



Jurisdiction:
FERC

Regulatory Status Report

- AD16-16** **Implementation Issues Under the Public Utility Regulatory Policies Act of 1978**
- On September 6, 2016, FERC issued a Notice Inviting Post-Technical Conference Comments.
- Comments are due on November 7, 2016.
- AD16-25** **Utilization in the Organized Markets of Electric Storage Resources as Transmission Assets Compensated Through Transmission Rates, for Grid Support Services Compensated in Other Ways, and for Multiple Services**
- On September 30, 2016, FERC issued a Notice of Technical Conference to be held on November 9, 2016 to discuss the utilization of electric storage resources as transmission assets compensated through transmission rates, for grid support services that are compensated for in other ways, and for multiple services.
- The discussion will include issues related to (1) potential models for cost recovery for electric storage resources utilized as transmission assets, while also selling energy, capacity or ancillary services at wholesale; (2) potential models to enable an electric storage resource to provide a compensated grid support service (like a generator providing ancillary services under a reliability must-run contract) rather than being compensated for providing transmission service; and (3) practical considerations for electric storage resources providing multiple services at once (i.e., providing both wholesale service(s) and retail and/or end-use service(s)).
- EL13-88** **Northern Indiana Public Service Company's ("NIPSCO") Complaint Against the Midcontinent Independent System Operator, Inc. ("MISO") and PJM Interconnection, L.L.C. ("PJM") to Remedy Flaws in the Interregional Planning Process of the MISO-PJM Joint Operating Agreement ("JOA")**
- On September 1, 2016, the Generator Group filed a Status Update on the Need for Flowgate Informational Reports. The Generator Group requested that the Commission order the Midcontinent Independent System Operator, Inc. and PJM Interconnection, L.L.C. to submit informational reports that provide the Flowgate Assessment Information.



Regulatory Status Report

Jurisdiction: EL16-110
FERC

Section 206 Proceeding to Consider whether to Require SPP to Limit the Eligibility for Auction Revenue Rights ("ARRs") and Long-Term Congestion Rights ("LTCRs") for Network Service Subject to Redispatch so that Such Service is Treated Comparably with Point-To-Point Transmission Service Subject to Redispatch with Respect to ARR and LTCR Eligibility

On September 23, 2016, FERC issued an order accepting in part, and rejecting in part, effective May 29, 2016, SPP's tariff revisions to modify redispatch provisions by removing language rendered obsolete as a result of the operation of SPP's Integrated Marketplace and to add language that more accurately sets forth eligibility for Candidate Auction Revenue Rights when redispatch is required for the requested service.

FERC found that the proposed revisions to section 34.6 of the Tariff as it pertains to network service to resdispatch have not been shown to be just and reasonable, and not unduly discriminatory or preferential, and therefore were rejected.

FERC instituted a section 206 proceeding in Docket No. EL16-110 to consider whether to require SPP to limit the eligibility for Auction Revenue Rights (ARRs) and Long-Term Congestion Rights (LTCRs) for network service subject to redispatch so that such service is treated comparably with point-to-point transmission service subject to redispatch with respect to ARR and LTCR eligibility.

Initial Briefs in Docket No. EL16-110 are due on October 31, 2016. Reply Briefs are due on November 21, 2016.

The refund effective date is September 29, 2016.

EL16-112

Coalition of MISO Transmission Customers ("CMTC") Complaint Against the Midcontinent Independent System Operator, Inc. ("MISO") Regarding the 2016-2017 Planning Resource Auction

On September 27, 2016, SPP filed a doc-less Motion to Intervene.

On September 28, 2016, Wisconsin Electric Power Company and Wisconsin Public Service Corporation filed a Motion to Intervene and Protest.

On September 28, 2016, the Electric Power Supply Association filed a Protest.

On September 28, 2016, the Louisiana Public Service Commission, Mississippi Public Service Commission, Arkansas Public Service Commission, the Council for the City of New Orleans, and the Public Utility Commission of Texas filed a Protest.

On September 28, 2016, the NRG Companies filed Comments and Protest.

On September 28, 2016, the People of the State of Illinois, by Illinois Attorney General Lisa Madigan, filed Comments.

On September 28, 2016, Dynegy Marketing and Trade, LLC and Illinois Power Marketing Company filed a Motion to Intervene and Protest.

On September 28, 2016, Potomac Economics, LTD, the Midcontinent Independent System Operator, Inc.'s Independent Market Monitor, filed a Motion to Intervene and Comments.

On September 28, 2016, the Midcontinent Independent System Operator, Inc. filed an answer in response to the Complaint.



Regulatory Status Report

Jurisdiction:
FERC

ER02-2001

Revised Public Utility Filing Requirements for Electric Quarterly Reports

On September 22, 2016, FERC issued a Notice seeking comments on the following proposed revisions to the Electric Quarterly Reporting Requirements:

- 1) require transmission providers to report ancillary services transaction data;
- 2) require filers to submit into the FERC Tariff Reference fields in the EQR certain tariff-related information that they currently submit in the eTariff system;
- 3) require filers to submit time zone information in connection with transmission capacity reassignment transactions; and
- 4) proposal to clarify how booked out transactions should be reported in EQR.

Comments are due 60 days after publication in the Federal Register.

ER14-2850

Submission of Tariff Revisions to Facilitate the Integration of Western Area Power Administration - Upper Great Plains Region ("Western-UGP"), Basin Electric Power Cooperative ("Basin Electric"), and Heartland Consumers Power District ("Heartland") (collectively the "IS Parties"), which Jointly Own and Operate the Integrated System, into the SPP Regional Transmission Organization ("RTO")

On September 13, 2016, SPP filed a Motion to Strike Portions of Joint Initial Brief of Basin Electric Power Cooperative, Heartland Consumers Power District, and Missouri River Energy Services.

On September 15, 2016, Commission Trial Staff filed a Reply Brief regarding GFA 496.

On September 15, 2016, Missouri River Energy Services, Heartland Consumers Power District, and Basin Electric Power Cooperative filed their Joint Reply Brief regarding GFA 496.

On September 15, 2016, SPP filed its Reply Brief Opposing Carve-Out Treatment for New Transmission Customers.

On September 15, 2016, Nebraska Public Power District filed its Reply Brief regarding GFA 496.

On September 15, 2016, Nebraska Public Power District filed an answer in support of SPP's Motion to Strike Portions of Joint Initial Brief of Basin Electric Power Cooperative, Heartland Consumers Power District, and Missouri River Energy Services.

On September 29, 2016, Basin Electric Power Cooperative, Heartland Consumers Power District, and Missouri River Energy Services filed an Answer in Opposition to Motion of Southwest Power Pool, Inc. to Strike Portions of Joint Initial Brief.

ER15-1775

Submission of Revenue Requirement, Formula Rate Template and Formula Rate Protocols for Basin Electric Power Cooperative ("Basin Electric")

On September 14, 2016, Judge Haubner issued a Report of Settlement Judge, recommending that settlement procedures be continued.

ER15-1777

Submission of Revenue Requirement, Formula Rate Template and Formula Rate Protocols for Heartland Consumers Power District ("Heartland")

On September 1, 2016, Judge Cintron issued an Order of Chief Judge Terminating Settlement Judge Procedures.



Regulatory Status Report

Jurisdiction:
FERC

- ER15-1943** **Submission of Revenue Requirement, Formula Rate Template and Formula Rate Protocols for Missouri River Energy Services ("MRES")**
On September 22, 2016, SPP submitted its compliance filing to update the formula rate template and implementation protocols for SPP Member Missouri River Energy Services, a Transmission Owner in Zone 19 (Upper Missouri Zone), pursuant to the order issued on August 23, 2016 accepting the Joint Offer of Settlement.

An effective date of January 1, 2017 was requested.
- ER15-1976** **Submission of Revenue Requirement, Formula Rate Template and Formula Rate Protocols for East River Electric Power Cooperative, Inc. ("East River")**
On September 6, 2016, Judge Haubner issued a Certification of Uncontested Offer of Settlement.

On September 26, 2016, Judge Cintron issued an Order of Chief Judge Terminating Settlement Judge Procedures.
- ER15-2028** **Submission of Revenue Requirement, Formula Rate Template and Formula Rate Protocols for Corn Belt Power Cooperative ("Corn Belt")**
On September 7, 2016, Judge Cintron issued an Order of Chief Judge Making Substitute Designation of Settlement Judge.

On September 15, 2016, Judge Cintron issued an Order of Chief Judge Making Substitute Designation of Settlement Judge.

On September 23, 2016, Judge Coffman issued a Report of Settlement Judge, recommending that settlement proceedings continue.
- ER15-2069** **NorthWestern Corporation d/b/a NorthWestern Energy's Filing of Formula Rate Template and Formula Rate Protocols to be included in the SPP Tariff**
On September 1, 2016, Commission Trial Staff filed Comments Supporting Offer of Settlement.

On September 13, 2016, Judge Johnson issued a Certification of Uncontested Settlement.

On September 26, 2016, Judge Cintron issued an Order of Chief Judge Terminating Settlement Judge Procedures.
- ER15-2075** **Submission of Tariff Revisions to Incorporate NorthWestern Energy's ("NorthWestern") Formula Rate**
On September 1, 2016, Commission Trial Staff filed Comments Supporting Offer of Settlement.

On September 13, 2016, Judge Johnson issued a Certification of Uncontested Settlement.

On September 26, 2016, Judge Cintron issued an Order of Chief Judge Terminating Settlement Judge Procedures.
- ER15-2115** **Submission of Revenue Requirement, Formula Rate Template and Formula Rate Protocols for Northwest Iowa Power Cooperative ("NIPCO")**
On September 12, 2016, Judge Coffman issued an Order Rescheduling Settlement Conference to be held on September 15, 2016 at 10 AM.

On September 16, 2016, Judge Coffman issued an Order Scheduling Settlement Conference to be held on October 27, 2016.



Regulatory Status Report

Jurisdiction:
FERC

- ER15-2324** **Submission of Revenue Requirements, Formula Rate Templates and Formula Rate Protocols for the Following Members of Missouri River Energy Services ("MRES"): Moorhead, Minnesota; Orange City, Iowa; Pierre, South Dakota; Sioux Center, Iowa; and Watertown, South Dakota**
- On September 1, 2016, Judge Cintron issued an Order of Chief Judge Terminating Settlement Judge Procedures.
- ER15-2347** **Contract Services Agreement Between Southwest Power Pool, Inc. and Western Area Power Administration**
- On September 2, 2016, Commission Trial Staff filed Initial Comments in Support of Offer of Settlement.
- On September 6, 2016, Judge Cianci issued a Certification of Uncontested Settlement.
- On September 7, 2016, Judge Cintron issued an Order of Chief Judge Terminating Settlement Judge Procedures.
- ER15-2351** **Unexecuted Market Participant Agreement between SPP as Transmission Provider and Alliant Energy Corporate Services, Inc. ("Alliant") as Customer and an Unexecuted Agreement Establishing a Pseudo-Tie Electrical Interconnection Point between SPP, Midcontinent Independent System Operator, Inc. ("MISO") as the External Balancing Authority, and Alliant as the Market Participant**
- On September 6, 2016, Judge Coffman issued a Report of Settlement Judge, recommending that the settlement proceeding continue.
- On September 28, 2016, SPP and Alliant Energy Corporate Services, Inc. submitted a Joint Offer of Settlement intended to resolve all issues set for hearing in this proceeding.
- ER15-2356** **Unexecuted Market Participant Service Agreement between SPP as Transmission Provider and MidAmerican Energy Company ("MidAmerican") as Customer**
- On September 6, 2016, Judge Coffman issued a Report of Settlement Judge, recommending that the settlement proceeding continue.
- On September 27, 2016, SPP and MidAmerican Energy Company submitted a Joint Offer of Settlement intended to resolve all issues set for hearing in this proceeding.



Regulatory Status Report

Jurisdiction: ER16-1286
FERC

Submission of Tariff Revisions to Clarify Redispatch Provisions

On September 23, 2016, FERC issued an order accepting in part, and rejecting in part, effective May 29, 2016, SPP's tariff revisions to modify redispatch provisions by removing language rendered obsolete as a result of the operation of SPP's Integrated Marketplace and to add language that more accurately sets forth eligibility for Candidate Auction Revenue Rights when redispatch is required for the requested service.

FERC found that the proposed revisions to section 34.6 of the Tariff as it pertains to network service to resdispatch have not been shown to be just and reasonable, and not unduly discriminatory or preferential, and therefore were rejected.

FERC instituted a section 206 proceeding in Docket No. EL16-110 to consider whether to require SPP to limit the eligibility for Auction Revenue Rights (ARRs) and Long-Term Congestion Rights (LTCRs) for network service subject to redispatch so that such service is treated comparably with point-to-point transmission service subject to redispatch with respect to ARR and LTCR eligibility.

Initial Briefs in Docket No. EL16-110 are due on October 31, 2016. Reply Briefs are due on November 21, 2016.

The refund effective date is September 29, 2016.

ER16-1314

Network Integration Transmission Service Agreement ("NITSA") and Network Operating Agreement ("NOA") between SPP, Kansas Power Pool ("KPP") as Network Customer, and Midwest Energy, Inc. ("Midwest"), Mid-Kansas Electric Company, LLC ("MKEC"), and Westar Energy, Inc. ("Westar") as Host Transmission Owners

On September 23, 2016, FERC issued a letter order accepting the agreement, subject to condition, effective March 1, 2016 as requested.

FERC directed SPP to remove Attachment A of the service agreement and revise section 8.8 of Attachment 1 of the service agreement to remove all language that is unnecessary and obsolete due to the order issued in Docket No. ER16-1286.

SPP's compliance filing is due on October 24, 2016.

ER16-1341

Petition for Tariff Waiver Concerning the Implementation of the Revenue Crediting Process in Attachment Z2

On September 6, 2016, FERC issued an Order Granting Rehearings for Further Consideration of the order issued on July 7, 2016.

On September 13, 2016, Kansas Electric Power Cooperative, Inc. filed an answer in response to SPP's answer filed on August 31, 2016.

ER16-1546

Submission of Revenue Requirement, Formula Rate Template and Formula Rate Protocols for Arkansas Electric Cooperative Corporation

On September 19, 2016, FERC issued an order accepting SPP's tariff revisions to add a formula rate template and implementation protocols to accommodate the recovery of an Annual Transmission Revenue Requirement for SPP Member Arkansas Electric Cooperative Corporation, effective July 1, 2016, subject to refund, and establishing hearing and settlement judge procedures.



Regulatory Status Report

Jurisdiction:
FERC

- ER16-1772** **Southwestern Public Service Company's ("SPS") Proposed Tariff Revisions to Incorporate Schedule 17 - Interconnection Switching Fee to Govern the Costs that would be Charged to Lubbock Power & Light ("LP&L") if it Disconnects its Load from SPS and SPP and Interconnects the Load with the Electric Reliability Council of Texas ("ERCOT")**
- On September 20, 2016, FERC issued an Order Rejecting Proposed Tariff Revisions.
- ER16-1774** **Submission of Revenue Requirement, Formula Rate Template and Formula Rate Protocols for Western Farmers Electric Cooperative ("WFEC")**
- On September 7, 2016, Judge Cintron issued an Order of Chief Judge Making Substitute Designation of Settlement Judge.
- On September 26, 2016, Judge Cintron issued an Order of Chief Judge Continuing Settlement Judge Procedures.
- On September 21, 2016, Judge McBarnette issued a Notice Confirming Scheduled Settlement Conference and Order Requiring Summaries of Positions.
- ER16-1791** **Submission of Revisions to the Joint Operating Agreement ("JOA") between PJM Interconnection, L.L.C. and the Midcontinent Independent System Operator, Inc. ("MISO") to Revise the Baseline Congestion Management Process**
- On September 6, 2016, FERC issued an order accepting PJM's revisions to the Joint Operating Agreement between PJM and the Midcontinent Independent System Operator, Inc. to revise the baseline Congestion Management Process to implement several substantive changes.
- An effective date of July 25, 2016 was granted.
- This order constitutes final agency action.
- ER16-1797** **Submission of Revisions to the Joint Operating Agreement ("JOA") between the Midcontinent Independent System Operator, Inc. ("MISO") and SPP to Revise the Baseline Congestion Management Process**
- On September 15, 2016, FERC issued an order accepting the Midcontinent Independent System Operator, Inc.'s revisions to the Joint Operating Agreement between MISO and SPP to revise the baseline Congestion Management Process to implement several substantive changes.
- An effective date of July 25, 2016 was granted.
- This order constitutes final agency action.



Regulatory Status Report

Jurisdiction:
FERC

ER16-1798

Submission of Revisions to the Joint Operating Agreement ("JOA") between the Midcontinent Independent System Operator, Inc. ("MISO") and PJM Interconnection, L.L.C. to Revise the Baseline Congestion Management Process

On September 15, 2016, FERC issued an order accepting the Midcontinent Independent System Operator, Inc.'s revisions to the Joint Operating Agreement between MISO and PJM Interconnection, L.L.C. to revise the baseline Congestion Management Process to implement several substantive changes.

An effective date of July 25, 2016 was granted.

This order constitutes final agency action.

ER16-1912

Submission of Tariff Revisions to Clarify Language Regarding Out-of-Merit Energy ("OOME")

On September 6, 2016, SPP filed its responses to the letter requesting additional information issued on July 28, 2016.

On September 27, 2016, the Wind Generation Group filed comments in response to SPP's deficiency letter response.

The Wind Generation Group stated:

- 1) SPP's response shows there is no confusion with North American Electric Reliability Corporation Requirement COM-002-4;
- 2) if clear dispatch and operating commands is SPP's concern, SPP's proposed new use of OOME fails to address the primary cause for potential miscommunication;
- 3) SPP's response shows that it fails to understand the commercial implications of its proposal that commingles SCED and manual dispatch directives and fails to disclose the cause of the manual dispatch as economic, reliability or emergency;
- 4) SPP's response to local emergency conditions is not sufficient.

ER16-204

Submission of Revenue Requirement, Formula Rate Template and Formula Rate Protocols for Tri-State Generation and Transmission Association, Inc. ("Tri-State")

On September 28, 2016, Tri-State Generation and Transmission Association, Inc. filed Rebuttal Testimony.

On September 28, 2016, SPP filed the Prepared Rebuttal Testimony and Exhibit of L. Patrick Bourne.

ER16-209

Submission of Revenue Requirement, Formula Rate Template and Formula Rate Protocols for Central Power Electric Cooperative, Inc. ("Central Power")

On September 15, 2016, Judge Cintron issued an Order of Chief Judge Making Substitute Designation of Settlement Judge.

On September 16, 2016, Judge McBarnette issued a Notice Rescheduling Settlement Conference. The settlement conference scheduled for September 23, 2016 is cancelled, and parties were asked to propose three dates within the week of October 3, 2016 to reschedule the settlement conference.



Regulatory Status Report

Jurisdiction:
FERC

ER16-2136

Transmission Interconnection Agreement between KCP&L Greater Missouri Operations Company ("KCP&L GMO") and City of Osceola, Missouri ("Osceola"), with SPP as Signatory

On September 1, 2016, FERC issued a letter order accepting the agreement, effective July 5, 2016 as requested.

This order constitutes final agency action.

ER16-2309

Transmission Interconnection Agreement between Western Area Power Administration ("WAPA") and the City of Pierre, South Dakota ("Pierre"), with SPP as Signatory

On September 23, 2016, FERC issued a letter order accepting the agreement, effective July 5, 2016 as requested.

This order constitutes final agency action.

ER16-2322

Network Integration Transmission Service Agreement ("NITSA") and Network Operating Agreement ("NOA") between SPP, Arkansas Electric Cooperative Corporation ("AECC") as Network Customer, and American Electric Power Service Corporation ("AEP") and Oklahoma Gas and Electric Company ("OG&E") as Host Transmission Owners

On September 30, 2016, FERC issued a letter order accepting the agreement, effective July 1, 2016 as requested.

This order constitutes final agency action.

ER16-2325

Network Integration Transmission Service Agreement ("NITSA") and Network Operating Agreement ("NOA") between SPP, Associated Electric Cooperative, Inc. ("AECI") as Network Customer, and KCP&L Greater Missouri Operations Company ("KCPL-GMO") as Host Transmission Owner

On September 23, 2016, FERC issued a letter order accepting the agreement, effective July 1, 2016 as requested.

This order constitutes final agency action.

ER16-2330

Petition for Tariff Waiver to Provide the Option of a Payment Plan to Entities Impacted by SPP's Implementation of the Revenue Crediting Process in Attachment Z2 of the Tariff

On September 9, 2016, SPP filed an answer in response to comments and protests in this proceeding.

SPP stated:

- 1) the costs associated with the revenue crediting process are not minimal;
- 2) the option of a Payment Plan is reasonable in light of SPP's delayed implementation;
- 3) the calculation of interest proposed in the Payment Plan is consistent with 18 C.F.R. § 35.19(a)(2) with respect to its application of quarterly compounded interest;
- 4) requested Attachment Z2 information will be provided no later than September 22, 2016;
- 5) impacted entities will be provided an opportunity to review impact and billing information prior to the issuance of invoices; and
- 6) the dispute resolution process will not toll the Payment Plan period.



Regulatory Status Report

Jurisdiction:
FERC

ER16-2330

On September 30, 2016, SPP filed an answer in response to the answer submitted by EDF Renewable Energy, Inc. on September 21, 2016.

SPP stated:

1) notice of potential impacts of revenue credits in accordance with Attachment Z2 of the Tariff does not eliminate the need for the Payment Plan; and
2) the calculation of interest for balances owed to Upgrade Sponsors is consistent with the Tariff and accounts for the delayed implementation.

On September 30, 2016, FERC issued an order granting SPP's request that the Commission waive certain provisions of SPP's Open Access Transmission Tariff necessary to provide the option of a payment plan to entities impacted by SPP's implementation of the revenue crediting process in Attachment Z2.

On September 21, 2016, EDF Renewable Energy, Inc. filed an answer in response to SPP's answer filed on September 9, 2016.. EDF requested that the Commission deny SPP's request to implement a five-year payment plan regarding the Directly Assigned Upgrade Costs.

ER16-2522

Network Integration Transmission Service Agreement ("NITSA") and Network Operating Agreement ("NOA") between SPP, City of Piggott, Arkansas Municipal Light, Water and Sewer ("Piggott") as Network Customer, and Southwestern Power Administration ("SPA") as Host Transmission Owner

On September 21, 2016, Southwestern Power Administration filed a Motion to Intervene.

ER16-2523

Network Integration Transmission Service Agreement ("NITSA") and Network Operating Agreement ("NOA") between SPP, City of Malden Board of Public Works ("Malden") as Network Customer, and Southwestern Power Administration ("SPA") as Host Transmission Owner

On September 21, 2016, Southwestern Power Administration filed a Motion to Intervene.

ER16-2530

Notice of Cancellation of the Network Integration Transmission Service Agreement ("NITSA") and Network Operating Agreement ("NOA") between SPP, Sunflower Electric Power Corporation ("Sunflower") as Network Customer and Sunflower, Midwest Energy, Inc. ("Midwest"), ITC Great Plains, Inc. ("ITC"), and Mid-Kansas Electric Company, LLC ("Mid-Kansas") as Host Transmission Owners

On September 1, 2016, SPP submitted a Notice of Cancellation of the NITSA between SPP as Transmission Provider, Sunflower Electric Power Corporation as Network Customer, as well as a NOA with Sunflower, Midwest Energy, Inc., ITC Great Plains, LLC, and Mid-Kansas Electric Company, LLC as Host Transmission Owners. SPP Service Agreement No. Ninth Revised 2028..

The agreement was replaced by Tenth Revised 2028 which will be reported solely in SPP's electric quarterly report.

An effective date of June 1, 2016 was requested.



Regulatory Status Report

Jurisdiction:
FERC

ER16-2557

Notice of Cancellation of the Network Integration Transmission Service Agreement ("NITSA") and Network Operating Agreement ("NOA") between SPP and Southwestern Public Service Company ("SPS") as Network Customer and Host Transmission Owner

On September 7, 2016, SPP submitted a Notice of Cancellation of the NITSA and NOA between SPP as Transmission Provider and Southwestern Public Service Company as both Network Customer and Host Transmission Owner. SPP Service Agreement No. Second Revised 1139.

The agreement was replaced and superseded by SPP Service Agreement No. Third Revised 1139.

An effective date of February 1, 2016 was requested.

ER16-2595

Transmission Interconnection Agreement between Western Area Power Administration ("WAPA") and the City of Flandreau, South Dakota ("Flandreau"), with SPP as Signatory

On September 16, 2016, SPP submitted an executed Transmission Interconnection Agreement between Western Area Power Administration and the City of Flandreau, South Dakota, with SPP as signatory. SPP Service Agreement No. 3240.

An effective date of August 31, 2016 was requested.

ER16-2596

Affected Systems' Facilities Construction Agreement between Osage Wind, LLC ("Osage Wind") as Interconnection Customer, Grand River Dam Authority ("GRDA") as Transmission Owner, and SPP as Transmission Provider

On September 16, 2016, SPP submitted an executed Affected Systems' Facilities Construction Agreement among Osage Wind, LLC as Interconnection Customer, Grand River Dam Authority as Transmission Owner, and SPP as Transmission Provider. SPP Service Agreement No. Second Revised 2233.

An effective date of August 25, 2016 was requested.

ER16-2634

Affected Systems' Facilities Construction Agreement among AEM Wind LLC ("AEM") as Interconnection Customer, Southwestern Public Service Company ("SPS") as Transmission Owner, and SPP as Transmission Provider

On September 21, 2016, SPP submitted an executed Affected Systems' Facilities Construction Agreement among AEM Wind LLC as Interconnection Customer, Southwestern Public Service Company as Transmission Owner, and SPP as Transmission Provider. SPP Service Agreement No. 3247.

An effective date of September 12, 2016 was requested.

ER16-2660

Submission of Tariff Revisions Modifying Schedule 1-A to Increase the Rate Cap for the Tariff Administration Service Charge

On September 23, 2016, SPP submitted revisions to Scheduled 1-A of the Tariff in order to increase the rate cap for its Tariff Administration service charge.

An effective date of January 1, 2017 was requested.



Regulatory Status Report

Jurisdiction:
FERC

ER16-2677

Network Integration Transmission Service Agreement ("NITSA") and Network Operating Agreement ("NOA") between SPP, People's Electric Cooperative ("People's Electric") as Network Customer, and Oklahoma Gas and Electric Company ("OG&E") and Western Farmers Electric Cooperative ("WFEC") as Host Transmission Owners

On September 28, 2016, SPP submitted an executed NITSA between SPP as Transmission Provider, People's Electric Cooperative as Network Customer, as well as a NOA with Oklahoma Gas and Electric Company and Western Farmers Electric Cooperative as Host Transmission Owners. SPP Service Agreement No. First Revised 3215.

An effective date of August 1, 2016 was requested.

ER16-2681

Submission of Tariff Revisions to Remove an Interim Transmission Congestion Rights ("TCR") Process Developed for the Initial Transition to the Integrated Marketplace

On September 28, 2016, SPP submitted tariff revisions to Attachment AE to remove references to an obsolete interim Transmission Congestion Rights process that was developed and documented in the Tariff to allow for the initial transition into the Integrated Marketplace.

An effective date of November 28, 2016 was requested.

ER16-2720

NextEra Energy Transmission Southwest, LLC's ("NEET Southwest") Submission of a Formula Rate Template and Implementation Protocols to Determine and Recover the Costs of Investment in Transmission Facilities located in the SPP Region

On September 30, 2016, NextEra Energy Transmission Southwest, LLC submitted a request for acceptance of its formula rate template and implementation protocols to determine and recover the costs of its investment in transmission facilities located in the SPP region. NEET Southwest also asked for authorization to utilize certain incentive rate treatments.

ER16-2734

Informational Filing to Notify the Commission of Implementation of Year-Three Reallocation of Revenue Requirements Pursuant to Attachments J and O for the Balanced Portfolio

On September 30, 2016, SPP submitted an informational filing to notify the Commission of the year-five reallocation of revenue requirements in accordance with the Balanced Portfolio process described in Attachments J and O of SPP's Open Access Transmission Tariff. SPP will implement the year-five reallocation of revenue requirements on October 1, 2016.

ER16-791

Submission of Tariff Revisions for Allocation of Revenues Resulting from the Settlement Agreement in Commission Docket No. EL11-34-002, et al.

On September 30, 2016, Judge Sterner issued a Status Report, recommending that settlement proceedings continue.

ER16-829

Submission of Revisions to Bylaws Section 8.4 Monthly Assessments

On September 22, 2016, SPP submitted its refund report in response to the Order on Bylaw Revisions and Requests for Waiver issued by the Commission on June 24, 2016.



Regulatory Status Report

Jurisdiction: ES16-50
FERC

Application of Southwest Power Pool, Inc. Under Section 204 of the Federal Power Act for an Order Authorizing the Issuance of Securities of up to \$30,000,000

On September 28, 2016, FERC issued an order approving SPP's application for authorization of the issuance of up to \$30,000,000 in non-secured Promissory Notes.

SPP must file a Report of Securities within 30 days after the sale or placement of the Notes.

This authorization expires on September 30, 2018.

RD16-6

Reliability Standards IRO-018-1 (Reliability Coordinator Real-time Reliability Monitoring and Analysis Capabilities) and TOP-010-1 (Real-time Reliability Monitoring and Analysis Capabilities)

On September 22, 2016, FERC issued an order approving Reliability Standards IRO-018-1 (Reliability Coordinator Real-time Reliability Monitoring and Analysis Capabilities) and TOP-010-1 (Real-time Reliability Monitoring and Analysis Capabilities).

The North American Electric Reliability Corporation was directed to submit a compliance filing in 60 days to modify the violation risk factor designations for Requirement R1 of Reliability Standard IRO-018-1 and Requirements R1 and R2 of Reliability Standard TOP-010-1 to "high".

RM01-8

Public Utility Filing Requirements for Electric Quarterly Reports ("EQR")

On September 22, 2016, FERC issued a Notice seeking comments on the following proposed revisions to the Electric Quarterly Reporting Requirements:

- 1) require transmission providers to report ancillary services transaction data;
- 2) require filers to submit into the FERC Tariff Reference fields in the EQR certain tariff-related information that they currently submit in the eTariff system;
- 3) require filers to submit time zone information in connection with transmission capacity reassignment transactions; and
- 4) proposal to clarify how booked out transactions should be reported in EQR.

Comments are due 60 days after publication in the Federal Register.

RM05-5

Standards for Business Practices and Communication Protocols for Public Utilities

On September 26, 2016, SPP and the Midcontinent Independent System Operator, Inc. filed Joint Comments in response to the Notice of Proposed Rulemaking issued on July 21, 2016.

Parties filed comments in response to the Notice of Proposed Rulemaking issued on July 21, 2016.



Regulatory Status Report

Jurisdiction:
FERC

RM10-12

Electricity Market Transparency Provisions of Section 220 of the Federal Power Act (Order No. 768)

On September 22, 2016, FERC issued a Notice seeking comments on the following proposed revisions to the Electric Quarterly Reporting Requirements:

- 1) require transmission providers to report ancillary services transaction data;
- 2) require filers to submit into the FERC Tariff Reference fields in the EQR certain tariff-related information that they currently submit in the eTariff system;
- 3) require filers to submit time zone information in connection with transmission capacity reassignment transactions; and
- 4) proposal to clarify how booked out transactions should be reported in EQR.

Comments are due 60 days after publication in the Federal Register.

RM12-3

Revisions to Electric Quarterly Report ("EQR") Filing Process (Order No. 770)

On September 22, 2016, FERC issued a Notice seeking comments on the following proposed revisions to the Electric Quarterly Reporting Requirements:

- 1) require transmission providers to report ancillary services transaction data;
- 2) require filers to submit into the FERC Tariff Reference fields in the EQR certain tariff-related information that they currently submit in the eTariff system;
- 3) require filers to submit time zone information in connection with transmission capacity reassignment transactions; and
- 4) proposal to clarify how booked out transactions should be reported in EQR.

Comments are due 60 days after publication in the Federal Register.

RM14-2

Coordination of the Scheduling Processes of Interstate Natural Gas Pipelines and Public Utilities (Order No. 809)

On September 9, 2016, the Desert Southwest Pipeline Stakeholders filed a Status Report and Supplemental Comments.



Regulatory Status Report

Jurisdiction:
FERC

RM15-11

Reliability Standard for Transmission System Planned Performance for Geomagnetic Disturbance Events

On September 22, 2016, FERC issued Order No. 830, Final Rule approving Reliability Standard TPL-007-1 (Transmission System Planned Performance for Geomagnetic Disturbance Events).

Reliability Standard TPL-007-1 establishes requirements for certain registered entities to assess the vulnerability of their transmission systems to geomagnetic disturbance events (GMDs), which occur when the sun ejects charged particles that interact with and cause changes in the earth's magnetic fields. Applicable entities that do not meet certain performance requirements, based on the results of their vulnerability assessments, must develop a plan to achieve the performance requirements. In addition, the Commission directed NERC to develop modifications to Reliability Standard TPL-007-1: (1) to modify the benchmark GMD event definition set forth in Attachment 1 of Reliability Standard TPL-007-1, as it pertains to the required GMD Vulnerability Assessments and transformer thermal impact assessments, so that the definition is not based solely on spatially-averaged data; (2) to require the collection of necessary geomagnetically induced current monitoring and magnetometer data and to make such data publicly available; and (3) to include a one-year deadline for the development of corrective action plans and two and four-year deadlines to complete mitigation actions involving non-hardware and hardware mitigation, respectively. The Commission also directs NERC to submit a work plan and, subsequently, one or more informational filings that address specific GMD-related research areas.

This rule becomes effective 60 days after publication in the Federal Register.

RM16-13

Balancing Authority Control, Inadvertent Interchange, and Facility Interconnection Reliability Standards

On September 22, 2016, FERC issued a Notice of Proposed Rulemaking proposing to approve Reliability Standards BAL-005-1 (Balancing Authority Control) and FAC-001-3 (Facility Interconnection Requirements) submitted by the North American Electric Reliability Corporation.

Comments are due on November 28, 2016.

RM16-15

Regulations Implementing FAST Act Section 61003 - Critical Electric Infrastructure Security and Amending Critical Energy Infrastructure Information ("CEII")

On September 12, 2016, ISO New England Inc. and SPP filed Reply Comments in response to the reply comments submitted by PJM Interconnection, L.L.C. on August 30, 2016.

RM16-17

Data Collection for Analytics and Surveillance and Market-Based Rate Purposes

On September 9, 2016, FERC issued a Notice of Posting of Staff's Technical Workshop Notes.

On September 19, 2016, parties filed comments in response to the Notice of Proposed Rulemaking regarding Data Collection for Analytics and Surveillance and Market-Based Rate Purposes issued on July 21, 2016.

RM16-18

Cyber Systems in Control Centers

On September 26, 2016, the ISO/RTO Council filed Comments in response to the Notice of Inquiry issued on July 21, 2016.



Regulatory Status Report

Jurisdiction:
FERC

RM16-18

Parties filed comments in response to the Notice of Inquiry issued on July 21, 2016.

RM16-21

Modifications to Commission Requirements for Review of Transactions under Section 203 of the Federal Power Act and Market-Based Rate Applications under Section 205 of the Federal Power Act

On September 22, 2016, FERC issued a Notice of Inquiry seeking to explore whether, and if so, how, the Commission should revise its current approach to identifying and assessing market power in the context of transactions under section 203 of the Federal Power Act and applications under section 205 of the Federal Power Act for market-based rate authority for wholesale sales of electric energy, capacity and ancillary services by public utilities. The Commission also seeks comment related to its scope of review under section 203 of the Federal Power Act, including revisions to blanket authorizations.

Comments are due on November 28, 2016.



Regulatory Status Report

Jurisdiction:
State of
Arkansas

08-136-U

In the Matter of an Inquiry into Electric Transmission Issues within the Areas Served by the Southwest Power Pool Regional Transmission Organization and the Entergy Corporation as such Issues Affect Electric Service within Arkansas

On September 30, 2016, SPP filed the Summer Quarter (June-August 2016) State of the Market Report pursuant to Order Nos. 2 and 25.



Regulatory Status Report

Jurisdiction:
State of Kansas

17-WSEE-063-STG In the Matter of the Application of Westar Energy, Inc. for a Siting Permit for the Construction of a 345 kV Transmission Line in Leaventworth County, Kansas

On September 1, 2016, SPP filed a Petition to Intervene.

On September 13, 2016, the KCC issued an Order Granting Southwest Power Pool, Inc.'s Petition for Intervention.

On September 16, 2016, SPP filed the Direct Testimony of Antoine Lucas.



Regulatory Status Report

Jurisdiction:
State of
Missouri

EO-2012-0135 In the Matter of the Application of Kansas City Power & Light Company ("KCPL") for Authority to Extend the Transfer of Functional Control of Certain Transmission Assets to the Southwest Power Pool, Inc.

On September 2, 2016, MoPSC Staff filed its Response to Commission Order Setting Time for Response, stating that Staff does not object if the Commission were to relieve Kansas City Power & Light Company and KCP&L Greater Missouri Operations Company from being further required to perform an analysis needed to produce a 2017 Interim Report.

On September 14, 2016, the MoPSC issued an order granting Kansas City Power & Light Company's and KCP&L Greater Missouri Operations Company's motion to modify the requirements in stipulations and agreements so that the companies are no longer required to perform an analysis and produce a 2017 Interim Report.

EO-2012-0136 In the Matter of the Application of KCP&L Greater Missouri Operations Company ("KCPL-GMO") for Authority to Extend the Transfer of Functional Control of Certain Transmission Assets to the Southwest Power Pool, Inc.

On September 2, 2016, MoPSC Staff filed its Response to Commission Order Setting Time for Response, stating that Staff does not object if the Commission were to relieve Kansas City Power & Light Company and KCP&L Greater Missouri Operations Company from being further required to perform an analysis needed to produce a 2017 Interim Report.

On September 14, 2016, the MoPSC issued an order granting Kansas City Power & Light Company's and KCP&L Greater Missouri Operations Company's motion to modify the requirements in stipulations and agreements so that the companies are no longer required to perform an analysis and produce a 2017 Interim Report.



Regulatory Status Report

Jurisdiction:
State of Texas

- 45633** **Project to Identify Issues Pertaining to Lubbock Power & Light's Proposal to Become Part of the Electric Reliability Council of Texas ("ERCOT")**
- On September 15, 2016, SPP and ERCOT submitted a response to the PUCT's request for coordinated studies of the impact of the proposed transition of the Lubbock Power & Light system from the SPP region into the ERCOT region. SPP and ERCOT committed to complete studies before the end of the second quarter of 2017.
- 46042** **Application of Southwestern Public Service Company ("SPS") to Amend a Certificate of Convenience and Necessity for a 345-kV Transmission Line within Hale, Hockley, Lubbock, Terry and Yoakum Counties**
- On September 13, 2016, SOAH Order No. 2, Memorializing Prehearing Conference, Adopting Procedural Schedule, Notice of Hearing on the Merits, Reminder of Suspension of Traditional Service, and Description of Procedures, was issued.
- On September 15, 2016, SPP filed a Motion to Intervene Out of Time.
- On September 15, 2016, Southwestern Public Service Company filed Direct Testimony.



Regulatory Status Report

Jurisdiction:
United States
Court of
Appeals

15-1447

State Corporation Commission of the State of Kansas v. Federal Energy Regulatory Commission: Petition for Review of Orders Issued in Docket Nos. ER14-2850 and ER14-2851 Concerning Integration of the Integrated System into the SPP Regional Transmission Organization

On September 6, 2016, SPP, Basin Electric Power Cooperative, and Heartland Consumers Power District filed their Joint Brief of Intervenors in Support of Respondent.

On September 6, 2016, Western Area Power Administration filed its Brief of Intervenor in Support of Respondent.

On September 20, 2016, the Kansas Corporation Commission filed its Reply Brief.