

# SPP RC and BA NERC Compliance Submissions Guide

## *Guidelines for Submitting*

### *NERC Reliability Standards Required Documents and Information to the SPP Reliability Coordinator and the SPP Balancing Authority*

#### **Version 2**

#### Revision History

<u>Version</u>	<u>Effective Date</u>	<u>Summary of Revisions</u>
<u>1</u>	<u>March 8, 2017</u>	<u>Initial Creation</u>
<u>2</u>	<u>October 30, 2018</u>	<u>Document name change for clarity; included 'information' reference; removed 'Annual Resubmission Deadline' from guideline format; updated frequency language for EOP-005, EOP-010, EOP-011, TOP-003 to better reflect standard and SPP requirements</u>

#### Introduction

The purpose of this document is to provide Transmission Operators (TOP) and Balancing Authorities (BA) in the Southwest Power Pool Reliability Coordinator Area guidelines to follow when submitting NERC Reliability Standards required documents and information to the SPP Reliability Coordinator (SPP RC) and Balancing Authority (SPP BA).

SPP staff will be responsible for maintaining the contents of this document. The SPP Operating Reliability Working Group (ORWG) and the SPP Reliability Compliance Working Group (RCWG) will provide input on the contents of this document.

This document is intended to provide guidelines on submitting information required by certain NERC Reliability Standards to the SPP RC and BA. If any responsible entity identifies a perceived conflict between NERC Reliability Standards and this document, NERC Reliability Standards shall always supersede this document.

## NERC Reliability Standards Requiring Document Submissions to SPP RC or SPP BA

EOP-005-2 System Restoration from Blackstart Resources

EOP-010-1 Geomagnetic Disturbance Operations

EOP-011-1 Emergency Operations

IRO-017-1 Outage Coordination

TOP-002-4 Operations Planning

TOP-003-3 Operational Reliability Data

## Process for Submitting Required Documents

**Step 1:** Submit via email a description of your submission and any subject document(s) as an attachment(s) to the SPP RC/BA using the appropriate email address identified below for each subject NERC Reliability Standard. Emails with included attachments will be considered the official submission of information to the SPP RC/BA. The FTP site use will not be considered the official exchange mechanism for the subject documents at this time.

**Step 2:** Upload desired document(s) to the appropriate FTP site subfolder to facilitate convenient use of the documents.

## Details on Email Address Use

In addition to official submissions of documents and information on each subject NERC Reliability Standard, email addresses can also be used for general correspondence on the subject document submission. Correspondence from SPP to the submitting entity, such as, confirmations of receipt, results of document reviews, document approvals, and other such correspondence will be emailed to the original submitter of the notification along with other previously identified contacts for the subject topic.

## Details on Use of the FTP Site

**FTP Site URL:** <https://xfer.spp.org>

Each entity (TOP and/or BA) will be granted a single user account for the FTP site to be used by all entity staff. The user authentication scheme is username and password. Entities are

responsible for the distributing the username/password for the entity wide user account to the appropriate TOP/BA staff at their respective entities. Access should be limited to TOP/BA staff only. All TOPs/BAs in the SPP RC area will have access to all the information contained on the FTP site to facilitate document sharing between all entities. Submitting entities will be responsible for notifying other entities that documents they wish to share are available on the FTP site. SPP will retain entity uploaded documents for a period of at least five (5) years. Upon initial login, users will see a number of folders including ‘NERC Reliability Standards Required Documents’. In this folder, a subfolder for each subject NERC Reliability Standard will be available. Submitting entities will place documents in the entity specific subfolder by subject. Below is an example of the subfolder structure.

- **NERC Reliability Standards Required Documents**

- **GMD Plans (EOP-010)**

- **AEP**

- **KCPL**

- .....

- **TOP Restoration Plans (EOP-005)**

- **AEP**

- **KCPL**

- .....

## Description of Guidelines Format

Standard: *Name/Number of the NERC Reliability Standard*

Submission From: *NERC registered entity responsible to submit the information*

Submission To: *NERC registered entity to which document(s) are being submitted*

Document(s) Submitted: *Description of document(s) to be submitted*

Frequency of Submission: *Description of the frequency of document(s) submissions*

Notification Email Address: *Email address to which notifications of FTP site postings and other correspondence on subject document submissions should be sent*

FTP Document Folder Name: *Specific name of the FTP site subfolder for the subject document submissions*

Initial Receipt Acknowledged by Receiving Entity: *Yes or No indication if an indication of initial receipt of the document(s) will be provided by the receiving entity to the submitting entity. Receipts will be provided to email address providing the notification of document submission.*

Submitting Entity's Responsibilities: *Description of the submitting entity's responsibilities.*

Receiving Entity's Responsibilities: *Description of the receiving entity's responsibilities.*

**Standard: EOP-005-2 System Restoration from Blackstart Resources**

**Submission From:** Transmission Operator

**Submission To:** Reliability Coordinator

**Document(s) Submitted:** ‘TOP Restoration Plans’

**Frequency of Submission:** Upon Creation; No More than 15 Months after Latest Submission or Upon Revision, Whichever Occurs First

**Notification Email Address:** [RestorationPlans@spp.org](mailto:RestorationPlans@spp.org)

**FTP Document Folder Name:** TOP Restoration Plans (EOP-005)

**Initial Receipt Acknowledged by Receiving Entity:** Yes

**Submitting Entity’s Responsibilities:**

*EOP-005-2 R3. Each Transmission Operator shall review its restoration plan and submit it to its Reliability Coordinator annually on a mutually agreed predetermined schedule.*

*EOP-005-2 R4. Each Transmission Operator shall update its restoration plan within 90 calendar days after identifying any unplanned permanent System modifications, or prior to implementing a planned BES modification, that would change the implementation of its restoration plan.*

*R4.1. Each Transmission Operator shall submit its revised restoration plan to its Reliability Coordinator for approval within the same 90 calendar day period.*

**Receiving Entity’s Responsibilities:**

*EOP-006-2 R5. Each Reliability Coordinator shall review the restoration plans required by EOP-005 of the Transmission Operators within its Reliability Coordinator Area.*

*R5.1. The Reliability Coordinator shall determine whether the Transmission Operator’s restoration plan is coordinated and compatible with the Reliability Coordinator’s restoration plan and other Transmission Operators’ restoration plans within its Reliability Coordinator Area. The Reliability Coordinator shall approve or disapprove, with stated reasons, the Transmission Operator’s submitted restoration plan within 30 calendar days following the receipt of the restoration plan from the Transmission Operator.*

**Standard: EOP-010-1 Geomagnetic Disturbance Operations**

**Submission From:** Transmission Operator

**Submission To:** Reliability Coordinator

**Document(s) Submitted:** ‘TOP GMD Operating Procedure or Operating Process’

**Frequency of Submission:** Upon Creation; No More than 15 Months after Latest Submission or Upon Revision, Whichever Occurs First

**Notification Email Address:** [GMDPlans@spp.org](mailto:GMDPlans@spp.org)

**FTP Document Folder Name:** GMD Plans (EOP-010)

**Initial Receipt Acknowledged by Receiving Entity:** Yes

**Submitting Entity’s Responsibilities:**

*EOP-010-1 R3. Each Transmission Operator shall develop, maintain, and implement a GMD Operating Procedure or Operating Process to mitigate the effects of GMD events on the reliable operation of its respective system. At a minimum, the Operating Procedure or Operating Process shall include:*

- 3.1. Steps or tasks to receive space weather information.*
- 3.2. System Operator actions to be initiated based on predetermined conditions.*
- 3.3. The conditions for terminating the Operating Procedure or Operating Process.*

**Receiving Entity’s Responsibilities:**

*EOP-010-1 R1.2 A process for the Reliability Coordinator to review the GMD Operating Procedures or Operating Processes of Transmission Operators within its Reliability Coordinator Area.*

**Standard: EOP-011-1 Emergency Operations**

**Submission From:** Transmission Operator and/or Balancing Authority

**Submission To:** Reliability Coordinator

**Document(s) Submitted:** ‘Operating Plan(s) to mitigate operating Emergencies’

**Frequency of Submission:** Upon Creation; No More than 15 Months after Latest Submission or Upon Revision, Whichever Occurs First

**Notification Email Address:** [EmerOpPlans@spp.org](mailto:EmerOpPlans@spp.org)

**FTP Document Folder Name:** Operating Plans for Emergencies (EOP-011)

**Initial Receipt Acknowledged by Receiving Entity:** Yes

**Submitting Entity’s Responsibilities:**

*EOP-011-1 R1. Each Transmission Operator shall develop, maintain, and implement one or more Reliability Coordinator-reviewed Operating Plan(s) to mitigate operating Emergencies in its Transmission Operator Area.*

**Receiving Entity’s Responsibilities:**

*EOP-011-1 R3. The Reliability Coordinator shall review the Operating Plan(s) to mitigate operating Emergencies submitted by a Transmission Operator or a Balancing Authority regarding any reliability risks that are identified between Operating Plans.*

*3.1. Within 30 calendar days of receipt, the Reliability Coordinator shall:*

*3.1.1. Review each submitted Operating Plan(s) on the basis of compatibility and inter-dependency with other Balancing Authorities’ and Transmission Operators’ Operating Plans;*

*3.1.2. Review each submitted Operating Plan(s) for coordination to avoid risk to Wide Area reliability; and*

*3.1.3. Notify each Balancing Authority and Transmission Operator of the results of its review, specifying any time frame for resubmittal of its Operating Plan(s) if revisions are identified.*

**Standard: IRO-017-1 Outage Coordination**

**Submission From:** Transmission Planner

**Submission To:** Reliability Coordinator

**Document(s) Submitted:** ‘Planning Assessment(s) for the Near-Term Transmission Planning Horizon’

**Frequency of Submission:** Upon Completion

**Notification Email Address:** [PlanningAssessmentsSPPRC@spp.org](mailto:PlanningAssessmentsSPPRC@spp.org)

**FTP Document Folder Name:** Planning Assessments SPP RC Area (IRO-017)

**Initial Receipt Acknowledged by Receiving Entity:** Yes

**Submitting Entity’s Responsibilities:**

*IRO-017-1 R3. Each Planning Coordinator and Transmission Planner shall provide its Planning Assessment to impacted Reliability Coordinators.*

**Receiving Entity’s Responsibilities:**

*IRO-017-1 R4. Each Planning Coordinator and Transmission Planner shall jointly develop solutions with its respective Reliability Coordinator(s) for identified issues or conflicts with planned outages in its Planning Assessment for the Near-Term Transmission Planning Horizon.*



**Standard: TOP-002-4 Operations Planning**

Submission From: Transmission Operator and/or Balancing Authority

Submission To: Reliability Coordinator

Document(s) Submitted: ‘Next-Day Operating Plans’ that include information the submitting entity deems necessary to share with the Reliability Coordinator.

Frequency of Submission: Daily as needed

Notification Email Address: [NDOpPlans@spp.org](mailto:NDOpPlans@spp.org)

FTP Document Folder Name: Next-Day Operating Plans (TOP-002)

Initial Receipt Acknowledged by Receiving Entity: No

Submitting Entity’s Responsibilities:

*TOP-002-4 R6. Each Transmission Operator shall provide its Operating Plan(s) for next-day operations identified in Requirement R2 to its Reliability Coordinator.*

*TOP-002-4 R7. Each Balancing Authority shall provide its Operating Plan(s) for next-day operations identified in Requirement R4 to its Reliability Coordinator.*

Receiving Entity’s Responsibilities: None

**Standard: TOP-003-3 Operational Reliability Data**

**Submission From:** Transmission Operator or Balancing Authority

**Submission To:** SPP Balancing Authority

**Document(s) Submitted:** ‘TOP Data Specifications’

**Frequency of Submission:** Upon Creation; Upon Revision

**Notification Email Address:** [DataSpecifications@spp.org](mailto:DataSpecifications@spp.org)

**FTP Document Folder Name:** BA and TOP Data Specifications (TOP-003-3)

**Initial Receipt Acknowledged by Receiving Entity:** Yes

**Submitting Entity’s Responsibilities:**

*TOP-003-3 R3. Each Transmission Operator shall distribute its data specification to entities that have data required by the Transmission Operator’s Operational Planning Analyses, Realtime monitoring, and Real-time Assessment.*

*TOP-003-3 R4. Each Balancing Authority shall distribute its data specification to entities that have data required by the Balancing Authority’s analysis functions and Real-time monitoring.*

**Receiving Entity’s Responsibilities:**

*TOP-003-3 R5. Each Transmission Operator, Balancing Authority, Generator Owner, Generator Operator, Load-Serving Entity, Transmission Owner, and Distribution Provider receiving a data specification in Requirement R3 or R4 shall satisfy the obligations of the documented specifications using:*

- 5.1. A mutually agreeable format*
- 5.2. A mutually agreeable process for resolving data conflicts*
- 5.3. A mutually agreeable security protocol*