

EOP-012-3

Generator Cold Weather CAP Extension and Constraint Process

Background

This Electric Reliability Organization (ERO) Generator Cold Weather Corrective Action Plan (CAP) Extension and Constraint Process document addresses how ERO Enterprise staff will review generator cold weather CAP extensions and Constraints developed under Reliability Standard EOP-012-3 Requirements R6, R7, R8 and Attachment 1 to ensure a timely, structured, and consistent approach to CAP extension and Constraint submittals and processing.

NERC Compliance Assurance & Certification will maintain this document under existing ERO Enterprise processes. This document will be reviewed and updated by NERC Compliance Assurance & Certification, as needed.

CAP Extension Request Review Process

Process Overview

If a registered entity (entity) has determined that a Corrective Action Plan (CAP) developed in accordance With EOP-012-3 Requirements R6 or R7 cannot meet the timetable provided per R6 Part 6.1 or R7 Part 7.1, then the entity will submit an extension request to the ERO Enterprise for approval no less than 60 days prior to the original required CAP completion date.

The steps outlined here should be followed to ensure a timely, structured, and consistent approach to extension request submittals and processing.

The entity will work with the Regional Entity designated as its Compliance Enforcement Authority (CEA) as outlined in this process. The entity submitting the extension request will be referred to as the 'submitting entity' and may represent only itself or multiple registered entities who have developed a joint extension request. The submitting entity is responsible for ensuring all registered entities who are jointly submitting the extension request are listed in the requested information below and for distributing any communications from its CEA to the other entities that are part of the joint extension request. If a joint extension request is submitted for multiple registered entities who have different Regional Entities designated as the CEA, the submitting entity's CEA will perform the steps outlined in this process and will be responsible for coordinating with the Regional Entity(ies) that are the designated CEA for the additional entities party to the joint extension request.

For entities in Coordinated Oversight, the CEA for this process is the Lead Regional Entity (LRE). The LRE will coordinate with the Affected Regional Entity(ies) (ARE) and the AREs may participate in the joint review as well.

Step 1 – Registered Entity Submittal

If an entity determines that it cannot meet the required timetable for completing a CAP, the submitting entity will contact their CEA to coordinate submittal of an extension request. The submitting entity will submit the requisite data to their CEA through Align and the Secure Evidence Locker (SEL) as needed or other process tools as determined by the CEA.

Entities are encouraged to submit the extension request as soon as they are aware they will not meet the CAP completion date but no later than 60 days before the original required completion date. It is the submitting entity's responsibility to ensure that all information detailed in EOP-012-3 Part 6.2 or Part 7.3 and requested in Align is provided in the entity's extension request to facilitate the review.

Step 2 – ERO Enterprise Review

The CEA will acknowledge receipt of the submission in writing (either through ALIGN or email) within 15 days and verify that all information detailed in EOP-012-3 Part 6.2 or Part 7.3 as required is provided in the submitting entity's extension request submittal. The CEA will work with the submitting entity to provide any missing information. The CEA will notify NERC of the extension request submittal and provide all associated information when acknowledging receipt of the submission.

The CEA will then perform a joint review of (1) the circumstances beyond the control of the entity preventing implementation of the CAP within the identified timetable; (2) the revisions to the selected actions in the CAP; and (3) the updated timetable for implementing the selected actions¹. Any additional information requested to support the extension request review will be coordinated with the submitting entity by the CEA. The CEA will complete the review within 45 days of acknowledgement or provide notification to the submitting entity that they are extending the time needed for review.

Examples of circumstances beyond the control of the responsible entity include, but are not limited to:

- Delays resulting from regulatory/legal processes, such as permitting.
- Delays resulting from stakeholder processes required by tariff.
- Delays resulting from equipment lead times; or
- Delays resulting from unit outages being denied.

Due diligence in ordering equipment, obtaining permits, scheduling outages, etc., will be considered as part of the determination of whether a particular set of facts constitute circumstances beyond the control of the entity.

Step 3 – Registered Entity Notification

The CEA will communicate the approval or denial of the extension request or continuation of the time needed to review the extension request in writing to the submitting entity including the rationale for the determination. For any continuation of the review, the CEA will also provide the submitting entity with a

¹ NERC may choose to participate in any review at its own discretion or at the request of the CEA.

revised timeline for when the determination will be provided. If an extension request is denied, the selected actions in the Corrective Action Plan need to be completed in accordance with the original timetables.

Step 4 – Reporting to NERC

Quarterly, the CEA will send NERC a report that, at a minimum, includes each extension request, whether the request was approved or denied, and the CEA’s rationale for its decision.

Constraint Review Process

Process Overview

If a registered entity (entity) has determined that a Generator Cold Weather Constraint, developed in accordance with Standard EOP-012-3 Attachment 1, is required this process shall be followed to ensure a timely, structured, and consistent approach.

The entity will work with the Regional Entity designated as its CEA to submit the Generator Cold Weather Constraint, with supporting documentation, to the ERO Enterprise for review, evaluation, approval (as needed), and validation as outlined in this process. The entity submitting the Generator Cold Weather Constraint(s) will be referred to as the ‘submitting entity’ and may represent itself or multiple registered entities under the same ownership with the same Generator Cold Weather Constraint. The submitting entity is responsible for ensuring all registered entities included are listed in the requested information and is for distributing any communications from its CEA to the other entities that are part of the Generator Cold Weather Constraint. If a Generator Cold Weather Constraint is submitted for multiple registered entities under the same ownership who have different Regional Entities designated as the CEA, the submitting entity’s CEA will perform the steps outlined in this process and will be responsible for coordinating with the Regional Entity(ies) that are the designated CEA for the additional entities party to the Generator Cold Weather Constraint.

For entities in Coordinated Oversight, the CEA for this process is the Lead Regional Entity (LRE). The LRE will coordinate with the Affected Regional Entity(ies) (ARE) and the AREs may participate in the joint review as well.

Step 1 – Registered Entity Submittal

If an entity determines that it meets the required Generator Cold Weather Constraint language within Attachment 1, the submitting entity will contact their CEA to coordinate submittal of the Generator Cold Weather Constraint. The submitting entity will submit the requisite data to their CEA through Align and the Secure Evidence Locker or other process tools as determined by the CEA.

Entities are encouraged to submit the Generator Cold Weather Constraint as soon as they are aware they will meet the Generator Cold Weather Constraint language within Attachment 1 but are required to meet

EOP-012-3 Requirement R8². Early submittal is requested to allow the ERO Enterprise time to review, evaluate, and validate or approve the Generator Cold Weather Constraint.

It is the submitting entity's responsibility to ensure that all information detailed in EOP-012-3 R8 and Attachment 1 is provided in the entity's submittal to facilitate the ERO Enterprise review. The submitting entity should review language within Attachment 1 and identify, in the submittal, if the Generator Cold Weather Constraint is a pre-approved Generator Cold Weather Constraint or a Generator Cold Weather Constraint requiring further review for approval.

Step 2 – ERO Enterprise Review

The CEA will acknowledge receipt of the submission in writing (either through Align or email) within 15 business days and verify that all information detailed in EOP-012-3 R8 and Attachment 1 is provided in the submitting entity's submittal. The CEA will work with the submitting entity to provide any missing information. The CEA will notify NERC of the Generator Cold Weather Constraint submittal (either through Align or via email) when acknowledging receipt of the submission.

The CEA will review the Generator Cold Weather Constraint submittal and supporting information³. Any additional information requested to support the Generator Cold Weather Constraint review, evaluation, and validation or approval will be coordinated with the submitting entity by the CEA. The CEA will complete the review within 10 business days of submittal receipt confirmation for pre-approved Generator Cold Weather Constraint and 45 business days of submittal receipt confirmation for those Generator Cold Weather Constraint requiring further review for approval or provide notification to the submitting entity that they are extending the time needed to review⁴.

The determination whether to approve the case-by-case Generator Cold Weather Constraint will be based on the specific facts and circumstances provided by the submitting entity that defends and supports the declared constraint under one of the five identified situations in EOP-012-3 Attachment 1.

Step 3 – Registered Entity Notification

The CEA will communicate the validation, approval, or denial of the Generator Cold Weather Constraint or continuation of the time needed to review the Generator Cold Weather Constraint in writing (via Align or email) to the submitting entity including the rationale for the determination. For any continuation of the review, the CEA will also provide the submitting entity with a revised timeline for when the determination will be provided. Denial of a Generator Cold Weather Constraint requires the entity to update its Corrective Action Plan(s) with corrective actions that will be completed within the timetables in Requirement R6 Part 6.1 or Requirement R7 Part 7.1 to begin from the date the Generator Owner is notified that the Generator

² Per EOP-012-3 R8.1, the Generator Owner must submit its Generator Cold Weather Constraint declaration(s) to the CEA within 45 days of determining that the Generator Cold Weather Constraint is applicable for in-service units. For Generator Cold Weather Constraints determined in accordance with Requirement R2 for generating unit(s) upon beginning commercial operation, the Generator Owner must submit the Generator Cold Weather Constraint declaration(s) no later than 15 days after commercial operation.

³ NERC may choose to participate in any review at its own discretion or at the request of the CEA.

⁴ If a large number of entities submit Generator Cold Weather Constraints at the same time (especially those tied to initial performance expectations as set in the EOP-012-3 Implementation Plan), the ERO Enterprise anticipates additional time will be needed to accommodate these initial reviews.

Cold Weather Constraint is invalid. Communication efforts between the submitting entity and the CEA related to updates of the Corrective Action Plan and timetables resulting from a denial of a Generator Cold Weather Constraint are strongly encouraged.

Step 4 – Reporting to NERC

Quarterly, the CEA will send NERC a report that, at a minimum, includes each Generator Cold Weather Constraint request received, whether the request was validated, approved, or denied, and the CEA's rationale for its decision.