

Appendix A to SPP's Membership Agreement

Issued by: L. Patrick Bourne, Manager
Transmission and Regulatory Policy

Effective: October 27, 2004

Issued on: November 1, 2004

Filed to comply with order of the Federal Energy Regulatory Commission, Docket Nos. RT04-1-002 and ER04-48-002, issued October 1, 2004, 109 FERC ¶ 61,009 (2004).



SPP's Operational Authority Reference Document

PREPARED BY
Southwest Power Pool

PUBLISHED: July 30, 2004

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BACKGROUND

In its order issued on February 10, 2004, the Federal Energy Regulatory Commission (FERC) granted Southwest Power Pool (SPP) RTO status subject to the fulfillment of certain requirements. Among those requirements is that the RTO demonstrate clear operational authority as required in Order 2000. As part of its February 10 order (the Order), FERC directed SPP to report on how it intends to exercise day to day operational authority using the functions and terminology outlined in the recent NERC classification of service functions.¹

This document is intended to serve as a strawman offered to the responsible SPP staff and working groups to ensure that the required information conveys the information required by FERC completely, accurately and effectively.

OPERATIONAL AUTHORITY NEEDED BY AN RTO

Order 2000 States that the RTO must have *Operational Authority* for the facilities under its control. Furthermore, the RTO must be the reliability coordinator for its region. Although SPP does not directly operate the elements of the transmission system (*i.e.*, SPP does not operate switches or other devices), as outlined in the remainder of the document based on the NERC Functional Model, SPP does have operational *authority* over facilities under the RTO. Thus, SPP (in a manner similar to PJM, MISO and others) meets the hierarchical control structure outlined in Order 2000.²

¹ NERC Reliability Functional Model: Function Definitions and Responsible Entities, Version 2 (Approved by Standing Committees on November 11-13, 2003).

² FERC Order 2000, pp. 280-281.

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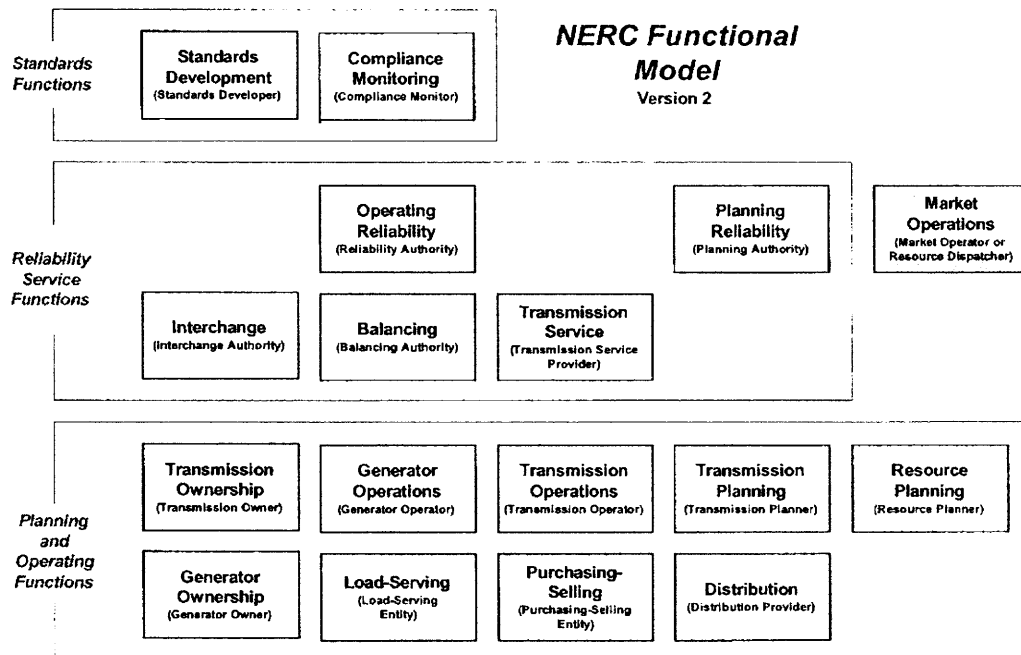
Effective: October 27, 2004

Issued on: November 1, 2004

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OVERVIEW OF THE NERC FUNCTIONAL MODEL

The goal of the NERC functional model is to (1) define the functions necessary to ensure the reliable operation of the bulk electric system and (2) explain the relationships between those entities performing such functions.³



³ NERC Functional Model document, p. 6.

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In the second revision of the functional model, NERC makes a distinction between entities and functions. In the Order, FERC asked SPP to adopt the following terminology in describing its roles: Reliability Authority, Balancing Authority, Interchange Authority, Transmission Service Provider, Transmission Owner, Transmission Operator, Market Operator and Planning Authority. These relate to functions in the NERC functional model as follows⁴:

Function Name	Responsible Entity
Operating Reliability Function	Reliability Authority
Planning Reliability Function	Planning Authority
Balancing Function	Balancing Authority
Interchange Function	Interchange Authority
Transmission Service Function	Transmission Service Provider ("TSP")
Transmission Ownership Function	Transmission Owner ("TO")
Transmission Operations Function	Transmission Operator ("TOP")
Transmission Planning Function	Transmission Planner ("TP")
Resource Planning Function	Resource Planner
Market Operations Function	Market Operator (or Resource Dispatcher)

Note that in the functional model, the roles "Transmission Planner" and "Resource Planner" exist in addition to the Planning Authority.

⁴ Id., p. 7 has a complete list of functions and responsible entities.

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SPP AND OPERATIONAL AUTHORITY

Bases for SPP Authority

The bases for SPP's operational authority are principally derived from the following documents: the SPP Membership Agreement, SPP Criteria, NERC Operating Policies, NERC Planning Standards and the SPP Open Access Transmission Tariff ("the Tariff," or "OATT").

Membership Agreement

SPP's operational authority over transmission facilities is granted to it in principle by the Membership Agreement between it and transmission owners. Much of the authority is conveyed in Section 2 of the Membership Agreement, specifically⁵:

- Operational and Planning authority;
 - SPP to be scheduling authority over tariff facilities;
 - SPP to be the determinant of ATC under its OATT;
 - SPP shall coordinate with other regions;
 - SPP to direct transmission construction under coordinated planning criteria or under its OATT;
- Reliability authority.
 - SPP to act as reliability coordinator;
 - SPP to direct control areas to maintain adequate reserves up to and including directing them to shed firm load;
 - SPP shall coordinate reliability with other regions;
 - SPP is authorized to direct the emergency response of any of its members, including the shedding of firm load;

⁵ The information following is paraphrased from Section 2 of the SPP Membership Agreement.

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Transmission and Regulatory Policy
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- SPP shall monitor voltage and coordinate voltage schedules;
 - SPP shall direct redispatch of generation in accordance with its OATT.
- Transmission Maintenance.
 - SPP to review and coordinate transmission maintenance schedules;
 - SPP may redirect maintenance outage schedules for reliability reasons and may provide compensation.
- Generation Maintenance.
 - SPP to review and coordinate generation maintenance schedules;
 - SPP may offer compensation in order to redirect generation outage schedules.

The Membership Agreement also requires members to abide by SPP criteria, which outline planning, reliability and operational principles.

NERC Policies

By virtue of the Membership Agreement and its associated Criteria, SPP and its members are contractually obligated to comply with NERC Operating Policies. NERC Policies give SPP operational authority in certain areas, especially in its role as reliability coordinator. There is intentionally much overlap between the Membership Agreement, Criteria and NERC Policies. This overlap helps emphasize, clarify and fully define the authorities and responsibilities within SPP.

SPP Criteria

SPP Criteria provides specific details of how SPP and its members implement NERC Policies and Standards. These Criteria are the policies, standards or principles of conduct by which the coordinated planning and operation of the interconnected electric system is achieved. Certain Criteria deal with aspects of operational authority, most notably Criteria 5. Under Criteria 5, SPP shall perform the following tasks:

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Transmission and Regulatory Policy
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- Monitor real-time operating information and daily forecasts from control area;
- Utilize its model to assess reliability of the system, including contingency analysis;
- Work to resolve conditions where reliability is threatened;
- Monitor and approve bulk transmission equipment maintenance;
- Monitor and coordinate the implementation of operating reserve, transmission loading relief, load shedding and restoration and black start procedures;
- Approve interchange schedules as reliability authority; and
- Implement transmission loading relief procedures.

SPP Regional Transmission Tariff

The Tariff outlines SPP's authority and responsibility as a transmission provider. It also contains terms and provisions that apply to both members and non-members who wish to connect to SPP's transmission system. For example, the large generator interconnection agreement obligates generators to abide by SPP's operational policies.

NERC Functional Model/SPP Authority Matrix

Appendix A details each of the tasks associated with the NERC functional model and details how the responsibility for each task is handled within SPP.

SPP as Reliability Authority

SPP, in performing the Operating Reliability Function, performs several activities that are essential for its role.

- SPP operates a single reliability area (see Appendix B) monitored from Little Rock, Arkansas.

Issued by: L. Patrick Bourne, Manager
Transmission and Regulatory Policy
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- SPP reliability coordinators have the authority (see Appendix A) and responsibility to direct activities associated with maintaining (and restoring) the electric reliability within the Reliability Authority Area.
- SPP reliability coordinators are provided with fully redundant voice and data communications facilities.
- SPP is collecting real-time data needed for essential monitoring, including frequency, reserves and ACE of each Balancing Authority area, and the loading and limits of critical facilities impacting its Reliability Authority area.
- Transmission outage plans are prepared by owners or operators and submitted to the SPP. SPP has the final approval authority for transmission outages on critical facilities within the Reliability Area.
- SPP has access to the NERC IDC, interacts with it as necessary, and uses NERC provided tools to coordinate transmission loading relief with other regions.
- SPP has a back up operations center with all the equipment and communications necessary to perform reliability coordination in the event that the coordination center is uninhabitable. SPP plans to have fully redundant critical systems in place by year-end.

SPP as Transmission Provider

In its role as transmission provider, SPP performs the following activities associated with operational authority:

- Calculates ATC's and AFC's for the Tariff.
- Administers an OASIS node, evaluates and has approval authority for all new requests for transmission service in the SPP Tariff footprint.

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Transmission and Regulatory Policy
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SPP and the Interchange Function

SPP coordinates approvals and implementation on all schedules sourcing or sinking in the scheduling footprint. In its role as scheduling agent for its members, SPP also does the following:

- Has approval rights as a scheduling entity as well as a transmission provider;
- Maintains and monitors RTO_SS, SPP's regional scheduling software;
- Evaluates schedules against reservations made on SPP and member OASIS systems;
- Checks schedules for correctness and consistency;

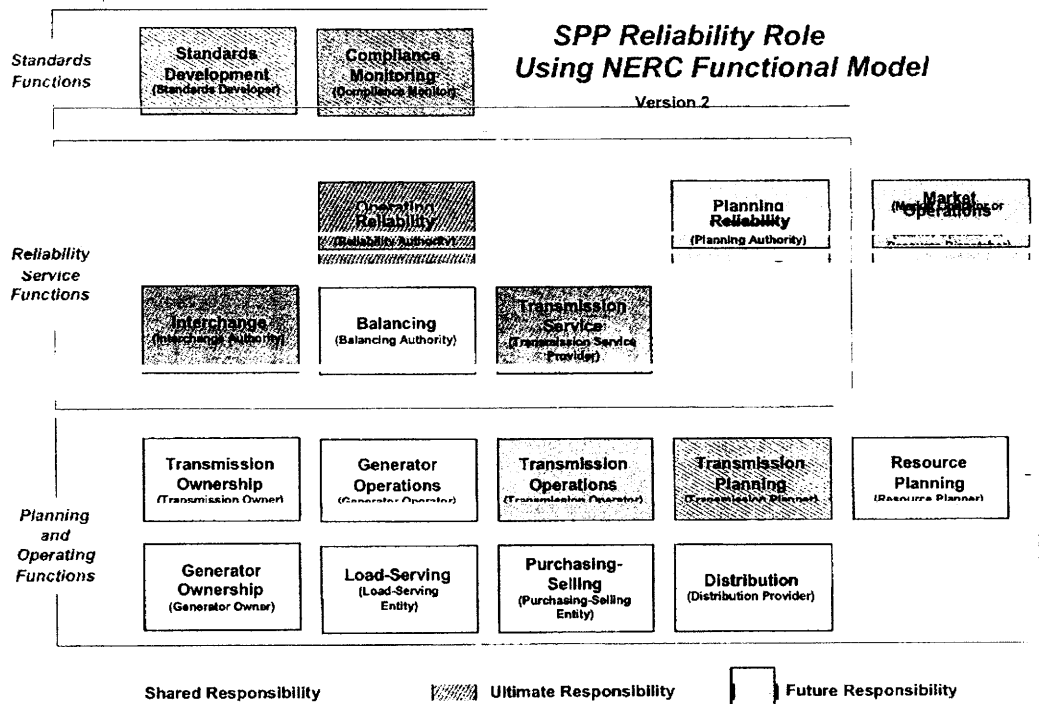
Issued by: L. Patrick Bourne, Manager
Transmission and Regulatory Policy

Effective: October 27, 2004

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CONCLUSION



SPP has the operational authority necessary to perform as an RTO under Order 2000. This authority is given to it principally by the SPP Membership Agreement (and associated Criteria), NERC Policies and the Tariff. An analysis of authority in terms of the NERC functional model emphasizes that SPP performs much of its task using a hierarchal structure, and SPP has the authority to direct, or redirect, actions affecting the reliability of the system as well as SPP's ability to provide transmission service under the Tariff.

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APPENDIX A: NERC FUNCTIONAL RESPONSIBILITY MATRIX

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Function – Operating Reliability				
<i>Ensures the real-time operating reliability of the interconnected bulk electric transmission systems within a Reliability Authority Area.⁶</i>				
Tasks				
	Current Responsibility	RTO Day-1 Responsibility	RTO Post-Market Responsibility	Authority Given By
1. Enforce operational reliability requirements	SPP	SPP	SPP	NERC Operating Policies SPP Criteria 5.2.4.3, 5.2.1 (with modifications), 14.4.1.1 SPP Membership Agreement 2.1.2
2. Monitor all reliability-related parameters within the Reliability Authority Area, including generation dispatch and transmission maintenance plans	SPP	SPP	SPP	NERC Operating Policies 4 and 9 SPP Criteria 5.1, 5.2.1, 5.2.4.1, 5.2.4.2 (with modifications), 14.4.1.1, and Appendix 7 Membership Agreement 2.1.2a, 2.1.2f, 3.5, 3.8

⁶ For these purposes the Reliability Authority Area is the SPP Reliability Coordination area. To the extent that TO's have responsibility for similar functions on a smaller scale, that is included as part of the Transmission Owner role.

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3. Direct revisions to transmission maintenance plans as required and as permitted by agreements	SPP	SPP	SPP	NERC Operating Policies (only stated specifically in functional model) SPP Criteria 5.2.1 (with modifications), 5.2.4.2 (with modifications) Membership Agreement 2.1.1k, 2.1.3, 3.2, 3.8
4. Request revisions to generation maintenance plans as required and as permitted by agreements	SPP	SPP	SPP	NERC Operating Policies (only in functional model) SPP OATT (LGIA) Membership Agreement 2.1.4
5. Develop Interconnection Reliability Operating Limits (to protect from instability and cascading outages).	SPP	SPP	SPP	NERC Operating Policies 9 SPP Membership Agreement 3.8 SPP Criteria (authority needs to be added 14.4.1.3)
6. Perform reliability analysis (actual and contingency) for the Reliability Authority Area	SPP	SPP	SPP	NERC Operating Policies 9, Appendix 9D SPP Criteria 14.3

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7. Approve or deny bilateral schedules from the reliability perspective ⁷	SPP	SPP	SPP	NERC Operating Policies 9, Appendix 9D SPP Criteria 5.2.5, 14.4.3 SPP OATT Membership Agreement 2.2.5, 3.8
8. Assist in determining Interconnected Operations Services requirements for balancing generation and load, and transmission reliability (e.g., reactive requirements, location of operating reserves).	SPP	SPP	SPP	NERC Operating Policies Appendix 9D SPP Criteria 5.2.4.4 SPP OATT (with modifications) Membership Agreement 2.1.2a, 2.1.2f, 3.8
9. Identify, communicate, and direct actions to relieve reliability threats and limit violations in the Reliability Authority Area	SPP	SPP	SPP	NERC Operating Policies 9, Appendix 9D SPP Criteria 5.2.4.1, 5.2.4.4, 5.2.5, 14.4.3 Membership Agreement 2.1.1k, 2.1.2d
10. Direct implementation of emergency procedures	SPP	SPP	SPP	NERC Operating Policies Appendix 9D SPP Criteria 5.2.4.4, 5.2.5 Membership Agreement 2.1.2d
11. Direct and coordinate System Restoration	SPP TOP's	SPP	SPP	NERC Operating Policies Appendix 9D SPP Criteria 9.1.2 (with modifications) Membership Agreement 2.1.2d (add language to for restoration in addition to emergency) Membership Agreement 3.8

⁷ Current tagging specifications do not currently allow for this kind of approval. These transactions can be curtailed as part of the TLR process.

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Function – Planning Reliability (SPP Staff)					
<i>Ensures a long-term (generally one year and beyond) plan is available for adequate resources and transmission within a Planning Authority Area⁸. It integrates and assesses the plans from the Transmission Planners and Resource Planners within the Planning Authority Area to ensure those plans meet the reliability standards, and develops and recommends solutions to plans that do not meet those standards.</i>					
Tasks	TO's	SPP	SPP	SPP	SPP Criteria (3.4.1 –MDWG) MDWG procedure manual, MDWG charter SPP OATT (with revisions) NERC Planning Standards I A M1-M4 & II A M1-M6
1. Develop and maintain transmission and resource (demand and capacity) system models to evaluate transmission system performance and resource adequacy.	TO's SPP	SPP	SPP	SPP	SPP Criteria (Section 3.1, 3.3 and 3.4 and 12.0) SPP OATT (with revisions) (Attachment O) NERC Planning Standards II A M1-M6 Membership Agreement (2.1.J. and 2.1.5) TWG and GWG charter
2. Maintain and apply methodologies and tools for the analysis and simulation of the transmission systems in the assessment and development of transmission expansion plans and the analysis and development of resource adequacy plans.	TO's SPP	SPP	SPP	SPP	
3. Define and collect or develop information required for planning purposes, including:					

⁸ For Day 1 operations, the Planning Authority Area refers to area encompassing facilities under the SPP OATT.

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a. Transmission facility characteristics and ratings,	TO's SPP	TO's SPP	TO's SPP	SPP Membership Agreement with revisions	Agreement with
b. Demand and energy end-use customer forecasts, capacity resources, and demand response programs,	LSE's (ultimate responsibility) SPP	LSE's (ultimate responsibility) SPP	LSE's (ultimate responsibility) SPP	SPP Membership Agreement SPP OATT (with modifications) SPP Criteria 2 and 12	
c. Generator unit performance characteristics and capabilities, and	Generation Owners	Generation Owners	Generation Owners	SPP OATT	Generation 12.1, 2.3 (reporting)
d. Long-term capacity purchases and sales.	LSE's	LSE's	LSE's	SPP OATT	
4. Evaluate plans for customer requests for transmission service.					
a. Evaluate responses to long-term (generally one year and beyond) transmission service requests.	SPP	SPP	SPP	SPP OATT Section 17 & 29 SPP Criteria 4.5	Membership Agreement Section 2.1
b. Review transmission facility plans required to integrate new (end-use customer, generation, and transmission) facilities into the interconnected bulk electric systems.	SPP (ultimate responsibility) TO's	SPP (ultimate responsibility) TO's	SPP (ultimate responsibility) TO's	SPP OATT Section 19 & 32 SPP OATT Attachment V SPP Criteria 3	Membership Agreement Section 2.1
5. Review and determine TTC values (generally one year and beyond) as appropriate.	SPP	SPP	SPP	SPP OATT	SPP Criteria 4.4

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6. Assess, develop, and document resource and transmission expansion plans.				
a. Integrate and verify that the respective plans for the Planning Authority Area meet reliability standards.	SPP	SPP	SPP	NERC Planning Standards Membership Agreement 2.1.1b, 2.1.1J SPP OATT Attachment O SPP Criteria 3.0, 3.1
b. Identify and report on potential transmission system and resource adequacy deficiencies, and provide alternate plans that mitigate these deficiencies.	SPP TO's/TOP's	SPP (ultimate responsibility) TO's/TOP's	SPP (ultimate responsibility) TO's/TOP's	NERC Planning Standards I.A Membership Agreement 2.1.1b SPP Criteria 3.4.2, 3.4.3, and 3.4.4
7. Provide analyses and reports as required on the long-term resource and transmission plans for the Planning Authority Area.	SPP TO's	SPP (ultimate responsibility) TO's	SPP (ultimate responsibility) TO's	NERC Planning Standards I.A Membership Agreement 2.1.1b SPP Criteria, 3.4.3, and 3.4.4
8. Monitor transmission expansion plan and resource plan implementation.	SPP TO's	SPP (ultimate responsibility) TO's	SPP (ultimate responsibility) TO's	NERC Planning Standards Membership Agreement 3.3
9. Coordinate projects requiring transmission outages that can impact reliability and firm transactions.	SPP	SPP	SPP	NERC Operating Policies 2A1, 2A3, 4C, 6A, 6B3 and 9.1 NERC Planning Standards I.AS.2 Membership Agreement 2.1.3 and 2.1.4 SPP Criteria 3.3, 5.2.1 SPP OATT Attachment G 3.5 and 4.4

Issued by: L. Patrick Bourne, Manager
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10. Evaluate the impact of revised transmission and generator in-service dates on resource and transmission adequacy.	SPP	SPP	SPP	NERC Operating Policies 2A1, 2A3 4C, 6A, B3 and 9.1 NERC Planning Standards 1.AS.2, SPP Membership Agreement 2.1.3, 2.1.4, and 3.3 SPP OATT (LGIA)
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Issued by: L. Patrick Bourne, Manager
 Transmission and Regulatory Policy
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Function – Balancing^{9,10}

<i>Integrates resource plans ahead of time, and maintains load-interchange-generation balance within a Balancing Authority Area and supports Interconnection frequency in real time.</i>					
Tasks					
1. Must have control of any of the following combinations within a Balancing Authority Area:					
a. Load and Generation (an isolated system)	N/A	N/A	N/A		
b. Load and Scheduled Interchange	CA's SPP	CA's SPP	CA's SPP	CA's SPP	NERC Operating Policies SPP Membership Agreement 2.1.1d
c. Generation and Scheduled Interchange	CA's SPP	CA's SPP	CA's SPP	CA's SPP	NERC Operating Policies SPP Membership Agreement 2.1.1d
d. Generation, Load, and Scheduled Interchange	CA's SPP	CA's SPP	CA's SPP	CA's SPP	NERC Operating Policies SPP Membership Agreement 2.1.1d
2. Calculate Area Control Error within the Balancing Authority Area.	CA's	CA's	CA's	CA's	NERC Operating Policies
3. Review generation commitments, dispatch, and load forecasts.	CA's SPP	CA's SPP	CA's SPP	CA's SPP	NERC Operating Policies SPP OATT SPP Membership Agreement SPP Criteria 5.2.4.1, Appendix 7

⁹ Currently, the existing SPP control areas are performing the Balancing Area.

¹⁰ As part of its feasibility analysis of becoming a single control area, SPP will be evaluating shifting many BA authorities to SPP.

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4. Formulate an operational plan (generation commitment, outages, etc) for reliability assessment	CA's	CA's	CA's SPP	NERC Operating Policies SPP OATT SPP Membership Agreement 2.1.2 SPP Criteria 5.2.4.1, and Appendix 7
5. Approve Interchange Transactions from ramping ability perspective	CA's	CA's	CA's	NERC Operating Policies
6. Implement interchange schedules by entering those schedules into an energy management system	CA's SPP	CA's SPP	SPP CA's	NERC Operating Policies SPP OATT (Market Protocols) SPP Criteria Appendix 7 (with revisions)
7. Provide frequency response	CA's	CA's	CA's	NERC Operating Policies
8. Monitor and report control performance and disturbance recovery	CA's (CPS) SPP (DCS)	CA's (CPS) SPP (DCS)	CA's (CPS) SPP (DCS)	NERC Operating Policies SPP Criteria 5.2.4.3
9. Provide balancing and energy accounting (including hourly checkout of Interchange Schedules and Actual Interchange), and administer Inadvertent energy paybacks	CA's SPP	CA's SPP	CA's SPP ¹¹	NERC Operating Policies SPP OATT (Market Protocols, TBD) SPP Membership Agreement 2.1.1d (scheduling)
10. Determine needs for Interconnected Operations Services	CA's SPP	CA's SPP ¹²	SPP	NERC Operating Policies SPP OATT (Market Protocols)

¹¹ In recognition of the requirement of Order 2000, this may be shifted to SPP under the market.

¹² SPP's involvement is currently with Operating Reserve and Black Start services

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11.	Deploy	Interconnected	CA's SPP	CA'S SPP ¹²	CA's SPP	NERC Operating Policies SPP OATT (Market Protocols)
12.	Implement	emergency procedures	CA's SPP	CA's SPP	CA's SPP	NERC Operating Policies SPP Membership Agreement 2.1.2d

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Function – Market Operations

Integrates energy, capacity, balancing, and transmission resources to achieve an economic, reliability-constrained dispatch of resources. The dispatch may be either cost-based or bid-based.

Tasks	None	None	SPP (expanding as markets developed for ancillary services) ¹³	SPP OATT (Market Protocols)
1. Administer a market that provides capacity, energy, balancing resources, and other Ancillary Services subject to system requirements and constraints.	None	None	SPP (expanding as markets developed for ancillary services) ¹³	SPP OATT (Market Protocols)
2. Arrange resources for congestion management.	CA's SPP (not market based)	CA's SPP (not market based)	SPP (expanding as markets developed for ancillary services)	SPP OATT (Market Protocols) SPP OATT Attachment R SPP Criteria 14
3. Provide dispatch plans.	CA's	CA's	SPP (expanding as markets developed for ancillary services)	SPP OATT (Market Protocols) SPP Criteria 5 and Appendix 7

¹³ Ancillary service markets (other than EIS) to be implemented subject to cost/benefit analyses.

Issued by: L. Patrick Bourne, Manager
Transmission and Regulatory Policy
November 1, 2004

Effective: October 27, 2004

Filed to comply with order of the Federal Energy Regulatory Commission, Docket Nos. RT04-1-002 and ER04-48-002, issued October 1, 2004.

109 FERC ¶ 61,009 (2004).

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<i>Special Considerations</i> <i>The Market Operations function, its tasks, and the interrelationships with other entities is included in the Functional Model only as an interface point with other types of industry models.</i>				
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Issued by: L. Patrick Bourne, Manager
 Transmission and Regulatory Policy
 Issued on: November 1, 2004
 Filed to comply with order of the Federal Energy Regulatory Commission, Docket Nos. RT04-1-002 and ER04-48-002, issued October 1, 2004, 109 FERC ¶ 61,009 (2004).
 Effective: October 27, 2004

Function – Resource Planning

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.¹⁴

Tasks	LSE's	LSE's	LSE's	LSE's	NERC Planning Standards I.A.S1 SPP Criteria 3.4.1
1. Maintain resource models and apply appropriate tools for the development of adequate resource plans.	LSE's	LSE's	LSE's	LSE's	NERC Planning Standards I.A.S1 SPP Criteria 3.4.1
2. Define and collect or develop demand and resource information required for planning purposes.	LSE's	LSE's	LSE's	LSE's	NERC Planning Standards II.D.S1 SPP Criteria 1.0
3. Provide capacity resource information to planning and operating functions and service functions.	LSE's	LSE's	LSE's	LSE's	NERC Planning Standards II.D.S1 SPP Criteria 2.2
4. Assist in the evaluation of the deliverability of resources to customers.	TP	TP	TP	TP	NERC Planning Standards I.A.S1 (Table 1 Category A) SPP Criteria 3.3.2
5. Include consideration of generation capacity from resources both within and outside of the Planning Authority Area.	LSE's	LSE's	LSE's	LSE's	NERC Planning Standards I.A.S1 (Table 1 Category A) SPP Criteria

¹⁴ This function has oversight by the Planning Authority function.

Issued by: L. Patrick Bourne, Manager
 Transmission and Regulatory Policy

Effective: October 27, 2004

Issued on: November 1, 2004

Filed to comply with order of the Federal Energy Regulatory Commission, Docket Nos. RT04-1-002 and ER04-48-002, issued October 1, 2004, 109 FERC ¶ 61,009 (2004).

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6. Develop and report, as appropriate, on its resource plans to others for assessment and compliance with reliability standards.	LSE's	LSE's	LSE's	NERC Planning Standards I.B. S1, S2, M2, M3 SPP Criteria 2.3, 3.4.4
7. Monitor and report, as appropriate, on its resource plan implementation.	LSE's	LSE's	LSE's	NERC Planning Standards I.B S1, S2, M2, M3 SPP Criteria 2.4. 3.4.4

Issued by: L. Patrick Bourne, Manager

Effective: October 27, 2004

Transmission and Regulatory Policy

Issued on: November 1, 2004

Filed to comply with order of the Federal Energy Regulatory Commission, Docket Nos. RT04-1-002 and ER04-48-002, issued October 1, 2004, 109 FERC ¶ 61,009 (2004).

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Function – Transmission Operations					
<i>Operates or directs the operations of the transmission facilities¹⁵</i>					
Tasks	SPP (ultimate authority)	SPP (ultimate authority)	SPP (ultimate authority)	SPP (ultimate authority)	NERC Operating Policies All of Policies 2,4,5,9 SPP Criteria 5.2.4, 6.4.2, 14.4.3 NERC Operating Policies Requirements section of 2A1, 2A2, 2A3, 4C1 SPP Criteria 5.2.1, 5.2.4.2 NERC Operating Policies 3B4.1.3, Appendix 3A2A and B SPP Criteria 5.2.4.5 (doesn't specify DC ties but talks about Interregional coordination) NERC Operating Policies All of Section 2B, but specifically 2B1 SPP Criteria 7.8.2 NERC Operating Policies 1A2, 2, 4A, 5C, 9, Appendix 9B & 9C1. SPP Criteria Section 4.2.4, 5.2.4, 14.4 NERC Operating Policies 1H, 2B4, 2B6, 4A, 4B, Appendix 4B SPP Criteria 5.1, 5.2.4.1A, Appendix 7
1. Maintain reliability of the transmission area in accordance with Reliability Standards.	TOP's	TOP's	TOP's	TOP's	
2. Provide detailed maintenance schedules (dates and times)	TOP's	TOP's	TOP's	TOP's	
3. Adjust dc ties within the transmission area for those Interchange Transactions that include the dc tie in the transmission path	TOP's	TOP's	TOP's	TOP's	
4. Maintain defined voltage profiles.	TOP's Generators	TOP's Generators	TOP's Generators	TOP's Generators	
5. Define operating limits, develop contingency plans, and monitor operations of the transmission facilities.	SPP TOP's	SPP TOP's	SPP TOP's	SPP TOP's	
6. Provide telemetry of transmission system information	TOP's (as directed by SPP)	TOP's (as directed by SPP)	TOP's (as directed by SPP)	TOP's (as directed by SPP)	

¹⁵ Actions are subject to SPP oversight in its roles as Transmission Service Provider and Reliability Authority.

Issued by: L. Patrick Bourne, Manager
Transmission and Regulatory Policy
Effective: October 27, 2004

Issued on: November 1, 2004

Filed to comply with order of the Federal Energy Regulatory Commission, Docket Nos. RT04-1-002 and ER04-48-002, issued October 1, 2004, 109 FERC ¶ 61,009 (2004).

Function – Interchange				
<i>Authorizes implementation of valid and balanced Interchange Schedules between Balancing Authority Areas, and ensures Interchange Transactions are properly identified for reliability assessment purposes.</i>				
Tasks				
1. Determine valid, balanced, Interchange Schedules (validation of sources and sinks, transmission arrangements, interconnected operations services, etc.).	SPP ¹⁶	SPP	SPP	Membership Agreement (with modifications) Section 2.2.5, Section 3.8b-c NERC Operating Policies (Policy 3A4, Appendix 3A4, Policy 9C 3.3)
2. Verify ramping capability of the source and sink Balancing Authority Areas for requested Interchange Schedules	CA	SPP	SPP	Membership Agreement Section 3.8b-c NERC Operating Policies (Policy 3A4, Policy 9C 3.3)
3. Collect and disseminate Interchange Transaction approvals, changes, and denials	SPP	SPP	SPP	Membership Agreement Section 3.8b-c NERC Operating Policies (Policy 3A5, 3A6, 9C 3.3) SPP Criteria Appendix 7
4. Authorize implementation of Interchange Transactions	SPP	SPP	SPP	Membership Agreement Section 3.8b-c NERC Operating Policies (3A6, 9C 3.3)
5. Enter Interchange Transaction information into Reliability Assessment Systems (e.g., the Interchange Distribution Calculator in the Eastern Interconnection)	SPP	SPP	SPP	Membership Agreement Section 3.8b-c NERC Operating Policies (9C 1.1, 9C 1.1.1, 9C 3.2.1.2) SPP Criteria Appendix 7

¹⁶ Currently, SPP validates these attributes only for attributes inside its geographical area.

Issued by: L. Patrick Bourne, Manager
Transmission and Regulatory Policy
November 1, 2004

Effective: October 27, 2004

Filed to comply with order of the Federal Energy Regulatory Commission, Docket Nos. RT04-1-002 and ER04-48-002, issued October 1, 2004, 109 FERC ¶ 61,009 (2004).

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6. Maintain record of individual Interchange Transactions	SPP	SPP	SPP	Membership Agreement Section 2.4.1, Section 3.8b-c NERC Operating Policies (1F4)
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Issued by: L. Patrick Bourne, Manager
Transmission and Regulatory Policy
Effective: October 27, 2004

Issued on: November 1, 2004

Filed to comply with order of the Federal Energy Regulatory Commission, Docket Nos. RT04-1-002 and ER04-48-002, issued October 1, 2004,
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Function – Transmission Planning

<i>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 Planning Authority Area¹⁷</i>					
Tasks					
1. Maintain transmission system models (steady-state, dynamics, and short circuit) and apply appropriate tools for the development of transmission plans.	TP's SPP	SPP TP's	SPP TP's	SPP TP's	SPP Criteria 3.4.1 SPP OATT (Attachment O) NERC Planning Standards I A M1-M4 & II A M1-M6
2. Define and collect transmission information and transmission facility characteristics and ratings.	SPP TP's	SPP TP's	SPP TP's	SPP TP's	SPP Criteria 3.4.1 SPP OATT (Attachment O) NERC Planning Standards I A M1-M4 & II A M1-M6
3. Develop plans within defined voltage and stability limits and within appropriate facility thermal ratings.	SPP TP's	SPP TP's	SPP TP's	SPP TP's	SPP Criteria 3.4.1 SPP OATT (Attachment O) NERC Planning Standards I A M1-M4 & II A M1-M6
4. Define system protection and control needs and requirements, including special protection systems (remedial action schemes), to meet reliability standards.	TP's	TP's	TP's	TP's	NERC planning standards
5. Determine TTC values as appropriate.	TP's/SPP	SPP	SPP	SPP	SPP Criteria 4.4 SPP OATT

¹⁷ The tasks of this function are subject to oversight by the planning authority.

Issued by: L. Patrick Bourne, Manager
 Transmission and Regulatory Policy

Effective: October 27, 2004

Issued on: November 1, 2004

Filed to comply with order of the Federal Energy Regulatory Commission, Docket Nos. RT04-1-002 and ER04-48-002, issued October 1, 2004, 109 FERC ¶ 61,009 (2004).

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6. Notify others of any planned transmission changes that may impact their facilities.	TP's	TP's	TP's	SPP OATT (Attachment O) SPP Membership Agreement 2.1.3 , 2.1.4, and 3.3 NERC Planning Criteria
7. Evaluate and plan for transmission service and interconnection requests beyond one year.	SPP	SPP	SPP	SPP OATT Section 19 & 32 SPP OATT Attachment V SPP Criteria 3 Membership Agreement Section 2.1
8. Develop and report, as appropriate, on its transmission expansion plan for assessment and compliance with reliability standards.	TP's SPP	SPP TP's	SPP TP's	SPP Criteria (Section 3.1 ,3.3 and 3.4 and 12.0) SPP OATT (with revisions) (Attachment O) NERC Planning Standards II A M1-M6 Membership Agreement (2.1.J. and 2.1.5)
9. Monitor and report, as appropriate, on its transmission expansion plan implementation.	TP's	SPP TP's	SPP TP's	NERC Planning Standards Membership Agreement 3.3

Issued by: L. Patrick Bourne, Manager
Transmission and Regulatory Policy
Effective: October 27, 2004

Issued on: November 1, 2004
Filed to comply with order of the Federal Energy Regulatory Commission, Docket Nos. RT04-1-002 and ER04-48-002, issued October 1, 2004.
109 FERC ¶ 61,009 (2004).

Function – Transmission Service				
<i>Administers the transmission tariff. Provides transmission services to qualified market participants under applicable transmission service agreements (for example, the pro forma tariff).</i>				
Tasks	SPP/TO's	SPP	SPP	SPP OATT, Section 17.1, Section 18.1, Section 29.2
1. Receive transmission service requests and process each request for service according to the requirements of the tariff.	SPP/TO's	SPP	SPP	SPP OATT Section 4
a. Maintain commercial interface for receiving and confirming requests for transmission service according to the requirements of the tariff (e.g., OASIS).	SPP/TO's	SPP	SPP	SPP OATT Section 15
2. Approve or deny transmission service requests	SPP	SPP	SPP	SPP OATT Section 13.8, 14.6, Attachment G (Section 6.0) Membership Agreement Section 2.2.5
3. Approve Interchange Transactions from transmission service arrangement perspective	SPP/TO's	SPP	SPP	SPP OATT Attachment C (Short-term) Membership Agreement 2.1.1.d SPP Criteria 4
4. Determine and post available transfer capability (ATC ¹⁸) values.	SPP	SPP	SPP	SPP OATT Attachment M
5. Allocate transmission losses (MWs or funds) among Balancing Authority Areas.	SPP	SPP	SPP	

¹⁸ ATC and AFC are used herein synonymously

Issued by: L. Patrick Bourne, Manager
Transmission and Regulatory Policy
Issued on: November 1, 2004

Effective: October 27, 2004

Filed to comply with order of the Federal Energy Regulatory Commission, Docket Nos. RT04-1-002 and ER04-48-002, issued October 1, 2004.
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Function – Transmission Ownership					
<i>Owms and maintains transmission facilities.</i>					
Tasks					
1. Install and maintain transmission facilities according to prudent utility practice	TO's	TO'S	TO's	TO's	SPP Criteria (Introduction) SPP Membership Agreement Section 2.1.1.j, Section 3.2, Section 3.3a
2. Establish ratings of transmission facilities.	TO's	TO'S	TO's	TO's	SPP Criteria Section 12.2, Section 12.2.2.5
3. Develops interconnection agreements.	SPP	SPP	SPP	SPP	SPP OATT Appendix V (Section 1.10, Section 1.10.4)

Issued by: L. Patrick Bourne, Manager
 Transmission and Regulatory Policy
 Effective: October 27, 2004

Issued on: November 1, 2004

Filed to comply with order of the Federal Energy Regulatory Commission, Docket Nos. RT04-1-002 and ER04-48-002, issued October 1, 2004, 109 FERC ¶ 61,009 (2004).

**APPENDIX B: SPECIFIC IDENTIFICATION OF NERC FUNCTIONAL
RESPONSIBILITIES**

This appendix contains a list of several vertically integrated utilities and how they participate with SPP's tariff, reserve sharing and reliability coordination functions.

Issued by: L. Patrick Bourne, Manager
Transmission and Regulatory Policy

Effective: October 27, 2004

Issued on: November 1, 2004

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Executive Membership Agreement	CLEC	CSWS	DENL	EDE	EES	GRDA	INDN	KACY	KCPL	LAFa	LAGN	LEPA	MCLN	MIDW	MPS	OKGE	SECI
	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Existing Authority																	
Reliability Authority		SPP		SPP		SPP		SPP		SPP		SPP		SPP		SPP	SPP
Balancing Authority	X	X	X	X	X	X	X	X	X	X	X	X	X	WR	X	X	X
Interchange Authority																	
Transmission Provider (Trans Provider on SPP's OASIS Node)		X		X		X			X					X	X	X	X
Tariff		X		X		X			X					X		X	
Transmission Operator		X		X		X			X					X		X	
Market Operator	X	X	X	X	X	X		X	X	X	X	X	X	X	X	X	X
Planning Authority		Shared		Shared		Shared	Shared	Shared	Shared	Shared		Shared	Shared	Shared		Shared	Shared
Tariff				X		X											
Using Regional Scheduling System		X		X		X	X	X	X	X		X		X		X	
SPP Implement Schedules		X			N/A				X		N/A		N/A		N/A	X	N/A
Reserve Sharing Group	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X	X
RTO DAY 1 Authority																	
Reliability Authority		SPP		SPP		SPP		SPP		SPP		SPP		SPP		SPP	SPP
Balancing Authority	X	X	X	X	X	X	X	X	X	X	X	X	X	WR	X	X	X
Interchange Authority																	
Transmission Provider (Trans Provider on SPP's OASIS Node)																	
Tariff		X		X		X			X					X		X	
Transmission Operator		X		X		X			X					X		X	
Market Operator	X	X	X	X	X	X		X	X	X	X	X	X	X	X	X	X
Planning Authority		SPP		SPP		SPP			SPP					SPP		SPP	
Tariff		X		X		X			X					X		X	
Using Regional Scheduling System		X		X		X	X	X	X	X		X		X		X	
SPP Implement Schedules		X			N/A				X		N/A		N/A		N/A	X	N/A
Reserve Sharing Group	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X	X

Effective: October 27, 2004

Issued by: L. Patrick Bourne, Manager
 Transmission and Regulatory Policy

Issued on: November 1, 2004

Filed to comply with order of the Federal Energy Regulatory Commission, Docket Nos. RT04-1-002 and ER04-48-002, issued October 1, 2004, 109 FERC ¶ 61,009 (2004).

APPENDIX C

KCPL's Transmission Assets Surrendered to SPP's Functional Control

Facilities Transferred to SPP's Functional Control

Kansas City Power & Light Company

Line No.	<u>Description</u>	<u>Operating Voltage (kV)</u>
1	Ks-Unidentifd-161KV	161
2	Ks-Unidentifd-345KV	345
3	MoKan-Unidentified	
4	Mo-Unidentifd-161KV	161
5	Mo-Unidentifd-345KV	345
6	Swisvale-Stilwel 1	345
7	Stilwell-Sibley	345
8	Sibley-Overton	345
9	Hawth-Nashua-St. Joe	345
10	Stilwell-Lacyn	345
11	Lacygn-W Gardnr	345
12	Dc Crg-W Grd/Cdr	345
13	Iatan-Craig	345
14	Rx-Itn-Strngr Ck	345
15	Iatan-Stranger Crk J	345
16	Stranger Crk Jct-Cra	345
17	Hawthorn-Sibley	345
18	Dc Rx Hw-Nsh/Sib	345
19	Rx Hawthn-Sibley	345
20	Craig-W Gardner	345
21	Dc W Gar-Lcy/Crg	345
22	Dc W Gar-Lcy/Otw	345
23	Rw Hawthn Plant	161
24	Hawth-Blue Vly Twr	161
25	Hawth-Leeds Tower	161
26	Blue Vly Twr-Blu Vly	161
27	Hwthn-Crosstwn 15	161
28	Hw-Rndlph-Avndl	161
29	Tc Rx Hawthorn	161
30	Dc Rx Northeast	161
31	Blue Vly-Winch Jc	161
32	Rw Southtown	161
33	Leeds Twr-Loma Vista	161
34	Sotown-Bunkr Rdg	161

Facilities Transferred to SPP's Functional Control

Kansas City Power & Light Company

Line

No.

35	Northeast-Grand	161
36	Hwthn-Northeast	161
37	BI Mls-BI Mls J2	161
38	Leeds-Roeland Pk	161
39	Dc Sotwn-Hck/Grd	161
40	Greenwd-Shawnee	161
41	Oxford-Olathe	161
42	Dc Montr-Loma Vsta	161
43	Misson Jct-Kenilwrth	161
44	Ovrlnd Pk-Roeld Pk	161
45	Grand-Navy-Terr	161
46	Rw Shwnee-Fshr J	161
47	Rw Hwthn-Sotwn	161
48	Northeast-Crosstown	161
49	Maywd-Weathrby	161
50	Rw Sotown-Stlwl	161
51	Dc Ne-Crostwn/Grand	161
52	Rw Montrs-Stilwl	161
53	Rw Mntr-Lma Vsta	161
54	Mntrs-Lma Vsta 9	161
55	Mntrs-Lma Vsta 11	161
56	Montrs-Stilwl 13	161
57	Mntr-Arch-Stlwl	161
58	Sotwn-Grandvw	161
59	Stilwell-Hickman	161
60	Brookrdg-Ovr Pk	161
61	Hwthn-BI Valy 14	161
62	Stilwell-Antioch	161
63	Wagstf-Centenl 3	161
64	Paola-Marmaton	161
65	Paola-So Ottawa	161
66	Rw Hw-Mo Cty-Ray	161
67	Hawthorn-Mo Cty	161
68	Mo City-Moberly	161
69	Salsbry-Nortn 12	161
70	Nortn-S Wvrly 12	161

Facilities Transferred to SPP's Functional Control

Kansas City Power & Light Company

Line

No.

71	Nshua-St Joesph	161
72	Montrs-Clintrn 12	161
73	Hwthn-Northeast 15	161
74	Midtown-Forest 4	161
75	Forest-Sotown 3	161
76	Bl Mls-Bl Mls Jt1	161
77	Merrm-Greenwd 5	161
78	Clycomo-Gshlnd Jct	161
79	Greenwd-Midland 6	161
80	Grnwd-Mtropltn	161
81	Terrace-State Ln	161
82	Hwthn-Northeast 17	161
83	Kenilworth-Lnxa	161
84	College - Olathe	161
85	Craig-Lenexa 1	161
86	Craig-College	161
87	Craig-Greenwd 3	161
88	Armco-Mlt Shop Jct	161
89	Barry-Line Creek	161
90	Dc Cg-Gwd/Lx-Kw	161
91	Dc Crg-Lnxa/Knlw	161
92	Mnlight-Mur Len 1	161
93	Dc Mnlit-Quarry/Gar	161
94	Mnlight-W Grdnr	161
95	Switzer-Riley	161
96	Switzer-Olathe 1	161
97	Dc Swtz-Rily/Olth	161
98	Dc Oxfr-Antch/Ol	161
99	Olathe-Mur Len	161
100	Winchstr-Sotwn	161
101	Winchestr-Swope	161
102	Knlwth-Ovrlld Pk	161
103	Dc Op-Brkrq/Knw	161
104	Dc Nkc-Ne/Avondl	161
105	Northeast/Nkc	161
106	Pole 105-Murlen	161

Facilities Transferred to SPP's Functional Control

Kansas City Power & Light Company

Line

No.

107	Dc Mrtn-Redel/Grndv	161
108	Sotown-Hickman	161
109	Mrtn Cty-Grdvw 4	161
110	Cntennil-Paola 16	161
111	Line Crk-Riverside	161
112	Hwth-Indpndence	161
113	Stilwl-Martin City	161
114	Brminghm-Claycomo	161
115	W Gardnr-S Otwa	161
116	Stilwl-Springhill	161
117	Dc Stilw-Redel/Sprghl	161
118	Avondale-Nkc	161
119	Noeast-Avondale	161
120	Antioch-Oxford	161
121	Avondl-Riverside	161
122	Northeast-Grand W	161
123	Bnkr Rdg-Lma Vst	161
124	Dc-Bnkr Sotn/Lma	161
125	Weathrby-Tiffny	161
126	Tiffany-Roanrdg	161
127	Roanridge-Barry	161
128	Roanrdg-Nashua	161
129	Dc Rnrg-Bry/Nsh	161
130	Hawthorn-Leeds-#27	161
131	Gladstone-Shoal Crk	161
132	Shoal Creek-Nashua	161
133	Shoal Creek-Claycomo	161
134	Hawthorn-Levee	161
135	Levee-Northeast #17	161
136	Hawth-Chouteau #15	161
137	Choute-Northeast #5	161
138	DC-Hawth-Leeds #27/C	161
139	W. Gardner-Cedar Crk	161
140	Martin City-Redel	161
141	Redel-Stilwell	161
142	Craig-Pflumm	161

Facilities Transferred to SPP's Functional Control

Kansas City Power & Light Company

Line

No.

143	Pflumm-Overland Pk	161
144	Metroplitn-Maywd	161
145	Cedar Ck-Grnwd	161
146	Dc Crg-Pflumm/Collg	161
147	Avndl-Avndl Jct	161
148	Leeds-Indepndnc	161
149	Lx Tap Crg-Grwd	161
150	Dc Lds-Hwt/Indep	161
151	Winchstr Jct-Swp	161
152	Dc Bkrg-Rly/Swtz	161
153	Brookrg-Riley	161
154	Avondl-Gladstn	161
155	Gldstn-Gshld Jct	161
156	Gashld Jct-Nsha	161
157	Stilwl-Wagstaff	161
158	Craig-Cedar Crk	161
159	Craig-Overld Pk	161
160	Southtown-Bendix	161
161	Bendix-Tomahawk	161
162	Tomahawk-Missn Jct	161
163	Riley-Sprint	161
164	Sprint-Mission Jct	161
165	Bucyrus-Wagstaff	161
166	Stilwell-Bucyrus	161
167	Bucyrus-N. Louisburg	161
168	Paola-Osawatomie	161
169	Moonlight-Quarry	161
170	Quarry-Murlen	161
171	69Kv-DO NOT USE	69
172	Kansas-69KVA	69
173	Missouri-69KVA	69
174	Grnd-Guinottets	161
175	Midtw-Brsh Ck Ts	161
176	Midtown-Roe Ts	161
177	Grand-Crosstwn	161
178	Crstwn-Guinot Ts	161

Facilities Transferred to SPP's Functional Control

Kansas City Power & Light Company

Line

No.

179 Grand-Navy-Terr

161

Substation

Name

180 Hawthorn Station-Common
181 Hawthorn Unit 7
182 Lacygne Station-Common
183 Birmingham
184 Barry
185 Brookridge
186 Shawnee
187 Grand Ave West
188 Stilwell
189 Navy
190 Riley
191 Reeder
192 Switzer
193 Southtown
194 Crosstown
195 Avondale
196 Lenexa
197 Swope
198 Forest
199 Loma Vista
200 Terrace
201 Oxford
202 Tiffany
203 Olathe
204 Brunswick
205 Chouteau
206 South Ottawa
207 Overland Park
208 Tomahawk
209 Weatherby
210 Kenilworth

Facilities Transferred to SPP's Functional Control

Kansas City Power & Light Company

Line**No.**

211	Cedar Creek
212	Claycomo
213	Blue Valley
214	Paola
215	Hickman
216	Leeds
217	Line Creek
218	Nashua
219	Antioch
220	Martin City
221	Roeland Park
222	Moonlight
223	Shoal Creek
224	Randolph
225	Craig Sub
226	Centennial
227	Northeast
228	Midtown
229	Gladstone
230	Blue Mills
231	West Gardner
232	Mur-Len
233	Salisbury
234	Bunker Ridge
235	College
236	Merriam
237	Greenwood
238	North Kansas City
239	Norton
240	Hawthorn
241	Riverside
242	Carrollton
243	Centerville
244	Montrose
245	Wagstaff
246	Redel

Facilities Transferred to SPP's Functional Control

Kansas City Power & Light Company

Line

No.

247	Bucyrus
248	Duncan
249	Sprint
250	North Louisburg
251	Pflumm
252	South Richland
253	South Waverly
254	Malta Bend
255	Guinotte Terminal
256	Brush Creek Terminal
257	Cherry Terminal
258	Roe Terminal
259	Sub G Inside Grand Ave S
260	F&M-Spare Equip
261	Mayview
262	Lacygne Station
263	Iatan Station
264	Wolf Creek Station
265	Levee
266	Bull Creek CT SwYard
267	Osawatomie CT SwYard
268	Lake City Sub J
269	Lake City Sub K
270	Melt Shop No 1 Armco
271	Independence Water
272	Grand Avenue