

# SPP Control Area Criteria and Certification Procedures V1.0

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This document describes and defines the process that will be used to certify an entity as a NERC CONTROL AREA. The Control Area Certification Procedure is used for certifying an entity requesting to become a new CONTROL AREA. This Certification Procedure is based on NERC's established operating criteria, measurements, documentation forms and review protocols, and SPP's Criteria. SPP oversees and implements data collection, implements a peer review process, and determines and awards certification status. SPP's certification procedure for new CONTROL AREAS uses the NERC New Control Area Procedure and questionnaires with the addition of questions over the SPP Criteria requirements for Control Areas. The NERC New Control Area Procedure and questionnaires are available on the NERC web site and will not be duplicated here.

## I. NERC Control Area Criteria

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### *Criteria Subsections*

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- A. Confirmation as a Control Area
  - B. Criteria
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### *Introduction*

These Criteria establish the requirements for consideration as a NERC CONTROL AREA. They are based on existing NERC Operating Policies and Standards.

## A. Confirmation as a Control Area

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1. **Confirmation by Southwest Power Pool.** To be recognized as a NERC-Certified CONTROL AREA, the entity must be reviewed and confirmed by SPP. The entity must be a member of SPP and meet and follow all of the requirements of these Criteria.

## B. Criteria For A Control Area

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### NERC Criteria

1. **Generation.** The CONTROL AREA shall operate generation or have the necessary contracts to operate generation to:
  - 1.1. Meet its area instantaneous demand, INTERCHANGE SCHEDULE, OPERATING RESERVE, and Reactive resource requirements.
  - 1.2. Provide its frequency bias obligations.
  - 1.3. Balance its NET ACTUAL INTERCHANGE and NET SCHEDULED INTERCHANGE

- 1.4. Use tie-line bias control (unless doing so would be adverse to system or the INTERCONNECTION reliability).
- 1.5. Comply with Control Performance and Disturbance Control Standard (see **Policy 1E, “Generation Control and Performance – Performance Standard”**)
- 1.6. Repay its INADVERTENT INTERCHANGE balance. (see **Policy 1F, “Generation Control and Performance – Inadvertent Interchange”**)
2. **Metering.** The CONTROL AREA shall have meters on all tie-lines with adjacent CONTROL AREAS to record actual interchange (MW and MWH) in real time. INTERCHANGE meters shall be at a location common to both CONTROL AREAS and shall provide identical values with opposite signs to both CONTROL AREAS. All CONTROL AREA INTERCONNECTION points shall be equipped with common MWh meters, with readings provided hourly to the control centers of both CONTROL AREAS.
3. **Communications.** Shall provide adequate and reliable communication facilities to assure the exchange of information necessary to maintain INTERCONNECTION reliability.
4. **Transmission Arrangements.** Shall have appropriate transmission arrangements (through ownership or contracts) to meet its generation or load obligations.
5. **System Operators.** Shall be operated by NERC-certified system operators 24 hours per day, seven days per week.
6. **E-tag Services.** Shall provide E-Tag Tag Authority and Tag Approval services. (Eastern and Western Interconnections)
7. **Performance surveys.** Shall comply with performance survey requirements. (see **Policy 1G, “Generation Control and Performance – Control Surveys”**)
8. **Back-up Control Center.** Shall provide a plan to continue operation in the event its control center becomes inoperable.
9. **Coordination.** Shall coordinate maintenance and protective relaying, with other systems and the Security Coordinator, that may affect reliability.
10. **System Restoration.** Shall have a restoration plan to reestablish its electric system and cover emergency conditions.
11. **Compliance with NERC Operating Policies and Standards.** Shall have knowledge of and comply with all NERC approved Policies and Standards as currently posted.

## **SPP Criteria**

1. A Control Area must be a member of SPP and adhere to all of the SPP Criteria.
2. A Control Area shall share operating data in accordance to SPP Criteria 5.1.

## **Southwest Power Pool Control Area Criteria and Certification Procedures**

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3. A Control Area shall notify the Security Coordinator of an operating condition that may adversely affect reliability, coordinate scheduled transmission outages, and meet other requirements in accordance to SPP Criteria 5.2.
4. A Control Area must be a participant in the SPP Operating Reserve Program as defined by SPP Criteria 6.6.1 and in accordance to SPP Criteria 6.0.
5. A Control Area must have automatic under frequency relaying to curtail load in accordance to SPP Criteria 7.3.
6. A Control Area shall reduce their area load during a generation deficiency until the available generation is sufficient to match their area load, in accordance to SPP Criteria 7.3.
7. A Control Area shall have a detailed black start plan and train personnel in its implementation in accordance to SPP Criteria 9.0. The current plan shall be on file at the SPP office.
8. A Control Area shall have a satellite phone that meets the SPP emergency communication requirements under SPP Criteria 10.0.
9. A Control Area shall participate in the SPP Transmission Line Loading Relief Procedures.

## II. Control Area Certification Procedures

### Background

To be recognized as a NERC CONTROL AREA, the NERC Operating Committee requires that an entity seeking recognition as a CONTROL AREA be certified by the Region where the entity proposes to operate. This describes the process by which an entity can be certified by SPP as a CONTROL AREA. The SPP Board of Directors shall have the sole authority for certifying a CONTROL AREA in SPP.

Any entity that desires to operate within SPP as a CONTROL AREA must be an SPP member and must attain and maintain SPP control area certification. All generation, transmission, and load within the metered boundaries of an SPP-Certified Control Area shall meet and follow all SPP Criteria.

### Certification Process

The primary steps in the Control Area Certification Procedure and the entity responsible for each step are as follows:

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| 1. | Process Initiation –                                  | Entity seeking certification, i.e.,<br>the “Applicant” |
| 2. | Provision of criteria, process, documentation, etc. – | SPP  |
| 3. | Formation of Certification Review Team –              | SPP  |
| 4. | Data collection –                                     | SPP  |
| 5. | Data review –   | SPP Review Team  |
| 6. | Site visit –  | SPP (Review Team)                                      |
| 7. | Recommendation –                                      | SPP (Review Team)                                      |
| 8. | Certification –                                       | SPP  |
| 9. | Notification and Operations Authorization –           | NERC   |

While not specifically referenced in this document, as with all NERC Standards, SPP's specific requirements and guidelines are used in conjunction with (but not in place of) the NERC Control Area Certification Procedure. However, in doing so, SPP cannot compromise the NERC-established certification Procedure and requirements without formal approval from NERC. It is expected that all SPP-adopted CONTROL AREA certification procedures and process documentation will be filed with NERC and approved by the NERC Operating Committee. The Certification Process shall be completed in a maximum allowable time of six months from the initiation of the process.

### **Control Area Certification Procedure**

1. Any entity seeking certification as a CONTROL AREA (the "Applicant") will initiate the certification process by making a formal request to the SPP Regional Manager (the Region where the Applicant plans to operate its CONTROL AREA) with a copy to the Director-Compliance (Mr. Dave Hilt, Director-Compliance, NERC, Princeton Forrestal Village, 116-390 Village Boulevard, Princeton, NJ 08540-5731) at the NERC Office.
2. SPP will be responsible for conducting the formal review process and determining and awarding certification.
3. The Applicant and SPP shall agree to a time schedule to complete the certification process including specific milestones and a certification date. The SPP Control Area Certification Procedure and certification recommendation is expected to be completed within six (6) months of the date when the SPP Regional Manager received the initial request.
4. SPP will notice all appropriate and involved parties and provide each with the necessary information regarding Control Area certification, the certification process, and the duties expected from each entity.
5. Applicant registers in the NERC Master Registry. Registration stays on hold until certification is complete.
6. NERC Staff will begin the process of making any necessary modeling changes for the IDC. The Applicant and SPP will supply necessary modeling information, and the changed model will be held in stasis until final certification is obtained.

7. SPP will provide forms and questionnaires that will be used by all entities involved in the Procedure. These forms and questionnaires will be used to address the Applicant's capabilities and actions as they relate to previously established CONTROL AREA requirements. The following list of entities will be recipients of the questionnaires as each is a source of necessary certification information and data:
  - Applicant (i.e., the entity seeking Control Area certification)
  - Control Areas physically interconnected with the Applicant
  - SPP Security Coordinator
8. SPP will provide its expectations and standards regarding confidentiality and retention of all data reporting, completed questionnaires and forms, and reports and recommendations associated with the documentation it provides and receives.
9. SPP will select and assemble a Certification Review Team to be charged with the responsibility of determining if the Applicant meets NERC and SPP CONTROL AREA Criteria. All Review Team members will be agreed to by the Applicant and SPP and will subject themselves to confidentiality agreements for any data that is made available to them through the certification review process. The Review Team will typically consist of the following:
  - SPP Engineering and Operating Committee member (Review Team chair)
  - SPP Security Working Group member
  - SPP Transmission Assessment Working Group member
  - SPP Commercial Practices Committee member
  - SPP Security Coordinator
  - Representative from NERC
  - Representative from another NERC region
10. The Review Team will formulate its certification decision based strictly on data collected from the questionnaires and from observations and information collected during an on-site visit to the Applicant's facility. The Review Team's recommendation will be supported by the production of a compliance evaluation review form and a formal report.

11. The Review Team will conduct at least one on-site visit to the Applicant's control center facility. During the visit, Review Team members will:
  - Review with the Applicant the data collected through the questionnaires,
  - Interview the Applicant's operations and management personnel,
  - Inspect the Applicant's facilities and equipment, and
  - Review all necessary documents and data.
12. The Review Team will conclude its initial findings with a report to the Applicant and to the SPP Board containing a recommendation to certify or withhold certification.
  - a. The Review Team will re-evaluate the Applicant in the deficient areas if the corrective actions occur within the timetable.
  - b. If the recommendation is to withhold certification, specific areas of deficiency, corrective action items, and a timetable for performing these corrections must be identified and communicated.
13. The Review Team will be responsible for any follow-up work that is needed and continue such work until a "certify/deny" decision is made.
14. The SPP Board will consider the Review Team's recommendation and approve or disapprove the recommendation.
15. When the SPP Board of Directors grants certification status to the Applicant, SPP Staff will notify the Applicant and NERC.
16. Upon receiving notification from SPP that the Applicant has been certified as a CONTROL AREA, NERC will notify all of the necessary entities and authorize the Applicant to begin its Control Area operations, and announce the date of operation for the CONTROL AREA. Control Area operations must not begin or continue without this NERC authorization. NERC Staff will also release the Applicant's tagging registration information for use and complete the necessary modeling changes for IDC and all other database pending database changes.

### III. SPP Questions to be Included in Questionnaires

These questions over SPP Criteria will be added to the named NERC questionnaires.

#### NERC Compliance and Evaluation Questionnaire

- Does the Applicant's EMS/SCADA system have the capability to supply operating data to SPP as required in Criteria 5.1?
- Does the Applicant have an ARS terminal installed and personnel trained in its use?
- Does the Applicant have established procedures in place to meet all reporting requirements?
- Does the Applicant have procedures in place to coordinate scheduled transmission outages with the SPP Security Coordinator?
- Does the Applicant have automatic under-frequency relaying installed to meet SPP Criteria?
- Does the Applicant have documentation showing the operating frequency level for the under-frequency relaying?
- Does the Applicant have documentation showing the amount of load to be curtailed for each operating frequency?
- Does the Applicant have procedures in place to curtail load during generation deficiencies?
- Does the Applicant have a black start plan on file with SPP?
- Has the Applicant trained its personnel in the implementation of its specific black start plan?
- Does the Applicant have a satellite phone for SPP's emergency communications?
- Does the Applicant have procedures in place to participate in SPP's Transmission Line Loading Relief (TLR)?
- Is the Applicant connected to the SPP frame relay network and have terminal equipment in place?
- Does the Applicant understand SPP's Criteria?
- Has the Applicant completed the Applicant Questionnaire?

## **NERC Adjacent Control Area Questionnaire**

- Has the Applicant coordinated emergency operating plans with you?

## **NERC Security Coordinator Questionnaire**

- Is the Applicant able to meet all reporting requirements?
- Has the Applicant's data been established in the ARS?
- Has the Applicant's system been modeled in SPP's network model and linked to their ICCP data?
- Has SPP received the ICCP data from the Applicant?
- Has the Applicant demonstrated the ability to communicate with SPP by satellite phone?
- Does the Applicant have a black start plan on file?

## **SPP Region**

Is the Applicant a member of SPP and has it signed the membership agreement?