

**NERC Compliance Submission or Request Guide**  
Eastern & Western Interconnections

**0870EXT00124**

**Effective:** 04/01/2024

**Revised:** 04/01/2024

**Version:** 3.0

<b>Approved By:</b>	
SME Signature Brett Springfield	Date

<b>Approved By:</b>	
Business Owner (Proxy for Charles Cates)	Date

## **REVISION CHART**

Documents are reviewed annually and updated only as needed. Modifications are documented in the following chart.

Version	Revised By	Description of Modifications	Effective Date	Revision Date
1.0	Southwest Power Pool	Initial Creation	01/28/2020	01/28/2020
1.1	Southwest Power Pool	Revised to include additional locations and comments	02/24/2022	02/24/2022
2.0	Southwest Power Pool	Communication will be made via RMS.	09/25/2023	09/14/2023
3.0	Southwest Power Pool	Renamed and combined Eastern and Western Interconnection documents.	04/01//2024	04/01/2024

## **AUDIENCE**

- |  |   |  |
|--|---|--|
| <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, Eastern and Western Interconnections) and Balancing Authority (SPP BA, Eastern Interconnection). Additionally, this document provides a location to request specific NERC standards information from the SPP RCs or SPP BA.

This document provides guidelines on submitting or requesting 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 STANDARD REQUIREMENTS**

<b>NERC Standard</b>	<b>Requirement</b>	<b>Data required</b>	<b>Where to Send or How to Notify?</b>	<b>Notes/Comments</b>
BAL-005-1	R2	BA notify RC when unable to calculate reporting ACE	<b>Contact Reliability Coordinator via Phone</b>	
COM-001-3	R10	TOP and BA notify RC when Interpersonal Comm capability fails	<b>Contact Reliability Coordinator via Phone or SAT Phone</b>	
EOP-004-4	R1	Each responsible entity to send EOP-004-4 reports if SPP West RC is identified in EOP-004-4 Operating Plan	<a href="mailto:SPPRCSA@spp.org">SPPRCSA@spp.org</a>	DOE OE-417 reports are also shared with the SPP West RC via this email address.
EOP-005-3	R1, R3, R4	TOP restoration plan must be approved by RC	<a href="https://spprms.issuetrak.com/login.asp">https://spprms.issuetrak.com/login.asp</a> (See below for guidelines on submitting via RMS)	Restoration plan can be placed in appropriate folder on Globalscape with RMS notification required to SPP.
EOP-010-1	R1	RC must review applicable TOP GMD operating procedures	<a href="https://spprms.issuetrak.com/login.asp">https://spprms.issuetrak.com/login.asp</a> (See below for guidelines on submitting via RMS)	GMD plan can be placed in appropriate folder on Globalscape with RMS notification required to SPP.

EOP-011-2	R1	RC must review TOP emergency operating plans	<a href="https://spprms.issuetrak.com/login.asp">https://spprms.issuetrak.com/login.asp</a> (See below for guidelines on submitting via RMS)	EOP-011 plan can be placed in appropriate folder on Globalscape with RMS notification required to SPP.
FAC-008-3	R8	TO and GO provide RC Facility ratings, identification of most limiting equipment	<b>Rating Submission Tool (RST)</b>	
FAC-010-3	R4	PA/PC shall issue SOL methodology to RC	<a href="mailto:dataspecifications@spp.org">dataspecifications@spp.org</a>	
FAC-011-4	R9	Entities that request and indicate a reliability related need for the SPP RC SOL methodology	<a href="https://spprms.issuetrak.com/login.asp">https://spprms.issuetrak.com/login.asp</a> (See below for guidelines on submitting via RMS)	Submit a request via RMS
FAC-014-3	R5.5	TOPs within the RC area requesting SOL information	<a href="https://spprms.issuetrak.com/login.asp">https://spprms.issuetrak.com/login.asp</a> (See below for guidelines on submitting via RMS)	Submit a request via RMS
IRO-010-4	R3	Each responsible entity to provide RC per RC Data spec	<b>See RC data spec</b>	See SPP RDS WI on spp.org in WRWG Documents folder
IRO-017-1	R3	TP and PC provide Planning assessment to RC	<a href="mailto:PlanningAssessmentsSPPRC@spp.org">PlanningAssessmentsSPPRC@spp.org</a> Or Globalscape	
MOD-008-1	R3	TOP make available TRMID to RC	<a href="mailto:AFCMethodology@spp.org">AFCMethodology@spp.org</a>	
MOD-020-0	R1	Responsible entity provides to RC upon request, Amount of interruptible demands and Direct Control Load Management (DCLM)	<b>Complete Emergency Demand Reduction Data Spreadsheet Sent from SPP and data returned through RMS.</b>	
PRC-001-1.1(ii)	R2.2	GOP and TOP notify RC when relay or equipment failure reduces system reliability	<a href="mailto:Protectionchanges@spp.org">Protectionchanges@spp.org</a>	

PRC-002-2	R5	RC incorporates DDR list into our PRC-002 Plan. RC evaluates where DDR are needed, notifies entities and re-evaluates every five years.	<b>SPP emails the DDR list to affected entities and posts on Globalscape.</b>	Instructions for Accessing SPP PRC-002 Files located on spp.org in WRWG Reference Documents folder
PRC-023-4	R3	Applicable entity obtains agreement from RC and PC for use of R1 C7/8/9/12/13	<b>To RC - <a href="mailto:PlanningAssessmentsSPPRC@spp.org">PlanningAssessmentsSPPRC@spp.org</a> To PC - <a href="mailto:PlanningCoordinator@spp.org">PlanningCoordinator@spp.org</a></b>	For entities that fall under SPP as the PC, include both addresses shown.
PRC-023-4	R4	Applicable entity provides list of circuits for R1C2	<b>To RC - <a href="mailto:PlanningAssessmentsSPPRC@spp.org">PlanningAssessmentsSPPRC@spp.org</a></b>	For entities that fall under SPP as the PC, include both addresses shown.
TOP-002-4	R6, R7	Applicable entity provides its Operating Plan(s) for next-day operations identified in R2 to its RC	<b>To RC – <a href="mailto:NDOPlans@spp.org">NDOPlans@spp.org</a></b>	
TOP-003-5	R3	Applicable entity distributes its data specifications to entities with data required	<b>To RC or BA – <a href="mailto:DataSpecifications@spp.org">DataSpecifications@spp.org</a></b>	

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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.