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		Version No.	6.3
		Effective Date	10/02/2019
Resource Performance Verification		Distribution Restriction: None	

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Purpose

This operating procedure describes roles, responsibilities, and actions for conducting performance audits and unannounced compliance testing as defined in Sections 8.9 and 34.18.1 of the CAISO Tariff:

Section 8.9:

“Availability of contracted and Self-Provided Ancillary Services and RUC Capacity shall be verified by the ISO by unannounced testing of resources, by auditing of response to ISO Dispatch Instructions, and by analysis of appropriate Meter Data, or Interchange Schedules.”

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Notes:

If a resource that offers Spin, Non-Spin, Regulation or RUC Capacity fails a performance audit or an unannounced compliance test:


- *The ISO will issue a warning notice to the Scheduling Coordinator for the resource and the resource owner (see Tariff section 8.9.16.1).*
- *On receipt of a warning notice, the resource owner, through its Scheduling Coordinator, may request the ISO to test the capability of the resource (see Tariff section 8.9.16.2).*
- *A warning shall remain in effect until the resource 1) passes a capacity test requested by the respective Scheduling Coordinator, 2) passes an unannounced compliance test administered by the ISO, or 3) six months have elapsed since the notification was issued. Note that a subsequent, fully compliant response to an ISO dispatch instruction will not be considered a successful capacity or compliance test, and any warning(s) will remain in effect until resolved as described above (see Tariff section 8.9.16.3).*
- *A resource that fails a second performance audit or unannounced compliance test during the period in which a warning is in effect will be disqualified immediately from providing Ancillary Services or RUC Capacity until the resource successfully completes the approval and certification process (see Tariff section 8.9.16.4).*
- *The ISO may suspend the technical eligibility certificate of a Scheduling Coordinator for a resource that repeatedly fails to perform (see Tariff section 8.9).*

A resource that fails an availability (unannounced compliance) test will be considered unavailable to provide the RUC Capacity or Ancillary Service concerned for the entire period the resource was committed to provide the service. The Scheduling Coordinator for a resource that fails an availability test shall not be entitled to a RUC Availability Payment or payment for the Ancillary Service concerned for the committed period and adjustments to reflect this shall be made in the calculation of payments to the Scheduling Coordinator (see Tariff section 8.10.7).

1. Responsibilities

ISO Resource Test Administrator	<ul style="list-style-type: none"> • Conduct performance audits of resources' response during contingency dispatches for ancillary services. • Monitor unannounced compliance testing. • Evaluate compliance test results and send results to the respective SC and resource owner. • As needed, send warning and de-certification notices to the respective SC and resource owner.
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	<ul style="list-style-type: none"> Initiate decertification process for non-compliant resources.
ISO Generation Desk	Conduct compliance testing for a Generator, Dynamic, or Load.
ISO General Counsel	Advise regulatory agencies of any RA Resources that fail performance audits or unannounced compliance testing.
ISO Transmission Desk	Conduct compliance testing for a non-dynamic Inertie Resource.
ISO Shift Manager Desk	Select and schedule resources for unannounced compliance testing.
Resource Operator	Operate resources as instructed by the ISO.

2. Scope/Applicability


2.1. Background

The CAISO Tariff gives the ISO the authority to audit and test resources that Bid or Self-Provide Ancillary Services (AS).

The ISO must assure that resources providing **services to the ISO** meet the ISO's technical requirements and that Market Participants are fairly compensated for **services** provided.

2.2 Scope/ Applicability

This procedure applies to all resources that Bid or Self-Provide Ancillary Services (AS). For the purposes of this procedure, the term "Test Resource" will refer to any Generating Unit, Participating Load, or System Resource that is subject to performance audits or unannounced compliance testing.

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3. Procedure Detail

3.1 Conduct Performance Audits

Complete the following actions to conduct a performance audit:

ISO Resource Test Administrator
<ol style="list-style-type: none"> 1. Review the performance results of resources dispatched for Ancillary Services during the past week. 2. Evaluate the performance results according to the performance metrics below for the respective resource type <u>and</u> 3. Determine whether each resource achieved the stated performance metric: <ul style="list-style-type: none"> <u>Generating Unit</u> <p>The performance audit for generation resources verifies a resource's ability to deliver its Ancillary Service Capacity in 10 minutes. For Generating Units providing Spinning or Non-Spinning Reserve, the ISO will use the resource's telemetry data to measure performance. Ten minutes after the start of the contingency dispatch, the resource must respond and deliver, at least 90% of the amount of Energy requested in the dispatch. For Generating Units providing Regulation Up and Regulation Down, the resource must reach a point of at least 90% of the highest or lowest set point sent to the resource during the ten-minute period of the Contingency Dispatch.</p> <u>Participating Load</u> <p>For Participating Loads, telemetry data will be used to audit the performance metric. Participating Loads must show a Load reduction of at least 90% of the amount requested in the contingency dispatch within 10 minutes.</p> <u>System Resource</u> <p>A system Resource, upon receipt of a contingency dispatch, is audited on its ability to deliver at least 90% of the amount requested within 10 minutes.</p> <u>RUC Capacity</u> <p>Any Generating Units, System Units, or Dynamic System Resources tested for RUC Capacity will be audited based on the standard for Undelivered RUC Capacity as described in CAISO Tariff Section 11.2.2.2.2 and the BPM for Compliance Monitoring Section 4.3.6.</p> 4. Document the performance audit results, including the following information: <ul style="list-style-type: none"> • Trade date, operating hour, and time of Dispatch Instruction. • MW or MWh Amount of Dispatch Instruction.

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ISO Resource Test Administrator
<ul style="list-style-type: none"> • Resource output based on telemetry, meter data, or Balancing Authority checkout values. • Performance metric calculation. • Audit pass or fail. <ol style="list-style-type: none"> 5. Email the performance audit results to the SC and resource owner. 6. Update the Resource Performance Verification Database. 7. If the resource failed the performance audit, <ul style="list-style-type: none"> • Send a warning notice (See Section 3.3). 8. If a RA resource failed the performance audit test, <ul style="list-style-type: none"> • Notify ISO General Counsel. 9. If the resource failed the performance audit during a period when a warning notice is in effect, <ul style="list-style-type: none"> • Immediately decertify the resource (See Section 3.4).

3.2 Plan and Execute Unannounced Compliance Testing


The ISO periodically verifies the availability and performance of Awarded and Self-Provided Ancillary Services and RUC Capacity through unannounced compliance testing of resources.

3.2.1 Select and Schedule Resources for Testing

Complete the following actions to select a test resource for unannounced compliance testing:

ISO Shift Manager Desk
<ol style="list-style-type: none"> 1. At any time when system conditions permit: <ul style="list-style-type: none"> • Refer to the Unannounced Testing reports sent from ASNotifications. • Select one or more resources with Day-Ahead AS Capacity Schedules or RUC Capacity. <p style="margin-left: 40px;"><i>Note: Give priority to those resources with the longest interval between the current date and the date logged as shown in the weekly Performance Verification report sent from ASNotifications.</i></p> <ul style="list-style-type: none"> • Schedule unannounced compliance testing- 2. Do one of the following: <ul style="list-style-type: none"> • For non-dynamic inertia resources,

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ISO Shift Manager Desk
<ul style="list-style-type: none"> ○ Notify the ISO Transmission Desk of the planned date and time for unannounced compliance testing. • For all other resource types, <ul style="list-style-type: none"> ○ Notify the ISO Generation Desk of the planned date and time for unannounced compliance testing.


3.2.2 Conduct Compliance Tests

Complete the following actions to conduct an unannounced compliance test:

ISO Generation Desk, ISO Transmission Desk
<ol style="list-style-type: none"> 1. Verify the test resource meets system conditions. 2. Verify the test resource is not affected by any outages/flow limits that prevent any resource from delivering AS services. 3. Verify the test resource has a Real-Time Ancillary Service Schedule or RUC Capacity. 4. Verify the telemetry of the test resource is complying with current Dispatch Instructions. 5. If the conditions specified in Steps 1 - 4 are satisfied: <ul style="list-style-type: none"> • Approve the test resource for dispatch if system condition allows, <u>or</u> • Cancel the planned unannounced testing and notify the ISO Shift Manager Desk.


ISO Generation Desk
<ol style="list-style-type: none"> 1. If the test resource approved for Dispatch, <u>is a Generator, Dynamic or Load and is for a test of Spin, Non-Spin or RUC reserve capability:</u> <ul style="list-style-type: none"> • Call the SC for the resource and inform them that the ISO is initiating an Unannounced AS Compliance Test. • Issue a verbal AS Test Dispatch to a MW value equal to their bid-in 10-minute ramping capability or the amount of the current AS award. <p>“This is (state your name) from the California ISO. This is an Unannounced AS Compliance Test and I am initiating a verbal AS Test Dispatch on (Resource ID) for the (SPIN/NSPN/RUC) award in the amount of (MW). The test will begin at the conclusion of this phone call. We will contact you by phone to end the test. Please repeat back these instructions”.</p>

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ISO Generation Desk
<ul style="list-style-type: none"> • Record the Verbal Dispatch Instruction in the market ED tool, <ul style="list-style-type: none"> ○ Using Instruction Type: ASTEST. • If the Market Software is unavailable, <ul style="list-style-type: none"> ○ Log the Dispatch Instruction as <ul style="list-style-type: none"> ▪ A Log Type: Generation Desk, ▪ Title: EDE Instructions for Generators/Correction-96 Hour and Exceptional Dispatch ▪ Using Instruction Type: ASTEST. <p style="margin-left: 40px;"><i>Note: Ensure resources are appropriately accounted for in the EMS Reserve Monitor. A manual entry of negative offset may be necessary. The resource will be dispatched for Energy from the Spin, Non-Spin Capacity or RUC Capacity according to the Ramp Rate and Start-Up time specified in the Energy Bid submitted for that hour.</i></p> <p>2. If the test resource approved for Dispatch, <u>is a Generator, and is a test for AGC (Regulation) reserve capacity:</u> (The Generator must have been awarded sufficient regulation (by amount and duration) in order to be tested.</p> <ul style="list-style-type: none"> • Make a note of the ISO Reg High and ISO Reg Low parameters indicated on the AS Test display. • Determine whether the Unit has sufficient room to move up or down by comparing the current MW value against the limits): <ul style="list-style-type: none"> ○ On an EMS Workstation, <ul style="list-style-type: none"> ▪ Call up the AGC Generation Summary. • Search for the Generating Unit to be tested in the upper-left part of the Generation Summary display. • You can quickly find the Unit by: <ul style="list-style-type: none"> ○ Using the in-line filter on the Generation Summary display ○ Verify the current AGC status of the Unit as follows: <ul style="list-style-type: none"> ▪ Unit Ctrl Mode Column = AUTO ▪ Operating Mode Column = AUTO • Click on the pencil to edit • Under the User Ctrl Mode column, <ul style="list-style-type: none"> ○ Select "MBP" from the pull-down list. ○ Enter desired value in the MBP column, to reflect the target MW value to ramp the Unit either up or down. The MBP target value must be within the boundaries of the Reg Hi and Reg Low limits. ○ After updating User Ctrl Mode and MBP Columns, <ul style="list-style-type: none"> ▪ Click the Update button.


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ISO Generation Desk
<ul style="list-style-type: none"> ○ Make a note of the start time of the ramp. ● When the Unit finishes ramping, <ul style="list-style-type: none"> ○ Enter the target MW value in the MBP column to ramp the Unit in the other direction. <ul style="list-style-type: none"> ▪ Make a note of the start time of the ramp. ● When the ramping test is completed, <ul style="list-style-type: none"> ○ Place the User Ctrl Mode back to the original setting (i.e. AUTO). ○ Set the manually replaced value in the MBP column back to "0".

ISO Transmission Desk
<p>1. If the test resource approved for Dispatch, <u>is a Static Intertie Resource, and is for test of Spin or Non-Spin reserve capability:</u></p> <ul style="list-style-type: none"> ● Coordinate with the ISO Generation Desk to determine acceptable time to initiate AS Compliance Test. ● Determine current NSI. This value will change when new test scheduled is implemented. ● Call the SC for the resource <u>and</u> <ul style="list-style-type: none"> ○ Inform them that the ISO is initiating an Unannounced AS Compliance Test. <p>“This is (state your name) from the California ISO. This is an Unannounced AS Compliance Test and I am initiating a verbal AS Test Dispatch on (Resource ID) for the (SPIN/NSPN) award in the amount of (MW) on the (Tie Point Name) and for Hour Ending (HE). The test will begin at the conclusion of this phone call. We will contact you by phone if necessary to end the test. Please repeat back these instructions.”</p> ● Issue a verbal AS Test Dispatch to a MW value equal to their current AS Award indicated on the E-Tag. ● Remind the Scheduling Coordinator that the ISO is expecting the capacity E-Tag to be updated with the corresponding energy MW amount required by the test as soon as possible but no later than ten minutes after the conclusion of the call. ● Confirm implementation of E-Tag and verify Interchange transaction scheduler and WIT match <u>and</u> ● Verify new NSI to EMS and <u>only</u> push to EMS when necessary <u>or</u> after abnormal delay.


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ISO Transmission Desk
<ul style="list-style-type: none"> • Record the verbal Dispatch Instruction in the Market ED tool using Instruction Type: ASTEST. • If the Market Software is unavailable, <ul style="list-style-type: none"> ○ Log the Dispatch Instruction as <ul style="list-style-type: none"> ▪ A Log Type: Generation Desk, ▪ Title: EDE Instructions for Generators/Correction-96 Hour and Exceptional Dispatch ▪ Using Instruction Type: ASTEST. <p><i>Note: The resource will be dispatched for Energy from the Spin, Non-Spin Capacity or RUC Capacity according to the Ramp Rate and Start-Up time specified in the E-Tag.</i></p>

Resource Operator
<ol style="list-style-type: none"> 1. Upon receiving a verbal AS Test Dispatch from an ISO Generation Desk or Transmission Desk, <ul style="list-style-type: none"> • Perform the actions below for the respective resource type (Generating Unit, Participating Load, or System Resource): <p><i>Note: As per Tariff Section 11.5.6.4, the resource owner will be compensated at the maximum of the applicable FMM or RTD LMP, or the Default Energy Bid Price, whichever is higher. However, the test resource will not set the LMP for any of the time intervals for which the unannounced AS compliance test is in effect.</i></p> <p><u>Generating Units (includes Dynamic System Resources)</u></p> <p><u>Generating Unit Dispatched from Spinning Reserve:</u></p> <ol style="list-style-type: none"> 1. Ramp up to the MW amount of the Dispatch Instruction in accordance with the resource's Bid for Energy within 10 minutes. 2. Deliver Energy, in MWh, in accordance with the start-up time and Ramp Rate in the resource's Bid for Energy. <p><u>Generating Unit Dispatched from Non-Spinning Reserve:</u></p> <ol style="list-style-type: none"> 1. Connect to the grid <u>and</u> 2. Ramp up to the MW amount of the Dispatch Instruction in accordance with the resource's Bid for Energy within 10-minutes.


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Resource Operator
<p>3. Deliver Energy, in MWh, in accordance with the start-up time and Ramp Rate in the resource's Bid for Energy.</p> <p><u>Generating Unit Dispatched for its RUC Capacity:</u></p> <ol style="list-style-type: none"> For Fast Start Units, <ul style="list-style-type: none"> Connect to the grid <u>and</u> Ramp up to the unannounced Dispatch Instruction. For non-Fast Start Units, <ul style="list-style-type: none"> Ramp up to the unannounced Dispatch Instruction. <p><u>Participating Load Dispatched from Non-Spinning Reserve</u></p> <ol style="list-style-type: none"> Reduce Demand to the MW amount of the Dispatch Instruction in accordance with the resource's Bid for Energy within 10-minutes. Deliver reduction in Energy, in MWh, in accordance with the Ramp Rate in the resource's Bid for Energy. <p><u>System Resource Dispatched from Spinning or Non-Spinning Reserve</u></p> <ol style="list-style-type: none"> Affirmatively respond to the MW amount of the Dispatch Instructions. Update the capacity E-Tag (if any) to include energy profile MW amount as soon as possible, but no later than 10-minutes after the end of the call with the ISO System Operator. Deliver Energy, in MWh, in accordance with the Ramp Rate in the resource's Bid for Energy.

ISO Generation Desk, ISO Transmission Desk
<ol style="list-style-type: none"> Determine acceptable time to terminate AS Compliance Test. (Transmission Desk to coordinate with Generation Desk) <p>The unannounced compliance testing ends by a Verbal Instruction to the Test Resource or continues until the end of the trade hour if Test Resource is on a tie.</p> <p><i>Note: Tariff Appendix K requires AS resources to be deliverable for a minimum of 30 minutes from the time the resource reaches its award capacity.</i></p> Send an email to the ISO Shift Manager Desk, the ISO Resource Test Administrator (ASNotifications@caiso.com) and isopostprocessgroup@caiso.com <ul style="list-style-type: none"> Stating that compliance testing for each test resource has been completed.

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ISO Generation Desk, ISO Transmission Desk
<ul style="list-style-type: none"> Be sure to include detailed notes regarding Start Time hh:mm:ss, End Time hh:mm:ss, Ancillary Service Type, Award MW and Go to MW (Target MW).

3.2.3 Evaluate Test Results

The ISO Resource Test Administrator evaluates and documents the results of the compliance testing, and sends the tests results to the SC and test resource owner.

ISO Resource Test Administrator
<ol style="list-style-type: none"> Evaluate the test results according to the performance metrics, outlined in Section 3.1 above for the respective resource type and service, <u>and</u> Determine whether the resource passed or failed the compliance test. Document the test results, including the following information: <ul style="list-style-type: none"> Trade date, operating hour, and time of unannounced AS or RUC Capacity test Dispatch Instruction. MW or MWh Amount of Dispatch Instruction. Resource output based on telemetry, meter data, or Balancing Authority checkout values. Performance metric calculation. Compliance testing passed or failed Email the compliance test results to the SC and resource owner. Update the Resource Performance Verification Database. If the resource failed the compliance test, <ul style="list-style-type: none"> Send a warning notice (see Section 3.3 following). If an RA resource failed the compliance test, <ul style="list-style-type: none"> Notify ISO General Counsel. If the resource failed the compliance test during a period when a warning notice is in effect, <ul style="list-style-type: none"> Immediately decertify the resource (see Section 3.4 following).

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3.2.4 Send Warning Notice

Take the following actions if a Spin, Non-Spin, Regulation, or RUC capacity resource fails a performance audit or an unannounced compliance test.


ISO Resource Test Administrator
<p><u>Warning Notice:</u></p> <ol style="list-style-type: none"> 1. Upon failing a performance audit or unannounced compliance test, <ul style="list-style-type: none"> • Send a warning notice to the resource owner/operator, the Scheduling Coordinator for the resource, and the Scheduling Coordinator’s ISO Client Representative, along with the performance audit or compliance test results. <p><i>Note: The warning notice will remain in effect until: 1) the resource is re-tested for the Ancillary Service or RUC Capacity by request from the SC or by the ISO as part of unannounced compliance testing or 2) six calendar months have elapsed since the notification was issued. In the Resource Performance Verification Database, enter the date on which the resource was issued a warning notice (this is the date on which a warning is in effect for the resource).</i></p>

3.2.5 Decertify a Resource

If a Spin, Non-Spin, Regulation, or RUC capacity resource fails a performance audit or unannounced compliance test during the period when a warning notice for that resource is in effect, the ISO will immediately begin the decertification process.

ISO Resource Test Administrator
<ol style="list-style-type: none"> 1. Send email to ISO Management stating the resource is subject to immediate decertification (attach relevant resource information from the Resource Performance Verification Database). 2. Upon receiving approval from ISO Management, <ul style="list-style-type: none"> • Decertify the resource (Complete the remaining actions below). • Send a letter to the Scheduling Coordinator for the resource, the resource owner/operator, and the Scheduling Coordinator’s ISO Client Representative <ul style="list-style-type: none"> ○ Stating that the ISO has initiated the decertification process for the resource for the affected service, along with the performance audit or compliance test results. 3. In the Resource Performance Verification Database, <ul style="list-style-type: none"> • Enter the date on which the resource was issued the letter.

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ISO Resource Test Administrator
<p>4. Open a Change Request,</p> <ul style="list-style-type: none"> • Requesting that the AS Service Flag for the resource in Master File be set to "No". <p>5. Once Master File has been updated (AS Service Flag = No),</p> <ul style="list-style-type: none"> • Update the Resource Performance Verification Database with the date on which the resource was decertified.

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	Sections 8.9, 8.10, and Appendix K
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.

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

LMP	Locational Marginal Price
RA Resource	Resource Adequacy Resource

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SC	Scheduling Coordinator
System Resource	An individual or group of resources located outside the ISO Balancing Area capable of providing Energy and/or AS and/or RUC Capacity to the ISO controlled grid
Test Resource	Any Generating Unit, Dispatchable Load, or System Resource that is subject to Unannounced compliance testing
Unannounced Compliance Test	A test that is not announced prior to the dispatch of a Generating Unit, Participating Load, or System Resource for its ability to deliver the correct amount of Ancillary Service or RUC Capacity
RUC Capacity	Residual Unit Commitment Capacity

Version History

Version	Change	Date
5.0	Changes made throughout entire procedure to incorporate procedures for performance audit of Regulation resources based on FERC Order 755. Additional changes made to Section 3.2.2 to clarify Generation Dispatcher/RT Scheduler actions.	4/10/2013
5.1	Replaced Real-Time Scheduler and RT Scheduler with Interchange Scheduler.	1/09/2014
5.2	Changed reference of CAS to Interchange transaction scheduler in Section 3.2.2, Step 6b. Changed all instances of actions for RTO Alhambra Manager to Shift Supervisor.	10/15/2014
5.3	Page 10 added information about putting ED directly in to the software.	5/15/2015
6.0	Updated schedulers section to include Exceptional Dispatch logging in SLIC and recording in the market software. Updated procedure "Purpose" descriptions. Added distribution list for proper communication with downstream systems. Changed role and title names used in this procedure to their new role and title names. Updated formatting and grammar. Changed all references of CAISO to ISO. Made major changes throughout to role responsibilities (highlighted) - Sections: 3.1, 3.2.1, 3.2.2, 3.2.3	2/17/2017
6.1	Section 3.2.2: Resource Operator Action Table: Updated note. Section 3.3: Corrected Note to match wording in the Notes area of the Purpose section.	8/25/2017
6.2	Updated Section 3.2.2 Conduct Compliance Tests to clarify operator and resource owner role.	10/01/2018

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	Replaced A/S with AS. Minor format and grammar updates throughout. Removed version history prior to 3-years.	
6.3	Updated Purpose with section references. Replaced Interchange Scheduler with Transmission Desk throughout. Section 2.1: Replaced AS references with services. Section 3.2.2: Updated to reflect changes within the new EMS. Minor grammar and format changes throughout.	10/02/2019

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.