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Purpose

Provides guidelines for mitigating an Hour-Ahead Scheduling Process (HASP) failure, a Real-Time Dispatch (RTD) failure, a Real-Time Contingency Dispatch failure (RTCD), a Real-Time Pre-Dispatch (RTPD) failure, or a suspension of the Real-Time Market.
# 1. Responsibilities

| CAISO Generation Desk | • Reviews and allows instructions from RTM to be sent to Market Participants via ADS.  
| | • Communicates the need for any Intertie changes to the Transmission Dispatcher.  
| | • Dispatches resources with Exceptional Dispatch as required.  
| | • Sends ADS messages as required.  
| | • Sends market (MNS) messages as required. |

| CAISO Real-Time Market Operator (RTMO) Desk | • Monitors Real-Time Market software for proper operations and solutions.  
| | • Sends EverBridge messages as required.  
| | • Determines when to isolate an EIM entity from the Real-Time Market in coordination with EIM Operator.  
| | • Takes action to resolve failures. |

| CAISO Critical Systems Support (CSS) | • Resolve issues that prevent Bid processing. |

| CAISO Director, Real-Time Operations / CAISO Shift Manager Desk | • Determines when to suspend the Real-Time Market.  
| | • Determines when to resume the Real-Time Market.  
| | • Instructs CAISO Generation Desk to send out notifications to Market participants. |

# 2. Scope/Applicability

## 2.1. Background

The Real-Time Market may experience disruptions, which may result in HASP failure, RTD failure, RTCD failure or RTPD failure.

In the event of a Real-Time Market failure, Administrative Prices will be applied in accordance with Tariff Section 7.7.9(c) and 7.7.9.(e).

The CAISO may suspend the Real-Time Market if it is determined that such suspension is necessary to prevent, contain, or correct a System Emergency. These interventions may occur on a Balancing Authority area-wide basis or with respect to islanded portions of the Balancing Authority Area.
**Note:** A Market Suspension differs from a Market Isolation of an EIM entity. When the Real-Time Market is suspended, the market does not solve for all EIM entities including the CAISO. Refer to CAISO Operating Procedure 2720 Market Disruption – EIM for further details.

Prior to suspending the Real-Time Market, the CAISO must, to the extent the CAISO considers necessary to resolve the System Emergency:

1. Dispatch all supply and ancillary services bids.
2. Dispatch all interruptible loads.
3. Exceptionally Dispatch resources.
4. Dispatch all curtailable demand and exercise its rights with respect to any load curtailment contracts.
5. Perform involuntary load shedding.

In the event of a Real-Time Market suspension, Administrative Prices will be applied in accordance with Tariff Section 7.7.9(d) and 7.7.9(e).

### 2.2. Scope/ Applicability

This procedure is applicable when the Real-Time Market fails, or when the CAISO suspends the Real-Time Market.

### 3. Procedure Detail

#### 3.1. HASP Processing and Failure

The following provides information about HASP timelines and processing and guidance for HASP failures:

- HASP run starts at ~ XX:47:00.
- When HASP starts the, ‘find updated inputs’, process within RTPD workflow checks for Bids. If Bids are not there, this process keeps checking for up to 11 minutes for Bids to show up.
- This process will automatically continue to check for Bids up until XX:58:00.

Once Bids are detected, the RTPD (HASP) process will continue.

If Clean Bids are not received by XX:58:00, HASP will fail.
3.1.1. RTPD/STUC Processing

**Note:** Market processing and publication timelines are approximate.

### RTPD/STUC Processing

Example: 10:45:00am to 11:52:30am

- **10:47:00** 7 INT/HASP Starts
- **10:45:00** 4 INT RTPD Starts
- **11:37:30** SBR closes RT Market
- **10:59** 12:00 - 10:59 hasp should bid if. hasp standalone starts.
- **11:00:00** 10:58, it will fail. Publish DA awards.
- **11:04:00** - hasp fixed broadcast
- **11:07:30**
- **11:14:00** - if hasp is still running at 11:14:00, abort hasp and publish DA.

3.1.2. HASP Processing and Failure Details and Actions

**CAISO Generation Desk**

1. **Check** “Type” and ‘Last Transfer Status’ columns in the Pre-dispatch \ System displays \ Control transfer UI for subsystem ‘SBR’ in order to see if Bids have been received by the system.

**Note:** ‘Type’ column indicates the last time stamp when the Bids came to the system. ‘Last Transfer Status’ indicates if Bid status is ‘Success’ or ‘Late’.

2. If HASP fails or auto aborts at XX:14:
   - RTPD AS Advisories and DA RUC Intertie schedules will be **sent** to ADS by default.

This document is controlled when viewed electronically.
When downloaded or printed, this document becomes UNCONTROLLED.
3. If Advisory AS Awards are not sent,
   • **Send** the following message via MNS and ADS:
     "The CAISO has had a market disruption of HASP for HE [HH], FMM interval ending [HH:45].
     
     **Ancillary Services Awards follow their advisory AS awards.**
     
     Hourly block and FMM Intertie resources are instructed to follow their HASP advisory market awards for energy. If no HASP advisory energy award is available, revert to the binding day-ahead market results including RUC awards. The CAISO is investigating the cause of the disruption and will inform Market Participants when the issue is resolved."

4. If DA Awards are not sent for both AS and Interties,
   • **Send** the following message via MNS and ADS:
     "The CAISO has had a market disruption of HASP for HE xx FMM interval ending [HH:45]. Ancillary Services Awards revert to Day-Ahead Market Awards.
     
     Hourly block and FMM Intertie resources are instructed to follow their HASP advisory market awards for energy. If no HASP advisory energy award is available, revert to the binding day-ahead market results including RUC awards. The CAISO is investigating the cause of the disruption and will inform Market Participants when the issue is resolved."

5. If Additional Intertie Resources are needed,
   • **Request** Transmission Dispatcher to utilize Manual Dispatch per CAISO Operating Procedure 2530 Manual Dispatch on Interties.

---

**CAISO RTMO Desk**

1. **Performs** steps identified in *Scenario 1-B Market Failures – No Results Sent* as detailed in CAISO Operating Procedure 2720 Market Disruption – EIM.
3.2. RTD Dependencies

Take the following actions as soon as HASP Bids and STUC Bids are available:

<table>
<thead>
<tr>
<th>CAISO Critical Systems Support (CSS)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. If clean Bids did not show up for the HASP run, for example HE13 (HASP run of 10:47:00), RTD will start to fail at 11:52:30 in the RTD run:</td>
</tr>
<tr>
<td>- <strong>Manually</strong> push the clean Bids and STUC Bids (depending upon what is missing) after resolving the issues that prevented the Bid processing.</td>
</tr>
<tr>
<td>- <strong>Inform</strong> the CAISO Generation Desk and Market Ops Support that Bids are available for the missing hour.</td>
</tr>
<tr>
<td><strong>Note:</strong> No action should be taken by Operations. <em>(Do not put RTD in manual).</em></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CAISO Service Desk</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. <strong>Investigate</strong> cause and rectify.</td>
</tr>
</tbody>
</table>

3.3. RTD Failure

Take the following actions as soon as HASP Bids and STUC Bids are available:

<table>
<thead>
<tr>
<th>CAISO Generation Desk</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. <strong>Notify</strong> Service Desk support personnel of the issue.</td>
</tr>
<tr>
<td>2. <strong>If Advisory Results are available, they will be automatically sent to ADS by RTM.</strong></td>
</tr>
<tr>
<td>- The Market Participants are expected to follow the ADS advisory dispatches they receive when RTN fails.</td>
</tr>
<tr>
<td><strong>Notes:</strong></td>
</tr>
<tr>
<td><em>There will only be ~ 1 hour of advisory dispatches, should RTD fail repeatedly.</em></td>
</tr>
<tr>
<td><em>Be prepared to inform the Market participants of this potential issue.</em></td>
</tr>
<tr>
<td><em>RTPD may still be solving and issuing startups/shutdowns that will be sent to ADS, but resources will not receive the subsequent DOT if RTD continues to fail.</em></td>
</tr>
<tr>
<td>3. <strong>If Advisory Results are NOT available.</strong></td>
</tr>
<tr>
<td>Either:</td>
</tr>
<tr>
<td>- <strong>Instruct</strong> resources to follow their last ADS dispatch unless told otherwise.</td>
</tr>
</tbody>
</table>
CAISO Generation Desk

- **Send** the following market message via MNS and ADS:

  
  "Attention Market Participants: The CAISO Real-Time Market has experienced an RTD disruption; Unless manually dispatched otherwise by a CAISO Real-Time Operator, all resources that respond to RTD are instructed to remain at their last DOT. Hourly block and FMM intertie resources are instructed to follow their HASP and FMM market awards.

  The CAISO is investigating the cause of the disruption and will inform Market Participants when the issue is resolved.

Or:

- **Instruct** resources to follow DA schedules depending on system conditions unless told otherwise.

- **Send** the following market message via ADS and MNS:

  "Attention Market Participants: The CAISO Real-Time Market has experienced a disruption; all resources are instructed to follow their Day-Ahead schedules unless manually dispatched otherwise by the CAISO Generation Desk. The CAISO is investigating the cause of the disruption and requests Market Participants to review their IFM (Day-Ahead) schedules.”

  **Note:** There may be instances where some resources may be instructed to remain at their last DOT (Step 3a), while other resources are instructed to follow their DA schedule (Step 3b).

4. **Coordinate** infeasible Schedules with participants via SLIC or Exceptional Dispatch.

5. **Monitor** next interval for successful run.

6. If the application has failed for > forty-five (45) minutes (*Advisory dispatches will be unavailable*),
   - **Advise** units to go to the non-binding advisory Dispatch from ADS that have not been updated from the last good interval; **or**
   - **Hold** unit where it was last Dispatched via a Notice in the MNS and ADS.
   - **Place** RTD in **manual** and
   - **Execute** process manually.
   - If failure of RTD while in manual is observed:
     - **Use** Exceptional Dispatch authority to control units and/or Contingency Dispatch, if available.
     - **Utilize** FIT Inc/Dec for Intertie resources.
     - **Issue** Exceptional Dispatch for internal resources or if a unit is needed for RTPD for commitment (Start-Up or shutdown).

7. **Coordinate** with support personnel to restore system to normal.
CAISO Generation Desk

8. In the event that a Bid is removed (effectively makes the resource non-participating) from any market run to mitigate a Market Disruption, the CAISO Market Operator will:
   - Notify the Scheduling Coordinator via phone call immediately or as soon as practicable, but no later than three (3) Business Days, after the applicable Bid was removed and
   - Provide information specifying when its Bid was removed and the nature of the disruption.

CAISO RTMO Desk

1. If RTD fails for a single interval or less than approximately one hour while Advisory solutions are available:
   - Perform steps identified in Scenario 1-A Market Failures – Advisory Results Sent as detailed in 2720 Market Disruption – EIM.
2. If no results are sent:
   - Perform steps identified in Scenario 1-B Market Failures – No Results Sent as detailed in 2720 Market Disruption – EIM.
3. If no results are sent due to Exhausted Advisory Runs:
   - Perform steps identified in Scenario 2-A Exhausted Advisory Runs – No Results Sent as detailed in 2720 Market Disruption – EIM.

CAISO Service Desk

1. Investigate cause and rectify.

3.4. RTCD Failure

Take the following actions if RTCD fails:

CAISO Generation Desk

1. Do one of the following:
   - Click “Reactivate” to reset the Contingency Dispatch Process.
   - Attempt to re-run the Contingency Dispatch; or
   - Determine available Dispatching options via RTD interval Dispatch, or utilization of Exceptional Dispatch authority.
     
     Note: Dispatch units manually/verbally over phone.

2. Contact MES.
CAISO RTMO Desk

1. **Send** EverBridge messages to EIM Entities that ETSR dispatches are following Advisories until the RTCD event completes.

3.5. RTPD Failure

Take the following actions if RTPD fails:

CAISO Generation Desk

1. **Contact** Market Operations support personnel.
2. **Send** the following messages if the RTPD fails and is unable to send advisory:
   
   “The CAISO has experienced a market disruption of RTUC for the binding interval [HH:MM] in HE [XX]. Ancillary Services Awards will revert to Day-Ahead Awards. Hourly block and FMM Intertie resources are instructed to follow their HASP advisory market awards for energy. If no HASP advisory energy award is available, revert to the binding day-ahead market results including RUC awards.

   The CAISO is investigating the cause of the disruption and will inform Market Participants when the issue is resolved.”

3. **Post** the notice in MNS and ADS with participants about use of prior HASP or DA Dispatch Instructions and
   - **Include** the associated time.
4. **Use** Exceptional Dispatch if a unit is needed for RTPD for commitment (Start-Up or shutdown).
5. **Identify** reserve obligation requirements and
6. **Commit** as needed.
7. **Log** event in SLIC.
8. If RTPD Fails for multiple intervals:
   - **Combine** and **follow** both HASP and pre-Dispatch failure process starting with applicable process failure.
   - **Consider** if transmission events may require model update and
   - **Use** manual event trigger to ensure topology updates for RTD interval Dispatches.
   - **Escalate** issue with support personnel.
9. **Log** event in SLIC and
10. **Coordinate** with support personnel to restore system to normal.
11. In the event that a Bid is removed from a market run as a result of market disruption, the CAISO will:
   - **Notify** the Scheduling Coordinator as soon as practicable, but no later than three (3) Business Days, after the applicable Bid was removed and
### CAISO Generation Desk

- **Provide** information specifying when its Bid was removed and the nature of the disruption.

### CAISO RTMO Desk

1. If RTPD fails for a single interval or less than approximately one hour while Advisory solutions are available:
   - **Perform** steps identified in *Scenario 1-A Market Failures – Advisory Results Sent* as detailed in 2720 Market Disruption – EIM.

2. If no results are sent:
   - **Perform** steps identified in *Scenario 1-B Market Failures – No Results Sent* as detailed in 2720 Market Disruption – EIM.

3. If no results are sent due to Exhausted Advisory Runs:
   - **Perform** steps identified in *Scenario 2-A Market Failures – Exhausted Advisory Runs – No Results Sent* as detailed in 2720 Market Disruption – EIM.

### 3.6. HASP/RTPD/RTUC/RTD Disruptions: Hold Last DOT or Revert to DA Schedules

Send the following messages if there is a complete market disruption of HASP, RTPD, RTUC, and RTD and there is a need to either hold the last DOT or revert to DA schedules.

**CAISO Generation Desk**

1. **Hold** the Last DOT.
   
   “The CAISO markets have experienced a disruption; unless manually dispatched otherwise by a CAISO Real-Time Operator, all resources that respond to RTD dispatches are instructed to follow their last DOT.

   Ancillary Services without FMM Awards revert to Day-Ahead Market Awards.

   Hourly block and FMM Intertie resources are instructed to follow their HASP advisory and FMM market awards if available, if no HASP advisory or FMM market awards are available, revert to day-ahead market results including RUC awards.

   The CAISO is investigating the cause of the disruption and will inform Market Participants when the issue is resolved.”

2. **Revert** to DA Schedules.
   
   “The CAISO markets have experienced a disruption; unless manually dispatched otherwise by a CAISO Real-Time Operator, all resources that respond to RTD dispatches are instructed to follow their Day-Ahead market results including RUC awards.”
Market Disruption - RTM Failure and Suspension

CAISO Generation Desk
Ancillary Services without FMM binding Awards revert to Day-Ahead Market Awards.

Hourly block and FMM Intertie resources are instructed to follow their HASP advisory and FMM market awards if available, if no HASP advisory or FMM market awards are available, revert to day-ahead market results including RUC awards.

The CAISO is investigating the cause of the disruption and will inform Market Participants when the issue is resolved.”

CAISO RTMO Desk
As EIM entities do not participate in the Day-Ahead market, there are no additional RTMO actions with EIM entities and their Base Scheduling.

3.7. Suspension of the Real-Time Market

Take the following actions when CAISO decides to suspend the Real-Time Market:

CAISO Director, Real-Time Operations / CAISO Shift Manager Desk / CAISO RTMO Desk
1. If the decision is made to suspend the Real-Time Market,
   • Instruct the CAISO Generation Desk to notify Market Participants that the Real-Time Market is suspended.

CAISO Generation Desk
1. If the CAISO Director, Real-Time Operations of System Operations or CAISO Shift Manager has decided to suspend the Real-Time Market.
   • Notify Market Participants, via MNS, that the Real-Time Market is suspended,
   • Indicate the start time XX:XX, and expected duration for the suspension of the Real-Time Market.
   • Use the MNS Notification Template in Section 3.8.

CAISO RTMO Desk
1. Send EverBridge messages to EIM Entities that the Real-Time Market has been suspended.
3.8. **Resumption of the Real-Time Market**

Take the following actions when the CAISO decides to resume the Real-Time Market:

<table>
<thead>
<tr>
<th>CAISO Director, Real-Time Operations / CAISO Shift Manager Desk / CAISO RTMO Desk</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. If the decision is made to <strong>resume</strong> the Real-Time Market,</td>
</tr>
<tr>
<td>- <strong>Instruct</strong> the CAISO Generation Desk to <strong>notify</strong> Market Participants that the Real-Time Market is no longer suspended, starting dispatches received after XX:XX.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CAISO Generation Desk</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. If the CAISO Director, <strong>Real-Time Operations</strong> or CAISO Shift Manager has decided to <strong>resume</strong> the Real-Time Market,</td>
</tr>
<tr>
<td>- <strong>Notify</strong> Market Participants, via MNS, that the Real-Time Market is no longer suspended and</td>
</tr>
<tr>
<td>- <strong>Indicate</strong> that the time the Real-Time Market will be resumed.</td>
</tr>
<tr>
<td>- <strong>Use</strong> the MNS Notification Template in Section 3.8.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CAISO RTMO Desk</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. <strong>Send</strong> EverBridge messages to EIM Entities that normal operation of the Real-Time Market has resumed.</td>
</tr>
</tbody>
</table>

3.9. **MNS Notice Templates**

**Real-Time Market Suspension**

The CAISO has suspended the Real-Time Market. Please follow your Day-Ahead schedules, unless otherwise instructed by CAISO System Operator through exceptional dispatches and/or Operating Instructions. The Real-Time Market is expected to be suspended through HH:MM.

**Real-Time Market Resumption**

The CAISO plans to resume the Real-Time Market at HH:MM. Until this time, please continue to follow your Day-Ahead schedules, unless otherwise instructed by CAISO System Operator through exceptional dispatches and/or Operating Instructions.
4. Supporting Information

Operationally Affected Parties

Shared with the Public.

References

Resources studied in the development of this procedure and that may have an effect upon some steps taken herein include but are not limited to:

| CAISO Tariff                                      | 2530 Manual Dispatch on Interties |
| CAISO Operating Procedure                        | 2720 Market Disruption - EIM      |
| NERC Requirements                                 |                                  |
| WECC Criterion                                    |                                  |
| Other References                                  |                                  |

Definitions

Unless the context otherwise indicates, any word or expression defined in the Master Definitions Supplement to the CAISO Tariff shall have that meaning when capitalized in this Operating Procedure.

The following additional terms are capitalized in this Operating Procedure when used as defined below:

None.

Version History

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<th>Version</th>
<th>Change</th>
<th>Date</th>
</tr>
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<tbody>
<tr>
<td>3.1</td>
<td>• Minor format changes throughout.</td>
<td>9/23/16</td>
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<tr>
<td></td>
<td>• Changed all references of CAISO to ISO.</td>
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<tr>
<td></td>
<td>• Position title/role updates.</td>
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<tr>
<td>4.0</td>
<td>• Updated Sections 3.3 (added Step 7) and 3.5 (added Step 10) to include language about bid removal and proper notification tool the affected scheduling coordinator.</td>
<td>5/02/17</td>
</tr>
<tr>
<td>Version</td>
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<tr>
<td>4.1</td>
<td>Roles/Titles updated; minor language changes (highlighted).</td>
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<td>6/06/17</td>
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<tr>
<td>4.2</td>
<td>Section 3.3, Step 2: Revised, adding additional information.</td>
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<td></td>
<td>Step 5: Updated advisory reference.</td>
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<tr>
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<td>Section 3.7: Updated #1, bullet.</td>
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<tr>
<td></td>
<td>Replaced A/S with AS.</td>
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<tr>
<td></td>
<td>Replaced Peak RC with the RC.</td>
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<tr>
<td></td>
<td>Minor formatting and grammar updates throughout.</td>
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<tr>
<td></td>
<td>Removed version history prior to 3-years.</td>
<td></td>
</tr>
<tr>
<td>4.3</td>
<td>Sections 1 &amp; 3.1.2: Changed all instances of Interchange Scheduler to Transmission Dispatcher.</td>
<td></td>
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<tr>
<td></td>
<td>Section 3.1.1: Added back RTPD/STUC Processing image, as it was inadvertently left off with previous update.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Sections 3.1.2, 3.3, 3.5: Updated to include new and revised market messages.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Added Section 3.6 for message relevant to a complete market failure.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Minor format and grammar updates.</td>
<td></td>
</tr>
<tr>
<td>4.4</td>
<td>Section 3.1.1: Added note below RTPD/STUC Processing example.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Section 3.1.2, Step 4: Updated to “If DA Awards are not sent...”</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Section 3.5, Step 3: Minor update for clarification.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Sections 3.7 &amp; 3.8: Updated to reflect that Generation Desk sends messages to market participants using MNS during suspension and resumption of Real-Time Market.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Section 3.9: Replaced ISO Generation Desk with ISO System Operator and replaced operating orders with Operating Instructions.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Other Minor format and grammar updates.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5/23/19</td>
<td></td>
</tr>
</tbody>
</table>
5. Periodic Review Procedure

Review Criteria & Incorporation of Changes

There are no specific criteria for reviewing or changing this document, follow instructions in CAISO Operating Procedure 5510.

Frequency

Every three (3) years.

Appendix

No references at this time.