluctuation is within acceptable limits as defined by IEEE 1453 or utility practice similar to IEEE1453?
- c. Can it be determined within the Supplemental Review that the harmonic levels meet IEEE519 limits at the Point of Common Coupling (PCC)?

- If yes to all of the above (pass), continue to Screen I.
- If no to any of the above (fail), a quick review of the failure may determine the requirements to address the failure; otherwise the Interconnecting Customer may be required go on to the Coordinated Electric System Interconnection Review (CESIR) process. Continue to Screen I.

### **Screen I: Safety and Reliability Tests**

Does the location of the proposed Generating Facility or the aggregate generation capacity on the Line Section create specific impacts to safety or reliability that cannot be adequately addressed without a detailed study?

- If yes (fail), a quick review of the failure may determine the requirements to address the failure; otherwise the Interconnecting Customer will be provided with information on the specific points of failure in the supplemental review results and may go to the Coordinated Electric System Interconnection Review (CESIR) process.
- If no (pass), Supplemental Review is complete.

**APPENDIX H**

**New York State Standardized Acknowledgment of Property Owner Consent Form**

**Interconnecting Utility:** \_\_\_\_\_

**Utility Project Number (if available):** \_\_\_\_\_

(Note: This Acknowledgment is to be signed by the owner of the property where the proposed distributed generation facility and interconnection will be placed, when the owner or operator of the proposed distributed generation facility is not also the owner of the property, and the property owner's electric facilities will not be involved in the interconnection of the distributed generation facility.)

This Acknowledgment is executed by \_\_\_\_\_,  
(the "Property Owner"; as used herein the term shall include the Property Owner's successors in interest to the Property), as owner of the real property situated in the City/Town of \_\_\_\_\_, \_\_\_\_\_ County, New York, known as \_\_\_\_\_ [street address] (the "Property"), at the request of \_\_\_\_\_ [name of Developer] (the "Developer"; as used herein the term shall include the Developer's successors and assigns).

This Acknowledgment does not grant or convey any interest in the Property to the Developer.

1. The Property Owner certifies as of the date indicated below that the Property Owner is working exclusively with the Developer on a proposal to install a distributed generation facility (the "Facility") on the Property.

OR

2. The Property Owner certifies as of the date indicated below that the Developer has executed with the Property Owner one of the following: a signed option agreement to lease or purchase the Property, an executed Property lease, or an executed purchase agreement for the Property granting the Developer a right to use the Property for purposes of installing the Facility.

Property Owner:

Developer:

By: \_\_\_\_\_

By: \_\_\_\_\_

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

APPENDIX I

**New York State Standard Moratorium Attestation Form**

[UTILITY COMPANY NAME]  
[UTILITY DEPT. NAME AND CONTACT NAME]  
[UTILITY STREET ADDRESS]  
[CITY/TOWN, New York [ZIP CODE]

<b>Re:</b>	DEVELOPER	[name]
		[contact information]
	PROJECT	[utility ID number]
	PROPERTY	[street address]
		[municipality/county]
		[city/town and zip code]

\_\_\_\_\_ [DEVELOPER NAME] hereby attests that it will notify the  
interconnecting utility identified above of the date that the moratorium on solar development in  
\_\_\_\_\_ [MUNICIPALITY NAME] is lifted.

By signing below, Developer confirms that this attestation is true and correct.

By: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**APPENDIX J**

**New York State Standard Site Control Certification Form**

UTILITY COMPANY NAME]  
 [UTILITY DEPT. NAME AND CONTACT NAME]  
 [UTILITY STREET ADDRESS]  
 [CITY/TOWN, New York [ZIP CODE]

<b>Re:</b>	DEVELOPER	[name]
		[contact information]
	PROJECT	[utility ID number]
	PROPERTY	[street address]
		[municipality/county]
		[city/town and zip code]

\_\_\_\_\_ (the “Property Owner”) is the owner of the above-referenced property (the “Property”).

\_\_\_\_\_ (the “Developer”) is the developer of the project identified above.

The Property Owner and the Developer have entered into an agreement authorizing the Developer to use the Property for the purpose of constructing and operating a distributed generation facility. The type of agreement that is in place is indicated below by a check mark.

	Signed option agreement to lease or purchase the Property
	Executed lease agreement for the Property
	Executed agreement to purchase the Property
	License or other agreement granting exclusive right to use the Property for purposes of constructing and operating the distributed generation facility

Property Owner and Developer entered into the agreement on or about \_\_\_\_\_  
 (MM/DD/YYYY)

Term of Agreement (including options to extend) \_\_\_\_\_  
 (MM/DD/YYYY)

**Property Owner**

**Developer**

By: \_\_\_\_\_

By: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_