

## 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

**0870EXT00125**

**Effective:** 09/25/2023

**Revised:** 09/14/2023

**Version:** 4.0

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|  | SME Signature (Brett Springfield) <span style="float: right;">Date</span>  |

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|  | Business Owner Signature (Charles Cates) <span style="float: right;">Date</span>  |

## REVISION CHART

Modifications are documented in the following chart.

| Version | Revised By           | Description of Modifications  | Effective Date | Revision Date |
|---------|----------------------|---|----------------|---------------|
| 1.0     | Southwest Power Pool | Initial Creation  | 03/08/2017     | 03/08/2017    |
| 2.0     | Southwest Power Pool | 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 | 10/30/2018     | 10/30/2018    |
| 3.0     | Southwest Power Pool | Update NERC Standard references   | 02/24/2022     | 02/24/2022    |
| 4.0     | Southwest Power Pool | Updated instructions for RMS submission, clarified text. Updated audience. Added Event Reporting.   | 09/25/2023     | 09/14/2023    |

## AUDIENCE

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|--|---|--|
| <input type="checkbox"/> BA Analyst              | <input type="checkbox"/> OAPS   | <input type="checkbox"/> SE                                    |
| <input type="checkbox"/> BC                      | <input type="checkbox"/> OIT  | <input type="checkbox"/> Seams and AFC                         |
| <input type="checkbox"/> DA                      | <input checked="" type="checkbox"/> Ops Eng & Analysis Support          | <input type="checkbox"/> SS                                    |
| <input type="checkbox"/> East RC                 | <input type="checkbox"/> Mgmt Ops <input type="checkbox"/> Mgmt Markets | <input type="checkbox"/> System Operations                     |
| <input type="checkbox"/> EMS MDI                 | <input checked="" type="checkbox"/> Ops Planning                        | <input type="checkbox"/> Tariff Support                        |
| <input type="checkbox"/> FC                      | <input type="checkbox"/> OST  | <input type="checkbox"/> Tech Analyst (URT)                    |
| <input type="checkbox"/> Market Support/Analysis | <input checked="" type="checkbox"/> QC/QA Analyst                       | <input type="checkbox"/> TI Analyst                            |
| <input type="checkbox"/> Model Coordination      | <input type="checkbox"/> RTBM   | <input type="checkbox"/> WEIS <input type="checkbox"/> West RC |
| <input checked="" type="checkbox"/> EXTERNAL     | <input type="checkbox"/> RTP  | <input type="checkbox"/> WRAP                                  |

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## **INTRODUCTION**

The purpose of this document is to provide Transmission Operators (TOPs) and Balancing Authorities (BAs) 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 is responsible for maintaining and updating the contents of this document. The SPP Operating Reliability Working Group (ORWG) and the SPP Reliability Compliance Advisory Group (RCAG) can provide input on the contents of this document.

This document provides 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-005-3 System Restoration from Blackstart Resources
- EOP-010-1 Geomagnetic Disturbance Operations
- EOP-011-2 Emergency Operations
- IRO-017-1 Outage Coordination
- TOP-002-4 Operations Planning
- TOP-003-5 Operational Reliability Data

## **PROCESS FOR SUBMITTING REQUIRED DOCUMENTS**

**Step 1:** Submit via SPP's Request Management System (RMS) for all EOP documents or email for all other required documents outlined above with a description of your submission and any subject document(s) as an attachment(s) to the SPP RC/BA using the appropriate submission pathway 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 or email submissions for EOP standards will not be considered the official exchange mechanism for the subject documents.

**NOTE:** An entity may upload their EOP documents for review to the FTP site, however, the notification of this submission must be communicated via RMS. There is an RMS help guide at the end of this document to assist in EOP submissions via RMS.

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

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### **DETAILS ON EMAIL ADDRESS USE FOR IRO-017, TOP-002, AND TOP-003**

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 SPP'S RMS USE FOR EOP-005, EOP-010, AND EOP-011**

In addition to official submissions of documents and information on each subject NERC Reliability Standard, SPP's RMS 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 communicated via RMS to the original submitter of the notification.

### **DETAILS ON USE OF THE FTP SITE**

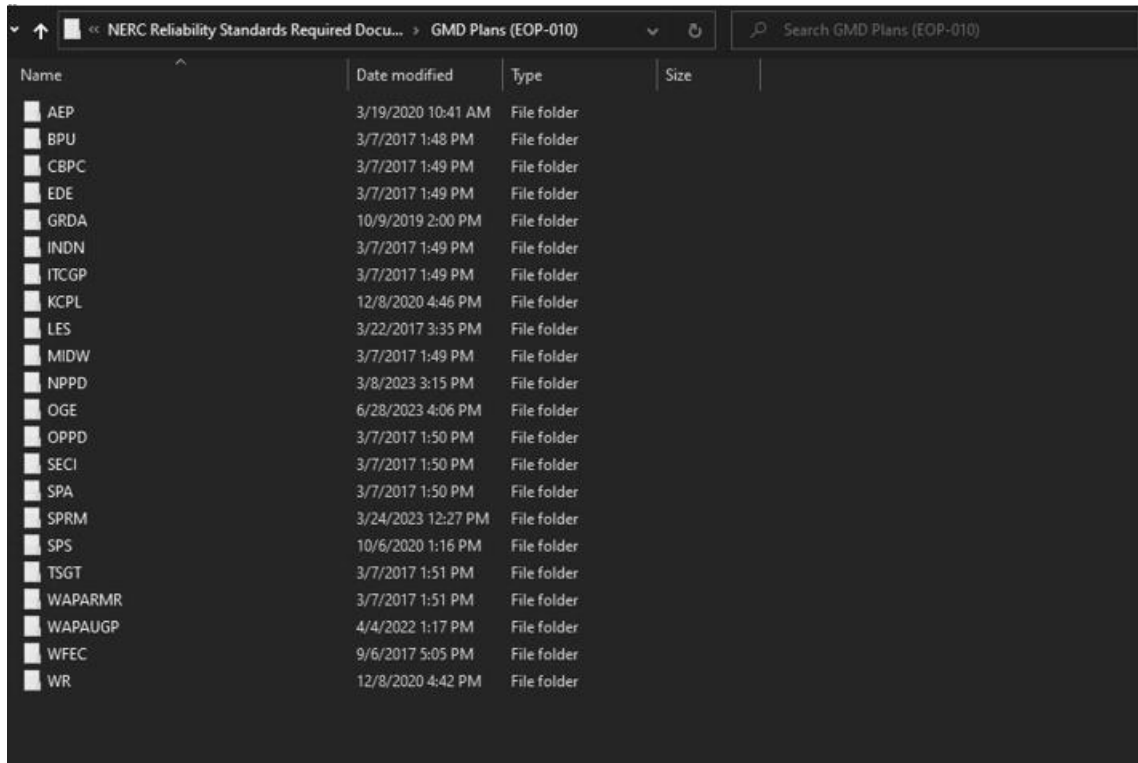
**FTP Site URL:** <https://xfer.spp.org>

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 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 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 at least five (5) years.

Upon initial login, users will see a number of folders, including 'NERC Reliability Standards Required Documents'. A subfolder for each subject NERC Reliability Standard will be available in this folder. Submitting entities will place documents in the entity-specific subfolder by subject. Below is an example of the subfolder structure.

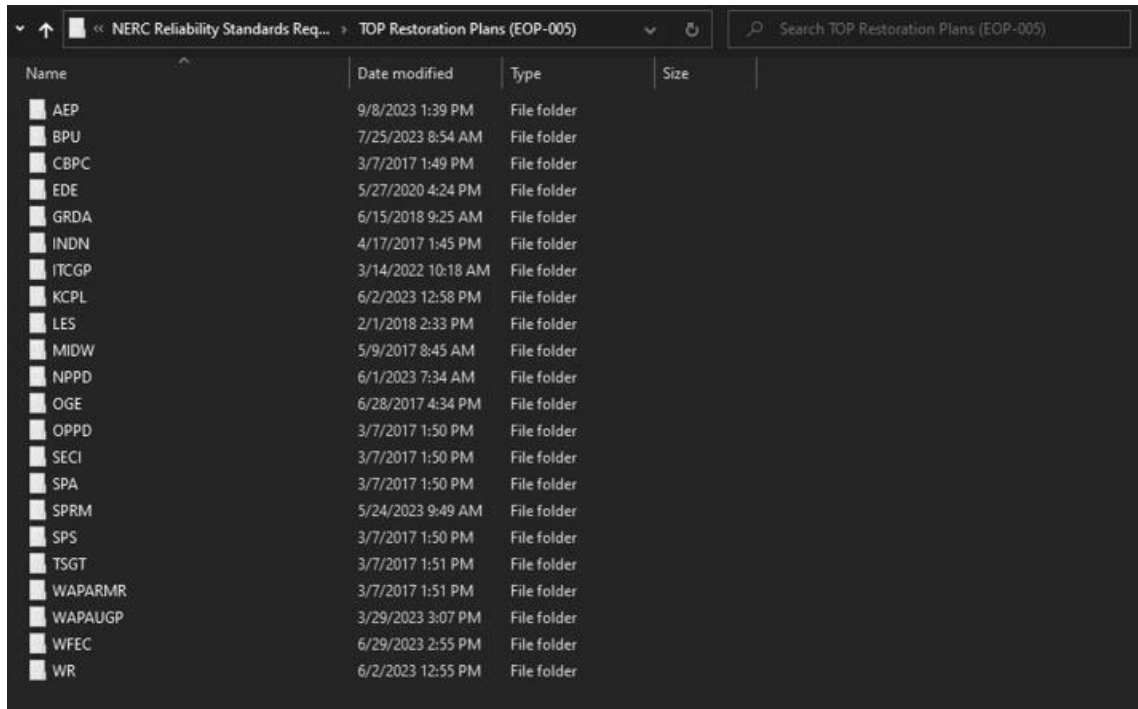
## NERC RELIABILITY STANDARDS REQUIRED DOCUMENTS

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



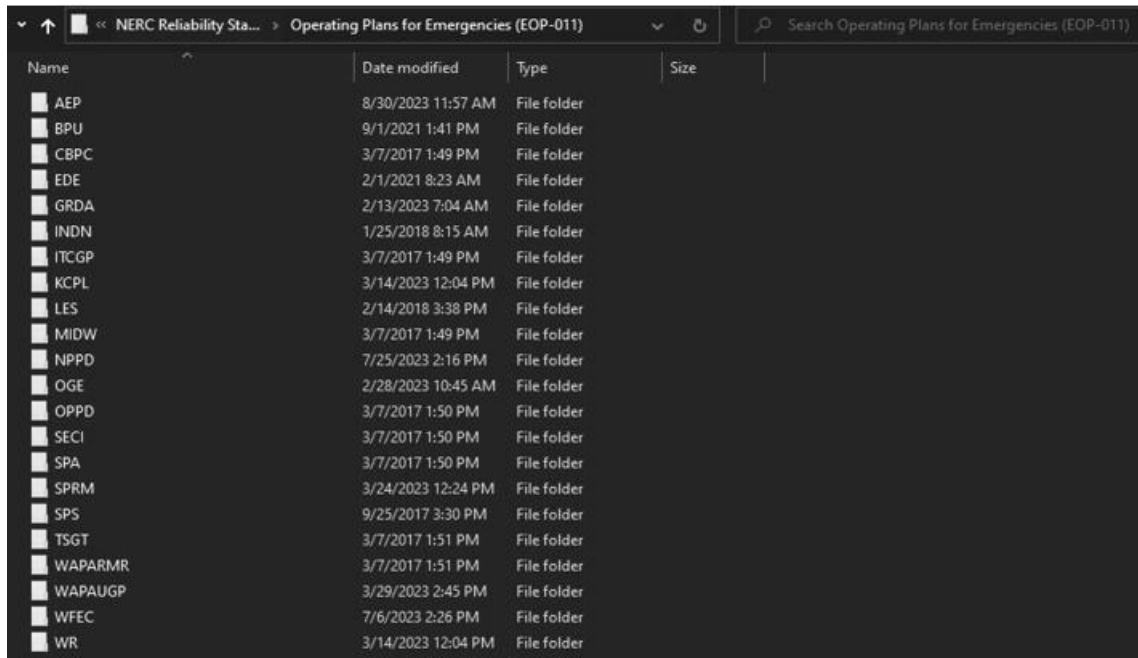
| Name    | Date modified      | Type        | Size |
|---------|--------------------|-------------|------|
| AEP     | 3/19/2020 10:41 AM | File folder |      |
| BPU     | 3/7/2017 1:48 PM   | File folder |      |
| CBPC    | 3/7/2017 1:49 PM   | File folder |      |
| EDE     | 3/7/2017 1:49 PM   | File folder |      |
| GRDA    | 10/9/2019 2:00 PM  | File folder |      |
| INDN    | 3/7/2017 1:49 PM   | File folder |      |
| ITCGP   | 3/7/2017 1:49 PM   | File folder |      |
| KCPL    | 12/8/2020 4:46 PM  | File folder |      |
| LES     | 3/22/2017 3:35 PM  | File folder |      |
| MIDW    | 3/7/2017 1:49 PM   | File folder |      |
| NPPD    | 3/8/2023 3:15 PM   | File folder |      |
| OGE     | 6/28/2023 4:06 PM  | File folder |      |
| OPPD    | 3/7/2017 1:50 PM   | File folder |      |
| SECI    | 3/7/2017 1:50 PM   | File folder |      |
| SPA     | 3/7/2017 1:50 PM   | File folder |      |
| SPRM    | 3/24/2023 12:27 PM | File folder |      |
| SPS     | 10/6/2020 1:16 PM  | File folder |      |
| TSGT    | 3/7/2017 1:51 PM   | File folder |      |
| WAPARMR | 3/7/2017 1:51 PM   | File folder |      |
| WAPAugP | 4/4/2022 1:17 PM   | File folder |      |
| WFEC    | 9/6/2017 5:05 PM   | File folder |      |
| WR      | 12/8/2020 4:42 PM  | File folder |      |

### TOP Restoration Plans (EOP-005)



| Name    | Date modified      | Type        | Size |
|---------|--------------------|-------------|------|
| AEP     | 9/8/2023 1:39 PM   | File folder |      |
| BPU     | 7/25/2023 8:54 AM  | File folder |      |
| CBPC    | 3/7/2017 1:49 PM   | File folder |      |
| EDE     | 5/27/2020 4:24 PM  | File folder |      |
| GRDA    | 6/15/2018 9:25 AM  | File folder |      |
| INDN    | 4/17/2017 1:45 PM  | File folder |      |
| ITCGP   | 3/14/2022 10:18 AM | File folder |      |
| KCPL    | 6/2/2023 12:58 PM  | File folder |      |
| LES     | 2/1/2018 2:33 PM   | File folder |      |
| MIDW    | 5/9/2017 8:45 AM   | File folder |      |
| NPPD    | 6/1/2023 7:34 AM   | File folder |      |
| OGE     | 6/28/2017 4:34 PM  | File folder |      |
| OPPD    | 3/7/2017 1:50 PM   | File folder |      |
| SECI    | 3/7/2017 1:50 PM   | File folder |      |
| SPA     | 3/7/2017 1:50 PM   | File folder |      |
| SPRM    | 5/24/2023 9:49 AM  | File folder |      |
| SPS     | 3/7/2017 1:50 PM   | File folder |      |
| TSGT    | 3/7/2017 1:51 PM   | File folder |      |
| WAPARMR | 3/7/2017 1:51 PM   | File folder |      |
| WAPAUGP | 3/29/2023 3:07 PM  | File folder |      |
| WFEC    | 6/29/2023 2:55 PM  | File folder |      |
| WR      | 6/2/2023 12:55 PM  | File folder |      |

### Emergency Operations (EOP-011)



| Name    | Date modified      | Type        | Size |
|---------|--------------------|-------------|------|
| AEP     | 8/30/2023 11:57 AM | File folder |      |
| BPU     | 9/1/2021 1:41 PM   | File folder |      |
| CBPC    | 3/7/2017 1:49 PM   | File folder |      |
| EDE     | 2/1/2021 8:23 AM   | File folder |      |
| GRDA    | 2/13/2023 7:04 AM  | File folder |      |
| INDN    | 1/25/2018 8:15 AM  | File folder |      |
| ITCGP   | 3/7/2017 1:49 PM   | File folder |      |
| KCPL    | 3/14/2023 12:04 PM | File folder |      |
| LES     | 2/14/2018 3:38 PM  | File folder |      |
| MIDW    | 3/7/2017 1:49 PM   | File folder |      |
| NPPD    | 7/25/2023 2:16 PM  | File folder |      |
| OGE     | 2/28/2023 10:45 AM | File folder |      |
| OPPD    | 3/7/2017 1:50 PM   | File folder |      |
| SECI    | 3/7/2017 1:50 PM   | File folder |      |
| SPA     | 3/7/2017 1:50 PM   | File folder |      |
| SPRM    | 3/24/2023 12:24 PM | File folder |      |
| SPS     | 9/25/2017 3:30 PM  | File folder |      |
| TSGT    | 3/7/2017 1:51 PM   | File folder |      |
| WAPARMR | 3/7/2017 1:51 PM   | File folder |      |
| WAPAUGP | 3/29/2023 2:45 PM  | File folder |      |
| WFEC    | 7/6/2023 2:26 PM   | File folder |      |
| WR      | 3/14/2023 12:04 PM | File folder |      |

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## **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-005-3 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 Address: <https://spprms.issuetrak.com/Login.asp>

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

Initial Receipt Acknowledged by Receiving Entity: Yes

Submitting Entity's Responsibilities: \_\_\_\_\_

*EOP-005-3 R3. Each Transmission Operator shall review its restoration plan and submit it to its Reliability Coordinator annually on a mutually agreed predetermined schedule.*

*EOP-005-3 R4. Each Transmission Operator shall submit its revised restoration plan to its Reliability Coordinator for approval when the revision would change its ability to implement its restoration plan, as follows:*

*R4.1 Within 90 calendar days after identifying any unplanned permanent BES Modifications.*

*R4.2. Prior to implementing a planned permanent BES modification subject to its Reliability Coordinator approval requirements per EOP-006.*

Receiving Entity's Responsibilities:

*EOP-005-3 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 EOP-006-3 – System Restoration Coordination Reliability Coordinator Area. The Reliability Coordinator shall provide notification to the Transmission Operator of approval or disapproval, with stated reasons, of the Transmission Operator's submitted restoration plan within 30 calendar days following the receipt of the restoration plan from the Transmission Operator.*

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**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 Address: <https://spprms.issuetrak.com/Login.asp>

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-011-2 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 Address: <https://spprms.issuetrak.com/Login.asp>

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

Initial Receipt Acknowledged by Receiving Entity: Yes

Submitting Entity's Responsibilities:

*EOP-011-2 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-011-2 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 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) based on 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: EOP-004-4 Event Reporting and OE-417**

Submission From: Transmission Operator or Balancing Authority

Submission To: Reliability Coordinator

Document(s) Submitted: 'EOP-004-4 Attachment 1 or DOE-417 reports'

Frequency of Submission: As specified in EOP-004-4 R2

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

FTP Document Folder Name: N/A

Initial Receipt Acknowledged by Receiving Entity: Yes

Submitting Entity's Responsibilities:

*EOP-004-4 R2. Each Responsible Entity shall report events specified in EOP-004-4 Attachment 1 to the entities specified per their event reporting Operating Plan by the later of 24 hours of recognition of meeting an event type threshold for reporting or by the end of the Responsible Entity's next business day (4 p.m. local time will be considered the end of the business day).*

Receiving Entity's Responsibilities:

*EOP-004-4 R2. Each Responsible Entity shall report events specified in EOP-004-4 Attachment 1 to the entities specified per their event reporting Operating Plan by the later of 24 hours of recognition of meeting an event type threshold for reporting or by the end of the Responsible Entity's next business day (4 p.m. local time will be considered the end of the business day).*

**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 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 Address: 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

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 with 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 with 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*

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## **SPP REQUEST MANAGEMENT SYSTEM HELP GUIDE FOR EOP SUBMISSIONS**

### **How to submit an EOP submission via RMS**

1. Obtain access to RMS via: <https://spprms.issuetrak.com/login.asp>
2. Click **New Request** in the upper-left corner of the screen.
3. Select **Submit Information** from the Request Template dropdown.
4. Populate the template that displays:
  - a. Request Status: **Open**
  - b. Request Type: **Submission**
  - c. Subtype 1: **EOP Standards**
  - d. Subtype 2: either **Restoration**, **Emergency Operations**, or **GMD**, depending on the plan that is being submitted
  - e. The severity for the SLA is automatically assigned as 1 month to align with the NERC requirements for review and approval.
  - f. Subject: the name of the document, what EOP standard the document is addressing, and the date of submittal.  
**EXAMPLE:**  
CompanyName\_RestorationPlan\_XX\_XX\_XXXX.  
CompanyName\_GMDPlan\_XX\_XX\_XXXX.  
CompanyName\_EOPPlan\_XX\_XX\_XXXX.
  - g. Full Description: Populate this text box just as you would with an email submission.
  - h. Include Attachments: Select the checkbox, then attach all documents associated with the submission. (The prompt displays after you submit the request).
  - i. Click **Submit Request**.
5. RMS routes the submission to the appropriate SPP staff for review and approval.
6. Correspondence from SPP to the submitting entity, such as confirmations of receipt, results of document reviews, document approvals, and other such correspondence, are communicated via the RMS ticket number to the original submitter of the notification.
7. SPP staff places the approval memorandum in the RMS ticket alongside the approval response, much like previous email submissions.