
 California ISO	Operating Procedure	Procedure No.	5140
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Table of Contents

PURPOSE	1
1. RESPONSIBILITIES	2
2. SCOPE/APPLICABILITY	3
2.1. Background	3
2.2. Scope/ Applicability.....	3
3. PROCEDURE DETAIL	3
3.1. Scheduling Inquires	3
3.2. Dispatch Inquires.....	4
3.3. Application Technology Inquires	5
3.3.1. MP/SC Voice Communications.....	5
3.3.2. ISO Voice Communications.....	6
3.3.3. System Access/Availability Issue.....	6
3.3.4. ADS Down or Degraded	7
3.3.5. EMS or RTN Down or Degraded	8
3.3.6. SIBR Down or Degraded	8
3.4. Settlement Dispute Inquires.....	9
3.5. Business Inquires	9
4. SUPPORTING INFORMATION	10
Operationally Affected Parties	10
References.....	10
Definitions	10
Version History.....	11
5. PERIODIC REVIEW PROCEDURE	12
Review Criteria & Incorporation of Changes.....	12
Frequency	12
APPENDIX	12


Purpose

This procedure describes how the ISO will process inquiries from Market Participants, including Scheduling Coordinators, Non-SC Transmission Owners, Convergence Bidders, and CRR Holders.

 California ISO	Operating Procedure	Procedure No.	5140
		Version No.	4.0
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1. Responsibilities

Congestion Revenue Right (CRR) Holder Convergence Bidders Market Participant Non-Participating Transmission Owner(s)	<p>Submit business and post-market questions to their assigned ISO Client Representative.</p> <p>Contact the ISO Service Desk for voice communication and system/technology issues.</p>
Scheduling Coordinator (SC)	<p>Submit limited scheduling and dispatch inquiries to the ISO Transmission and Generation Dispatcher, respectively. Contact the ISO Service Desk for voice communication and system/technology issues. Submit business and post-market questions to their assigned ISO Client Representative.</p>
ISO Transmission Desk	<p>Answer Scheduling Coordinators' questions regarding tag-related issues, hourly checkout, market status, and congestion management.</p>
ISO Generation Desk	<p>Answer Scheduling Coordinators' questions regarding dispatch instructions, system reliability emergencies, performance constraints, and related safety issues.</p>
ISO Service Desk	<p>Investigate and either resolve or escalate application/ technology issues.</p>
ISO 2nd Level Support	<p>Resolve technical and time-sensitive issues related to grid reliability and market operations. Restore down or inoperative voice communications and systems/applications as quickly as possible.</p>
ISO Market Settlement Validation & Resolution	<p>Respond to dispute inquiries submitted by Scheduling Coordinators.</p>
ISO Customer Experience	<p>Respond to business-related (bid to bill) inquiries from Scheduling Coordinators, Non-SC Transmission Owners, Convergence Bidders, EIM Participants, and CRR Holders.</p>

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2. Scope/Applicability

2.1. Background

The ISO assigns Client Representatives to Scheduling Coordinators, Non-SC TOs, Convergence Bidders, and CRR Holders. The respective Client Representative serves as the single point of contact for most inquiries. There are a few instances where the Scheduling Coordinators should contact other groups within the ISO for support. Those instances are; contact the Transmission Desk and Generation Desk for concerns and questions impacting reliability, Service Desk for application access or system failures, and Market Settlement Validation & Resolution Department for settlement disputes. EIM Entity works directly with the Real-Time Market Operator (RTMO) as the first point of contact for many instances.

2.2. Scope/ Applicability

This procedure applies to:

- Scheduling Coordinator inquiries directed to ISO Generation Desk, ISO Transmission Desk, ISO Service Desk personnel, and ISO Market Settlement Validation & Resolution personnel.
- Scheduling Coordinator, Non-SC TO, Convergence Bidder and CRR Holder inquiries submitted to ISO Customer Experience.


3. Procedure Detail

3.1. Scheduling Inquires

Scheduling Coordinator inquiries to ISO Transmission Desk will be processed as described below:

Scheduling Coordinator (SC)
<p>1. Limit direct communication with the Transmission Desk to the following:</p> <ul style="list-style-type: none"> • Tag-related issues • Hourly checkout • Market status • Congestion management

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		Version No.	4.0
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ISO Transmission Desk
<ol style="list-style-type: none"> If a Scheduling Coordinator has a question related to post-market results or finances, ask them to: <ul style="list-style-type: none"> Transfer call to Customer Support Desk if available, if not; <ul style="list-style-type: none"> Open an IMS case in CIDI and/or Contact their client representative. Transfer call to Help Desk for logging and appropriate routing.

ISO 2nd Level Support
<ol style="list-style-type: none"> Investigate the issue, Contact the Market Participant or Scheduling Coordinator, as needed. When possible, resolve the issue <u>and</u>, if necessary, <ul style="list-style-type: none"> Follow up with the Scheduling Coordinator. If the issue cannot be resolved, <ul style="list-style-type: none"> Document the issue in CIDI <u>and</u> Report back to the Market Participant/Scheduling Coordinator with an approximate time of resolution.


3.2. Dispatch Inquires

Scheduling Coordinator inquiries to ISO Generation Dispatchers will be processed as described below:

Scheduling Coordinator (SC)
<ol style="list-style-type: none"> Limit direct communication with the ISO Generation Dispatcher to the following: <ul style="list-style-type: none"> Clarification of dispatch instructions System reliability emergencies Unit operating or performance constraints Personal/system/unit safety issues associated with dispatch instructions

ISO Generation Desk
<ol style="list-style-type: none"> If a Scheduling Coordinator has a question related to post-market results or finances, ask them to: <ul style="list-style-type: none"> Transfer call to Customer Support Desk if available, if not: <ul style="list-style-type: none"> Open an IMS case in CIDI <u>and/or</u> Contact their client representative. Transfer call to Help Desk for logging and appropriate routing.

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		Version No.	4.0
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CAISO Market Participant Inquires		Distribution Restriction: None	

ISO 2nd Level Support
<ol style="list-style-type: none"> 1. Investigate the issue, 2. Contact the Market Participant or Scheduling Coordinator, as needed. 3. When possible, resolve the issue <u>and</u>, if necessary, <ul style="list-style-type: none"> • Follow up with the Scheduling Coordinator. 4. If the issue cannot be resolved, <ul style="list-style-type: none"> • Document the issue in CIDI <u>and</u> • Report back to the Market Participant/Scheduling Coordinator with an approximate time of resolution.

3.3. Application Technology Inquires

This section describes how application/technologies inquiries from Market Participants and Scheduling Coordinators will be processed.

3.3.1. MP/SC Voice Communications


If voice communications for a Market Participant or Scheduling Coordinator are inoperative (either planned or unplanned), they should perform the following actions:

Market Participant, Scheduling Coordinator (SC)
<ol style="list-style-type: none"> 1. Using alternative communications, <ul style="list-style-type: none"> • Report the voice communications failure to the ISO Service Desk. • Call 1-888-889-0450 <u>or</u> • Send email to ISOHelpDesk@caiso.com. 2. Give the ISO Service Desk instructions on how to contact the Market Participant or Scheduling Coordinator until voice communications are restored.

ISO Service Desk
<ol style="list-style-type: none"> 1. Call the ISO Shift Manager Desk <u>and relay</u> the instructions on how to contact the Market Participant or Scheduling Coordinator.

Market Participant, Scheduling Coordinator (SC)
<ol style="list-style-type: none"> 1. Once voice communications have been restored, notify the ISO Service Desk.

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		Version No.	4.0
		Effective Date	6/01/2019
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3.3.2. ISO Voice Communications

If a Market Participant or Scheduling Coordinator believes voice communications are inoperative at either of the control rooms, they should perform the following actions:

Market Participant, Scheduling Coordinator (SC)
<ol style="list-style-type: none"> Report the voice communications failure to the ISO Service Desk. <ul style="list-style-type: none"> • Call 1-888-889-0450 <u>or</u> • Send email to ISOHelpDesk@caiso.com. Follow any instructions provided by the ISO Service Desk.

ISO Real-Time Operations
<ol style="list-style-type: none"> If voice communications at either of the Control Centers are inoperative, <ul style="list-style-type: none"> • Send an ADS message, Reliability messaging system message, Market Notice, and any additional email messages as necessary providing instructions on how to contact Real-Time Operations. Once voice communications have been restored at the respective Control Center, <ul style="list-style-type: none"> • Send ADS message, Reliability messaging system message, Market Notice, and any additional email messages to all external entities.


3.3.3. System Access/Availability Issue

If a Market Participant or Scheduling Coordinator cannot access an ISO System (where previously they had authorized access), the issue will be processed as follows:

Market Participant, Scheduling Coordinator (SC)
<ol style="list-style-type: none"> Do any of the following: <ul style="list-style-type: none"> • Call the ISO Service Desk at 1-888-889-0450 • Send email to ISOHelpDesk@caiso.com.

ISO Service Desk
<ol style="list-style-type: none"> Create or review an SMC ticket (creating an SMC ticket for a Market Participant or Scheduling Coordinator automatically generates a CIDI Ticket): <ul style="list-style-type: none"> • Resolve the issue; otherwise, <ul style="list-style-type: none"> ○ Assign the SMC ticket to the appropriate 2nd-level support team. • If the issue is time-sensitive or critical, <ul style="list-style-type: none"> ○ Escalate the ticket to 2nd-Level support.

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		Version No.	4.0
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ISO 2nd Level Support
<p>1. Investigate the issue,</p> <ul style="list-style-type: none"> • Contact the Market Participant or Scheduling Coordinator, as needed, <u>and</u> • Do one of the following: <ul style="list-style-type: none"> ○ Resolve the issue, update the SMC ticket (the corresponding CIDI ticket will be updated), and, if necessary, follow up with the Market Participant or Scheduling Coordinator. ○ Document the status of the issue and the expected resolution time/date in the SMC ticket (the corresponding CIDI ticket will be updated). ○ Continue to work on the issue until it is resolved or assigned to another ISO resource. ○ When the issue has been resolved, <ul style="list-style-type: none"> ▪ Follow up with the Market Participant or Scheduling Coordinator, if necessary.


ISO Real-Time Operations
<ol style="list-style-type: none"> 1. If the Service Desk or 2nd-Level Support reports a system is down or degraded, <ul style="list-style-type: none"> • Send a Market Notice Message stating the current system status and any actions to be performed by Market Participants/Scheduling Coordinators. 2. When the Service Desk or 2nd-Level Support reports system has been restored, <ul style="list-style-type: none"> • Send a Market Notice stating the system has been restored and to return to normal system operations.

3.3.4. ADS Down or Degraded

If the ISO Service Desk, 2nd-Level Support, or Real-Time Operations confirms ADS is down or degraded, Scheduling Coordinators should perform the following actions:

Scheduling Coordinator (SC)
<ol style="list-style-type: none"> 1. Maintain the most recent Dispatch Operating Target (DOT) received from ISO Real-Time Operations. 2. Do not go to the Day-Ahead Schedule unless instructed to do so by the ISO Generation Desk. 3. Respond to any manual dispatch instructions issued by ISO Real-Time Operations personnel. 4. Call the ISO Generation Desk to confirm any new ADS dispatches. 5. Watch for ISO Market Notices regarding ADS status or possible required actions.

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		Version No. 4.0
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Scheduling Coordinator (SC)
6. When the ISO sends a Market Notice indicating ADS has been restored, <ul style="list-style-type: none"> • Resume normal ADS operations.

3.3.5. EMS or RTN Down or Degraded


If the ISO Service Desk, ISO 2nd-Level Support, or ISO Real-Time Operations confirms EMS or RTN is down or degraded, Scheduling Coordinators should perform the following actions:

Scheduling Coordinator (SC)
<ol style="list-style-type: none"> 1. Call the ISO Generation Desk <u>and inquire</u> about any dispatch instructions. 2. Do the following: <ul style="list-style-type: none"> • Respond to any manual dispatch instructions issued by ISO Real-Time Operations personnel. • Watch for ISO Market Notices regarding system status or possible required actions. 3. When the ISO sends a Market Notice indicating EMS or RTN has been restored, <ul style="list-style-type: none"> • Resume normal operations.

3.3.6. SIBR Down or Degraded

If the ISO Service Desk, ISO 2nd-Level Support, or ISO Real-Time Operations Group confirms SIBR is down or degraded, Scheduling Coordinators should perform the following actions:

Scheduling Coordinator (SC)
<ol style="list-style-type: none"> 1. If SIBR is unavailable for the hourly market, <u>and</u> the hourly bids are not available, <ul style="list-style-type: none"> • Contact the Service Desk • Follow the instructions posted on OASIS under System Operating Messages <u>and/or</u> • Contact the Transmission Desk for reliability concerns. 2. If SIBR is down or inaccessible, <ul style="list-style-type: none"> • Contact the Service Desk <p>Note: <i>ISO Real-Time Operations <u>may</u> decide to hold the day-ahead schedule open until the issue is resolved, and then give Schedule Coordinators time to submit their day-ahead schedules. (This would be communicated via market messages.)</i></p>

 California ISO	Operating Procedure	Procedure No.	5140
		Version No.	4.0
		Effective Date	6/01/2019
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Scheduling Coordinator (SC)
3. When the ISO Real-Time Operations sends an ISO Market Notice indicating SIBR has been restored, <ul style="list-style-type: none"> • Resume normal operations.

3.4. Settlement Dispute Inquires

Scheduling Coordinators should contact the ISO Market Settlement Validation & Resolution Department regarding market settlement disputes.

Scheduling Coordinator (SC)
1. Open an SDS case in CIDI describing the settlement dispute.


ISO Market Settlement Validation and Resolution
1. Investigate the dispute, <ul style="list-style-type: none"> • Contact the Scheduling Coordinator, as needed. • Document the dispute in CIDI <u>and</u> • Notify the Scheduling Coordinator of the estimated date for resolving the dispute.

3.5. Business Inquires

Scheduling Coordinators, Non SC TOs, Convergence Bidders, and CRR Holders should contact their ISO **Customer Experience** for all business-related inquiries (**bid to bill**), including (but not limited to) the following:

- Post-Market Bid Results
- Settlements (other than disputes)
- Meter Data
- **Application Access**
- **Application Functionality**
- Contracts
- Agreements
- Credit and Collateral
- SC Certification
- Training

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Note: Business inquiries may include post-market questions about real-time dispatches related to market results or finances.

Market Participant, Scheduling Coordinator (SC)
1. If an issue is not related to critical or time-sensitive pre-market activities, <ul style="list-style-type: none"> • Open an IMS case in CIDI.

ISO Customer Experience
1. Set Expectations by providing a follow up date to client regarding when they can anticipate receiving an update on their issue. 2. Document the resolution and status in CIDI.

4. Supporting Information

Operationally Affected Parties

Shared with 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	
ISO Operating Procedure	
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.

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		Effective Date	6/01/2019
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The following additional terms are capitalized in this Operating Procedure when used as defined below:

CIDI	Customer Inquiry, Dispute and Information system.
IMS	Information Management System.

Version History

Version	Change	Date
3.1	Page 2: Changed "CAISO Real-Time Scheduler" to "Interchange Scheduler." Page 3: Changed "CAISO Real-Time Scheduler" and "Real-Time Schedulers" and "CAISO Real-Time Schedulers" to "Interchange Scheduler." Page 8: Changed "CAISO Day-Ahead Scheduler" to "Day-Ahead Market Operator."	12/16/2013
3.2	Section 3.3.2- Step 3: Replaced WECCNet with Reliability Messaging Tool (RMT). Step 4: Replaced WECCNet with RMT.	6/24/2016
3.3	Updated formatting and grammar. Updated ISO location references. Changed the role names used in this procedure to their new role names.	11/16/2016
4.0	Annual Review. Updated the following sections to reflect current process: Responsibilities Section, and Sections 2.1, 3.1, 3.2, 3.3.6 and 3.5. Updated title from ISO Client Relations to ISO Customer Experience. Replaced RMT with Reliability messaging system. Changed "Interchange Scheduling" to "Transmission" or "Transmission Desk". Minor formatting and grammar updates. Removed version history prior to 5-years.	6/01/19

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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 Procedure 5510.

Frequency

Annual

Appendix

No references at this time.