
 California ISO RC West	Reliability Coordinator Procedure	Procedure No.	RC0420
		Version No.	2.0
		Effective Date	4/09/25
Event Reporting		Distribution Restriction: None	

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Purpose

Provide an Operating Plan¹ for identifying and reporting Bulk Electric System (BES) disturbances and events that threaten reliability in accordance with NERC Reliability Standards, Department of Energy (DOE) and the NERC Event Analysis Process (EAP).

1. Responsibilities

- Reliability Coordinator Operator
- Joint Information Center (JIC) Lead

2. Scope/Applicability

The RC West performs an assessment, and prepares for, potential and known adverse operating conditions, which may threaten elements of the BES. Each responsible entity under EOP-004-4 is responsible for reporting, in accordance with its respective Operating Plan, to NERC, DOE, WECC, the Reliability Coordinator and other entities.

In addition, other significant/news-worthy real-time events, which may not meet the criteria for reporting to external parties, may require internal reporting in accordance with CAISO's incident management response process.

3. Procedure Detail


3.1. CAISO Emergency Response and Reporting Process

The California ISO (CAISO) has established a corporate incident management response process to manage operational events that require reporting to agencies such as NERC, DOE, WECC, law enforcement, and other state and federal agencies. A team of CAISO personnel that includes the Joint Information Center (JIC) Lead, Communications Director, Incident Commander, and other support personnel have been designated to help manage reporting and communications with external agencies, enabling the RC operator to focus on managing system reliability in the event of a disturbance. In addition, the incident management response team will assess, monitor, coordinate and appropriately scale the response of the organization.

3.2. DOE and NERC Reporting Requirements

The DOE has established mandatory reporting requirements for electric emergency incidents and disturbances that occur on the grid. Certain events require that an OE-417 form be submitted to the DOE with one (1) hour of the incidents, while others require a submittal within 6 hours of the incident

¹ EOP-004-4 R1

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or by the end of the next business day (4pm local time). For all events, within 72 hours of the incident, a final report must be submitted unless an update has been provided.

NERC requires the submittal of an EOP-004 report for certain events that threaten the reliability of the BES. The report must be submitted within 24 hours of recognition of the event or by the end of the next business day if the event occurs on a weekend (which is recognized to be 4 PM local time on Friday to 8 AM Monday local time).² NERC will accept the DOE OE-417 form in lieu of the EOP-004 report form.

Under certain adverse conditions (e.g., severe weather, multiple events), it may not be possible for a report to include the full extent of the damage caused by an event and issue a written report within the stated time requirements. In such cases, RC personnel shall notify parties and provide as much information as is available at the time of the notification.

Appendix 1: Event Reporting Matrix lists the types of events that require submitting an OE-417 or a NERC EOP-004 report, as well as the required time frames and the entity responsible for submitting the report. Each entity is responsible for submitting reports in accordance with NERC and DOE requirements. However, as described in the appendix, the RC will submit reports when multiple BAs/TOPs are affected or for reportable events resulting from an Operating Instruction issued by the RC operator. In such situations, the RC West may need to coordinate with BAs and/or TOPs to submit a joint report. Should an entity want to use the RC West joint report as proof of compliance, they may request a copy.

The RC West relies on BAs, TOPs and other entities within the RC area to provide relevant information specific to their area in order for RC West to submit a joint report for incidents that affect multiple entities. Entities should submit event reports to RC West via email to:

- Real-time Reliability Coordination mailbox - CAISOReliabilityCoordination@caiso.com


Note: For real-time notifications via phone, refer to RC0130 Notification Requirements for Real-Time Events procedure.

When such reports are received, the RC will analyze the events to determine whether they meet the criteria for additional reporting. If a reportable incident has occurred within an entity's system, appropriate coordination of the event is important to ensure that the issue is not only mitigated, but also effectively reported to the entities that need to be informed.

Appendix 1: Event Reporting Matrix lists the types of events that require submitting an OE-417 or a NERC EOP-004 report, the required time frames and the entity responsible for submitting the report. In addition, there are events that may not meet the criteria for NERC or DOE reporting, that may attract news media coverage. For such events, the RC will ensure that notification is made to the JIC and RC Management.

Reliability Coordinator Actions
<ul style="list-style-type: none"> • Analyze events and reports received from external entities to determine if the event meets the criteria for reporting. The following event types may trigger the need for a DOE and/or

² EOP-004-4 R2

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Reliability Coordinator Actions
<p>NERC report, if they meet the reporting threshold. (See Appendix 1: Event Reporting Matrix for types of events, reporting threshold, timeframe and the agency that requires a report):</p> <ul style="list-style-type: none"> ○ BES Facility attack, threat or damage ○ Cyber event ○ System failure or shutdown ○ System separation (islanding) ○ Load shedding or reduction ○ Fuel supply emergencies ○ Loss of functionality or evacuation of control center ○ Emergency declaration ○ Weather events or natural disasters <ul style="list-style-type: none"> ● Begin mitigation in accordance with applicable procedures. ● For DOE OE-417 1-hr or 6-hr Event Reports, complete and submit the initial report within the required timeframe, and initiate appropriate process, in accordance with CAISO incident management response procedures. <ul style="list-style-type: none"> ○ If unable to submit the initial DOE report in a timely manner via email, call and report the information to the following telephone number: (202) 586-8100, and log in SLIC. ● Make notifications to BAs and TOPs in the RC Area and <i>neighboring RCs</i> via the Grid Messaging System (GMS) and RCIS, as required. <ul style="list-style-type: none"> ○ Notify the JIC and RC Management, if criteria for reporting in Appendix A is met. ● Continue monitoring and <i>mitigation</i> activities and provide updates to the JIC and RC Management.


3.3. Post-Event Analysis

NERC has established a voluntary Event Analysis Process (EAP) to promote a structured and consistent approach to performing event analysis, by evaluating the how, what, and why of an event. The primary purpose of the EAP is to determine if there are lessons to be learned and shared with the industry.

While reporting (notification) under DOE and NERC EOP-004 is mandatory, immediate, and brief, and is intended to notify other entities that an event has taken place on the BES or BES control facilities, reporting through the EAP is intentional, analytic, methodic, and detailed.

In accordance with the NERC EAP, CAISO *Operations Compliance* will conduct a post-event analysis, categorize the event and submit a brief report to WECC within 10 business days of the event and will deliver a final report within 20 business days of the event.³ Refer to CAISO BA Procedure 5160 *Analysis and Reporting for Significant Events, Major Outages, and Potential Improvements*.

³ NERC Event Analysis Process (EAP) - Appendix A: Target Time Frames for Completion of Brief Reports, Event Analysis Reports, and Lessons Learned

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4. Supporting Information

Operationally Affected Parties

Shared with the Public.


References

NERC Requirements	EOP-004-4 R1, R2
BA/TOP Operating Procedure	CAISO: 5160 Analysis and Reporting for Significant Events, Major Outages and Potential Improvements
Other References	NERC ERO Event Analysis Process - Version 3.1 (Effective January 1, 2017)

Definitions

The following terms capitalized in this Operating Procedure are in accordance with the NERC Glossary, and/or otherwise when used are as defined below:

Term	Description
Reliability Coordinator (RC) Area	The collection of generation, transmission, and loads within the boundaries of the Reliability Coordinator. Its boundary coincides with one or more Balancing Authority Areas.
Emergency or BES Emergency	Any abnormal system condition that requires automatic or immediate manual action to prevent or limit the failure of transmission facilities or generation supply that could adversely affect the reliability of the Bulk Electric System.
Interpersonal Communication	Any medium that allows two or more individuals to interact, consult, or exchange information.
Alternative Interpersonal Communication	Any Interpersonal Communication that is able to serve as a substitute for, and does not utilize the same infrastructure (medium) as, Interpersonal Communication used for day-to-day operation.
Facility	A set of electrical equipment that operates as a single Bulk Electric System Element (e.g., a line, a generator, a shunt compensator, transformer, etc.)

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Version History

Version	Change	Date
1.2	Replaced CAISO RC with RC West and updated to RC West Logo. Section 3.2: Updated RC West contact information and RC messaging information.	12/20/19
1.3	Appendix 1: Made correction to Submittal Form for Event #13.	4/17/20
1.4	Periodic Review: Minor grammar and punctuation edits.	6/17/22
1.5	Replaced ERC references with JIC Lead. Replaced Real-Time RC Desk mailbox with Real-Time Reliability Coordination mailbox in Section 3.2. Minor formatting and grammar edits.	9/05/23
1.6	Updated noting that RCs will notify the Manager, Real-Time Operations for any reportable event instead and Manager will be central point of contact for reportable events, and responsible for submitting Event Reports.	9/26/23
1.7	Added RC reporting requirements for other/news-worthy events to Appendix 1, and related language in Section 3.2.	7/11/24
1.8	Updated noting that RCs will notify the JIC of reportable events, instead of MRT0, and submit OE-417 reports as needed. Added EEA-Watch to events that require reporting to JIC.	8/15/24
1.9	Purpose: Defined Bulk Electric System (BES). Section 3.1: Defined first instance of California ISO (CAISO). Section 3.2: Added clarification to RC Actions on methods available to RC operator for submitting the initial DOE OE-417 1-hr or 6-hr Event Reports. Minor formatting and grammar edits.	11/01/24
2.0	Periodic Review: Section 2: Added clarification regarding significant/news-worthy real-time events. Section 3.1: Replaced Public Information Officer (PIO) with Communications Director. Section 3.2: Added notification to JIC and RC management. Appendix A: Added new column for JIC reporting. Added reporting for unexpected loss of transmission elements and natural disasters. Removed history prior to five years.	4/09/25

5. Periodic Review Procedure


Review Criteria & Incorporation of Changes

There are no specific review criteria identified for this document.

Frequency

Review at least once every three years.


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When downloaded or printed, this document becomes UNCONTROLLED.*

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Appendix 1: Event Reporting Matrix


Event Type	Reportable Event ⁴	Submittal Form	Reporting Responsibility	Threshold for Reporting	Notes	Report to JIC / RC Mgmt.
Facility attack, threat or damage	1) Physical attack	DOE (1 hr.)	RC, BA, TOP	Physical attack that causes major interruptions or impacts to critical infrastructure facilities or to operations.	Affected entity will file	Y
	2) Physical attack or vandalism	DOE (6 hr.)	RC, BA, TOP	Physical attack that could potentially impact electric power system adequacy or reliability; OR Vandalism, which targets components of any security systems.	Affected entity will file	Y (Only if RC files DOE Report)
	3) Damage or destruction of a Facility within the Reliability Coordinator Area that results in action(s) to avoid a BES Emergency.	DOE/NERC (24 hr.)	RC, BA, TOP	Damage or destruction of its Facility that results from actual or suspected intentional human action. It is not necessary to report theft unless it degrades normal operation of its Facility.	Affected entity will file	Y
	4) Physical threats to a BES control center	DOE/NERC (24 hr.)	RC, BA, TOP	Physical threat to its BES 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 a BES control center.	Affected entity will file	Y
Cyber event	5) Cyber event that impacts BES	DOE (1 hr.)	RC, BA, TOP	Cyber event that causes interruptions of electrical system operations.	Affected entity will file	Y
	6) Cyber event that could potentially impact BES	DOE (6 hr.)	RC, BA, TOP	Cyber event that could potentially impact electric power system adequacy or reliability.	Affected entity will file	Y (Only if RC files DOE Report)

⁴ DOE and NERC events not applicable to the RC have been excluded from this list.

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Event Type	Reportable Event ⁵	Submittal Form	Reporting Responsibility	Threshold for Reporting	Notes	Report to JIC / RC Mgmt.
System failure or shut-down	7) Complete operational failure or shutdown of the transmission and/or distribution electrical system.	DOE (1 hr.)	RC, BA, TOP	Isolated or interconnected electrical systems (Transmission or distribution) suffer electrical system collapse.	BA/TOP will file if a single entity is affected. RC will file if multiple entities are affected.	Y
System separation (Islanding)	8) System separation (islanding)	DOE (1 hr.)	RC, BA, TOP	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.	BA/TOP will file if a single entity is affected. RC will file if multiple entities are affected.	Y
	9) System separation (islanding)	DOE/NERC (24 hr.)	RC, BA, TOP	Each separation resulting in an island \geq 100 MW	BA/TOP will file if a single entity is affected. RC will file if multiple entities are affected.	Y
Load shedding/reduction	10) Uncontrolled loss of firm load	DOE (1 hr.)	RC, BA, TOP	Uncontrolled loss of 300 Megawatts or more of firm system loads for more than 15 minutes or more from a single incident.	BA/TOP will file if a single entity is affected. RC will file if multiple entities are affected.	Y ($>50,000$ customers for >1 hour)
	11) System-wide voltage reductions	DOE (1 hr.)	RC, BA, TOP	System-wide voltage reductions of three (3) percent or more	RC will file if instructed by RC	N
	12) Public appeal to reduce the use of electricity	DOE (1 hr.)	RC, BA, TOP	Public appeal to reduce the use of electricity for purposes of maintaining the continuity of the BES.	RC will file if instructed by RC	Y
	13) Firm load shedding resulting from a BES Emergency	DOE (1 hr.)	Initiating RC, BA, or TOP	Firm load shedding \geq 100 MW (manual or automatic).	RC will file if instructed by RC	Y
Fuel supply	14) Fuel supply emergencies	DOE (6 hr.)	RC, BA, TOP	Fuel supply emergencies that could impact electric power system adequacy or reliability.	BA/TOP will file if a single entity is affected. RC will file if multiple entities are affected.	Y

⁵ DOE and NERC events not applicable to the RC have been excluded from this list.

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Event Type	Reportable Event ⁶	Submittal Form	Reporting Responsibility	Threshold for Reporting	Notes	Report to JIC / RC Mgmt.
Control center functionality/ evacuation	16) Unplanned evacuation of its BES control center	DOE/NERC (24 hr.)	RC, BA, TOP	Unplanned evacuation from its BES control center facility for 30 continuous minutes or more.	Affected entity will file	Y
	17) Complete loss of Interpersonal Communication and Alternative Interpersonal Communication capability at its staffed BES control center	DOE/NERC (24 hr.)	RC, BA, TOP	Complete loss of Interpersonal Communication and Alternative Interpersonal Communication capability affecting its staffed BES control center for 30 continuous minutes or more.	Affected entity will file	Y
	18) Complete loss of monitoring or control capability at its staffed BES control center	DOE/NERC (24 hr.)	RC, BA, TOP	Complete loss of monitoring or control capability at its staffed BES control center for 30 continuous minutes or more.	Affected entity will file	Y
Energy/Capacity Emergency	19) Energy Emergency Alert level 3 declared for a BA	EEA 3 Reporting form	RC	EEA 3 declared for a BA.	RC will file	Y
Other/Neweworthy Events	20) RC directed load shedding	N/A	RC	Any loading shedding at the direction of the RC operator.	Report to JIC	Y
	21) Energy Emergency Alert level 1 or 2, or EEA Watch declared for a BA	N/A	RC	EEA 1 or 2, or EEA Watch declared for a BA.	Report to JIC	Y (Except CENACE)
	22) Transmission Emergency declared by the RC	N/A	RC	Transmission Emergency declared by the RC.	Report to JIC	Y
	23) Unexpected loss of BES transmission elements due to storm, fire, earthquake, or other natural disaster	N/A	RC	Loss of 3 or more BES transmission elements due to storm, fire, earthquake, or other natural disaster	Report to JIC	Y
	24) Natural events or disasters	N/A	RC	Natural events or disasters that may threaten the operation of RC West area	Report to JIC	Y

⁶ DOE and NERC events not applicable to the RC have been excluded from this list.