



# MRTU Readiness Criteria Dashboard

December 31, 2007

This Dashboard is designed to display the status of each MRTU Readiness Criteria. Readiness Criteria status is indicated by the following color codes:

- Clear: A Readiness Criterion is clear (C) if:
  - The Readiness Criterion has not begun.
- Purple: A Readiness Criterion is purple (P) if:
  - The completion or status updates are on schedule based on the specified target due date or milestone, OR
  - A mitigating action has been implemented successfully and the Readiness Criterion is back on schedule to be completed on the specified target due date.
- Orange: A Readiness Criterion is orange (O) if:
  - One or more Readiness Components in that Readiness Criterion are not complete on the specified target due date or milestone, OR
  - A Readiness Criteria has reported risks or issues that have a potential for not allowing it to be completed on the specified target due dates or milestones.
- Blue: A Readiness Criterion is blue (B) if:
  - All Readiness Components in that category are complete.

**Disclaimer:**

These readiness criteria will help the CAISO to determine the status of design elements and processes that must be in place to ensure implementation of MRTU Release 1 without undue risk to the CAISO or its Market Participants. The CAISO reserves the right to revise these criteria. The CAISO's certification of readiness to be filed with FERC 60-days prior to the proposed effective date of MRTU will be based on all information available to the CAISO including, but not limited to, status of readiness criteria, including mitigating actions, advice of Market Participants and the informed business judgment of CAISO senior management.





**Integrated Market Simulation**

**R1: 4/30/07 - 5/18/07; R2: 5/29/07 - 7/20/07;**

**R3: 9/24/07 - 11/09/07; U1: 11/13/07 -12/21/07;**

**U2: TBD; 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
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><b>BPM - 1.1</b> 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"> <li>- BPM for Compliance Monitoring</li> <li>- BPM for Congestion Revenue Rights</li> <li>- BPM for Definitions &amp; Acronyms</li> <li>- BPM for Market Instruments</li> <li>- BPM for Market Operations</li> <li>- BPM for Metering</li> <li>- BPM for Outage Management</li> <li>- BPM for Reliability Requirements</li> <li>- BPM for Rules of Conduct Administration</li> <li>- BPM for Scheduling Coordinator Certification and Termination</li> <li>- BPM for Settlements and Billing</li> <li>- BPM for Managing Full Network Model</li> </ul>		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 &amp; 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: <a href="http://www.caiso.com/186a/186ae8622e6f0.html">http://www.caiso.com/186a/186ae8622e6f0.html</a></p>	

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		3. CAISO facilitates BPM review meetings for each BPM as appropriate to collect comments and discuss critical issues.	●	8/29/06 - 10/5/06		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: <a href="http://www.caiso.com/1872/1872e51451200.html">http://www.caiso.com/1872/1872e51451200.html</a>	
		4. Revised Draft Version BPMs are posted to the CAISO website.	●	1/19/07		<b>The following BPMs were posted on 1/19/07:</b> 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.	
		<b>BPM - 1.2</b> <b>Subsequent BPM updates due to FERC requirements &amp; Market Simulation are further developed.</b>	B	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: <a href="http://www.caiso.com/17ba/17baa8bc1ce20.html">http://www.caiso.com/17ba/17baa8bc1ce20.html</a>  <b>November Update:</b> BPMs have all been updated based on comments provided by stakeholders. 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.		

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		8. The CAISO complies with all FERC Technical Conference directives. - Post all revised BPMs as a result of the FERC Technical Conference - File proposed Tariff Language.	●	11/15/07		<b>November Update:</b> The CAISO has posted all revised BPMs onto the CAISO website as of Nov 15th and has filed proposed Tariff Language. The following is a list of the BPMs that were revised and posted: Change Management, Compliance Monitoring, Congestion Revenue Rights, Credit Management, Definitions and Acronyms, Managing Full Network Model, Market Instruments, Market Operations, Metering, Outage Management, Reliability Requirements, Scheduling Coordinator Certification & Termination, Settlements and Billing.	
		<b>BPM - 1.3</b> <b>CAISO BPMs are sufficiently complete for the MRTU Implementation.</b>  *** 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.	● B	3/31/08		Further details on each BPM can be found under "BPM Completion Status Report" at: <a href="http://www.caiso.com/17ba/17baa8bc1ce20.html">http://www.caiso.com/17ba/17baa8bc1ce20.html</a>	
		BPM for Candidate CRR Holder Registration	●			Complete	
		BPM for Congestion Revenue Rights	●			Complete, revised version posted Nov 15th	
		BPM for Compliance Monitoring	●			Complete, revised version posted Nov 15th	
		BPM for Change Management	●			Complete; See Readiness Criterion BPM 1.4 for status	
		BPM for Credit Management	●			Complete, revised version posted on September 12th	
		BPM for Definitions and Acronyms	●			Complete, revised BPM posted on September 21	
		BPM for Managing the Full Network Model	●			Complete, revised version posted on Nov 15th	
		BPM for Market Instruments	●			Complete, revised version posted on Nov 15th	
		BPM for Market Operations	●			Complete, revised version posted Nov 15th	
		BPM for Metering	●			Complete, revised version posted Nov 15th	
		BPM for Outage Management	●			Complete, revised version posted on Nov 15th	
		BPM for Reliability Requirements	●			Complete, revised version posted Nov 15th	
		BPM for Rules of Conduct Administration	●			Complete	
		BPM for Scheduling Coordinator Certification and Termination	●		Complete, revised version posted Aug 20th		

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		BPM for Settlements and Billing	●			Complete, Attachment E posted on Nov 12th. * Going forward, updates and changes to this BPM will be tracked on Criterion STL 1.1.1.	
		<b>BPM - 1.4</b> 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.	B	8/3/07		- Revised BPM for Change Management Process was posted on June 26. - Information on the Change Management Process can be found at: <a href="http://caiso.com/17ba/17baa8bc1ce20.html">http://caiso.com/17ba/17baa8bc1ce20.html</a> - FERC Filing over Change Management Process occurred on August 3rd. - Process will go into effect at Go Live.  <b>November Update:</b> All updates to the BPM Change Management Process as a result of the FERC Technical Conference on Sept 27th have been posted onto the CAISO website as of Nov 15th.	
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		
		<b>CRR - 1.1</b> 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			
		<b>CRR - 1.2</b> CRR Participants provide CAISO with valid, annual CRR nominations for the CRR Dry Run.	B	8/30/06			
		<b>CRR - 1.3</b> 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		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.	
		<b>CRR - 1.4</b> CAISO completes the annual and monthly CRR auctions for the CRR Dry Run.	B	2/15/07			
		1. New CRR Participants meet eligibility requirements.	●	9/30/06			
		2. CRR Participants submit CRR bids to CASIO.	●	10/15/06			

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

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		3. CAISO runs CRR auction markets and publishes results.	●	2/15/07	P	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.	
		<b>CRR - 1.5</b> 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: <a href="http://www.caiso.com/1bb4/1bb4f3562b4c0.pdf">http://www.caiso.com/1bb4/1bb4f3562b4c0.pdf</a>	
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	<ul style="list-style-type: none"> <li>- All CRR Broadcast Services were successfully triggered to an SOA (Service Oriented Architecture) Bus.</li> <li>- CRR Release 1 successfully passed Quality Review Board FAT and SAT Test review.</li> </ul> <p><b>October Update:</b> Testing and Validation of all CRR Broadcast Services for Settlements is planned to occur with SaMC during IMS R3 Update 2</p>	
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		
		<b>CRR - 3.1</b> CRR participants meet the eligibility requirements to participate in the CRR production market.	P	10/1/07	P		
		1. CRR Participants receive security digital certificates if not already received from CRR Dry Run.	●	6/29/07		All certificates requested by the Participants have been received for allocation.	
		2. CRR System is populated with collateral data from the financial group.	●	12/1/07		<b>December Update:</b> The CRR System was populated with collateral data from the financial group on 12/6/07.	
		<b>CRR - 3.2</b> 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.	P	3/5/08			
		1. Completion of Annual and Long Term Allocation Process	●	12/3/07		<ul style="list-style-type: none"> <li>- Tier 1 market: 9/4 - 9/14 - complete</li> <li>- Tier 2 market: 10/5 - 10/9 - complete</li> <li>- Tier LT market: 10/29 - 10/31 - complete</li> <li>- Tier 3 market: 11/21 - 11/27 - complete</li> </ul>	
		2. Completion of Annual Auction Process	●	12/18/07		- Annual Auction: 12/11 - 12/13 <b>December Update:</b> The Annual Auction Process completed on 12/20/07.	
		3. Completion of Monthly Allocation Process	○	3/4/08		<ul style="list-style-type: none"> <li>- Tier 1 Monthly Allocation: 2/1 - 2/5</li> <li>- Tier 2 Monthly Allocation: 2/25 - 2/27</li> </ul>	
		4. Completion of Monthly Auction Process	○	3/21/08		- Monthly Auction: 3/12 - 3/14	

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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: <a href="http://www.caiso.com/1845/1845dca750770.html">http://www.caiso.com/1845/1845dca750770.html</a> 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, final results will not be available until the close of PPS.	
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.	
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.		1/15/08			

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		<p><b>GO - 1.1</b> 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>	O	1/15/08		<p>Of 352 Operating Procedures:                      - 77 of all Operations Procedures have been identified as needing revisions for MRTU.                      - 41 minor Operating Procedures will be completed by 1/15/08.                      - 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.  <a href="http://www.caiso.com/1c3a/1c3a8eb9d430.html">http://www.caiso.com/1c3a/1c3a8eb9d430.html</a></p> <p><b>December Update:</b>                      To date, the number of completed Operating Procedures are as follows:                      - 4 out of 4 Major Operating Procedures have been issued. However, these procedures are still being re-evaluated internally. The targeted completion date of this process is January 15, 2008.                      - 32 out of 32 Significant Operating Procedures completed.                      - 39 out of 41 Minor Operating Procedures completed.</p>	<p><b>December Update:</b>                      *The process of reviewing the 4 major Operating Procedures is in progress however, additional input is needed from various sources (Legal, Market Operations) before revisions can be completed. A targeted date of 1/15/08 is in place to have all Operating Procedures complete.</p>
		<p><b>GO - 1.2</b> CAISO Grid Operating Procedures and Emergency Procedures are provided to Market Participants and External Control Areas.</p>	O	8/20/07		<p>Four critical Operating Procedures were published to the CAISO web at:  <a href="http://www.caiso.com/1c3a/1c3a8eb9d430.html">http://www.caiso.com/1c3a/1c3a8eb9d430.html</a>.                      - Day Ahead Market                      - Ancillary Service Dispatching                      - Real Time Market                      - Exceptional Dispatch</p> <p><b>November Update:</b>                      The CAISO is re-evaluating all 4 Major Operating Procedures.</p>	
		<p><b>GO - 1.3</b> The revised CAISO Grid Operating Procedures and Emergency Procedures are posted on the CAISO website.</p>	C	1 Day Prior to Go-Live			
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		
		<p><b>INF - 1.1</b> Infrastructure monitoring tools produce logs of system performance and availability during market simulations.</p>	P	Exit PPS			

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		1. Weekly up-time reports reflect that system infrastructure is available for at least the time required during each market simulation.	●	Exit PPS		- Monitoring agents deployed - Report development in process  <b>December Update:</b> Daily Uptime/Availability Reports are generated for each Market Simulation.	
		<b>INF - 1.2</b> Production environment is available and stable for 7 consecutive days (24 hours a day), excluding approved outages (emergency only), during the market simulations.	P	Exit PPS		The Production environment is available to support Market Simulations. Any required changes will result from Market Simulation testing and/or hardware modifications.	
		<b>INF - 1.3</b> Archive capability is planned, tested, and accomplished in the MRTU infrastructure.	P	Exit PPS			
		<b>INF - 1.4</b> Backup/Recovery and Failover/Fallback of MRTU infrastructure is planned, tested, and accomplished.	P	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		<b>December Update:</b> - Creating Testing Environment - Developing Test Cases	
		<b>INF - 1.5</b> The final production environment is configured for Go-Live.	P	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.	
		<b>INF - 1.6</b> Release management processes (framework/structure) are in place prior to PPS market simulation around any changes to the code or production environment.	P	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	O		
		<b>LMP Testing - 1.1</b> LMP and ASMP Validation in Controlled Test Environment	O	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 (outdated) completion date for Analysis Track Testing (ATT). The original ATT schedule did not anticipate that key functionality of the IFM software would be delayed	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
		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			

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			●	11/1/07		the IIFM 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.	and overall completion of the IIFM schedule requires a re-run on the final IIFM software (R3 SAT). <b>December Update:</b> Analysis Track Testing is delayed due to issues stemming from overall variance resolution and software patching. The CAISO will release a report of this effort by mid January and will hold a stakeholders meeting to include Participant feedback.
		<b>LMP Testing - 1.2 LMP and ASMP Validation under Market Simulation Environment</b>	○	Entry PPS		LMP Testing 1.2.1 -1.2.2 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.	●	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).	
		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		<b>December Update:</b> This effort will begin with IMS Update 2. The status of this criterion is contingent upon successful Analysis Track Testing in the Controlled Test Environment and the results of price validation in the Market Simulation environment.	
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	○		
		<b>LMP Production - 1.1 The LMP tool is operational and 100% of processes and procedures are completed.</b>	○	9/1/07		<b>December Update:</b> The CAISO has conducted a series of Dry Runs in December and will promote the tool and process into IMS Update 2. This criterion will be marked as "On Track" pending operational success of this tool in IMS Update 2.	

Integrated Market Simulation  
R1: 4/30/07 - 5/18/07; R2: 5/29/07 - 7/20/07;  
R3: 9/24/07 - 11/09/07; U1: 11/13/07 -12/21/07;  
U2: TBD; 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
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		<p><b>December Update:</b> This Readiness Criterion is reflected in Scenario 10 of the IMS Scenario Executions. The CAISO has scheduled continuous runs of this scenario in Update 2 Market Simulation and will post the results on the CAISO website once a successful run has been achieved.</p> <p>The IMS Scenario Execution Review report detailing previous scenario executions can be found on the CAISO website at: <a href="http://www.caiso.com/1c2d/1c2d9ced4aa60.html">http://www.caiso.com/1c2d/1c2d9ced4aa60.html</a></p>	
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		<p>Work has begun on identifying the type criteria that would be included on post implementation reports.</p> <p><b>December Update:</b> The development of post implementation evaluation criteria is in progress. The CASIO has received stakeholder feedback at the implementation workshop in December and is in the process of formalizing these comments for inclusion into the post implementation evaluation criteria. A targeted completion date of 1/31/08 is in place for completion.</p>	
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 creating 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 in progress	
		1. The monitoring tool is integrated with the Settlement and Market Clearing (SaMC) system.		Entry PPS		Application monitoring in progress	
		2. The monitoring tool is integrated with the Client Management Repository (CMRI) system.		Entry PPS		Application monitoring in progress	
		3. The monitoring tool is integrated with the Scheduling Infrastructure Business Rules (SIBR) system.		Entry PPS		Application monitoring in progress	
		4. The monitoring tool is integrated with the Integrated Forward Market (IFM) system.		Entry PPS		Application monitoring in progress	
		5. The monitoring tool is integrated with the Real-Time Market (RTM) system.		Entry PPS		Application monitoring in progress	
		6. The monitoring tool is integrated with the Portal system.		Entry PPS		Application monitoring in progress	
		7. The monitoring tool is integrated with the Market Quality System (MQS) system.		Entry PPS	Application monitoring in progress		

**Integrated Market Simulation**

R1: 4/30/07 - 5/18/07; R2: 5/29/07 - 7/20/07;  
R3: 9/24/07 - 11/09/07; U1: 11/13/07 -12/21/07;  
U2: TBD; PPS: 3/3/08 - 3/31/08









MRTU Readiness Criteria Dashboard

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		<b>MS - 1.3</b> <b>Each Market System has met its minimum availability requirement during the PPS market simulation phase.</b>		Exit PPS		Hardware and monitoring tools deployed to measure availability during PPS.	
		1. The SaMC system meets minimum availability requirement.		Exit PPS		Hardware and monitoring tools deployed to measure availability during PPS.	
		2. The CMRI system meets minimum availability requirement.		Exit PPS		Hardware and monitoring tools deployed to measure availability during PPS.	
		3. The SIBR system meets minimum availability requirement.		Exit PPS		Hardware and monitoring tools deployed to measure availability during PPS.	
		4. The IFM system meets minimum availability requirement.		Exit PPS		Hardware and monitoring tools deployed to measure availability during PPS.	
		5. The RTM system meets minimum availability requirement.		Exit PPS		Hardware and monitoring tools deployed to measure availability during PPS.	
		6. The Portal system meets minimum availability requirement.		Exit PPS		Hardware and monitoring tools deployed to measure availability during PPS.	
		7. The MQS system meets minimum availability requirement.		Exit PPS		Hardware and monitoring tools deployed to measure availability during 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.		30 days prior to Market Launch		<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: <a href="http://www.caiso.com/docs/2005/07/01/200507011120583480.html">http://www.caiso.com/docs/2005/07/01/200507011120583480.html</a>.</p> <p><b>December Update:</b> Third set of preliminary CPA results were published on 12/19/07 under the heading: CPA for MRTU Release 3 of Preliminary Results. This report can be found at: <a href="http://www.caiso.com/docs/2005/07/01/200507011120583480.html">http://www.caiso.com/docs/2005/07/01/200507011120583480.html</a>.</p> <p>The Final CPA report will be published 1 month prior to Go-Live. *Please note that the target completion date of this criterion has changed from 12/1/07 to 30 days prior to Market Launch.</p>	

**Integrated Market Simulation**

R1: 4/30/07 - 5/18/07; R2: 5/29/07 - 7/20/07;  
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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
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		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: <a href="http://www.caiso.com/docs/2004/10/01/2004100110503422982.html">http://www.caiso.com/docs/2004/10/01/2004100110503422982.html</a>	
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			
		SIM - 1.1 The Rules Validation / Connectivity Simulation (RV/CS) phase entry and exit criteria are met.		Exit RV/CS		RV/CS Scorecard can be found at: <a href="http://www.caiso.com/18d2/18d2926739ba0.pdf">http://www.caiso.com/18d2/18d2926739ba0.pdf</a>	
		SIM - 1.2 The Enhanced Rules and Connectivity Inter - SC Trade (ERC-IST) simulation phase entry and exit criteria are met.		Exit ERC-IST		ERC/IST Scorecard can be found at: <a href="http://www.caiso.com/1bbe/1bbcd8903a0f0.pdf">http://www.caiso.com/1bbe/1bbcd8903a0f0.pdf</a>	
		SIM - 1.3 The Integrated Market Simulation (IMS) entry and exit Criteria are met.		Exit R2			
		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: <a href="http://www.caiso.com/186a/186acdf53cdf0.html">http://www.caiso.com/186a/186acdf53cdf0.html</a> The R1 Scorecards can be found at: <a href="http://www.caiso.com/1bb6/1bb674bb18c90.html">http://www.caiso.com/1bb6/1bb674bb18c90.html</a>	
		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: <a href="http://www.caiso.com/186a/186acdf53cdf0.html">http://www.caiso.com/186a/186acdf53cdf0.html</a> R2 Weekly Report Cards can be found at: <a href="http://www.caiso.com/1bb8/1bb8c03d28380.html">http://www.caiso.com/1bb8/1bb8c03d28380.html</a>	Release 2 was concluded with 2 outstanding High+ issues. Both issues will be resolved prior to the start of R3. <b>September Update:</b> 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			

**Integrated Market Simulation**

R1: 4/30/07 - 5/18/07; R2: 5/29/07 - 7/20/07;  
R3: 9/24/07 - 11/09/07; U1: 11/13/07 -12/21/07;  
U2: TBD; 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 1.4.1 Release 3 Integrated Market Simulation Release 3 begins.	B	Exit R3 Update 2	P	- IMS Release began on 9/24/07. - IMS R3 URL Document, Charge Code, and other information can be found at: <a href="http://www.caiso.com/1bd7/1bd7ebbc72fc0.html">http://www.caiso.com/1bd7/1bd7ebbc72fc0.html</a> <b>November Update:</b> IMS Release 3 concluded on 11/9/07.	
		SIM 1.4.2 Release 3 Update 1 Integrated Market Simulation Release 3 Update 1 begins.	B	Exit R3 Update 2		-IMS Update 1 began on 11/13/07. -IMS Update 1 URL Document, Charge Code, and other information can be found at: <a href="http://caiso.com/1c2d/1c2d9ced4aa60.html">http://caiso.com/1c2d/1c2d9ced4aa60.html</a> <b>December Update:</b> IMS Update 1 concluded on 12/21/07	
		SIM 1.4.3 Release 3 Update 2 Integrated Market Simulation Release 3 Update 2 begins.	C	Exit R3 Update 2			
		Sim – 1.5 The Pre-Production Simulation (PPS) entry and exit criteria are met.	C	Exit PPS			
MOD-1	Model	CAISO will complete all updates to the Full Network Model. (FNM)		9/15/07	P		
		MOD - 1.1 FNM updates are completed (except for simultaneous promotion of Markets and EMS to production) utilizing integrated databases or approved workarounds.	B	6/30/07	P	<b>October Update:</b> 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.	<b>Issues / Mitigating Actions:</b>
		MOD - 1.2 FNM updates are completed (including simultaneous promotion of Markets and EMS to production) utilizing integrated databases or approved workarounds.	P	9/15/07		<b>November Update:</b> • Planning for the simultaneous update of the FNM required for MOD – 1.2, is in progress.	

Integrated Market Simulation

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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
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 11/30/07 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 details are at various stages of completion for BUs - Testing Schedule and Application delays negatively impacting Business Unit ability to complete specified deliverables  <b>December Update:</b> In each of the issues highlighted above, a Go-Live checklist of all remaining activities were created and will be tracked on a weekly basis. This criterion is targeted to be "On Track" by the January Update.
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 11/30/07 Readiness Assessment, it was revealed that all non-Core Business Units are on track.  <b>December Update:</b> The Internal Readiness Team will continue to work closely with the applicable Business Units to complete the remaining Go-Live activities and deliverables. This includes working with Business Units, Program Management, and Testing Team to ensure application testing is executed, end to end business process are proved out, transition is finalized and all deliverables are completed and sign-off.	
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			
		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.		5/31/07		<b>November Update:</b> Final data repository is not available but DMM staff continues to develop metrics using existing data or generating temporary data where possible. The Data Dictionary has been available to DMM since 9/21 and the process of transitioning it over to the Business Unit is in progress.	-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.

Integrated Market Simulation

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### 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><b>ORG - 3.2</b> A core set of monitoring tools (software, indices, and reports) will be completed and functional.</p>	O	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><b>December Update:</b> -Base set of monitoring metrics has been developed, validation pending additional data availability -Further metric development has begun.</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><b>ORG - 3.3</b> 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>	O	90 Days Prior to Go-Live			
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		
		<p><b>PRT - 1.1</b> 80% of the market participants including those that meet significant CAISO demand requirements complete the Initial Baseline Assessment.</p>	B	1/31/07		81% of Market Participants including those that meet significant CAISO demand completed their assessments.	
		<p><b>PRT - 1.2</b> 80% of the market participants including those that meet significant CAISO demand requirements complete the First Follow-Up Assessment.</p>	B	7/31/07		100% of Market Participants completed their assessments.	
		<p><b>PRT - 1.3</b> 80% of the market participants including those that meet significant CAISO demand requirements achieve a "READY" score on Final Assessment.</p>	C	1/15/08			
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		

**Integrated Market Simulation**

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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><b>PRT - 2.1</b>  <b>Release 2 - Resolution of all high priority issues that hinder the pre-defined release objectives and allow for Market Participant testing time.</b></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><b>August Update:</b>                      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.  <b>September Update:</b>                      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><b>PRT - 2.2</b>  <b>Release 3 (includes Updates 1 &amp; 2) - Resolution of Critical and Very High priority issues that hinder the pre-defined release 3 objectives and allow for Market Participant testing time.</b></p>	P	Exit R3 Update 2		<p><b>December Update:</b> As of 12/20/07, the number of resolved Very High and Critical issues are as follows:                      - Critical Issues: All critical issues were resolved                      -Very High - 8 unresolved Very High issues                       A weekly Status and Issue report is posted on the CAISO website at :  <a href="http://www.caiso.com/1bd7/1bd7ebbc72fc0.html#1c6011d9c6cd70">http://www.caiso.com/1bd7/1bd7ebbc72fc0.html#1c6011d9c6cd70</a>.</p>	
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><b>REG - 1.1</b>                      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&amp;R tariff amendments into MRTU (e.g. Credit policy)) and files them with FERC.</p>	P	60 - 90 days prior to go-live		<p>Developing content based on internal timeline.   <b>November Update:</b>                      Extensions from the August 3rd filing and additional substantive and non-substantive compliance and 205 filings are on track to be completed by January 2008.</p>	
		<p><b>REG - 1.2</b>                      BPM updates are consistent with MRTU tariff and applicable FERC orders.</p>	B	60 - 90 days prior to go-live		<p><b>November Update:</b> Revised BPMs were posted on November 15 consistent with FERC orders and MRTU Tariff on file. Additional proposed tariff language were also filed on November 15. The CAISO has satisfied BPM-related FERC directives.</p>	

**Integrated Market Simulation**

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### MRTU Readiness Criteria Dashboard

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		<p><b>REG - 1.3</b>                      All substantive compliance filings and substantive 205 filings are filed with FERC.</p>	B	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><b>November Update:</b>                      -The initial scope of this criterion was satisfied on 8/3/07. An extension on two filings (LAP Clearing, and RA Backstop) in scope for this criterion will be tracked on criterion REG - 1.1.</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"> <li>1. SE solution must be achieved for 97% of five minute periods within a 30 day period.</li> <li>2. SE voltage must be within 2% of metered voltage on 50 critical buses.</li> <li>3. SE MW flow must be within 50MW or 5% of telemetered flow on 10 tie lines to outside CAISO.</li> <li>4. SE flows on transmission lines and transformers must be within 10% of telemetered flows on all other branches within the CAISO footprint.</li> </ol>		6/1/07	B		
		<p><b>SE - 1.1</b>                      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 ICCC data is unavailable due to remote CA ICCC 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><b>SE - 1.2</b>                      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	
		<p><b>SE - 1.3</b>                      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	

**Integrated Market Simulation**

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### 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
		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.	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		
		STL - 1.1 CAISO completes the following activities to ensure consistency:	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		<b>November Update:</b> Updated Settlements BPM was posted on the CAISO website on 11/15/07 and reflect changes requested through the 9/27/07 FERC Technical Conference.	
		2. Validation of the consistency between the Settlement BPM and the SaMC design documents.	●	Entry PPS		This process is on going for PWCP test audit sign off.	
		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	1 Day Prior to Market Launch		<b>November Update:</b> The audit began in October and is scheduled to be completed by the end of February 2008.	

**Integrated Market Simulation**

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U2: TBD; 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
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.</p> <p><b>December Update:</b> Charge types have been rolled out during Update 1 and will continue to be rolled out into Update 2 of IMS. To date, 28 out of 148 charge types have been validated from Bid to Bill. Once a significant number of charge types have been validated from Bid to Bill, this criterion will be moved to 'On Track'.</p> <p>A list of the charge types validated from Bid to Bill can be found on the CAISO website under the heading "Daily Charge Code Status" at: <a href="http://www.caiso.com/1c2d/1c2d9ced4aa60.html#1caacdff53ca0">http://www.caiso.com/1c2d/1c2d9ced4aa60.html#1caacdff53ca0</a></p>	

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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
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><b>December Update:</b> At the conclusion of Update 1, 28 Charge Types have been validated from Bid to Bill.</p> <p>A list of the charge types validated from Bid to Bill can be found on the CAISO website under the heading "Daily Charge Code Status" at: <a href="http://www.caiso.com/1c2d/1c2d9ced4aa60.html#1caacdff53ca0">http://www.caiso.com/1c2d/1c2d9ced4aa60.html#1caacdff53ca0</a></p>	<p>- During IMS Release 2, Participants experienced issues with the Integration Process and Charge Code Configuration.</p> <p>IMS R3 started with 13 Charge Types that were validated from Bid to Bill by the CAISO. Settlement Guides were provided for these Charge Types. It is important to note that the Settlement system still calculates all the Charge Types designed for MRTU Go Live (148). As IMS progresses and other CAISO systems are integrated into Market Simulation and the appropriate payloads are available, more Charge Types will be validated from Bid to Bill.</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/fallback testing. 3. Load and Performance Testing.		Entry PPS		Operational Readiness Testing 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			
		TST - 1.1 Performance Testing entry and exit criteria are met for Release 1 of the Integrated Market Simulation.		Entry R1		R1 Performance testing is completed and has passed QRB review.	

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### 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
		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.	
		TST - 1.4 Performance Testing entry and exit criteria are met for Update 1 of Market Simulation.	B	Entry R3 Update 1		<b>November Update:</b> The CAISO has performed Performance testing needed to enter into IMS Update 1. 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.	O	Entry R3 Update 2		<b>December Update:</b> Additional Performance Testing is required prior to the start of Update 2 to further tune the MRTU systems and address unresolved issues.	
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. * This is integration testing to get into 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. * This is integration testing to get into Market Simulation.	B	Entry R2		R2 Integration testing is completed and has passed QRB review.	
		TST - 2.3 Integration Testing entry and exit criteria are met for Release 3 of the Integrated Market Simulation. * This is integration testing to get into Market Simulation.	B	Entry R3		R3 Integration testing is completed and has passed QRB review.	
		TST - 2.4 Integration Testing entry and exit criteria are met for Update 1 of Market Simulation. * This is integration testing to get into Market Simulation.	B	Entry R3 Update 1		<b>November Update:</b> Update 1 Integration Testing is completed and has passed QRB review.	
		TST - 2.5 Integration Testing criteria are met for Update 2 of Market Simulation.	O	Entry R3 Update 2		<b>December Update:</b> Initial phase of Integration Test for Update 2 has been completed. The CAISO will continue Integration Testing prior to the start of Update 2 Market Simulation to internally test and stabilize the applications. Additional functionality will continue to be released into Market Simulation after the start of Update 2.	Components are at different stages of Integration test. Introduction of new Network Model from the Masterfile and other changes resulted in the stabilization of systems taking longer than expected. The CAISO has a team providing 24x7 Test execution and support to minimize impact of this issue.  A list of known functional issues will be published at the start of IMS Update 2.

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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
BUS- BA - 1	Business Approval Business Area	<p>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.</p> <ol style="list-style-type: none"> <li>1. The Settlement and Market Clearing (SaMC) system will pass Business Unit review.</li> <li>2. The Client Management Repository (CMRI) system will pass Business Unit review.</li> <li>3. The Scheduling Infrastructure Business Rules (SIBR) system will pass Business Unit review.</li> <li>4. The Integrated Forward Market (IFM) system will pass Business Unit review.</li> <li>5. The Real-Time Market (RTM) system will pass Business Unit review.</li> <li>6. The Operational Meter Analysis and Reporting (OMAR) system will pass Business Unit review.</li> <li>7. The Master File will pass Business Unit review.</li> <li>8. The Portal passes Business Unit review.</li> <li>9. The Open Access Sametime Information System (OASIS) system will pass Business Unit review.</li> <li>10. The Participant Intermittent Resource Program (PIRP) system will pass Business Unit review.</li> <li>11. The Automated Dispatch System (ADS) system will pass Business Unit review.</li> <li>12. The Reference Level Calculator (RLC) system will pass Business Unit review.</li> <li>13. The Existing Transmission Contract Coordination (ETCC) system will pass Business Unit review.</li> <li>14. The Compliance (CAP) system will pass Business Unit review.</li> </ol>		60 days prior to go - live		<p><b>December Update:</b> All systems are in review by the Business Units. Status on each System will be included on the next update.</p>	
BUS- BA - 2	Business Approval Business Area	<p>CAISO will submit to FERC its readiness certification based upon the following information:</p> <ol style="list-style-type: none"> <li>1. Review of all readiness criteria</li> <li>2. All Market Participant input through the assessment process</li> <li>3. Resolution of critical high issues</li> <li>4. Completion of cutover and reversion plans</li> <li>5. Completion of contingency plans</li> <li>6. Completion of cutover walkthrough</li> <li>7. 60 Day Plan</li> </ol>		60 days prior to go - live		<p><b>December Update:</b> The CAISO is in the process of gathering all Readiness Certification information and will provide a draft copy for Market Participants to comment on by January 14th. The CAISO will present the revised Readiness Certification report to the Board of Governors during the January 28-29, 2008 meeting.</p>	

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