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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.

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1. Responsibilities

CAISO Generation Dispatcher	<ul style="list-style-type: none"> 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 Market Operator (MO)	<ul style="list-style-type: none"> Monitors Real-Time Market software for proper operations and solutions. Sends EverBridge messages as required. Determines when to isolate a Western Energy Imbalance Market (WEIM) entity from the Real-Time Market in coordination with the WEIM Operator. Takes action to resolve failures.
CAISO Critical Systems Support (CSS)	<ul style="list-style-type: none"> Resolve issues that prevent Bid processing.
CAISO Director, Real-Time Operations / CAISO Manager of Real-Time Operations	<ul style="list-style-type: none"> Determines when to suspend the Real-Time Market. Determines when to resume the Real-Time Market. Instructs CAISO Generation Dispatcher 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, **market results** 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.

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Note: A Market Suspension differs from a Market Isolation of a WEIM entity. When the Real-Time Market is suspended, the market does not solve for all WEIM entities including the CAISO. Refer to CAISO Operating Procedure [2720 Market Disruption – Western Energy Imbalance Market \(WEIM\)](#) 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.

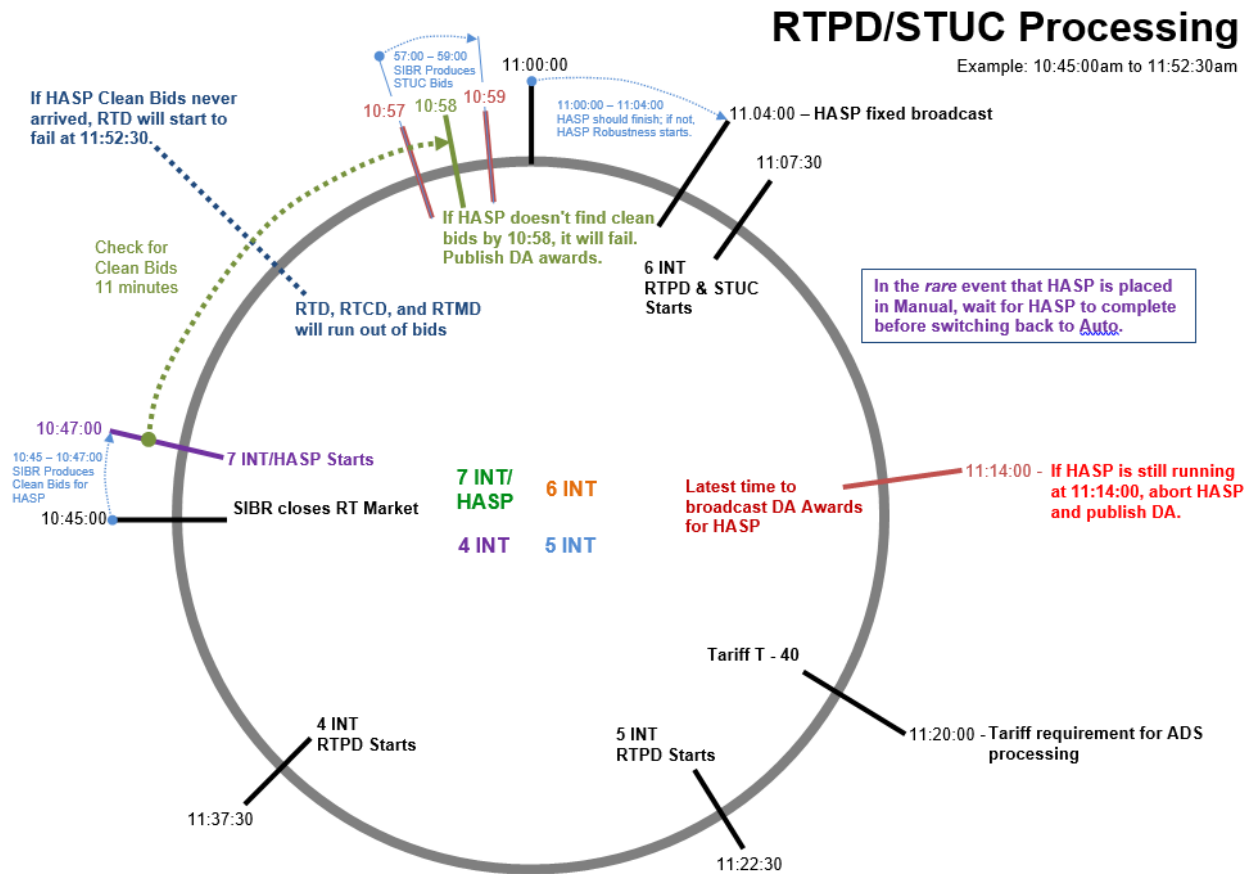
Once Bids are detected, the RTPD (HASP) process will continue.

If Clean Bids are not received by XX:58:00, HASP will fail.

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3.1.1. RTPD/STUC Processing




Note: Market processing and publication timelines are approximate.

3.1.2. HASP Processing and Failure Details and Actions

CAISO Generation Dispatcher
<p>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.</p> <p>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'.</p>
<p>2. If HASP fails or auto aborts at XX:14:</p> <ul style="list-style-type: none"> RTPD AS Advisories and DA RUC Intertie schedules will be sent to ADS by default.


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CAISO Generation Dispatcher	
<p>3. If Advisory AS Awards are <u>not</u> sent,</p> <ul style="list-style-type: none"> • Send the following message via MNS and ADS: <i>"The CAISO has had a market disruption of HASP for HE [HH], FMM interval ending [HH:45].</i> Ancillary Services Awards follow their advisory AS awards. <i>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."</i> <p>4. If DA Awards are <u>not</u> sent for both AS and Interties,</p> <ul style="list-style-type: none"> • Send the following message via MNS and ADS: <i>"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.</i> <i>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."</i> <p>5. If Additional Intertie Resources are needed,</p> <ul style="list-style-type: none"> • Request Transmission Dispatcher to utilize Manual Dispatch per CAISO Operating Procedure 2530 Manual Dispatch on Interties. 	

CAISO Market Operator	
<p>1. Performs steps identified in <i>Scenario 1-B Market Failures – No Results Sent</i> as detailed in CAISO Operating Procedure 2720 Market Disruption – Western Energy Imbalance Market (WEIM).</p>	

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3.2. RTD Dependencies

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

CAISO Critical Systems Support (CSS)
<ol style="list-style-type: none"> 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: <ul style="list-style-type: none"> Manually push the clean Bids and STUC Bids (depending upon what is missing) after resolving the issues that prevented the Bid processing. Inform the CAISO Generation Dispatcher and Market Ops Support that Bids are available for the missing hour. <p><i>Note: No action should be taken by Operations. (<u>Do not</u> put RTD in manual).</i></p>


CAISO Service Desk
<ol style="list-style-type: none"> Investigate cause <u>and</u> rectify.

3.3. RTD Failure

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


CAISO Generation Dispatcher
<ol style="list-style-type: none"> Notify Service Desk support personnel of the issue. <u>If Advisory Results are available</u>, they will be automatically sent to ADS by RTM. <ul style="list-style-type: none"> The Market Participants are expected to follow the ADS advisory dispatches they receive when RTN fails. <p>Notes: <i>There will only be ~ 1 hour of advisory dispatches, should RTD fail repeatedly. Be prepared to inform the Market participants of this potential issue.</i> <i>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.</i></p> <u>If Advisory Results are NOT available</u>, Either: <ul style="list-style-type: none"> Instruct resources to follow their last ADS dispatch unless told otherwise. Send the following market message via MNS <u>and</u> ADS: <i>“Attention Market Participants: The CAISO Real-Time Market has experienced an RTD disruption; Unless manually dispatched otherwise</i>

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CAISO Generation Dispatcher
<p><i>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.</i></p> <p><i>The CAISO is investigating the cause of the disruption and will inform Market Participants when the issue is resolved.</i></p> <p>Or:</p> <ul style="list-style-type: none"> • Instruct resources to follow DA schedules depending on system conditions unless told otherwise. • Send the following market message via ADS <u>and</u> MNS: <ul style="list-style-type: none"> <i>“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 Dispatcher. The CAISO is investigating the cause of the disruption and requests Market Participants to review their IFM (Day-Ahead) schedules.”</i> <p>Note: <i>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).</i></p> <ol style="list-style-type: none"> 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 (<i>Advisory dispatches will be unavailable</i>), <ul style="list-style-type: none"> • 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 <u>and</u> • Execute process manually. • If failure of RTD while in manual is observed: <ul style="list-style-type: none"> ○ 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. 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: <ul style="list-style-type: none"> • 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 <u>and</u>

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CAISO Generation Dispatcher
<ul style="list-style-type: none"> • Provide information specifying when its Bid was removed and the nature of the disruption.

CAISO Market Operator
<ol style="list-style-type: none"> 1. If RTD fails for a single interval or less than approximately one hour while Advisory solutions are available: <ul style="list-style-type: none"> • Perform steps identified in <i>Scenario 1-A Market Failures – Advisory Results Sent</i> as detailed in 2720 Market Disruption – Western Energy Imbalance Market (WEIM). 2. If no results are sent: <ul style="list-style-type: none"> • Perform steps identified in <i>Scenario 1-B Market Failures – No Results Sent</i> as detailed in <i>2720 Market Disruption – Western Energy Imbalance Market (WEIM)</i>. 3. If no results are sent due to Exhausted Advisory Runs: <ul style="list-style-type: none"> • Perform steps identified in <i>Scenario 2-A Exhausted Advisory Runs – No Results Sent</i> as detailed in <i>2720 Market Disruption – Western Energy Imbalance Market (WEIM)</i>.

CAISO Service Desk
<ol style="list-style-type: none"> 1. Investigate cause <u>and</u> rectify.


3.4. RTCD Failure

Take the following actions if RTCD fails:

CAISO Generation Dispatcher
<ol style="list-style-type: none"> 1. Do one of the following: <ul style="list-style-type: none"> • Click “Reactivate” to reset the Contingency Dispatch Process. • Attempt to re-run the Contingency Dispatch; <u>or</u> • Determine available Dispatching options via RTD interval Dispatch, or utilization of Exceptional Dispatch authority. <p style="text-align: center;"><i>Note: Dispatch units manually/verbally over phone.</i></p> 2. Contact MES.

CAISO Market Operator
<ol style="list-style-type: none"> 1. Send EverBridge messages to WEIM Entities that ETSR dispatches are following Advisories until the RTCD event completes.

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3.5. RTPD Failure

Take the following actions if RTPD fails:

CAISO Generation Dispatcher
<ol style="list-style-type: none"> 1. Contact Market Operations support personnel. 2. Send the following messages if the RTPD fails and is unable to send advisory: <p style="margin-left: 40px;"><i>“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.</i></p> <p style="margin-left: 40px;"><i>The CAISO is investigating the cause of the disruption and will inform Market Participants when the issue is resolved.”</i></p> 3. Post the notice in MNS and ADS with participants about use of prior HASP or DA Dispatch Instructions <u>and</u> <ul style="list-style-type: none"> • 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 <u>and</u> 6. Commit as needed. 7. Log event in SLIC. 8. If RTPD Fails for multiple intervals: <ul style="list-style-type: none"> • Combine and follow both HASP and pre-Dispatch failure process starting with applicable process failure. • Consider if transmission events may require model update <u>and</u> • Use manual event trigger to ensure topology updates for RTD interval Dispatches. • Escalate issue with support personnel. 9. Log event in SLIC <u>and</u> 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: <ul style="list-style-type: none"> • Notify the Scheduling Coordinator as soon as practicable, but no later than three (3) Business Days, after the applicable Bid was removed <u>and</u> • Provide information specifying when its Bid was removed and the nature of the disruption.

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CAISO Market Operator
<ol style="list-style-type: none"> 1. If RTPD fails for a single interval or less than approximately one hour while Advisory solutions are available: <ul style="list-style-type: none"> • Perform steps identified in <i>Scenario 1-A Market Failures – Advisory Results Sent</i> as detailed in 2720 Market Disruption – Western Energy Imbalance Market (WEIM). 2. If no results are sent: <ul style="list-style-type: none"> • Perform steps identified in <i>Scenario 1-B Market Failures – No Results Sent</i> as detailed in 2720 Market Disruption – Western Energy Imbalance Market (WEIM). 3. If no results are sent due to Exhausted Advisory Runs: <ul style="list-style-type: none"> • Perform steps identified in <i>Scenario 2-A Market Failures – Exhausted Advisory Runs – No Results Sent</i> as detailed in 2720 Market Disruption – Western Energy Imbalance Market (WEIM).

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 Dispatcher
<ol style="list-style-type: none"> 1. Hold the Last DOT. <p><i>“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.</i></p> <p><i>Ancillary Services without FMM Awards revert to Day-Ahead Market Awards.</i></p> <p><i>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.</i></p> <p><i>The CAISO is investigating the cause of the disruption and will inform Market Participants when the issue is resolved.”</i></p> 2. Revert to DA Schedules. <p><i>“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.</i></p> <p><i>Ancillary Services without FMM binding Awards revert to Day-Ahead Market Awards.</i></p>

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CAISO Generation Dispatcher
<p><i>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.</i></p> <p><i>The CAISO is investigating the cause of the disruption and will inform Market Participants when the issue is resolved.”</i></p>

CAISO Market Operator
<p>As WEIM entities do not participate in the Day-Ahead market, there are no additional Market Operator actions with WEIM entities and their Base Scheduling.</p>


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 Manager of Real-Time Operations / CAISO Market Operator
<ol style="list-style-type: none"> If the decision is made to suspend the Real-Time Market, <ul style="list-style-type: none"> Instruct the CAISO Generation Dispatcher to notify Market Participants that the Real-Time Market is suspended.

CAISO Generation Dispatcher
<ol style="list-style-type: none"> If the CAISO Director, Real-Time Operations of System Operations or CAISO Manager of Real-Time Operations has decided to suspend the Real-Time Market. <ul style="list-style-type: none"> 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 Market Operator
<ol style="list-style-type: none"> Send EverBridge messages to WEIM Entities that the Real-Time Market has been suspended.

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3.8. Resumption of the Real-Time Market

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

CAISO Director, Real-Time Operations / CAISO Manager of Real-Time Operations / CAISO Market Operator
<ol style="list-style-type: none"> If the decision is made to resume the Real-Time Market, <ul style="list-style-type: none"> Instruct the CAISO Generation Dispatcher to notify Market Participants that the Real-Time Market is no longer suspended, starting dispatches received after XX:XX.

CAISO Generation Dispatcher
<ol style="list-style-type: none"> If the CAISO Director, Real-Time Operations or CAISO Manager of Real-Time Operations has decided to resume the Real-Time Market, <ul style="list-style-type: none"> Notify Market Participants, via MNS, that the Real-Time Market is no longer suspended <u>and</u> Indicate that the time the Real-Time Market will be resumed. Use the MNS Notification Template in Section 3.8.

CAISO Market Operator
<ol style="list-style-type: none"> Send EverBridge messages to WEIM Entities that normal operation of the Real-Time Market has resumed.

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.

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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	
CAISO Operating Procedures	2530 Manual Dispatch on Interties 2720 Market Disruption - Western Energy Imbalance Market (WEIM)
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


Version	Change	Date
4.1	Roles/Titles updated; minor language changes (highlighted).	6/06/17
4.2	Section 3.3, Step 2: Revised, adding additional information. Step 5: Updated advisory reference. Section 3.7: Updated #1, bullet. Replaced A/S with AS. Replaced Peak RC with the RC. Minor formatting and grammar updates throughout. Removed version history prior to 3-years.	7/01/18

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Version	Change	Date
4.3	<p>Sections 1 & 3.1.2: Changed all instances of Interchange Scheduler to Transmission Dispatcher.</p> <p>Section 3.1.1: Added back RTPD/STUC Processing image, as it was inadvertently left off with previous update.</p> <p>Sections 3.1.2, 3.3, 3.5: Updated to include new and revised market messages.</p> <p>Added Section 3.6 for message relevant to a complete market failure.</p> <p>Minor format and grammar updates.</p>	4/29/19
4.4	<p>Section 3.1.1: Added note below RTPD/STUC Processing example.</p> <p>Section 3.1.2, Step 4: Updated to "If DA Awards are <u>not</u> sent..."</p> <p>Section 3.5, Step 3: Minor update for clarification.</p> <p>Sections 3.7 & 3.8: Updated to reflect that Generation Desk sends messages to market participants using MNS during suspension and resumption of Real-Time Market.</p> <p>Section 3.9: Replaced ISO Generation Desk with ISO System Operator and replaced operating orders with Operating Instructions.</p> <p>Other Minor format and grammar updates.</p>	5/23/19
5.0	<p>Periodic Review:</p> <p>Section 1: Updated responsibilities and titles.</p> <p>Section 2: Added note referencing procedure 2720.</p> <p>Section 3: Updated to include information regarding Advisory Notes. Added RTMO actions.</p> <p>Section 4: Updated Operationally Affected Parties by removing the RC and added reference to Operating Procedure 2720 in References section.</p> <p>Replaced ISO with CAISO throughout. Updated review frequency to every three years. Minor edits for consistency, format and grammar updates and removed history prior to five years.</p>	10/21/21
5.1	<p>Updated all instances of EIM to WEIM and spelled out first instance.</p> <p>Removed history prior to five years.</p>	2/16/23
5.2	<p>Updated from Generation "Desk" to Generation "Dispatcher" and updated from Real-Time Market Operator (RTMO) Desk and RTMO to Market Operator. Updated from Shift Manager to Manager of Real-Time Operations.</p>	9/11/23
5.3	<p>Section 2.1: Updated 2nd sentence by replacing "Administrative Prices" with "market results".</p>	2/01/24

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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.