






MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
BPM - 1	BPM	<p>CAISO will prepare Business Practice Manuals (BPMs), intended to contain implementation detail, consistent with and supported by the CAISO Tariff, including: instructions, rules, procedures, examples, and guidelines for the administration, operation, planning, and accounting requirements of CAISO and the markets.</p> <p>The CAISO Business Practice Manual (BPMs) will be completed and posted on the CAISO website to allow Market Participants the opportunity to review and comment on each BPM. CAISO will facilitate stakeholder review meetings to discuss critical issues. (This criterion is subject to change based on the output of the FERC Technical Conference.)</p> <p>CAISO will also establish and communicate to FERC and Market Participants a BPM change management process that describes the procedure that is used to update the BPMs after MRTU implementation.</p>		3/31/08			
		<p>BPM - 1.1 The "Initial Version Release" BPM requirements are complete.</p>		1/19/07			
		<p>1. The following "Initial Version Release" BPMs are prepared and published to the CAISO website incorporating stakeholder feedback and resolved critical issues, in preparation for Business Structure Market Simulation:</p> <ul style="list-style-type: none"> - BPM for Compliance Monitoring - BPM for Congestion Revenue Rights - BPM for Definitions & Acronyms - BPM for Market Instruments - BPM for Market Operations - BPM for Metering - BPM for Outage Management - BPM for Reliability Requirements - BPM for Rules of Conduct Administration - BPM for Scheduling Coordinator Certification and Termination - BPM for Settlements and Billing - BPM for Managing Full Network Model 		5/1/06 - 7/31/06		<p>The following BPMs were posted on 5/1/06: BPM for Definitions and Acronyms; BPM for Market Instruments; BPM for Market Operations; BPM for Settlements and Billing.</p> <p>The following BPMs were posted on 7/31/06: BPM for Compliance Monitoring; BPM for Congestion Revenue Rights; BPM for Definitions & Acronyms; BPM for Market Instruments; BPM for Market Operations; BPM for Metering; BPM for Outage Management; BPM for Reliability Requirements; BPM for Rules of Conduct Administration; BPM for Scheduling Coordinator Certification and Termination; BPM for Settlements and Billing; BPM for Managing Full Network Model.</p>	
		<p>2. Stakeholders are provided with opportunity to review, provide comments, and identify critical issues for each BPM.</p>		7/31/06 - 8/29/06		<p>Stakeholders were allowed to submit their questions / comments to the BPM In-Box up to 2 weeks prior to each BPM meeting. Stakeholder questions on each BPM and CAISO responses can be found at: http://www.caiso.com/186a/186ae8622e6f0.html</p>	
		<p>3. CAISO facilitates BPM review meetings for each BPM as appropriate to collect comments and discuss critical issues.</p>		8/29/06 - 10/5/06		<p>Seven organized BPM Stakeholder meetings occurred between 8/29/06 and 10/5/06. Details of each set of meetings that occurred, and which BPMs were covered can be found at: http://www.caiso.com/1872/1872e51451200.html</p>	

Integrated Market Simulation

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R3 U2: 12/17/07 - 2/15/08; PPS: 3/3/08 - 3/31/08

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		4. Revised Draft Version BPMs are posted to the CAISO website.		1/19/07	Overall Category Status	The following BPMs were posted on 1/19/07: BPM for Compliance Monitoring; BPM for Congestion Revenue Rights; BPM for Definitions & Acronyms; BPM for Market Instruments; BPM for Market Operations; BPM for Metering; BPM for Outage Management; BPM for Reliability Requirements; BPM for Rules of Conduct Administration; BPM for Scheduling Coordinator Certification and Termination; BPM for Settlements and Billing; BPM for Managing Full Network Model.		
		BPM - 1.2 Subsequent BPM updates due to FERC requirements & Market Simulation are further developed.		8/3/07				
		1. Stakeholders are provided the opportunity to review, provide comments, and identify critical issues for each of the Market Simulation Release BPMs that were posted on January 19, 2007.		1/19/07 - 3/2/07			A market notice was sent out on January 12, 2007 providing details to Stakeholders on how to submit comments on the revised BPMs posted on 1/19/07.	
		2. CAISO hosts Compliance Process for Business Practice Manuals call.		2/7/07			Conference call was held from 2:00 PM to 3:00 PM on 2/7/07.	
		3. CAISO drafts MRTU Tariff Language and posts to CAISO website along with reconciled BPMs.		4/2/07			All BPM revisions were posted by 6/7/07.	
		4. CAISO allows stakeholders to review and comment on BPM updates.		12/3/07			Individual BPM status can be found under the heading "BPM Completion Status Reports" at: http://www.caiso.com/17ba/17baa8bc1ce20.html	As BPM modifications continue to occur, Stakeholders will have the opportunity to review and comment.
		5. CAISO holds a conference call or meeting with Stakeholders on proposed MRTU Tariff Language.		4/17/07			BPM Tariff Language call was held from 1:00 PM - 4:00 PM on 4/17/07.	
		6. CAISO files additional proposed MRTU Tariff language to support BPMs and posts revised BPMs to CAISO website.		8/3/07			BPM Tariff Language was filed with FERC	
		7. The FERC Technical Conference held.		Fall 2007			Technical Conference held 9/26 - 9/27 in Washington D.C.	
		BPM - 1.3 CAISO BPMs are sufficiently complete for the MRTU Implementation. *** Please note that BPMs marked "complete" are considered to be essentially complete; however, are subject to the outcome of the BPM Technical Conference, and any revisions required as a result of Testing or Market Simulation.		3/31/08			Further details on each BPM can be found under "BPM Completion Status Report" at: http://www.caiso.com/17ba/17baa8bc1ce20.html	
		BPM for Candidate CRR Holder Registration					Complete	
		BPM for Congestion Revenue Rights					Complete	
		BPM for Compliance Monitoring					Revised BPM posted on August 1	
		BPM for Change Management					Complete; See Readiness Criterion Identifier BPM 1.4 for status	
		BPM for Credit Management					Complete	

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		BPM for Definitions and Acronyms	●			Revised BPM posted on September 21	
		BPM for Managing the Full Network Model	●			Additional revisions are needed for this BPM. A revised version will be posted in November.	
		BPM for Market Instruments	●			Revised BPM posted on July 2	
		BPM for Market Operations	●			Revised BPM posted on July 2	
		BPM for Metering	●			Revised BPM posted on August 1	
		BPM for Outage Management	●			Complete	
		BPM for Reliability Requirements	●			Revised BPM posted on June 14	
		BPM for Rules of Conduct Administration	●			Complete	
		BPM for Scheduling Coordinator Certification and Termination	●			Complete	
		BPM for Settlements and Billing	●			Revised BPM posted on 10/5/07	
		BPM - 1.4 CAISO establishes the BPM Change Management Process; communicates the process to stakeholders; and files the BPM Change Management Process with FERC. The process establishes the procedure that is used to update the BPMs after market launch.	● P	8/3/07		- Revised BPM for Change Management Process was posted on June 26. - Information on the Change Management Process can be found at: http://caiso.com/17ba/17baa8bc1ce20.htm - FERC Filing over Change Management Process occurred on August 3rd. - Process will go into effect at Go Live. October Update: The scope of this criterion was satisfied on 8/3/07. However, due to the outcome of the FERC Technical Conference held in September, further details need to be added to the BPM for Change Management. As a result, the status of this Criterion is now changed back to 'Purple' to reflect that further details were deemed necessary for completion. The BPM for Change Management is now planned to be completed in November.	

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CRR-1	CRR	CAISO will conduct a market simulation phase, called the Congestion Revenue Right (CRR) Dry Run, to provide market participants and CAISO with the opportunity to step through the process of allocating and auctioning CRRs in a manner that will be similar to the process that will be used to support MRTU implementation.		3/30/07	B			
		CRR - 1.1 CRR Participants meet the eligibility requirements to participate in the CRR Dry Run.	B	8/30/06				
		1. Participants complete CRR training.	●	6/29/06				
		2. Participants receive security digital certificates.	●	8/30/06				
		CRR - 1.2 CRR Participants provide CAISO with valid, annual CRR nominations for the CRR Dry Run.	B	8/30/06				
		CRR - 1.3 CAISO completes the annual and monthly CRR allocations for the CRR Dry Run.	B	2/15/07				
		1. New CRR Participants meet eligibility requirements.	●	9/30/06				
		2. CRR Participants submit CRR nominations to CAISO.	●	10/15/06				
		3. CAISO runs the CRR allocation markets and publishes results.	●	2/15/07				
		CRR - 1.4 CAISO completes the annual and monthly CRR auctions for the CRR Dry Run.	B	2/15/07			Annual results of the allocation market were published during 12/06. Monthly results from the allocation market were published on 1/16/07. This Criterion finished early.	
		1. New CRR Participants meet eligibility requirements.	●	9/30/06				
		2. CRR Participants submit CRR bids to CAISO.	●	10/15/06				
		3. CAISO runs CRR auction markets and publishes results.	●	2/15/07			Monthly results of the auction market were published on 1/16/07. Annual results of the auction were published on 1/26/07. This Criterion finished early.	
		CRR - 1.5 CAISO collects the results of the CRR Dry Run, prepares an informational report, and submits it to FERC.	B	3/30/07			Informational Report over Dry Run can be found at: http://www.caiso.com/1bb4/1bb4f3562b4c0.pdf	
CRR - 2	CRR	CAISO will complete the integration testing of the CRR output services. The test results will pass the Quality Review Board review.		3/31/07		P	- All CRR Broadcast Services were successfully triggered to an SOA (Service Oriented Architecture) Bus. - CRR Release 1 successfully passed Quality Review Board FAT and SAT Test review. October Update: Testing and Validation of all CRR Broadcast Services for Settlements is planned to occur with SaMC during IMS R3 Update 2	
CRR - 3	CRR	CAISO will complete the first annual process for allocation of 1-Year CRRs and LT CRRs and for auction of 1-Year CRRs, and first monthly allocation and auction of monthly CRRs.		3/21/08		P		

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		CRR - 3.1 CRR participants meet the eligibility requirements to participate in the CRR production market.		10/1/07			
		1. CRR Participants receive security digital certificates if not already received from CRR Dry Run.		6/29/07			
		2. CRR System is populated with collateral data from the financial group.		12/1/07			
		CRR - 3.2 The first production run of 1) the annual process for allocation of 1-Year CRRs and LT CRRs, and for auction of 1-Year CRRs; and 2) first monthly allocation and auction of monthly CRRs are complete.		3/5/08			
		1. Completion of Annual and Long Term Allocation Process		12/3/07			
		2. Completion of Annual Auction Process		12/18/07			
		3. Completion of Monthly Allocation Process		3/4/08			
		4. Completion of Monthly Auction Process		3/21/08			
CRR - 4	CRR	CAISO will make its compliance filing with the FERC's Long-Term Transmission Rights (LT FTR) Final Rule.		1/29/07		Filing can be viewed at: http://www.caiso.com/1845/1845dca750770.html under the name: "CAISO Filing to FERC on Long Term Transmission Rights - 29-Jan-2007"	
ENT - 1	Enterprise Systems	CAISO will verify that its enterprise systems meet availability requirements. This will be demonstrated by establishing Service Level Agreements (SLAs) for IT support, development, and implementation of monitoring tools and achieving availability requirements during the Pre-Production Simulation (PPS).		Exit PPS			
		ENT - 1.1 Service Level Agreement (SLA) documents are created and signed off by the MRTU IT Director.		Entry PPS		Initial Drafts completed, turned over to the Operations, Infrastructure, & Technology (OIT) team.	
		ENT - 1.2 Monitoring tools are built into each enterprise system and are used to produce performance and availability reports during PPS market simulation.		Entry PPS		- OS and System Monitoring completed - Application Monitoring deployment in progress	
		ENT - 1.3 Each enterprise system meets its minimum availability requirement during the PPS market simulation.		Exit PPS		Testing underway	
ECA - 1	External Control Area	CAISO, market participants, and external control areas agree on the new interchange and e-tagging procedures, being developed as part of the Scheduling and Tagging Next Generation (STING) project, including the new Control Area Scheduler (CAS).		1/23/07			
		ECA - 1.1 100% of tags applicable to CAISO are linked by market reservation to Control Area Scheduler (CAS).		1/23/07		100% of the tags applicable to CAISO from the Participants are being linked through market reservation to CAS.	
		ECA - 1.2 Control Area Scheduler (CAS) is fully operational and in production.		1/23/07		Control Area Scheduler officially went live on Tuesday, 2/13/07 at 10:00pm.	

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GO - 1	Grid Ops	CAISO grid operating procedures will be created or updated to reflect MRTU implementation. The new and revised grid operating procedures will be reviewed with market participants and external control areas.		1/30/08			
		<p>GO - 1.1 CAISO Grid Operating Procedures and Emergency Procedures are reviewed. New procedures are created or existing procedures are revised for training purposes to reflect MRTU implementation.</p>		5/25/07		<p>Of 352 Operating Procedures: - 72 of all Operations Procedures have been identified as needing revisions for MRTU. - 35 minor Operating Procedures will be completed by 2/4/08. - 32 significant Operating Procedures will be created or withdrawn by 10/31/07 for Operations training. - 4 major Operating Procedures critical for Operations Training were completed by the end of August 2007. http://www.caiso.com/1c3a/1c3a8eb9d430.html</p> <p>October Update: Original Operating Procedures to be revised for MRTU were re-evaluated. The number of minor Operating Procedures decreased from 42 to 35 and the number of significant Operating Procedures increased from 32 to 33. Completion of all 33 Significant Operating Procedure revisions will be completed by November.</p>	<p>October Update: Completion of all significant Operating Procedures will not be done by the target date of 10/31/07 due to timeline constraints. Any outstanding procedures are targeted to be completed by end of November 2007. This criterion will be marked "On Track" after all 33 Significant Operating Procedures have been completed.</p>
		<p>GO - 1.2 CAISO Grid Operating Procedures and Emergency Procedures are provided to Market Participants and External Control Areas.</p>		8/20/07		<p>Four critical Operating Procedures were published to the CAISO web at: http://www.caiso.com/1c3a/1c3a8eb9d430.html. - Day Ahead Market - Ancillary Service Dispatching - Real Time Market - Exceptional Dispatch</p>	
		<p>GO - 1.3 The revised CAISO Grid Operating Procedures and Emergency Procedures are posted on the CAISO website.</p>		1/30/08			
INF-1	Infrastructure	CAISO will meet the MRTU system architecture requirements, including information monitoring processes and tools and availability and stability standards during market simulations.		Exit PPS			
		<p>INF - 1.1 Infrastructure monitoring tools produce logs of system performance and availability during market simulations.</p> <p>1. Weekly up-time reports reflect that system infrastructure is available for at least the time required during each market simulation.</p>		Exit PPS			
				Exit PPS		<p>- Monitoring agents deployed - Report development in process</p> <p>October Update: Daily Uptime/Availability Reports are created and distributed to MPs during Market Simulation</p>	

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		INF - 1.2 Production environment is available and stable for 7 consecutive days (24 hours a day), excluding approved outages (emergency only), during the market simulations.		Exit PPS		The Production environment is available to support Market Simulations. Any required changes will result from Market Simulation testing and/or hardware modifications.	
		INF - 1.3 Archive capability is planned, tested, and accomplished in the MRTU infrastructure.		Exit PPS			
		INF - 1.4 Backup/Recovery and Failover/Fallback of MRTU infrastructure is planned, tested, and accomplished.		Exit R3 Update 2			
		1. Backup/Recovery of MRTU infrastructure is planned, tested and accomplished.		Exit R3 Update 2			
		2. Failover/Fallback of MRTU infrastructure is planned, tested and accomplished.		Exit R3 Update 2		Developing Test Cases	
		INF- 1.5 The final production environment is delivered.		Entry PPS		The Production environment is available to support Market Simulations. Reconfiguration may occur at the termination of the final Market Simulation in preparation for PPS.	
INF- 1.6 Release management processes (framework/structure) are in place prior to PPS market simulation around any changes to the code or production environment.		Entry PPS	Process identification in progress.				
LMP-Testing-1	LMP Testing	CAISO will perform Location Marginal Pricing (LMP) testing. The purpose of LMP testing will be to ensure that the LMP and Ancillary Service Marginal Pricing (ASMP) calculations are accurate using data and results compiled from market simulation activities, analysts track testing, and, to the extent possible, LMP Study 4.		Entry PPS			
		LMP Testing - 1.1 LMP and ASMP Validation in Controlled Test Environment		11/1/07		LMP Testing 1.1.1 -1.1.3 combined comments	LMP Testing 1.1.1 -1.1.3 combined comments
		1. LMP for a generating resource, participating load, system resource, and non-participating demand are appropriately (i) equal to, (ii) above, or (iii) below the resources bid, depending on whether the resource schedule is constrained by specific conditions.		11/1/07		Previously, the Readiness Criteria for LMP testing reflected a completion date of 4/30/07, and the status turned Orange (delayed) when this date passed. The 4/30 date was based on the original (out-dated) completion date for Analysis Track Testing (ATT). The original ATT schedule did not anticipate that key functionality of the IFM software would be delayed several months (namely, output of correct distribution factors from SCUC, and other critical data for LMP analysis), and also had underestimated the development time required for LECG to produce a working version of their SAS validation software.	Analysis Testing resulted in approximately 43 variances from the validation of IFM and RTM applications relating to various dispatch and pricing conditions, of which 23 have been resolved by either (a) vendor upgrades to the market software, (b) cleaning up test data used in analysis, or (c) correcting the price validation method. Closure of these variances and overall completion of the ATT schedule requires a re-run on the final IFM software (R3 SAT).
		2. ASMP for a generating resource, participating load, and system resources are appropriately (i) equal to, (ii) above, or (iii) below the resources Ancillary Service (AS) bid, depending on whether the resource AS schedule is constrained by specific conditions.		11/1/07			October Update: Analysis Track Testing is delayed due to issues stemming from overall variance resolution and software patching. Analysis Track Testing is targeted for completion by mid December 2007.
				11/1/07			

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		LMP Testing - 1.2 LMP and ASMP Validation under Market Simulation Environment 1. LMP for a generating resource, participating load, system resource, and non-participating demand are appropriately (i) equal to, (ii) above, or (iii) below the resources bid, depending on whether the resource schedule is constrained by specific conditions. 2. ASMP for a generating resource, participating load, and system resources are appropriately (i) equal to, (ii) above, or (iii) below the resources AS bid, depending on whether the resource AS schedule is constrained by specific conditions.		Entry PPS		LMP Testing 1.2.1 -1.2.2 combined comments	
			●	Entry PPS		- Testing was accomplished with the start of IMS Release 2. - Daily Price Validation Processes for all markets has begun with IMS R3 and conclude prior to the start of PPS. - The goal of this effort is to accomplish comprehensive price validation for all markets within the price correction time horizon (8 days).	October Update: Issues coordinating data extraction from Integrated Market Simulation R3 are delaying the resolution of data problems in the Daily Price Validation process. A targeted resolution date is unknown at this time.
			●	Entry PPS			
LMP-PRD - 1	LMP Production	CAISO will develop and implement the Locational Marginal Pricing (LMP) validation tools, processes, and procedures necessary to support MRTU implementation.		9/1/07			
		LMP Production - 1.1 The LMP tool is operational and 100% of processes and procedures are completed.		9/1/07		The LMP Tool, processes and procedures are in development.	October Update: Development of the LMP Validation software is taking longer than expected. CAISO is working with the vendor (SIEMENS) to expedite all necessary software updates. Estimated target due date is now December 2007.
MKS - 1	Market Services	CAISO will prepare an assessment of the MRTU market systems' effectiveness when responding to instances where the demand bids exceed the supply bids and post on the CAISO website.		11/2/07		Assessment preparation is on going.	October Update: LMP Analysis Track Testing has taken precedence over resources' time resulting in this criterion's Assessment preparation taking longer than expected. Estimated target due date is now December 2007.
MKS - 2	Market Services	CAISO will develop post implementation evaluation criteria, including MRTU performance and operational issues, collaboratively with stakeholders for inclusion in CAISO's post-implementation performance reports.		11/2/07		Work has begun on identifying the type criteria that would be included on post implementation reports. Stakeholder meetings will be scheduled in the future.	
MS - 1	Market Systems	CAISO will create support, monitoring, and availability requirements for the MRTU market systems, including the establishment of Build Documents, Run Books and application monitoring tools.		Exit PPS			
		MS - 1.1 Build Documents and Run Books are created and signed off.		Entry PPS		Process for gathering Build Docs and Run Book requirements in progress.	
		MS - 1.2 Monitoring tools are integrated and functioning in each Market System and are used to produce performance and availability logs during the Pre-Production Simulation (PPS) market simulation phase.		Entry PPS		Application monitoring requirements gathering is in progress	
		1. The monitoring tool is integrated with the Settlement and Market Clearing (SaMC) system.	●	Entry PPS			
		2. The monitoring tool is integrated with the Client Management Repository (CMRI) system.	●	Entry PPS			
		3. The monitoring tool is integrated with the Scheduling Infrastructure Business Rules (SIBR) system.	●	Entry PPS			
		4. The monitoring tool is integrated with the Integrated Forward Market (IFM) system.	●	Entry PPS			

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
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		5. The monitoring tool is integrated with the Real-Time Market (RTM) system.	●	Entry PPS		Hardware and monitoring tools are being deployed.	
		6. The monitoring tool is integrated with the Portal system.	●	Entry PPS			
		7. The monitoring tool is integrated with the Market Quality System (MQS) system.	●	Entry PPS			
		MS - 1.3 Each Market System has met its minimum availability requirement during the PPS market simulation phase.	P	Exit PPS			
		1. The SaMC system meets minimum availability requirement.	●	Exit PPS			
		2. The CMRI system meets minimum availability requirement.	●	Exit PPS			
		3. The SIBR system meets minimum availability requirement.	●	Exit PPS			
		4. The IFM system meets minimum availability requirement.	●	Exit PPS			
		5. The RTM system meets minimum availability requirement.	●	Exit PPS			
		6. The Portal system meets minimum availability requirement.	●	Exit PPS			
7. The MQS system meets minimum availability requirement.	●	Exit PPS					
MM - Study 1	Market Monitor Study	CAISO will complete the Final Competitive Path Assessment (CPA) after thorough review and input from stakeholders; allowing the resulting path designations to be posted to the CAISO website.		12/1/07	P	The first set of preliminary results were published on the CAISO website under the heading "MRTU Competitive Path Assessment White Paper": A second set of preliminary CPA results was published on 10/1/07. Both reports and all other CPA information can be found at: http://www.caiso.com/docs/2005/07/01/200507011120583480.html .	
MM - Study 2	Market Monitor Study	The issue raised by LECG about a potential deficiency in the preferred Local Market Power Mitigation (Direct Mitigation) will be evaluated and will be determined not to be a significant concern.		12/31/06	B	There is no indication that the LECG concern was valid for the LMPM approach that we are taking, and therefore, is not a significant concern. Report on LMPM deficiency can be found at: http://www.caiso.com/docs/2004/10/01/2004100110503422982.html	
SIM - 1	Market Simulation	In advance of each of the market simulations, CAISO, with input from stakeholders, will establish entry and exit criteria. The entry and exit criteria will be posted on the CAISO website. The entry and exit criteria from each Market Simulation will be met.		Exit PPS	P		
		SIM - 1.1 The Rules Validation / Connectivity Simulation (RV/CS) phase entry and exit criteria are met.	B	Exit RV/CS		RV/CS Scorecard can be found at: http://www.caiso.com/18d2/18d2926739ba0.pdf	
		SIM - 1.2 The Enhanced Rules and Connectivity Inter - SC Trade (ERC-IST) simulation phase entry and exit criteria are met.	B	Exit ERC-IST		ERC/IST Scorecard can be found at: http://www.caiso.com/1bbe/1bbbed8903a0f0.pdf	
		SIM - 1.3 The Integrated Market Simulation (IMS) entry and exit Criteria are met.	B	Exit R2			

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R3 U2: 12/17/07 - 2/15/08; PPS: 3/3/08 - 3/31/08





MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
		SIM 1.3.1 Release 1 The Integrated Market Simulation (IMS) Release 1 (R1) entry and exit criteria are met.		Exit R1		R1 successfully exited on 5/18/07. R1 entry and exit criteria can be found in the "Market Simulation Criteria Tracker" at: http://www.caiso.com/186a/186acdf53cdf0.html The R1 Scorecards can be found at: http://www.caiso.com/1bb6/1bb674bb18c90.html	
		SIM 1.3.2 Release 2 The Integrated Market Simulation (IMS) Release 2 (R2) entry and exit criteria are met.		Exit R2		R2 concluded on 7/20/07. R2 entry and exit criteria can be found in the "Market Simulation Criteria Tracker" at: http://www.caiso.com/186a/186acdf53cdf0.html R2 Weekly Report Cards can be found at: http://www.caiso.com/1bb8/1bb8c03d28380.html	Release 2 was concluded with 2 outstanding High+ issues. Both issues will be resolved prior to the start of R3. September Update: Both High+ issues have been resolved in preparation for IMS R3.
		Sim 1.4 Release 3 IMS Release 3 Entry and Exit Criteria as identified in the Market Simulation Guide Book are complete with the exit of IMS Release 3 Update 2.		Exit R3 Update 2			
		SIM 1.4.1 Release 3 Integrated Market Simulation Release 3 begins.		Exit R3 Update 2		- IMS Release began on 9/24/07. - IMS R3 URL Document, Charge Code, and other information can be found at: http://www.caiso.com/1bd7/1bd7ebbc72fc0.html	
		SIM 1.4.2 Release 3 Update 1 Integrated Market Simulation Release 3 Update 1 begins.		Exit R3 Update 2			
		SIM 1.4.3 Release 3 Update 2 Integrated Market Simulation Release 3 Update 2 begins.		Exit R3 Update 2			
		Sim - 1.5 The Pre-Production Simulation (PPS) entry and exit criteria are met.		Exit PPS			
MOD-1	Model	CAISO will complete all updates to the Full Network Model. (FNM)		9/15/07			
		MOD - 1.1 FNM updates are completed (except for simultaneous promotion of Markets and EMS to production) utilizing integrated databases or approved workarounds.		6/30/07		October Update: The FNM has been updated in the FIT environment and is scheduled to be included in the next phase of Market Simulation. All future model updates are planned to be promoted into the MRTU Market Simulation.	Issues / Mitigating Actions:

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R3 U2: 12/17/07 - 2/15/08; PPS: 3/3/08 - 3/31/08








MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
		MOD - 1.2 FNM updates are completed (including simultaneous promotion of Markets and EMS to production) utilizing integrated databases or approved workarounds.		9/15/07		October Update: Planning for the simultaneous update of the FNM required for MOD-1.2 is in progress.	
ORG - 1	Organizational Readiness	CAISO's organizational readiness tasks will be completed and the Core Business Units affirm their successful completion. Readiness tasks may include the following elements, as applicable: 1. Organizational Impact Assessment 2. Job Analysis and Design 3. Organizational Analysis and Design 4. Communication Plan 5. Knowledge Transfer Plan 6. Revised Job Descriptions 7. Revised Contingency Plan 8. Tools, Processes, and Procedures		60 Days Prior to Market Launch		During the 8/31/07 Readiness Assessment, it was revealed that several of the Core Business Units are not on track.	Common problem areas that were identified include: - Transition and Support Plan creation - Testing Schedule and Application delays negatively impacting Business Unit ability to complete specified deliverables - On-going Process Development and identification In each of the issues highlighted above, the Readiness Team is in the process of working with the impacted Business Units to assist them in identifying mitigating actions allowing them to complete their deliverables on time.
ORG - 2	Organizational Readiness	CAISO's organizational readiness tasks will be completed and the Non-Core Business Units affirm their successful completion. Readiness tasks may include the following elements, as applicable: 1. Communication Plan 2. Training 3. Organizational Analysis and Design 4. Communication Plan 5. Knowledge Transfer Plan 6. Revised Job Descriptions 7. Revised Contingency Plan 8. Tools, Processes, and Procedures		60 Days Prior to Market Launch			During the 8/31/07 Readiness Assessment, it was revealed that several Non-Core Business Units are behind schedule in the development and finalization of their Processes due to application delays. The Internal Readiness Team is working with the applicable Business Units to: work around delayed applications, resolve all remaining issues, and to finalize their Processes. October Update: The Internal Readiness Team is working closely with the applicable Business Units, Program Management, and Testing Team to understand application testing schedules, facilitate issue resolution meetings, and to finalize their Business Process development work.
ORG - 3	Organizational Readiness	CAISO will establish the tools and environments required to support the market monitoring, enforcement, and compliance functions.		60 Days Prior to Market Launch			

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R3 U2: 12/17/07 - 2/15/08; PPS: 3/3/08 - 3/31/08

MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
		<p>ORG - 3.1 All data identified by the Department of Market Monitoring (DMM) Unit as critical for market monitoring will be stored in an organized relational database, thoroughly documented, and will be made available to the Department of Market Monitoring Unit.</p>		5/31/07		<p>October Update: Updated EDR Tier 1 database has been delivered to the business units. Actual assembly, testing, and preliminary availability is behind schedule.</p>	<p>-Enterprise Data Repository (EDR): progress on conceptual work (scoping, proof of concept) is satisfactory, however actual assembly, testing, and preliminary availability is behind schedule. Project requires additional MRTU application data. - Still require additional test data that reflect more days, more tables, richer market features. - Initial draft of Data Dictionary is available, but more work is required (functionality and current definitions). No revised target due date can be identified at this time.</p>
		<p>ORG - 3.2 A core set of monitoring tools (software, indices, and reports) will be completed and functional.</p>		60 Days Prior to Go-Live		<p>- Hardware and software has been installed, software configuration nearly complete. - Data identification (conceptual) on track. Gaps identified and being addressed.</p> <p>October Update: Completion of the EDR design is targeted for end of October.</p>	<p>- Still require richer set of test data (see 3.1 above) to fully develop metrics. - Metric development and production has begun, but is behind schedule due to incomplete data, software systems issues, or lack of data documentation. No revised target due date can be identified at this time.</p>
		<p>ORG - 3.3 A Market simulation tool (the MRTU Sandbox / DMM Tool) that is based on the actual CAISO market software will be developed and tested by the CAISO MRTU Team and made available to the Department of Market Monitoring (DMM) Unit three months prior to Go Live.</p>		90 Days Prior to Go-Live		<p>The MRTU Sandbox (DMM Tool) is on site and currently being used by the MRTU Testing environment. However, the DMM group has access to a shared environment in the interim.</p>	
PRT - 1	Participant Readiness	CAISO will monitor the "readiness" of the market participants through a series of MRTU Readiness Assessments to assist in ensuring that at least 80% of the active CAISO market participants including those that meet significant CAISO demand requirements are "Ready" prior to market launch. The assessment criteria will include people, process, and technology areas of readiness.		90 Days Prior to Market Launch			
		<p>PRT - 1.1 80% of the market participants including those that meet significant CAISO demand requirements complete the Initial Baseline Assessment.</p>		1/31/07		81% of Market Participants including those that meet significant CAISO demand completed their assessments.	
		<p>PRT - 1.2 80% of the market participants including those that meet significant CAISO demand requirements complete the First Follow-Up Assessment.</p>		7/31/07		100% of Market Participants completed their assessments.	
		<p>PRT - 1.3 80% of the market participants including those that meet significant CAISO demand requirements achieve a "READY" score on Final Assessment.</p>		1/15/08			

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PRT - 2	Participant Readiness	CAISO will monitor and record overall issues during each Release (and update) of Integrated Market Simulation (IMS), resolve any issues that hinder meeting the pre-defined release objectives and all for Market Participant testing time.		Exit R3 Update 2	P		
		<p>PRT - 2.1 Release 2 - Resolution of all high priority issues that hinder the pre-defined release objectives and allow for Market Participant testing time.</p>	B	Exit R2		<p>- Settlement files to-date have not met Market Participant expectations and requirements for testing. - All R2 in-scope activities are not yet available. - R2 Simulation concluded without simulation success from a product testing and business process point of view. - There were two High+ issues that prevented participants from meeting the objectives for Release 2. There were also two High+ issues with Market Test status. IMS R2 was concluded. The Market Simulation team and the PMO are currently discussing steps to resolve the open issues.</p>	<p>August Update: 2 High + Issues (2472, 2475) interfered with Market Participants being able to successfully participate in and achieve all the goals of IMS R2. Both issues (2472, 2475) are expected to be resolved prior to the start of Release 3 towards the end of September 2007. September Update: Both SaMC-related issues (2472, 2475) have been resolved by the SaMC Team in preparation for the start of IMS R3 on 9/24/07.</p>
		<p>PRT - 2.2 Release 3 (includes Updates 1 & 2) - Resolution of all high priority issues that hinder the pre-defined release 3 objectives and allow for Market Participant testing time.</p>	P	Exit R3 Update 2			
REG - 1	Regulatory	CAISO's MRTU regulatory requirements will be completed, including tariff updates and filings.		60 - 90 days prior to go-live	P		
		<p>REG - 1.1 CAISO completes tariff updates and other necessary filings such as additional non- substantive compliance or 205 filings (e.g. clean ups, deferred maintenance, merger of S&R tariff amendments into MRTU (e.g. Credit policy)) and files them with FERC.</p>	P	60 - 90 days prior to go-live		Developing content based on internal timeline.	
		<p>REG - 1.2 BPM updates are consistent with MRTU tariff and applicable FERC orders.</p>	P	60 - 90 days prior to go-live		Content of applicable BPMs is being modified to be consistent with FERC Orders as needed.	

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		<p>REG - 1.3 All substantive compliance filings and substantive 205 filings are filed with FERC.</p>	P	180 Days Prior to Market Launch		<p>On 8/3/07, all compliance items that required filing no later than 180 days prior to Go Live from the 9/21, 4/20, and 6/25 FERC Orders, were submitted to FERC.</p> <p>October Update: -The initial scope of this criterion was satisfied on 8/3/07. However, additional filings were added to the CAISO's Substantive 205 FERC Filings in response to Participant requests. As a result, this Criterion is being changed back to 'Purple'. At this point in time, a target date is unknown for when these filings will be complete. -The following is a list of additional 205 FERC filings: Location Constrained Resource Interconnection ; Bidding Requirements for High Scheduling Priority of Exports ; Code of Conduct ; ECA/ACA; Interim Capacity Procurement Mechanism</p>	
SE - 1	State Estimator	<p>The purpose of the State Estimator (SE) criteria is to provide a measurement to evaluate the stability of the SE system and solution for MRTU. This category will monitor the State Estimator performance, voltage accuracy, and difference from telemetered flows on tie lines and branches that are within a predefined criteria:</p> <ol style="list-style-type: none"> 1. SE solution must be achieved for 97% of five minute periods within a 30 day period. 2. SE voltage must be within 2% of metered voltage on 50 critical buses. 3. SE MW flow must be within 50MW or 5% of telemetered flow on 10 tie lines to outside CAISO. 4. SE flows on transmission lines and transformers must be within 10% of telemetered flows on all other branches within the CAISO footprint. 		6/1/07	B		
		<p>SE - 1.1 Real-Time Performance Criteria – For thirty (30) consecutive days a Valid State Estimator solution is achieved for ninety-seven percent (97%) of the five (5) minute periods within that thirty (30) day period. There are no more than three (3) consecutive five (5) minute periods without a valid solution (except when there is a planned system software migration as required by the Energy Markets project or when ICCP data is unavailable due to remote CA ICCP node errors). Valid solution are defined as one converged solution in a 5 minutes period using converge tolerance of 10 MW/ MVAR and maximum 'Zero-Injection' bus mismatch of 25 MW/MVAR inside the State Estimator solution within the California ISO Market footprint.</p>	B	6/1/07		Criteria is complete	
		<p>SE - 1.2 On fifty (50) buses where voltage is deemed critical, the solved State Estimator voltage is within two percent (2.0%) +/- accuracy of the metered voltage, provided that the metered voltage is measured to within the notified accuracy. The fifty (50) critical buses are defined by the California ISO with Transmission Owner input and include at least one bus in each control area that is inside the observable California ISO market footprint. All buses (elements) are inside the observable California ISO Market model.</p>	B	6/1/07		Criteria is complete	

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		<p>SE - 1.3 On ten (10) tie lines to outside of the California ISO System, the absolute difference between the telemetered flow and the State Estimator MW flow is within fifty (50) MW or five percent (5%) for lines 100kv and above, of the base rating. The ten (10) tie lines are defined by California ISO, with Stakeholder input. All tie lines (elements) are inside the observable California ISO Market model.</p>	B	6/1/07		Criteria is complete	
		<p>SE - 1.4 On all other branches (>100kV) within the California ISO footprint, the absolute difference between the telemetered flows and the State Estimator flows on transmission lines and transformers are within ten percent (10%) of the base rating. All other branches (elements) are inside the observable California ISO Market model.</p>	B	6/1/07		Criteria is complete	
STL- 1	Settlements	CAISO will complete a Settlement and Market Clearing (SaMC) audit. The purpose of the audit will be to ensure that the SaMC software performs as defined in the CAISO MRTU Tariff.		1 Day Prior to Market Launch	P		
		<p>STL - 1.1 CAISO completes the following activities to ensure consistency:</p>	P	Entry PPS			
		1. Validation that the BPM for Settlements & Billing is consistent with the requirements that are identified in the CAISO MRTU Tariff.	●	Entry PPS		Updated BPMs were published on 8/24 that reflect changes requested in the 9/21/06 FERC Order. October Update: Updated Settlements BPMs were published on 10/5/07 and reflect changes requested through the 7/6/07 FERC Order.	
		2. Validation of the consistency between the Settlement BPM and the SaMC design documents.	●	Entry PPS		This process is on going for next SaMC release scheduled for completion by November.	
		<p>STL - 1.2 An audit by an independent firm that validates the consistency of the SaMC software with the CAISO tariff is completed per the tariff timeline.</p>	P	1 Day Prior to Market Launch		October Update: The audit began in October and is scheduled to be completed by January 2008.	
STL- 2	Settlements	CAISO will test and implement its final settlement charge code configuration. The final configuration must include required changes from market simulation activities, the Grid Management Charge (GMC), and any changes arising from the 9/21/06, 4/20/07, 5/8/08, 6/25/07, and 7/6/07 FERC Orders.		Entry PPS	P	Team is revising test cases from the previous release; and requirements have been updated from the SaMC August release. The GMC aspect of this Criterion should be complete by early October, although there is a possibility of policy-related items causing a minor delay in completion of the other Charge Types. October Update: Charge codes have been completed and tested. They will be rolled out to Integrated Market Simulation in mid November.	

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MRTU Readiness Criteria Dashboard

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STL- 3	Settlements	CAISO will publish accurate and complete settlement statements and invoices during R3 Update 2 of the Integrated Market Simulation phase. The published statements and invoices will be consistent with market participants activities during R3 update 2 of the Integrated Market Simulation phase.		Exit R3 Update 2	P		<p>- During IMS Release 2, Participants experienced issues with the Integration Process and Charge Code Configuration.</p> <p>September Update: 13 Charge Codes are currently in scope for IMS R3 beginning 9/24/07. Each of these charge codes has gone through 3 separate tests to ensure their functionality during R3.</p> <p>October Update: During IMS R3, Participants were able to validate 12 of the 13 charge codes that were currently in scope. Settlement Guides were provided for these Charge Codes on the following site: http://www.caiso.com/1c5e/1c5efee1e830.html. The ISO continues to validate and add Charge Codes to the in-scope list. As of 11/9/07, 21 Charge Codes have been validated. The CAISO is working with participants during Settlement Training Workshops prior to each Market Simulation update to review the Settlement guides.</p>
TECH - 1	Technology	The Technical Operational Readiness Testing (ORT) exit criteria will be satisfied and approved by the CAISO Business Owners and the Director of MRTU IT. ORT exit criteria will include: 1. Successful completion of high availability testing. 2. Fault tolerance and failover testing. 3. Load and Performance Testing.		Entry PPS	P	Operational Readiness Test planning is in progress.	
TST - 1	Testing	Performance Testing criteria for the IMS Releases 1-2 and Release 3 (including Updates 1 and 2) of Market Simulation will be met as defined in the Performance Test approach document.		Entry R3 Update 2	P		
		TST - 1.1 Performance Testing entry and exit criteria are met for Release 1 of the Integrated Market Simulation.	B	Entry R1		R1 Performance testing is completed and has passed QRB review.	
		TST - 1.2 Performance Testing entry and exit criteria are met for Release 2 of the Integrated Market Simulation.	B	Entry R2		R2 Performance testing is completed and has passed QRB review.	
		TST - 1.3 Performance Testing entry and exit criteria are met for Release 3 of the Integrated Market Simulation.	B	Entry R3		R3 Performance testing is completed and has passed QRB review.	

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		TST - 1.4 Performance Testing entry and exit criteria are met for Update 1 of Market Simulation.	B	Entry R3 Update 1		October Update: Formal Load and Performance Testing for Update 1 has been deferred to Update 2. As a result, this Criterion is marked as "Complete"	
		TST - 1.5 Performance Testing entry and exit criteria are met for Update 2 of Market Simulation.	C	Entry R3 Update 2			
TST - 2	Testing	Integration Testing criteria for the IMS Releases 1-2 and Release 3 (including Updates 1 and 2) of Market Simulation will be met as defined in the Performance Test approach document.		Entry R3 Update 2	O		
		TST - 2.1 Integration Testing entry and exit criteria are met for Release 1 of the Integrated Market Simulation.	B	Entry R1		R1 Integration testing is completed and has passed QRB review.	
		TST - 2.2 Integration Testing entry and exit criteria are met for Release 2 of the Integrated Market Simulation.	B	Entry R2		R2 Integration testing is completed and has passed QRB review.	
		TST - 1.3 Integration Testing entry and exit criteria are met for Release 3 of the Integrated Market Simulation.	B	Entry R3		R3 Integration testing is completed and has passed QRB review.	
		TST - 1.4 Integration Testing entry and exit criteria are met for Update 1 of Market Simulation.	O	Entry R3 Update 1			October Update: EMS intergration is in progress however, necessary Applications are not available to start testing.
		TST - 1.5 Integration Testing entry and exit criteria are met for Update 2 of Market Simulation.	C	Entry R3 Update 2			
BUS- BA - 1	Business Approval Business Area	All MRTU systems will meet the business requirements and pass the Business Unit review. Acceptable manual workarounds will be identified for systems that do not satisfy the required business functions. <ol style="list-style-type: none"> 1. The Settlement and Market Clearing (SaMC) system will pass Business Unit review. 2. The Client Management Repository (CMRI) system will pass Business Unit review. 3. The Scheduling Infrastructure Business Rules (SIBR) system will pass Business Unit review. 4. The Integrated Forward Market (IFM) system will pass Business Unit review. 5. The Real-Time Market (RTM) system will pass Business Unit review. 6. The Operational Meter Analysis and Reporting (OMAR) system will pass Business Unit review. 7. The Master File will pass Business Unit review. 8. The Portal passes Business Unit review. 9. The Open Access Sametime Information System (OASIS) system will pass Business Unit review. 10. The Participant Intermittent Resource Program (PIRP) system will pass Business Unit review. 11. The Automated Dispatch System (ADS) system will pass Business Unit review. 12. The Reference Level Calculator (RLC) system will pass Business Unit review. 13. The Existing Transmission Contract Coordination (ETCC) system will pass Business Unit review. 14. The Compliance (CAP) system will pass Business Unit review. 		60 days prior to go-live	C		

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BUS- BA - 2	Business Approval Business Area	CAISO will submit to FERC its readiness certification based upon the following information: 1. Review of all readiness criteria 2. All Market Participant input through the assessment process 3. Resolution of critical high issues 4. Completion of cutover and reversion plans 5. Completion of contingency plans 6. Completion of cutover walkthrough 7. 60 Day Plan		60 days prior to go-live	C		

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