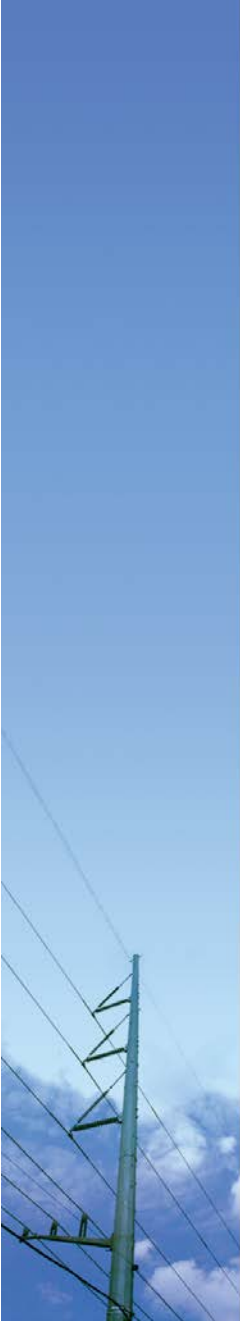


# Member Impacting Project Overview Integrated Marketplace Regulatory Workstream



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## Version Control

Version	Date	Author	Change Description
1.0	7/18/2011	Beth Miller	Initial Version
2.0	4/15/2013	Beth Miller	Added definitions section explaining milestones, updated timeline with new items involving SPP Regulatory, Compliance, and CBASC. Updated timeline slide with new dates. Added additional compliance filings for 2013.

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## Executive Summary

The Regulatory/Tariff and Compliance Workstream scope includes creating and managing all necessary NERC, FERC and state documents and filings related to the Integrated Marketplace and the Consolidated Balancing Authority ("CBA"). It is responsible for coordinating revisions to all SPP Governing documents and continually reviewing documents to ensure consistency and compliance. It also ensures all appropriate approvals from FERC, NERC, and state regulatory authorities, including CBA Registration and Certification, are secured for timely implementation and participation. Additionally, the Regulatory Staff provides communication and education outreach for market participants and regulatory authorities.

As part of planning for the Integrated Marketplace changes, an ad-hoc task force was created with senior representatives for the MWG and RTWG to help develop the initial draft language, review it, communicate it across the stakeholder groups and support it through the stakeholder process.

This MIPO will focus on the changes being made to the language in SPPs governing documents that may impact member business processes or systems. The workplan includes the process of developing, revising and approving draft language for SPPs Governing documents, which include; the SPP Tariff, Membership Agreement, and Business Practices. It encompasses overseeing the revised draft language as it moves through the stakeholder process, through MOPC and BOD approval, and through the FERC lifecycle until final approval.

Version 2.0 of this MIPO includes updates to the timeline for SPPs approvals and associated filings, identifying filings that have been made to date, orders received from FERC and additional filings due through 2013.

## Business Impact

The impact is to the members that need to revise their business processes or systems based on the governing document changes of the Integrated Marketplace.

*Users Impacted*  
TBD

*Business Functions Impacted*  
TBD

## Technical Impact

*SPP Systems/Processes Impacted*

This workplan does not have direct oversight of the system changes that are required based on the Integrated Marketplace implementation; however, it provides the timeline of the Regulatory filings that need to be made in order for a member to participate in the Integrated Marketplace.

The primary change is to Attachment AE which replaces the EIS Market with the Integrated Marketplace.

For CBA related system changes, please see the CBA MIPO  
[http://www.spp.org/publications/MIPO\\_PR20070038\\_IM\\_CBA\\_V2\\_1.pdf](http://www.spp.org/publications/MIPO_PR20070038_IM_CBA_V2_1.pdf)

Anticipated Member Systems/Processes Impacted  
Not Applicable

### Summary of Timeline

Estimated Start Date	Estimated Complete Date	Responsible Party	Action	Description	Status
7/29/2011	7/29/2011	JMTTF	JMTTF completes reviews of revised draft language, excluding CBA, Credit, and Membership Agreement	Tariff language for Marketplace filing reviewed and submitted to RTWG, MWG	Complete
8/4/2011	8/4/2011	SPP Regulatory	Post revised draft OATT language, excluding CBA, Credit, Reserve Sharing, and the Membership Agreement to the stakeholder groups' (MWG and RTWG) website for review	OATT Language posted for review	Complete
8/23/2011	8/23/2011	RTWG/MWG	JMTTF begins presenting revised draft language to the working groups. This joint meeting will walk through all of Attachment AE, and other Tariff revisions for Integrated Marketplace	Joint working group meetings to review JMTTF approved tariff language	Complete
8/25/2011	8/25/2011	RTWG	1st Tariff Review Meeting - Attachment AE: Obligations, Pre-Day-Ahead, Day-Ahead, and Real Time	Review Attachment AE language	Complete
9/8/2011	9/8/2011	RTWG	Conference Call for Review, Clean-up and tentative approval - Attachment AE: Obligations, Pre-Day-Ahead, Day-Ahead, Real-Time	Review Attachment AE language	Complete
9/15/2011	9/15/2011	RTWG	Conference Call for Review, Clean-up and approval - Attachment AE: Obligations, Pre-Day-Ahead, Day-Ahead, Real-Time	Review Attachment AE language	Complete
9/19/2011	9/19/2011	SPP Regulatory	Release of Tariff Revisions for MOPC Review - Attachment AE: Obligations, Pre-Day-Ahead, Day-Ahead, Real-Time	Provide tariff revisions for MOPC Review	Complete
9/29/2011	9/30/2011	RTWG	2nd Tariff Review Meeting - Attachment AE: ARR/TCR, Settlements, Body of Tariff & Affected Attachments	Review Attachment AE language	Complete
10/5/2011	7/31/2012	SPP Regulatory/ Compliance/ CBA staff	Conduct Member meetings with BA's to build registration tool(s)	Joint effort to determine what type of registration tools (legal agreements, CFRs) will be utilized in the CBA and work to develop the tools	Complete
10/11/2011	10/11/2011	SPP Regulatory/ MOPC	MOPC Update - Regular Quarterly Meeting- Pre-MOPC workshop will review tariff modification process and roadmap	Review Attachment AE language	Complete

Estimated Start Date	Estimated Complete Date	Responsible Party	Action	Description	Status
10/14/2011	10/14/2011	RTWG	Tentative follow-up Conference Call for Review, Clean-up and tentative approval - Attachment AE: ARR/TCR, Settlements, Body of Tariff & Affected Attachments	Review Attachment AE language	Complete
10/20/2011	10/20/2011	RTWG	Tentative follow-up Conference Call for Review, Clean-up and approval - Attachment AE: ARR/TCR, Settlements, Body of Tariff & Affected Attachments	Review Attachment AE language	Complete
10/24/2011	10/24/2011	SPP Regulatory	Release of Tariff Revisions for MOPC Review- Attachment AE: ARR/TCR, Settlements, Body of Tariff & Affected Attachments	Review Attachment AE language	Complete
11/3/2011	11/4/2011	RTWG	3rd Tariff Review Meeting - Credit Policy, Balancing Authority Agreement, Reserve Sharing Agreement, Definitions (Att AE and Tariff)	Review Attachment AE language	Complete
11/17/2011	11/18/2011	RTWG	Conference Call for Review, Clean-up and approval - Credit Policy, Balancing Authority Agreement, Reserve Sharing Agreement, Definitions (Att AE and Tariff)	Review Attachment AE language	Complete
11/21/2011	11/21/2011	SPP Regulatory	Release of Tariff Revisions for MOPC Review - All Integrated Marketplace Tariff changes	Review Attachment AE language	Complete
12/6/2011	12/6/2011	SPP Regulatory/MOPC	MOPC Meeting - Special meeting for review and approval	Review Attachment AE language	Complete
12/8/2011	12/8/2011	RTWG	Post MOPC Review Meeting	Review Attachment AE language	Complete
1/17/2012	1/17/2012	SPP Regulatory /MOPC	MOPC - Regular Quarterly meeting - Further review after 12/8 RTWG meeting if necessary	Review Attachment AE language	Complete
1/31/2012	1/31/2012	BOD	Regular Quarterly Meeting - Review and Approval for Tariff Filing	Review Attachment AE language	Complete
2/1/2012	6/28/2013	SPP Regulatory/ Compliance / CBASTaff	Registration Tool recommendation by CBASC (Legal Agreement)	Rewrite of Attachment AN drafted and presented to MOPC 4/16/13 and BOD 4/30/13 for approval	In-Progress
2/24/2012	2/24/2012	SPP Regulatory/Compliance / CBASTaff	Notify members of Joint meeting with Members and SPP RE/MRO	Provide information regarding Joint meeting such on 3/15/2012	Complete
2/29/2012	2/29/2012	SPP Regulatory	Initial Tariff Filing submitted to FERC	Submit Integrated Marketplace Tariff filing to FERC	Complete
3/15/2012	3/15/2012	SPP Regulatory /Compliance / CBA staff	Joint meeting with Members and SPP RE/MRO	Meeting to define approach going forward to register SPP as BA and de-register existing 16 BA's. The timelines, duties, and how-to's will be discussed. The meeting results will	Complete

Estimated Start Date	Estimated Complete Date	Responsible Party	Action	Description	Status
				determine the timeline and could affect the work-plan for the rest of 2012.	
4/1/2012	4/30/2012	SPP Regulatory /Compliance / CBA staff	Notify SERC of intent to request certification - 18 mos prior to intended cert start date	In order to meet requirements per SERC SPP needs to notify of intent to request certification by this date	Complete
4/10/2012	4/30/2012	CBASC/ Compliance	MOPC Meeting - Status Report presented to MOPC on progress of EOP and Registration Tool	The CBASC decided at their 3/21 meeting that they were not ready to make a recommendation to MOPC they will present a status report instead	Complete
4/12/2012	4/12/2012	CBA staff/ SPP Regulatory / Compliance	CBASC Meeting - Review updated EOP with member comments	Discuss member comments and determine schedule for approval of EOP by 4/30/12	Complete
4/13/2012	4/30/2012	CBASC/ SPP Regulatory /Compliance / CBA staff	CBASC Teleconferences /Meeting TBD	Final Approval of EOP – Draft approved 5/3/2012	Complete
5/2/2012	5/2/2012	CBASC	Post consolidated list of known issues for discussion with SPP RE, MRO, SERC, and NERC	Any issues that still need to be addressed will be posted for review prior to the joint CBASC/MCG meeting	Complete
5/9/2012	5/10/2012	CBASC/ MCG	Joint meeting with CBASC and MCG ( Market Compliance Group)	Discuss open issues and develop a list of questions to address with REs	Complete
5/14/2012	5/14/2012	CBASC	Post/distribute meeting material for meeting with REs	Consolidated list of questions for discussion	Complete
5/21/2012	5/21/2012	CBASC/RE/M RO/SERC/NE RC	Joint meeting to discuss list of questions	Determine approach on outstanding items	Complete
5/15/2012	5/15/2012	SPP Regulatory	Supplemental Filing	Supplemental filing submitted	Complete
June 2012	June 2012	CBASC/ MOPC	Special MOPC meeting to present status of CBA issues	Update MOPC on status of issues for CBA	Complete
7/15/2012	7/15/2012	CBASC/ SPP Regulatory /Compliance	MOPC Meeting	Present recommendation on Registration Tools(s)	Complete
7/31/2012	10/18/2012	SPP Regulatory	Conditional FERC Order Received for Initial Tariff Filing (likely subject to compliance filings)	Order received will determine dates, workflow, timeline going forward	Complete

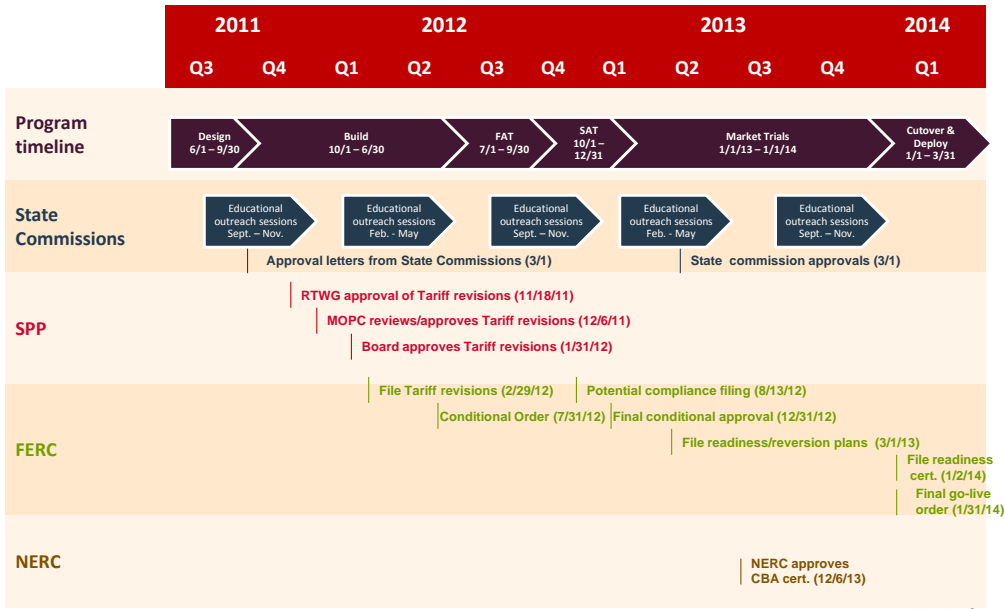
Estimated Start Date	Estimated Complete Date	Responsible Party	Action	Description	Status
9/3/2012	9/3/2012	SPP Regulatory /Compliance/ CBA staff	SPP Staff - Finalize, Present Completed Registration Tool	Tariff, CFR/Legal Agreements design details included per FERC order timeline; subject to change	Complete
10/3/2012	10/3/2012	SPP Regulatory /Compliance/ CBA staff	Completed Registration Tool Approvals (CBASC, SPP Executive, MOPC)	Tariff, CFR/Legal Agreements design details included per FERC order timeline; subject to change. The issue of indemnification was passed to the Corporate Governance Committee for decision.	Complete
10/8/2012	10/8/2012	SPP Regulatory /Compliance/ CBA staff	Submit Formal NERC Registration Change/Tool to SPP RE, SERC, and MRO. Hold discussions with the SPP RE's on the process	Tariff, CFR/Legal Agreements design details included per FERC order timeline; subject to change; define exit criteria to trigger members to engage SERC	Complete
10/15/2012	10/15/2012	SPP Regulatory /Compliance/ CBA staff	MOPC Meeting -	MOPC Meeting	Complete
10/16/2012	10/16/2012	CBA staff/ SPP Regulatory/ Compliance	CBASC Meeting - agenda TBD	CBASC Meeting	Complete
February 2014	February 2014	SPP Regulatory	Final FERC Approval Order Received for Tariff Filing (subject to future conditions, filings, etc. up to implementation)	Tariff, CFR/Legal Agreements design details included per FERC order timeline; subject to change Based on the status and timing of the 2013 filings, we are not expecting to receive a final order until the expected effective date	Incomplete
10/18/2012	2/15/2013	SPP Regulatory	Compliance order submitted in response to FERC conditional approval 10/18/2013	Submitted in ER12-1179	complete
2/5/2013	2/5/2013	SPP Regulatory /Compliance/ CBA staff	Schedule SERC Certification Visit	SERC visits scheduled Compliance has made a request to SERC to start the review/approval process in September 2013	Complete
1November 2013	November 2013	SPP Regulatory /Compliance/ CBA staff	SERC at SPP for Certification/	Discuss certification and determine if changes will be necessary per SERC	Incomplete
December 2013	December 2013	SPP Regulatory /Compliance/ CBA staff	Anticipated SERC Approval	Receive SERC approval and certification for SPP to fulfill CBA role	Incomplete
December 2013	December 2013	SPP Regulatory /Compliance/ CBA staff	SERC Submits Letter and Files Registration Changes with NERC	Tariff, CFR/Legal Agreements design details included per FERC order timeline; subject to change	Incomplete

**Comment [BJM1]:** SERC determined it did not need to visit each BA. Research and evaluations will be done as part of the CIP Audit in September 2013 and continue with visits in October and November for Parallel Operations and Deployment Testing

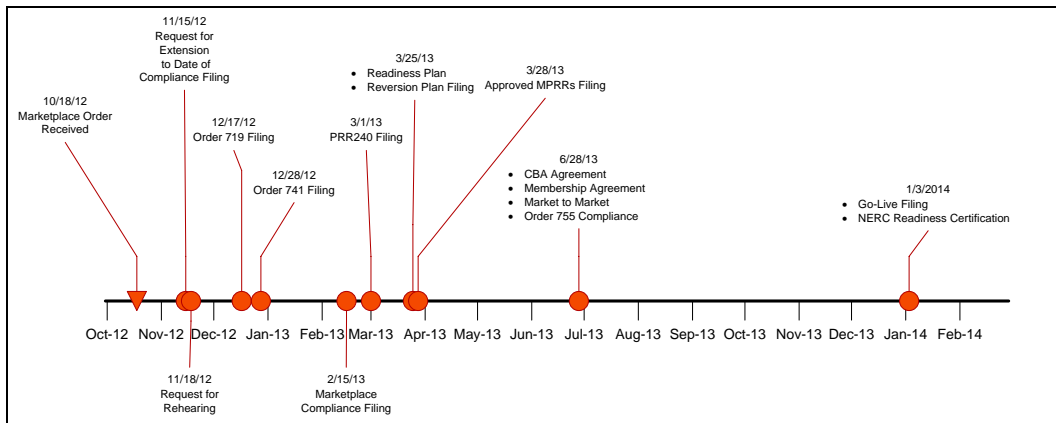
Estimated Start Date	Estimated Complete Date	Responsible Party	Action	Description	Status
January 2014	January 2014	SPP Regulatory /Compliance/ CBA staff	NERC Certification Approved	NERC Certification Approved	Incomplete
1/4/2014	1/4/2014	SPP Regulatory /Compliance/ CBA staff	Go-Live & Readiness Filing - includes NERC certification submitted to FERC	Tariff, CFR/Legal Agreements design details included per FERC order timeline: subject to change	Incomplete
3/25/2013	3/25/2013	SPP Regulatory /Legal/CBA staff	Development of Reversion Plan	Tariff, CFR/Legal Agreements design details included per FERC order timeline: subject to change	Complete
10/18/2012	4/25/2013	SPP Regulatory /Legal/CBA staff	CBA Agreement review by RTWG	CBA Agreement will replace Attachment AN – approved by MOPC 4/17/2013 pending approval by the RTEG on 4/25/2013 and BOD approval on 4/30/2013	Complete
4/30/2013	4/30/2013	SPP Regulatory /Legal/CBA staff	Legal Agreement complete BOD Approval	BOD approval of CBA Agreement as replacement to Attachment AN.	Complete



## Integrated Marketplace: Regulatory Timeline



### 2012 - 2014 Timeline



## Filings/Orders

Filing/Order	Title	Date
ER12-1179	SPP Integrated Marketplace Filing	2/25/2012
	Conditional FERC Approval Order Received	10/18/2012
	SPP Integrated Marketplace Compliance Filing	2/15/2013
	Supplemental Compliance Filing	3/1/2013
	Readiness and Reversion Plan	3/25/2013
ER12-1179-001	Supplemental Filing	5/15/2012
ER12-1179-002	FERC Order on Rehearing and Clarification	3/21/2013
ER12-1179-000 & ER12-1179-001	Motion for Extension of Time Filing	11/16/2012
	Request for Rehearing or Clarification Filing	11/19/2012
	Status Report for Grandfathered Agreements submitted	1/16/2013
ER13-834	SPP Filing to Implement Temporary Registration Freeze in SPP Marketplace	1/30/2013
	FERC Order Conditionally Accepting Registration Filing	3/29/2013
ER13-1173	SPP Integrated Marketplace Filing	3/28/2013

TBD

## Communication Plan

All project communication and information will be posted to the SPP Change Working Group Project Documentation folder. This MIPO will be updated upon change or with any new information, a redline version posted to the project documentation folder, and the CWG notified.

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## Next Steps

Action	Assignee	Status & Due Date
Send project communication and identify liaison at member/participant companies as necessary	CWG Staff Secretary	
Response due?	CWG Representative	
MIPO Review Meeting?	Project Team/Liaison	