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		<b>Version No.</b>	7.0
		<b>Effective Date</b>	8/01/2019
<b>DOE, NERC and WECC Significant Event Reporting Requirements</b>		<b>Distribution Restriction:</b> <b>None</b>	

## Purpose

Provides guidelines to summarize and clarify the assignments for reporting significant events to the Department of Energy (DOE), the North American Electric Reliability Corporation (NERC), and the Western Electricity Coordinating Council (WECC).

## Background

DOE, WECC, and NERC require certain mandatory reports for electric emergency incidents and disturbances in the United States.

DOE requires that the Electric Utility that operates a Balancing Area and/or Reliability Coordinators and other Electric Utilities report incidents using DOE [Form OE-417](#), “Electric Emergency Incident and Disturbance Report”.


NERC Standard [EOP-004-4](#), “Event Reporting”, requires that Reliability Coordinators, Balancing Authorities, Transmission Operators, Transmission Owners, Generator Operators, Generator Owners and Distribution Providers shall file the required reports to NERC and other organizations such as WECC, the Reliability Coordinator, law enforcement, or governmental authority. Reporting requirements are met by filing a DOE [OE-417](#) report or the NERC Event Reporting Form.

The table of reportable events is listed within this procedure and each corresponding type of event references the organization that should report the incident, additional guidance, and clarification of responsibilities.

## General Principles

In general, the organization that operates an asset should report operational incidents; whereas, the organization that owns the asset should report physical damage (e.g., the ISO is probably best suited to report transmission events, especially those across multiple service territories; whereas utilities are best suited to report damage or destruction of transmission equipment, etc.).

To the extent that time allows, collaborate, especially when multiple organizations have critical data and information about an incident. Error on the side of over-reporting. The DOE does allow submittals by several organizations for a single incident.

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## Reporting Responsibility

As the Balancing Authority, the ISO Shift Manager must be notified of all events that may meet the reporting criteria listed on the following tables.

In general, the reporting responsibility belongs to the organization identified in the tables below. Where multiple organizations have pertinent data or information or where responsibility is unclear, ERCs or managers from the respective organizations shall contact one another to reach agreement on who submits reporting.

After evaluating each event, the ISO may determine a report is necessary and file one even if the responsible reporting entity decides not to file a report.

When an entity, other than the ISO, submits an OE-417 or EOP-004 report, send a copy to the ISO Emergency Response Coordinator at <mailto:erc@caiso.com>.

*Note: For the purpose of meeting the requirements under **EOP-004-4 R2**, the ISO Emergency Response Coordinator is the primary point of contact.*

Under certain adverse conditions (e.g., severe weather, multiple events) it may not be possible to report the damage caused by an event and issue a written Event Report within the timing in the NERC **EOP-004-4** standard. In such cases, the affected entity shall notify the parties that require notification via phone or other methods to provide as much information as is available until such time that a written report can be filed.


NERC will accept the DOE [OE-417](#) form, in lieu of the NERC Event Reporting form, if the entity is required to submit an [OE-417](#) report. If an [OE-417](#) report **is** filed, WECC and NERC must receive a copy of the reports at time of filing.

If an OE-417 report is required and ISO is responsible for filing the report, then refer to ISO Operating Procedure [4110C Emergency Response Coordinator Checklist](#).

If an OE-417 report is not required, but a NERC Event Report is required, the on-call ERC will notify the Administrative ERC. The Admin ERC will coordinate the filing of the required reports by the end of the next business day.


## Events that Require DOE OE-417 Report

Refer to table on next page for events and requirements:

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DOE OE-417 Incident (per current <a href="#">OE-417</a> form)	Reporting Responsibility By Contract (NERC function)	Notes
<i>Note: Boxes 1 – 8 below, if any of these scenarios apply the DOE <a href="#">OE-417</a> form, must be <b>filed within 1 hour</b> of the incident:</i>		
1) Physical attack that causes major interruptions or impacts to critical infrastructure facilities or to operations.	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input checked="" type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	Reported by organization physically attacked. For attacks impacting multiple organizations, each attacked/infected system owner shall submit report.  Note: EOP-004 applicability RC, BA, TOP
2) Cyber event that causes interruptions of electrical system operations.	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input checked="" type="checkbox"/> UDC/ MSS/ LSE (DP) <input checked="" type="checkbox"/> SC/ PG OWNER (GO/GOP)	Reported by attacked/infected systems owner. For attacks impacting multiple organizations, each attacked/infected system owner shall submit report.
3) Complete operational failure or shut-down of the transmission and/or distribution electrical system.	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input checked="" type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	ISO will report Transmission Failure/Shutdown in collaboration with Transmission Operator. Any Distribution Failure/ Shutdown reported by UDC/MSS.
4) Electrical System Separation (Islanding) where part or parts of a power grid remain(s) operational in an otherwise blacked out area or within the partial failure of an integrated electrical system.	<input checked="" type="checkbox"/> ISO <input type="checkbox"/> PTO (TOP) <input checked="" type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	Note: <b>EOP-004-4</b> requirement $\geq 100$ MW  ISO will report for Balancing Area event. UDC/MSS will report for local events in their service territories.  Note: EOP-004 applicability RC, BA, TOP
5) Uncontrolled loss of 300 Megawatts or more of firm system loads for more than 15 minutes from a single incident.	<input type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input checked="" type="checkbox"/> UDC/ MSS/ LSE (DP) <input checked="" type="checkbox"/> SC/ PG OWNER (GO/GOP) *	Reported by the organization that experiences the loss of firm load  * Generators who have 300 MW or more of generation dedicated to one or more end-use customers (e.g., retail or industrial customers) are required to file the form under criteria number 5.  Note: EOP-004 applicability BA, TOP, DP
6) Firm load shedding of 100 Megawatts or more implemented under emergency operational policy	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input checked="" type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	ISO reports if ISO initiates manual firm load shedding, UDC/PTO/MSS reports if they initiate load shedding.  Note: EOP-004 applicability initiating RC, BA, TOP

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7) System-wide voltage reductions of 3 percent or more.	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input checked="" type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	(Interpreted to suggest a purposeful reduction for managing loads rather than low voltage <i>caused</i> by high loads.) ISO reports if ISO initiates reduction, UDC/PTO/MSS reports if they initiate reduction. Note: EOP-004 applicability TOP
8) Public appeal to reduce use of electricity for purposes of maintaining the continuity of the electric power system.	<input checked="" type="checkbox"/> ISO <input type="checkbox"/> PTO (TOP) <input checked="" type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	Not filed if declared for public awareness and conservation. Only include in report if Flex Alert declared during a Warning or Emergency. ISO reports if ISO issues appeal, UDC reports if UDC issues appeal or MSS reports if MSS initiates. Separate reports shall be made from each if multiple appeals are made. Note: EOP-004 applicability BA
<i>Note: Boxes 9-12 below, if any of these scenarios apply AND none of the above 1-8 scenarios apply, then the DOE OE-417 form must be <b>filed within 6 hours</b> of the incident.</i>		
9) Physical attack that could potentially impact electric power system adequacy or reliability; or vandalism which targets components of any security systems.	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input checked="" type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	Reported by organization physically attacked. For attacks impacting multiple organizations, each attacked/infected system owner shall submit report.  Note: EOP-004 applicability TO, TOP, GO, GOP, DP
10) Cyber event that could impact electric power system adequacy or reliability.	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input checked="" type="checkbox"/> UDC/ MSS/ LSE (DP) <input checked="" type="checkbox"/> SC/ PG OWNER (GO/GOP)	Reported by attacked/infected systems owner. For attacks impacting multiple organizations, each attacked/infected system owner shall submit report.
11) Loss of electric service to more than 50,000 customers for 1 hour or more.	<input type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input checked="" type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	Reported by the organization that experiences interruption to customers.
12) Fuel supply emergencies that could impact electric power system adequacy or reliability.	<input checked="" type="checkbox"/> ISO <input type="checkbox"/> PTO (TOP) <input type="checkbox"/> UDC/ MSS/ LSE (DP) <input checked="" type="checkbox"/> SC/ PG OWNER (GO/GOP)	ISO would also report if fuel supply emergency affected bulk electric system supply and was known to the ISO.


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Note: Boxes 13-24 below, if any box 13-24 criteria is met AND none of the 1-12 criteria are met, this form must be filed by the later of **24 hours after the recognition** of the incident OR **by the end of the next business day**. (By 4:00pm local time)

13) Damage or destruction of a Facility within its RC, BA or TOP Area that results in action(s) to avoid a Bulk Electric System Emergency.	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	<p>Collaboration between ISO and the PTO may be necessary in order to assess actions taken to avoid a BES Emergency.</p> <p>Note: EOP-004 applicability RC, BA, TOP</p>
14) Damage or destruction of its Facility that results from actual or suspected intentional human action.	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input checked="" type="checkbox"/> UDC/ MSS/ LSE (DP) <input checked="" type="checkbox"/> SC/ PG OWNER (GO/GOP)	<p>It is not necessary to report theft unless it degrades normal operation of its Facility. The entity that owns/operates the Facility is responsible for reporting unless the event impacts multiple entities within the ISO control area.</p> <p>Note: EOP-004 applicability BA, TO, TOP, GO, GOP, DP</p>
15) Physical threat to its Facility excluding weather or natural disaster related threats, which has the potential to degrade the normal operation of the Facility. Or suspicious device or activity at its Facility.	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input checked="" type="checkbox"/> UDC/ MSS/ LSE (DP) <input checked="" type="checkbox"/> SC/ PG OWNER (GO/GOP)	<p>The entity that owns/operates the Facility is responsible for reporting unless the threat impacts multiple entities within the ISO control area.</p> <p>Note: EOP-004 applicability BA, TO, TOP, GO, GOP, DP</p>
16) Physical threat to its Bulk Electric System control center, excluding weather or natural disaster related threats, which has the potential to degrade the normal operation of the control center. Or suspicious device or activity at its Bulk Electric System control center.	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	<p>The entity that owns/operates the BES control center is responsible for reporting. If the threat impacts multiple entities within the ISO control area, ISO is responsible for reporting.</p> <p>Note: EOP-004 applicability RC, BA, TOP</p>
17) Bulk Electric System Emergency resulting in voltage deviation on a Facility $\geq$ 10% of nominal voltage sustained for $\geq$ 15 continuous minutes.	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input checked="" type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	<p>The entity that owns/operates the Facility is responsible for reporting. If the event impacts multiple entities within the ISO control area, ISO is responsible for reporting.</p> <p>Note: EOP-004 applicability TOP</p>


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18) Uncontrolled loss of 200 Megawatts or more of firm system loads for ≥ 15 minutes from a single incident for entities with previous year's peak demand ≤ to 3,000 Megawatts	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input checked="" type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	EOP-004 requirement: Uncontrolled loss of firm load resulting from a BES Emergency. Uncontrolled loss of firm load for ≥ 15 minutes from a single incident: ≥ 300 MW for entities with previous year's peak demand ≥ 3,000 MW OR ≥ 200 MW for all other entities  Note: EOP-004 applicability BA, TOP, DP
19) Total Generation loss within one minute >= 2000 MW	<input checked="" type="checkbox"/> ISO <input type="checkbox"/> PTO (TOP) <input type="checkbox"/> UDC/ MSS/ LSE (DP) <input checked="" type="checkbox"/> SC/ PG OWNER (GO/GOP)	The ISO is responsible for reporting.  Note: EOP-004 applicability BA, GOP
20) Complete loss of off-site power (LOOP) to a nuclear generating station per NPIRs	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	The PTO is primarily responsible, but the ISO may report depending on the nature of the event that causes the loss of off-site power.  Note: EOP-004 applicability TO, TOP
21) Unexpected Transmission loss, contrary to design, of 3 + BES facilities from common disturbance	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	The PTO in whose area the transmission loss occurred is responsible for reporting unless the event impacts multiple entities within the ISO control area.  Note: EOP-004 applicability TOP
22) Unplanned evacuation from its BES control center facility for >= 30 continuous minutes.	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	The entity that owns/operates the BES control center is responsible for reporting.  Note: EOP-004 applicability RC, BA, TOP
23) Complete loss of Interpersonal Communication and Alternative Interpersonal Communication capability affecting its staffed Bulk Electric System control center for 30 continuous minutes or more.	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	The entity that owns/operates the BES control center is responsible for reporting.  Note: EOP-004 applicability RC, BA, TOP
24) Complete loss of monitoring or control capability at its staffed BES control center for >= 30 continuous minutes.	<input checked="" type="checkbox"/> ISO <input checked="" type="checkbox"/> PTO (TOP) <input type="checkbox"/> UDC/ MSS/ LSE (DP) <input type="checkbox"/> SC/ PG OWNER (GO/GOP)	The entity that owns/operates the BES control center is responsible for reporting. For example, ISO complete loss of EMS requires a report, but loss of RTCA alone is not reportable.  Note: EOP-004 applicability RC, BA, TOP

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## Supporting Information

### Operationally Affected Parties

Shared with Public and the RC.


## Definitions

<b>ISO</b>	California Independent System Operator (ISO) is the Balancing Authority with Reporting Responsibilities under EOP-004-4.
<b>Electric Utility</b>	As defined by the DOE, a corporation, person, agency, authority, or other legal entity or instrumentality aligned with distribution facilities for delivery of electric energy for use primarily by the public. Included are investor-owned electric utilities, municipal and State utilities, Federal electric utilities, and rural electric cooperatives. A few entities that are tariff based and corporately aligned with companies that own distribution facilities are also included.
<b>PTO</b>	Participating Transmission Owner.
<b>UDC</b>	Utility Distribution Company.
<b>MSS</b>	Metered Subsystem (Operator).
<b>RC</b>	Reliability Coordinator.
<b>SC/ PG OWNER</b>	SC/ PG Owner Scheduling Coordinator.

## Version History

Version	Change	Date
2.1	Added the 18 <sup>th</sup> type of event "IROL Violations (all Interconnections) or SOL Violation for Major WECC Transfer Paths (Reliability Coordinator only). Added RC (Reliability Coordinator) to the list of terms and definitions	7/16/14
3.0	Reporting Responsibility section re-written to clarify report filing requirements; Added TOP references to Reporting Responsibility column	1/4/16
4.0	Annual Review : No content changes	8/08/16
5.0	Annual Review: Replaced EOP-004-2 with new EOP-004-4 throughout procedure, effective 4/1/17.	4/1/17

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<b>Version</b>	<b>Change</b>	<b>Date</b>
6.0	Periodic Review: Updated reporting requirements to be consistent with OE-417 form effective 6/4/18. Removed version history prior to 3-years. Minor format and grammar updates.	7/12/18
7.0	Periodic Review: Removed a section on NERC reporting due to the EOP-004-4 Attachment 1 changes. Removed approvals sections. Added Operationally Affected Parties section and document controlled statement in footer. Minor format and grammar updates.	8/01/19

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