Southwest Power Pool RE Regional Entity Reliability Standards Development Process Manual

October 2, 2007 [insert approval date]
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I. Introduction

This Manual defines the fair and open process for adoption, approval, revision, reaffirmation, and
deletion of a regional Regional Reliability Standard (Standard) by Southwest Power Pool (SPP), a regional Regional Entity (RE). Regional Reliability Standards provide for the reliable regional and sub-regional planning and operation of the Bulk Power Electric System (BPS/BES), consistent with Good Utility Practice within an RE’s geographical footprint.

Due process is the key to ensuring that Standards are developed in an environment that
is equitable, accessible and responsive to the requirements of all interested and affected parties.
An open and fair process ensures that all interested and affected parties have an opportunity to participate in a Regional Reliability Standard's development.

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Any entity (person, organization, company, government agency, individual, etc.) with a direct and material interest in the SPP RE or SPP RTO (Regional Transmission Organization) Bulk Power System (BPS) has a right to participate by: a) expressing a position and its basis, b) having that position considered, c) voting on a proposed Regional Reliability Standard through a segment weighted balanced process, and d) having the right to appeal.
II. Background

An RE may develop, through its own processes, separate Regional Standards that go beyond, add detail to, or implement NERC Reliability Standards, or otherwise address issues that are not addressed in NERC Reliability Standards.

NERC Reliability Standards and the RE’s Regional Standards are all to be included within the RE’s Compliance Monitoring and Enforcement Program.

SPP RE’s Regional Reliability Standards are developed consistent with the following philosophies and according to the process defined in this Manual:

- A fair and open process that provides an opportunity for all interested parties to participate;
- Avoid any impact on commerce that is not necessary for reliability;
- Provide a level of BPSBES reliability that is adequate to protect public health, safety, welfare, and national security and does not have a significant adverse impact on reliability; and
- A justifiable difference between regions or between sub-regions within the Regional geographic area.

The NERC Board of Trustees has adopted reliability principles and market interface principles to define the purpose, scope, and nature of Reliability Standards. These principles are fundamental to reliability and the market interface, and provide a constant beacon to guide the development of Reliability Standards. The NERC Board of Trustees may modify these principles from time to time, as necessary, to adapt its vision for Reliability Standards. Persons and committees that are responsible for the RE Regional Reliability Standards process shall consider these NERC principles in the execution of those duties.

NERC Reliability Standards are based on certain reliability principles that define the foundation of reliability for the North American BPSBES. Each Reliability Standard shall enable or support one or more of the reliability principles, thereby ensuring that it serves a purpose in support of reliability of the North American BPSBES. Each Reliability Standard shall also be consistent with all of the reliability principles, thereby ensuring that no Reliability Standard undermines reliability through an unintended consequence.

While NERC Reliability Standards are intended to promote reliability, they must at the same time accommodate competitive electricity markets. Reliability is a necessity for electricity markets, and robust electricity markets can support reliability. Recognizing that BPSBES reliability and electricity markets are inseparable and mutually interdependent, all Reliability Standards shall be consistent with the market interface principles. Consideration of the market interface principles is intended to ensure that Reliability Standards are written such that they achieve their reliability objective without causing undue restrictions or adverse impacts on competitive electricity markets.
III. Regional Reliability Standard Definition, Characteristics, and Elements

A. Definition of a Regional Reliability Standard
A NERC rReliability sStandard defines certain obligations or requirements of entities that operate, plan, and use the Bulk Power Systems BPS of North America. The obligations or requirements must be material to reliability and measurable. Each obligation and requirement shall support one or more of the stated reliability principles and shall be consistent with all of the stated reliability and market interface principles in the NERC Standards Processes Manual.

SPP RE may develop, through the process described in this Manual, separate SPP RE Regional Reliability Standards that go beyond, add detail to, or implement NERC rReliability sStandards, or that cover matters not addressed in NERC continent-wide rReliability sStandards. SPP RE Regional Reliability Standards may be developed and exist separately from NERC continent-wide rReliability sStandards, or may be proposed as NERC rReliability sStandards.

SPP RE Regional Reliability Standards that exist separately from NERC rReliability sStandards shall be more stringent than a NERC continent-wide rReliability sStandard, including a regional difference that addresses matters that the NERC continent-wide rReliability sStandard does not, or shall be based on a regional difference necessitated by a physical difference in the bulk power system BPS. These SPP rRegional rReliability sStandards, if approved by the SPP RE Trustees, are forwarded to NERC for review and approval and submitted to FERC for approval.

B. Definition of SPP Criteria
SPP Criteria are requirements used by SPP members for purposes others than those specified for SPP Regional Reliability Standards. SPP Criteria are enforceable only under the terms and conditions of the SPP Membership Agreement. SPP Criteria may be developed in accordance with SPP Bylaws outside the process described within this Manual, since these Criteria are not intended to be used by the SPP Regional Entity for compliance and enforcement under the its authority delegated under by the NERC SPP Regional Delegation Agreement.

C. Characteristics of a Regional Reliability Standard
SPP RE Regional Reliability Standards define obligations or requirements for the operation and planning of interconnected systems and market interface practices that will be enforceable under the SPP RE’s authority. The format and process defined by this Manual applies to all SPP RE Regional Reliability Standards.

A Regional Standard shall have the following characteristics:

- Material to Reliability - A Regional Reliability Standard shall be material to the reliability of the bulk power systems BPS of the RE’s region. If the reliability of the bulk power systems BPS could be compromised without a particular Regional Reliability sStandard or by a failure to comply with that Regional Reliability sStandard, then the Regional Reliability sStandard is material to reliability.

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- **Measurable** — A Regional Reliability Standard shall establish technical or performance requirements that can be practically measured.

- **Relative to NERC Reliability Standards** - A Regional Reliability Standard must go beyond, add detail to, or implement NERC Reliability Standards, or cover matters not addressed in NERC Reliability Standards.

### D. Elements of a Regional Reliability Standard

A Regional Reliability Standard shall consist of the elements identified in this section of this Manual. These elements are intended to apply a systematic discipline in the development and revision of Regional Reliability Standards. This discipline is necessary to achieve Regional Reliability Standards that are measurable, enforceable, and consistent. The format allows a clear statement of the purpose, requirements, measures, and penalties for non-compliance associated with each Regional Reliability Standard. Supporting documents to aid in the implementation of a Regional Reliability Standard may be referenced by the Regional Reliability Standard but are not part of the Regional Reliability Standard itself. All mandatory requirements of a Regional Reliability Standard shall be within an element of the Regional Reliability Standard.

#### Performance Elements of a Regional Reliability Standard

<table>
<thead>
<tr>
<th>Identification Number</th>
<th>A unique identification number assigned in accordance with an administrative classification system to facilitate tracking and reference RE documentation. Format for Regional Standard Request will be: RSR-000.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title</td>
<td>A brief, descriptive phrase identifying the topic of the Regional Reliability Standard.</td>
</tr>
<tr>
<td>Effective Date and Status</td>
<td>The effective date of the Regional Reliability Standard or, prior to adoption of the Regional Reliability Standard by the RE through its own processes, the proposed effective date. The status of the Regional Reliability Standard will be indicated as active or by reference to one of the numbered steps in the RE’s Regional Reliability Standards development process.</td>
</tr>
<tr>
<td>Purpose</td>
<td>The purpose of the Regional Reliability Standard. The purpose shall explicitly state what outcome will be achieved or is expected by this Regional Reliability Standard. The purpose is agreed to early in the process as a step toward obtaining approval to proceed with the development of the Regional Reliability Standard. The purpose should link the Regional Reliability Standard to the relevant principle(s).</td>
</tr>
<tr>
<td>Requirement(s)</td>
<td>Explicitly stated technical, performance, and preparedness requirements. Each requirement identifies the responsible entity and the action to be performed or outcome to be achieved. Each statement in the requirements section shall be a statement for which compliance is mandatory. Any additional comments or statements for which compliance is not mandatory, such as background or explanatory information, should be placed in a separate document and referenced. (See Supporting References Information below).</td>
</tr>
<tr>
<td>Applicability</td>
<td>Clear identification of the functional classes of entities responsible for complying with the standard, noting any specific additions or exceptions. If not applicable to the entire</td>
</tr>
</tbody>
</table>
SPP area, there should be then a clear identification of the portion of the bulk-power system BPS to which the standard applies. Any limitation on the applicability of the Regional Reliability Standard based on electric facility requirements should be described.

| Risk Factor(s) | The potential reliability significance of each requirement, designated as a High, Medium, or Lower Risk Factor in accordance with the criteria listed below:

A **High Risk Factor** requirement (a) is one that, if violated, could directly cause or contribute to bulk-power-system BPS instability, separation, or a cascading sequence of failures, or could place the bulk-power-system BPS at an unacceptable risk of instability, separation, or cascading failures; or (b) is a requirement in a planning time frame that, if violated, could under emergency, abnormal, or restorative conditions anticipated by the preparations directly cause or contribute to bulk-power-system BPS instability, separation, or a cascading sequence of failures; or could place the bulk-power-system BPS at an unacceptable risk of instability, separation, or cascading failures, or could hinder restoration to a normal condition.

A **Medium Risk Factor** requirement (a) is a requirement that, if violated, could directly affect the electrical state or the capability of the bulk-power-system BPS, or the ability to effectively monitor and control the bulk-power-system BPS, but is unlikely to lead to bulk-power-system BPS instability, separation, or cascading failures; or (b) is a requirement in a planning time frame that, if violated, could, under emergency, abnormal, or restorative conditions anticipated by the preparations, directly affect the electrical state or capability of the bulk-power-system BPS; or the ability to effectively monitor, control, or restore the bulk-power-system BPS, but is unlikely under emergency, abnormal, or restoration conditions anticipated by the preparations to lead to bulk-power system BPS instability, separation, or cascading failures, nor to hinder restoration to a normal condition.

A **Lower Risk Factor** requirement is administrative in nature and (a) is a requirement that, if violated, would not be expected to affect the electrical state or capability of the bulk-power-system BPS; or the ability to effectively monitor and control the bulk-power-system BPS; or (b) is a requirement in a planning time frame that, if violated, would not, under the emergency, abnormal, or restorative conditions anticipated by the preparations, be expected to affect the electrical state or capability of the bulk-power-system BPS, or the ability to effectively monitor, control, or restore the bulk-power-system BPS.

| Measure(s) | Each requirement shall be addressed by one or more measurements. Measurements will be used to assess performance and outcomes for the purpose of determining compliance with the requirements stated above. Each measurement identifies to whom the measurement applies and the expected level of performance or outcomes required to demonstrate compliance. Each measurement shall be tangible, practical, and as objective as is practical. Measures are proxies to assess required performance or outcomes. Achieving the measures should be a necessary and sufficient indicator that the requirement was met. Each measure shall clearly refer to the requirements(s) to which it applies. |
Compliance Elements of a Regional Reliability Standard

| Compliance Monitoring Process | The following compliance elements, which are part of the Regional Reliability Standard and are balloted with the Regional Reliability Standard, are developed for each measure by the NERC compliance program in coordination with the standard drafting team (SDT):
|---|---|
|  | • The specific data or information required to measure performance or outcomes.
|  | • The entity responsible for providing the data or information for measuring performance or outcomes.
|  | • The process used to evaluate data or information for assessing performance or outcomes.
|  | • The entity responsible for evaluating data or information to assess performance or outcomes.
|  | • The time period in which performance or outcomes is measured, evaluated, and then reset.
|  | • Measurement data retention requirements and assignment of responsibility for data archiving.

Violation Severity Levels

Defines the degree to which compliance with a requirement was not achieved. The violation severity levels are part of the Regional Reliability Standard and are balloted with the Regional Reliability Standard, and are developed by the NERC compliance program in coordination with the standard drafting team (SDT).

Supporting Information Elements

| Interpretations | Formally approved interpretations of the Regional Reliability Standard. Interpretations are temporary, as the standard should be revised to incorporate the interpretation. Interpretations are developed and approved through a process described in the section Interpretations of Standards, the Regional Reliability Standards Process steps outlined in Section V., Part B of this Manual.
|---|---|
| Implementation Plan | Each Regional Reliability Standard shall have an associated implementation plan describing the effective date of the Regional Reliability Standard or effective dates if there is a phased implementation. The implementation plan may also describe the implementation of the Regional Reliability Standard in the compliance program and other considerations in the initial use of the Regional Reliability Standard, such as necessary tools, training, etc. The implementation plan must be posted for at least one public comment period and is approved as part of the ballot of the Regional Reliability Standard.
| Supporting References | This section references related documents that support reasons for, or otherwise provide additional information related to, the Regional Reliability Standard. Examples include, but are not limited to:
|  | • Development history of the Regional Reliability Standard and prior versions
|  | • Notes pertaining to implementation or compliance

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IV. Roles in the SPP RE Regional Reliability Standards Development Process

Any member of NERC (including any member of a regional reliability organization, Regional Entity, or group within NERC) shall be allowed to request that a Standard be developed, modified, or withdrawn. Additionally, any entity (person, organization, company, government agency, individual, etc.) who that is directly and materially affected by the reliability of the North American SPP RE or RTO Bulk Power System (BES) shall be allowed to request a SPP RE Regional Reliability Standard be developed, modified, or withdrawn.

Originator - Any entity (person, organization, company, governmental agency, individual, etc.) that is directly and materially affected by SPP RE or RTO BPS BES is allowed to request a Standard - SPP RE Regional Reliability Standard be developed or an existing Standard - SPP RE Regional Reliability Standard be modified, or deleted.

Registered ballot body - The registered ballot body comprises all entities or individuals that qualify for one of the voting segments and are registered with SPP RE as a ballot participant in the voting of to vote on a proposed SPP RE Regional Reliability Standard. Membership in SPP is not a requirement for registration.

Registration in a ballot body must be completed done via the SPP website by close of business the day prior to the day before voting begins on the proposed SPP RE Regional Reliability Standard action. Each SPP RE Regional Reliability Standard action has its own registered ballot body. The representation model of the registered ballot body is provided in Sec V. Part B. (SPP RE Regional Reliability Standards Development Process Steps, Step 5-6 – Open Voting). The outcome of the vote of the registered ballot body is forwarded to the SPP RE Trustees regardless of advisory voting outcomes at the MOPC or SPP Board level.

SPP Regional Entity Trustees (SPP RE Trustees) – The SPP RE Regional Entity Trustees shall act on any proposed Standard - SPP RE Regional Reliability Standard that has gone through the process contained in this Manual. Upon approval by the SPP RE Trustees, the Standard - SPP RE Regional Reliability Standard will be submitted to NERC for approval under the ERO. SPP RE Trustees are notified of all proposed SPP RE Regional Reliability Standards requests and receive progress reports from the SPP RE Staff. They also receive notice of the outcome of votes by the ballot body and any advisory recommendations and reports on proposed SPP RE Regional Reliability Standards made by the Standards Drafting Team (SDT), Markets and Operations Policy Committee (MOPC) and SPP Board.
Regional Entity Staff (RE Staff) — SPP RE Staff shall support the RE Trustees in their oversight authority over the Regional Reliability Standards Development Process and any other function or responsibility ascribed to them in the NERC- Southwest Power Pool, Inc. Delegation Agreement.

SPP Markets and Operations Policy Committee (MOPC) — If accepted in Step 1, the MOPC will assign SPP RE Regional Standards requests to a Standards Development Team (SDT) for development, revision, or retirement withdrawal.

SPP Board of Directors and Members Committee (BOD/MC) – The SPP Board of Directors, in conjunction with the SPP Members Committee, provides advisory votes to the SPP RE Trustees on reliability matters as they pertain to the SPP RE. The BOD/MC votes on proposed SPP RE Regional Reliability Standards or changes to SPP RE Regional Reliability Standards for the sole purpose of providing an additional stakeholder forum for review and valuable input to the SPP RE Trustees’ decision on a SPP RE Regional Reliability Standard, based on the BOD/MC’s expertise on reliability, operations, and market matters, as well as its wide diverse representation of the SPP membership.

Compliance Director – The SPP RE office staff responsible for the administration of the SPP RE Compliance Monitoring and Enforcement Program. The duties of this office include but are not limited to providing inputs and comments during the SPP Regional Reliability Standards development process to ensure the measures will be effective and can be practically implemented.

Standard Drafting Team (SDT) – Usually appointed by an existing SPP working group or task force. A SDT that is comprised of technical experts that work cooperatively in the development and modification of SPP RE Regional Reliability Standards in accordance with the processes defined in this Manual. Any interested party may attend meetings, and provide input and comments, and vote on the proposed SPP RE Regional Standard under provisions of the SPP RE Regional Standards Development Process Manual. However, only SDT members may vote on SDT actions and decisions outside of the open voting process (Step 6).
V. SPP RE Regional Reliability Standards Development Process

A. Assumptions and Prerequisites

The process for developing and approving SPP RE Regional Reliability Standards is similar to procedures accredited by the American National Standards Institute (ANSI), like that employed by the North American Energy Standards Board (NAESB). The SPP RE Regional Reliability Standards development process has the following characteristics:

- **Inclusive** - Any entity (person, organization, company, governmental agency, individual, etc.) representing an organization with a direct and material interest in the SPP RE or RTO BES has a right to participate by:
  a) Expressing an opinion and its basis,
  b) Having that position considered,
  c) Voting on a proposed SPP RE Regional Reliability Standard through a segment weighted balanced process, and
  d) Appealing any negative decision

- **Openness** - Participation is open to all organizations/entities that are directly and materially affected by SPP the RE’s or RTO’s BPS BES reliability. There shall be no undue financial barriers to participation. Participation shall not be conditioned upon membership in SPP or registration with SPP of the RE, and shall not be unreasonably restricted on the basis of technical qualifications or other such requirements. Meetings of SDTs are open to all interested parties and are noticed on the public SPP website at least 15 days in advance. Since pre-existing SPP committees, working groups, or task forces may be assigned the responsibilities of serve as the base for a SDT, the agenda for these organizational group meetings will note that an SDT activity is being undertaken to distinguish such activity from other non-SDT related agenda items. The openness provisions of this Manual apply only and explicitly to the SDT activities. Meetings of subcommittees and working groups serving as a SDT shall follow the SPP Bylaws Sec 3.5 Meetings.

- **Balance** - The SPP RE Regional Reliability Standards Development process strives to have an appropriate balance of interests. The process prevents any two voting sectors from dominating voting outcomes and no single voting sectors from defeating a proposed SPP RE Regional Reliability standard.

- **Due Process** – The SPP RE Regional Reliability Standards Development Process provides reasonable notice and opportunity for public comment. At the-a minimum, the procedure shall include public notice of the intent to develop a standard, a public comment period on the proposed standard, due consideration of those public comments, and a ballot of interested stakeholders.
SPP RE Regional Reliability Standards Development Process Manual
Southwest Power Pool, Inc.

- **Transparent** – All actions material to the development of an SPP RE Regional Reliability Standard shall be transparent. All standards development team (SDT) meetings shall be open and publicly noticed on the public SPP website.

### B. SPP RE Regional Reliability Standards Development Process Steps

**Notes:** The term “days” below refers to calendar days. The following process steps apply to developing, revising, or retiring an SPP RE Regional Reliability Standard.

#### Step 1 – Request to Develop, Revise or **Delete Retire** a SPP RE Regional Reliability Standard

Any individual representing an organization (Originator) entity that is directly or materially impacted by the operation of the BPSBES within the geographical footprint of SPP RE or RTO may submit a request to the Markets and Operations Policy Committee (MOPC) for the development, modification, or deletion of a SPP RE Regional Reliability Standard. Any such request shall be submitted to the MOPC Chairman, or his/her designee, or by another process as otherwise posted on the public SPP website. The request should be made using the SPP RE Regional Standard Request Form (RSR) in Appendix B.

The MOPC or a designee will work with the Originator to develop a description of the proposed SPP RE Regional Reliability Standard’s subject matter containing sufficient detail to clearly define the purpose, scope, impacted parties, and other relevant information related to the proposed SPP RE Regional Reliability Standard.

Following the development of a request, the MOPC may take one of the following actions:

- Remand the request back to the Originator for additional work and information.
- Accept the request as a candidate for a new or revised regional standard.
- Reject the request. If the MOPC rejects a request, it will provide a written explanation for rejection to the Originator and the RE Trustees within 30 days of the rejection decision.

If rejected by MOPC, the RE Trustees may accept MOPC’s decision or move it forward for consideration (Step 2).

#### Step 2 – Notification to Regional Entity Trustees & Public Notice

Once accepted as a candidate for a new or revised SPP RE Regional Reliability Standard, the Chairman of the MOPC or his/her designee will forward the request to the SPP RE Trustees. SPP RE staff will also post the request on the public SPP website for public notice and may utilize any appropriate SPP email distribution lists within 30 days. The request is not to be judged as appropriate or useful at this stage.
Step 3 - Standard Drafting Team Formation

The MOPC will assign the drafting and scoping responsibility to an appropriate SPP Working Group or Task Force. This group will become the Standards Drafting Team (SDT) for this particular Standard request.

For each new SPP RE Regional Reliability Standard request, MOPC will use the customary communication procedures and processes then in effect to request that interested parties who wish to serve on the SDT submit their names and qualifications to MOPC. The request will also be posted in the public SPP website. MOPC will establish a 30-day window for submittal of nominations. MOPC will then appoint to the SDT individuals with the necessary technical expertise. SDT membership shall not be conditioned upon membership in SPP or registration with SPP RE. If the open nominations process does not solicit enough SDT members, MOPC may assign the request to an existing working group.

The MOPC’s assignment to the SDT will include any necessary deadlines and due dates for the proposed SPP RE Regional Reliability Standard.

Any documentation of the deliberations of the SDT concerning the proposed SPP RE Regional Reliability Standard shall be made available in accordance with the SPP Bylaws requirements for meeting and organizational groups then in effect. Meetings of the SDT are open to any interested party, but only SDT members may vote on SDT actions and decisions outside of the open voting process (Step 6). Meeting dates and actions on the proposed SPP RE Regional Reliability Standard are publicly noticed on the public SPP’s public website.

The SDT shall provide a report to the SPP RE Trustees and the MOPC on a periodic basis (at least at every regularly scheduled meeting) noting the status of the proposed SPP RE Regional Reliability Standard that has been assigned to it for consideration.

Step 3-4 - Scoping and Drafting

The SDT will draft the language of the proposed SPP RE Regional Reliability Standard per the Standard description provided by the MOPC and the Originator. The SDT may recommend changes to the scope, purpose, need or other relevant aspects of the proposed SPP RE Regional Reliability Standard, including termination of the proposed SPP RE Regional Reliability Standard, through consultation with the MOPC.

The SDT will develop a work plan for completing the proposed SPP RE Regional Reliability Standard development work, including the establishment of milestones for completing critical elements of the work in sufficient detail to ensure that the SDT will meet the date objective in the assignment, or an alternative date. This plan will be provided to the SPP RE Trustees and the MOPC.

The SDT may meet in person or via electronic means as necessary; may establish sub-work teams (made up of members of the SDT) as necessary, and may perform other activities to address the parameters of the proposed SPP RE Regional Reliability Standard and the established milestone date(s).
The SDT should consider:

- The impact of the proposed SPP RE Regional Reliability Standard on neighboring regions, and seek appropriate input from the neighboring regions if the proposed SPP RE Regional Reliability Standard is determined to have such an impact.

- An implementation plan, including the nature, extent and duration of field-testing, if any.

- The need for any existing proposed SPP RE Regional Reliability Standard to be deleted, retired, in part or whole, or otherwise impacted by the implementation of the draft proposed SPP RE Regional Reliability Standard.

- Technical reports, white papers and/or work papers that provide technical support for the draft proposed SPP RE Regional Reliability Standard under consideration.

- Documenting the perceived reliability impact should the proposed SPP RE Regional Reliability Standard be approved.

The SDT will regularly (at least at every regularly scheduled meeting) report to the SPP RE Trustees and the MOPC on its progress in meeting a timely completion of the draft proposed SPP RE Regional Reliability Standard. The SDT may request consideration of scope changes or termination of the proposed SPP RE Regional Reliability Standard at any point in the SPP RE Regional Reliability Standard development process.

The SPP RE Trustees or the MOPC may, at any time direct the SDT move to Step 45–Public Comments and post for comment the current work product, or to terminate the activity if there is no further need for the proposed SPP RE Regional Reliability Standard. If the activity is terminated, SPP RE Staff will notify the Originator and the SPP RE Trustees within 30 days.

If there are competing drafts, all will be posted on the public SPP website for comment. The MOPC may take this step at any time after a SDT has been commissioned to develop the proposed SPP RE Regional Reliability Standard.

For proposed SPP RE Regional Reliability Standards in progress, the MOPC must take action to move to Step 45–Public Comments, or to reject the proposal. If the MOPC votes to terminate the activity, the SPP RE Trustees must be notified with supporting reasons provided to them. The proposed SPP Regional Reliability Standard would then go directly to Step 11. (See Step 11–SPP RE Trustees Action).

Step 45 – Post Draft for 30 Day Public Comments
SPP RE Staff will post the draft of the proposed SPP RE Regional Reliability Standard on the public SPP website, along with any supporting documents, for a 30-day comment period. SPP RE Staff shall also inform Registered Entities and other potentially interested stakeholders of the posting using the customary communication procedures and processes then in effect available SPP communication resources, or by other means deemed appropriate. Comments may be submitted...
using the RSR Comment Form in Appendix B, also available on the public SPP public internet website.

Within 30 days of the conclusion of the 30-day comment posting period, the SDT shall convene and consider the written views and objections of all participants as they relate changes to the draft proposed Standard, SPP RE Regional Reliability Standard, the implementation plan, and/or supporting technical documents. The SDT may elect to return to Step 3 Scoping and Drafting to revise the draft Standard, and/or any supporting documentation. The SDT shall summarize prepare a summary of the comments received and any changes made as a result of the comments. -The summary, along with a response to each comment received, will be posted on the SPP website no later than the next posting of the proposed standard. This summary will be and posted on the SPP website when completed. Following its consideration of comments, the SDT may elect to return to Step 4 Scoping and Drafting to further revise the proposed SPP RE Regional Reliability Standard and/or any supporting documentation.

Step 5-6 – Open Voting
The SDT shall direct SPP RE Staff staff to post the revised draft proposed Standard SPP RE Regional Reliability Standard and other relevant documents, including but not limited to, the implementation plan, supporting technical documentation, and summary of comments.

First Ballot
SPP RE Staff will schedule a vote by interested parties to commence no sooner than 15 days and no later than 30 days following the posting of the revised draft.

Members of the Registered ballot body members shall be allowed to vote over a period of 15 days; votes must be submitted by close of business on the final day of the voting period. Voting will be through electronic means or other means provided by SPP.

SPP Segment Weighted Voting Registration in a ballot body created for a specific proposed regional standard is required to vote. Registration for a proposed Standard is noticed on the SPP website and through a Standards email exploder for a period of 15 days prior to the start of the ballot (subscription to the Standards email exploder is open to any interested party through the SPP website). All interested parties who register with the ballot body may vote on the proposed new Standard, Standard revision or Standard deletion. An interested party may only register in one segment.

At least fifteen days prior to the start date of voting ballot, SPP RE staff will use the customary communication procedures and processes then in effect to notify interested parties and will post the notification on the public SPP website.

To vote on a proposed SPP RE Regional Reliability Standard, an entity must register in a ballot body created for that specific draft of the proposed SPP RE Regional Reliability Standard. Registration must be submitted by close of business on the final day of the ballot body registration period. The registered ballot body comprises all entities or individuals that qualify for one of the SPP RE Regional Reliability Standards segments and are registered with SPP RE as a ballot body participant. A registered ballot body participant cannot change segments during a balloting period once the
participant has cast a vote or designated a proxy. When registering for a subsequent ballot(s) of the same proposed SPP RE Regional Reliability Standard, an entity cannot change the segment for which it previously registered.

The five SPP voting segments for Regional Reliability Standards are:

1) Transmission  
2) Generation  
3) Marketer/Broker  
4) Distribution/Load Serving Entity  
5) End User and Public Interest

Any entity that can meet any one of the segment qualifications below is entitled to register and vote in that segment. Only one vote per entity per segment is permitted. For purposes of SPP RE Regional Reliability Standard ballot body registration and voting, an entity is defined as an individual or organization that has a separate legal identity. Affiliates (subsidiary, parent, or sibling corporations) shall be treated as one entity except in instances where the affiliates are separately registered in the NERC Compliance Registry, in which case the affiliates may be treated as separate entities.

The segment qualifications are as follows (only one of the segment qualifications must be met):

1) Transmission  
   a. Any entity that owns and maintains transmission facilities  
   b. Any entity responsible for the reliability of its local transmission system and operates or directs the operations of the transmission facilities  
   c. Any entity that develops a long-term (generally one year and beyond) plan for the reliability (adequacy) of the interconnected bulk electric transmission systems within its portion of the PA area  
   d. Any entity that administers the transmission tariff and provides transmission service to transmission customers under applicable transmission service agreements  
   e. Any entity that coordinates and integrates transmission facility and service plans, resource plans, and protection systems  
   f. Any entity that is responsible for the reliable operation of the BES, has the wide area view of the BES, and has the operating tools, processes and procedures, including the authority to prevent or mitigate emergency operating situations in both next-day analysis and real-time operations

2) Generation  
   a. Any entity that owns and maintains generating units, including variable and other renewable resources  
   b. Any entity that operates generating unit(s) and performs the functions of supplying energy and interconnected operations services  
   c. Any entity that integrates resource plans ahead of time, maintains load-interchange-generation balance within a BA area, and supports Interconnection frequency in real-time
d. Any entity that authorizes implementation of valid and balanced Interchange Schedules between Balancing Authority Areas, and ensures communication of Interchange information for reliability assessment purposes

e. Any entity that coordinates and integrates transmission facility and service plans, resource plans, and protection systems

f. Any entity that purchases or sells and takes title to energy, capacity, and interconnected operations services

g. Any entity that is responsible for the reliable operation of the BES, has the wide area view of the BES, and has the operating tools, processes and procedures, including the authority to prevent or mitigate emergency operating situations in both next-day analysis and real-time operations

h. Any entity that develops a long-term (generally one year and beyond) plan for the resource adequacy of specific loads (customer demand and energy requirements) within a planning authority area

3) Marketer/Broker

a. Any entity serving end-use customers under a power marketing agreement or other authorization not classified as a regulated tariff

b. Any entity that buys, sells, or brokers energy and related services for resale in wholesale or retail markets, whether a non-jurisdictional entity operating within its charter or an entity licensed by a jurisdictional regulator

c. Any entity that is a Generation and Transmission (G&T) cooperatives or joint-action agency that performs an electricity broker, aggregator, or marketer function

d. Any entity that is an agent or association that represents groups of electricity brokers, aggregators, or marketers

e. Any entity that is a demand-side management provider

4) Distribution/Load Serving Entity

a. Any entity that provides and operates the “wires” between the transmission system and the end-use customer

b. Any entity that secures energy and transmission service (and related interconnected operations services) to serve the electrical demand and energy requirements of its end-use customers

c. Any entity that purchases or sells and takes title to energy, capacity, and interconnected operations services

5) End User and Public Interest

a. Any entity with service delivery taken that is not purchased for resale

b. Any governmental entity or agency, including public utility commissions

c. An entity that qualifies for registration in another segment may not register in the End User/Public Interest segment. Any individual currently employed by an entity that is eligible to join one or more of the other segments shall not be qualified to join the End User/Public Interest segment.

SPP RE Staff staff will accept votes any time during the 15-day ballot period for the draft proposed Standard. Votes must be submitted by close of business on the final day of the ballot period. Votes will be counted by voting segment. Each voting segment will

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receive 20% of the vote, unless there are less than five votes in the segment and then the segment vote will be adjusted as provided for below. A weighted vote of 2/3 affirmative of those voting will pass a Standard for further consideration (Step 7).

Criteria for Ballot Pool Approval

For a Regional Reliability Standard action to be approved by the ballot body and passed on for further consideration (Step 7- Post Draft Standard for Action on the MOPC Agenda) the following is required:

- A quorum of registered ballot body members, which is established by at least 75% of the members of the registered ballot body casting a ballot, whether that ballot is affirmative, negative, or an abstention. A quorum is not reached when 75% of the registered ballot body is equal to or less than three; and

- A two-thirds (66.67%) majority of the weighted segment votes cast shall be affirmative. The number of votes cast is the sum of affirmative and negative votes, excluding abstentions and non-responses.

The following process will be used to determine if there are sufficient affirmative votes for ballot body approval:

- For each segment with five or more votes, the number of affirmative votes shall be divided by the sum of affirmative and negative votes to determine the fractional vote for the segment. This resulting fractional percentage shall be carried forward to the combined total of affirmative votes for all segments; the negative votes shall be tallied in the same manner and shall be carried forward in the combined total of negative votes for all segments. Abstentions and non-responses shall not be counted in the segment’s fractional affirmative or negative vote.

- For each segment with less than five votes, the segment’s vote weight shall be proportionally reduced. Each affirmative or negative vote within that segment shall receive a weight of 20% of the segment vote (.20) within the appropriate vote column (affirmative or negative). The fractional sum total for each of the columns, affirmative and negative, shall be carried forward to the combined total of affirmative and negative votes for all segments.

The result of the total fractional sum of affirmative votes combined from all voting segments, divided by the total fractional sum of total affirmative and negative votes from all voting segments, shall be the percentage used to determine if the ballot has attained a two-thirds (66.67%) needed for ballot body approval of the SPP RE Regional Reliability Standard action and to be moved on for further consideration.

If the vote fails to achieve the required a 2/3 two-third majority of those voting as provided for herein, the proposed Standard SPP RE Regional Reliability Standard will be returned to the SDT for consideration for future action (Step 34- Scoping and Drafting). The SDT may; revise the proposed Standard SPP RE Regional Reliability Standard; post the Standard draft proposed SPP RE Regional Reliability Standard again for comments; reballot the proposed Standard SPP RE Regional Reliability Standard; ask the SPP RE Trustees to terminate the request; or take any other action it deems appropriate.
In the event that the proposed SPP RE Regional Reliability Standard receives the required two-thirds majority of those voting but also receives negative votes with comments during the ballot period, those comments shall be addressed in accordance with Step 5 and included with a re-circulation ballot.

**Recirculation Ballot**

In the recirculation ballot, members of the ballot body shall again be presented the proposed standard (unchanged from the first ballot) along with the reasons for negative votes, the SDT responses, and any resolution of the differences.

All members of the ballot body eligible to vote shall be permitted to reconsider and change their vote from the first ballot. Eligible voting members of the ballot body that did not respond to the first ballot shall be permitted to vote in the recirculation ballot. Only one vote will be accepted from each entity within a segment.

In the recirculation ballot, votes will be counted by exception only - members on the recirculations ballot may indicate a revision to their original vote, otherwise their vote shall remain the same as in the first ballot. If a recirculation ballot is conducted, the results of the recirculation ballot shall determine the status of the standard, regardless of the outcome of the first ballot.

The voting time window for the recirculation ballot is ten (10) days. The 15-day posting is not required for the recirculation ballot. Members of the ballot body may submit comments in the recirculation ballot but no response to those comments is required.

The SPP RE Trustees are notified of the outcome of the vote(s) and any actions taken by the SDT as a result of the vote(s). The SPP RE Trustees will determine any additional action to be taken. (See Step 11–SPP RE Trustees Action)

**Step 6-7 – Prepare Consensus Draft & Minority Report**

When a draft of the proposed SPP RE Regional Reliability Standard is approved by the SPP RE Regional Reliability Standard registered ballot body, the SDT will prepare a consensus draft representing the version of the Standard to be presented the approved draft of the proposed SPP RE Regional Reliability (Consensus Draft SPP RE Regional Reliability Standard) to SPP RE staff, the MOPC and the BOD/MC before final action by the SPP RE Trustees.

**Minority Report and Appeals**

A minority report will be prepared if there are significant issues that cannot be resolved within by the SDT during the drafting phase (Step 3-4), or from the public comments (Step 4-5) or from the open voting process (Step 6).

- The minority report will include a summary of comments that were rejected by the SDT during the development of the proposed SPP RE Regional Reliability Standard and the reason(s) that these comments were rejected, in part or whole.
A minority report will include any appeals from interested parties that the SPP RE Regional Standards Development Process Procedure Manual was violated in the development of the proposed Standard SPP RE Regional Reliability Standard.

The minority report will remain a part of the record of the proposed Standard SPP RE Regional Reliability Standard and will be available to any interested party during any subsequent steps.

The eConsensus Draft SPP RE Regional Reliability Standard and any minority reports will be presented to the MOPC for its consideration and an advisory vote.

**Step 7-8 – Post Draft Standard for Action on the MOPC Agenda**

The recommended Consensus Draft SPP RE Regional Reliability Standard will be noticed for consideration on the MOPC agenda. The agenda materials will be made available per the SPP Bylaws, Section 3.5. If a Consensus Draft SPP RE Regional Reliability Standard requires consideration by the MOPC prior to a regularly scheduled meeting, SPP RE Staff will notify the MOPC Chairman, who will notice a special meeting in accordance with the SPP Bylaws.

**Step 8-9 – MOPC Review**

The MOPC will provide an advisory vote on the Consensus Draft SPP RE Regional Reliability Standard under the governance provisions of the SPP Bylaws, Section 3.9–Voting. If the MOPC opposes the Consensus Draft SPP RE Regional Reliability Standard, the MOPC may request revision of the Consensus Draft SPP RE Regional Reliability Standard or termination of further activity on the proposed Standard SPP RE Regional Reliability Standard. If the proposed Standard SPP RE Regional Reliability Standard is terminated, notice will be provided (described in Step 9) to the SDT, SPP RE staff, and SPP RE Trustees for further action (Step 10-11). If further revision is requested by the MOPC, the Consensus Draft SPP RE Regional Reliability Standard will be remanded back to the SDT with comments from the MOPC.

The MOPC shall be provided:

- The Consensus Draft SPP RE Regional Reliability Standard and any modification or deletion of other related existing SPP RE Regional Reliability Standard(s)
- Implementation Plan (including recommended field testing and effective dates)
- Technical documentation supporting the Consensus Draft SPP RE Regional Reliability Standard
- A summary of the registered ballot body vote and summary of the comments and responses that accompanied the votes, including a Minority Report if applicable

If the MOPC concurs with the Consensus Draft SPP RE Regional Reliability Standard, the Consensus Draft SPP RE Regional Reliability Standard will proceed to the SPP Board of Directors and Members Committee for review (Step 10-9 SPP RE Trustees Action).

The SPP RE Trustees will be notified of the outcome of the MOPC review.

Approved by FERC Effective January 1, 2011 [insert approval date]
Step 9-10 – SPP Board of Directors/Members Committee Review

A draft Consensus Draft Standard SPP RE Regional Reliability Standard submitted to the SPP Board of Directors/Members Committee (BOD/MC) for review must be publicly posted at least 40-seven days prior to consideration by the BOD/MC. The BOD/MC may consider the Consensus Draft Standard SPP RE Regional Reliability Standard at a regularly scheduled meeting, or as determined by the Chairman of the BOD/MC.

The BOD/MC shall be provided:

- The eDraft Consensus Draft Standard SPP RE Regional Reliability Standard and any modification or deletion of other related existing Standard SPP RE Regional Reliability Standard(s)
- Implementation Plan (including recommended field testing and effective dates)
- Technical documentation supporting the Consensus Draft Standard SPP RE Regional Reliability Standard
- A summary of the registered ballot body vote and summary of the comments and responses that accompanied the votes, including a Minority Report if applicable.
- The results of the MOPC advisory vote and any comments
- Any other information relevant to the proposed Standard SPP RE Regional Reliability Standard

The BOD/MC will:

- Provide an advisory vote to the SPP RE Trustees on the Consensus Draft Standard SPP RE Regional Reliability Standard (Step 4011- Presentation to SPP RE Trustees); or
- Return the Consensus Draft Standard SPP RE Regional Reliability Standard to the MOPC with comments

In the case of a second return of a proposed Standard SPP RE Regional Reliability Standard from the BOD/MC to MOPC, the proposed Standard SPP RE Regional Reliability Standard is will be forwarded to the SPP RE Trustees for action. (The proposed Standard would go directly to Step 124-SPP RE Trustees Action).

Step 4011 – Presentation to SPP RE Trustees

A Consensus Draft Standard SPP RE Regional Reliability Standard submitted to the SPP RE Trustees for action must be publicly posted at least 40-seven days prior to consideration by the SPP RE Trustees.

The SPP RE Trustees shall be provided:

- The eConsensus Draft Standard SPP RE Regional Reliability Standard and any modification or deletion of other related existing Standard SPP RE Regional Reliability Standard(s)
- Implementation Plan (including recommended field testing and effective dates)
Step 11-12 -- SPP RE Trustees Action
The SPP RE Trustees will:

- Recommend NERC approve the Consensus Draft SPP RE Regional Reliability Standard through the NERC process; or
- Remand the Consensus Draft SPP RE Regional Reliability Standard to the SDT through the MOPC with comments and instructions; or
- Determine there is no need for the Consensus Draft SPP RE Regional Reliability Standard and terminate any future activity.

If a Consensus Draft SPP RE Regional Reliability Standard is forwarded to the SPP RE Trustees for action as a result of an opposing MOPC vote (Step 89- MOPC Review); or - if automatically forwarded to them as a result of two or more returns by the MOPC or SPP Board BOD/MC (Step 109- SPP Board of Directors/Members Committee Review), the SPP RE Trustees will take definitive action, including initiating the process from Step 34- Scoping and Drafting. The SPP RE Trustees may not submit a proposed Standard SPP RE Regional Reliability Standard to NERC for approval without a positive outcome from open and balanced voting in per Step 56-Open Voting.

Advisory votes of the MOPC and the BOD/MC do not impact the SPP RE Trustees’ authority to submit a Consensus Draft SPP RE Regional Reliability Standard to NERC. However, the SPP RE Trustees shall give full consideration to the results of the balloting and any dissenting opinions presented within the Minority Report or opinions of the MOPC and BOD/MC.

Step 12-13 – Submit to NERC for Approval as SPP RE Regional Reliability Standard
SPP RE Staff will notify interested parties of submission of a Consensus Draft SPP RE Regional Reliability Standard to NERC by the SPP RE Trustees through the customary communication procedures and processes then in effect. The SPP RE Staff will publicly notice any further steps necessary to have a Consensus Draft SPP RE Regional Reliability Standard reviewed and/or approved through the NERC or any successor organization standards process.

C. Filing of Regional Reliability Standards with Regulatory Agencies
The development of Regional Reliability Standards must be administered in coordination with the NERC’s Standards Development Processes. At the discretion of the NERC Board of...
Trustees, adopted Reliability Standards may be filed with applicable regulatory agencies in the United States, Canada, and Mexico. Regional Reliability Standards, once approved by FERC, are made part of the NERC Reliability Standards and shall be enforced accordingly.
Appendix A


Any interested party may propose changes to this manual. Such change requests will follow all the steps of the SPP RE Regional Reliability Standards Process outlined in Section V, Part B of this manual.

II. Appeals

Persons who have directly and materially affected interests and who have been or will be adversely affected by any substantive or procedural action or inaction related to the development, approval, revision, reaffirmation, or retirement of a Standard shall have the right to appeal. This appeals process applies only to the SPP RE Regional Reliability Standards Process as defined in Section V, Part B of this manual.

The burden of proof to show adverse effect shall be on the appellant. Appeals shall be made within 30 days of the date of the action purported to cause the adverse effect, except appeals for inaction, which may be made at any time. In all cases, the request for appeal must be made prior to the next step in the process.

The appeal will be addressed by the SPP RE Trustees. The appeal is included in a Minority Report of the Consensus Draft Standard, which remains a part of the record for the proposed Standard throughout the SPP RE Regional Standards Development Procedure.

The SPP RE Trustees’ final decisions of any appeal shall be documented in writing and made public.

A complaint will be noted in a Minority Report, including the substantive or procedural action or inaction associated with a proposed Standard or the SPP RE Regional Standards Development Process. The complaint should describe the actual or potential adverse impact to the appellant. The SPP RE Trustees will provide a written response to the complaint. The appellant’s response to the SPP RE Trustees determination will be included in the Minority Report.

The SPP RE Trustees shall provide a response to any remaining open complaints.
## Appendix B: SPP RE Regional Standard Request Form

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<tr>
<th>RSR Number</th>
<th>RSR Title</th>
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### SPP RE Regional Reliability Standard Name
(include Section No., Title, and existing Standard Version if any)

### Requested Resolution Date (if applicable)

### Description

### Reliability Need or Purpose –
Try to identify if known:
- Technical requirements,
- reliability risk factor,
- measurements (refer to SPP RE Regional Reliability Standards Development Process Manual for descriptions).

### Tariff Implications or Changes
(Yes or No; If yes include a summary of impact and/or specific changes)

### Criteria Implications or Changes
(Yes or No; If yes include a summary of impact and/or specific changes)

### NERC Standard Implications
(Yes or No, and summary of impact)

---

**Sponsor**
<table>
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<td>E-mail Address</td>
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<tr>
<td>Company</td>
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<tr>
<td>Company Address</td>
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<td>Phone Number</td>
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<td>Fax Number</td>
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Proposed Regional Standard Language
Appendix C: SPP RE Regional Standard Request Comment Form

RSR Number
______________

RSR Title

Date
______________

Submitter’s Information

Name

E-mail Address

Company

Company Address

Phone Number

Fax Number

Comment Form Instructions (please delete before submitting comments):
Comments are to be submitted electronically and are due by close of business of the comment due date. Please follow this file naming convention: ###PRR <Company Name> Comments<date>.doc.

Comments

Revised Regional Standard Language
Appendix D: SPP RE Regional Reliability Standards Development Procedure

1. MOPC receives request for NERC-SPP RE Regional Standards Development

2. Notification to SPP RE Trustees & Public

3. SDT formation and Scoping and Drafting

4. Post Draft for Public Comments (30 days)

5. Open Vote

PASS

6. Prepare Consensus Draft & Minority Report*

PASS

FAIL

7. Post Draft for Action in MOPC Agenda (7-10 days)

MOPC Review and Vote

PASS

FAIL

8. MOPC Review and Vote

PASS

FAIL

SPP BOD/MOPC Review and Vote automatically

PASS

10. SPP Board Recommendation to SPP RE Trustees

PASS

FAIL

SPP RE Trustees Action

ACCEPT

NO NEED

11. Submit to NERC for Approval as Regional Standard

12. SPP RE Trustees Action

Terminate

*Minority report remains part of the record for the proposed standard

**If twice returned, proceed to Step 11

Request termination, Proceed to Trustees Action

Return to MOPC Review/Vote**

Return to Scoping/Drafting

Terminate
1. Request for NERC
2. Notification to RE Trustees & Public
3. Scoping and Drafting
   May Reiterate
   FAI
   MOPC Guidance
   No Need
   RETURN
   FAI
   PASS
   8. MOP
7. Post Draft for Action in MOPC Agenda (7-10 days)
4. Post Draft for Public Comments (30 days)
5. Open Vote
   PASS
   6. Prepare Consensus Draft & Minority Report*
   *Minority report remains part of the record for the proposed standard
   RETURN
   FAI
   TWICE RETURNED
   REMAN
   10. SPP Board Recommendation to RE Trustees
9. SPP Board Review
   Automatically forward to RE Trustees after two returns
   11. RE Trustees Action
   12. Submit to NERC for Approval as Regional Standard
   ACCEP
   Terminate
   No Need
   1. Request for NERC
   2. Notification to RE Trustees & Public
   3. Scoping and Drafting
   May Reiterate
   4. Post Draft for Public Comments (30 days)
   5. Open Vote
   6. Prepare Consensus Draft & Minority Report*
   *Minority report remains part of the record for the proposed standard
   7. Post Draft for Action in MOPC Agenda (7-10 days)
   8. MOP
   9. SPP Board Review
   Automatically forward to RE Trustees after two returns
   10. SPP Board Recommendation to RE Trustees
   11. RE Trustees Action
   12. Submit to NERC for Approval as Regional Standard
   Terminate
   No Need

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