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Purpose

This procedure provides guidelines for:

- Reviewing and standardizing California ISO (CAISO) Operating Procedures.
- The formalized document control program used to maintain accurate and up-to-date versions of CAISO Operating Procedures.
- Determining which CAISO Operating Procedures are public and which have limited distribution.
- CAISO Procedure Control on how to facilitate limited distribution.
- Exchange of CAISO or Other Entity Operating Procedures that affect CAISO Operations or Other Entity Operations.

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1. Responsibilities

CAISO Subject Matter Expert (SME)
CAISO Procedure Content Owner
CAISO Procedure Control Desk (PCD)
Operationally Affected Parties

2. Scope/Applicability

2.1 Background

CAISO Operating Procedure documents can be categorized as Non-Regional (with numbering 1000 – 5000) and Regional (with numbering 6000 – 8000) Operating Procedures. These documents are maintained in standardized templates (Regional and Non-Regional), which use a consistent style guide. These documents may be supported by appendices, which can also be referred to as “attachments”.

CAISO Operating Procedure documents provide implementation level details and business rules, which are consistent with the policies and rules provided in the CAISO Tariff, Business Practice Manuals, NERC standards, and other regulatory guidelines. In general, CAISO Operating Procedure documents shall not duplicate content contained in policy or regulatory level documents, except to the extent where quoting the source or adding a reference in a footnote provides clarity.

2.2 Scope/ Applicability


This procedure provides the guidelines necessary to review and revise procedures to keep Operating Procedures standardized and current. These guidelines should be followed anytime there is cause for the revision of an Operating Procedure or when an Operating Procedure needs to be standardized.

Distinction between Tariff and Operating Procedures

It is the policy of the CAISO to distinguish between rules and policies appropriately contained in the CAISO Tariff and BPMs, and those contained in Operating Procedures that merely implement the policies and authorities contained in the Tariff and BPMs.

CAISO Accessibility

It is the policy of the CAISO to maintain printed and electronic copies of currently effective versions of the Operating Procedures, and to provide accessibility to these procedures to all CAISO Operations Division personnel. This is accomplished by posting current effective versions of CAISO Operating Procedures on the CAISO Intranet Website as PDF, Excel, or

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Word document files, as appropriate. The Intranet Website is synchronized with the CAISO Internet Website www.caiso.com and the RC Portal to avoid any disparities between versions of Operating Procedures.

Operationally Affected Party Accessibility

It is the policy of the CAISO to provide public access to information, and to provide for Stakeholder input into decisions affecting their interests. Public access to information (Operating Procedures) is provided through the CAISO Internet Website www.caiso.com.

CAISO Operating Procedures that do not contain information that is system security sensitive, market sensitive, or third-party proprietary, will be posted on the CAISO Internet Website.


When public posting is precluded by the criteria mentioned above, the RC Portal is utilized to publish limited distribution of procedures and share with Operationally Affected Parties. When public posting is precluded by the criteria mentioned above, the CAISO Operating Procedures will be made available to the appropriate Operationally Affected Parties by e-mail with either a link to the procedure on the RC Portal or as a PDF, Excel, or Word document file attachment. Consultants, lawyers, or representatives of Operationally Affected Parties are not Operationally Affected Parties for purposes of distribution.

Distribution should be limited to identified representatives with a demonstrated need to know. Consideration will be given to the segmentation of sensitive information into separate attachments so that the remainder of a procedure can be made public.

The CAISO Operating Procedures posted on the Internet Website shall be considered the official effective version and will indicate the version numbers and the effective dates of the current procedures.

Involvement of Operationally Affected Parties

For major changes with impacts to customer processes, the CAISO will solicit and consider feedback from Operationally Affected Parties for the development and revision of CAISO Operating Procedures. The CAISO will maintain a page on its Internet Website for public access, giving Stakeholders the opportunity to comment on draft Operating Procedures, make suggestions with respect to the need for new Operating Procedures, or present concerns regarding existing Operating Procedures. When soliciting feedback for non-public Operating Procedures, the draft Operating Procedures will be made available to the appropriate Operationally Affected Parties by e-mail attachment or email with a link to a secure website (e.g., RC Portal).

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Security

Maintenance of approved Operating Procedures in the CAISO's document control application, "SharePoint" provides a secure base for all Operating Procedures.

The CAISO makes public all Operating Procedures within its control except for information that is:

- System Security Sensitive
- Proprietary
- Market Sensitive


The CAISO distributes new and revised Operating Procedures to operationally affected parties as soon as possible. The CAISO will not distribute documents provided by other entities to third parties. If third parties desire documents owned by other entities, they should request those documents directly from that document owner.

3. Procedure Detail

3.1 Review Guidance

CAISO personnel and Operationally Affected Parties consider the following guidelines when reviewing a CAISO document:

- **Verify** accuracy of content by discussing with operators and/or other roles involved in the process.
- **Consider** sensitivity of the information in the document and whether appropriate distribution restrictions have been applied. If needed, **consider** maintaining sensitive information in separate attachments so that the remainder of a procedure document can be made public.
- **Determine** if any policy, regulatory, software or BES changes have occurred since the last review, which might affect the document, and **revise** accordingly.
- **Consult** other departments or subject matter experts as needed for clarification.
- **Verify** **that** all cross-references to other procedures are accurate.
- **Verify** that included graphics or other artifacts are useful, accurate, and presented in a usable manner.
- **Ensure** version history table includes a description of changes.

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3.2 Style and Format

CAISO Procedure Control Desk considers the following guidelines to ensure consistent style and formatting is applied to procedure documents:

- When used in context of actions or steps, **bold** verbs to highlight and clarify what needs to be done.
- **Use** italics for *notes* and **bold** the word **Note**.
 - Example: **Note:** *This is more information, and although it is not an action, it is still useful for the reader.*
- **Avoid** overuse of highlighting, **bolding**, underlining, *italics*, ALL CAPS, or other formats, which might confuse or distract the reader.
- When using abbreviations and/or acronyms, **spell** out the word the first time it is used, followed by the abbreviation or acronym in parenthesis.
- **Highlight** all changes throughout the document in yellow to help the reader in easily detecting changes.


Note: *If a document or a section has been completely rewritten, and the highlighting becomes excessive, then do not use yellow highlighting. Include a statement in Version History, which indicates “major re-write, yellow highlighting not used.”*
- **Update** the table of contents and quality check the outline of the document.
- **Summarize** changes in the Version History section and ensure the revision date matches the Effective Date in the document header.

3.3 Internal Review of CAISO Procedure Documents

Take the following actions to internally review document changes:

- **Evaluate** scope of review needed:
 - Minor changes and Annual or Periodic Review – route to applicable CAISO Leads and/or Managers and content owner.
 - Major changes – route to applicable CAISO Leads and/or Managers, content owner and Directors.

Note: *If a procedure document change needs to be released immediately and cannot wait for full review, then consult with management to determine if partial review is acceptable, and/or if the procedure document can be released as “Interim – Pending Final Approval.”*

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3.4 External Review of CAISO Procedure Documents

In accordance with the CAISO Tariff, the CAISO shall facilitate reviews of new and revised procedure documents with the appropriate departments and operationally affected parties, when needed.

The CAISO presents revisions as minor changes if there are no policy, process or software impacts. Minor changes are generally aesthetic or help provide clarity. CAISO departments and operationally affected parties can provide feedback regarding minor changes and **should** inform CAISO Procedure Control Desk if they do not agree that the presented revisions are minor in nature.

The CAISO facilitates discussions, impact analysis and review periods with the appropriate departments and operationally affected parties for major changes, which could potentially result in changes to methodologies, processes, software, and/or other related documents.

In some instances, the CAISO will facilitate a public outreach process to provide opportunities for review of redlined draft of public procedures and feedback, and will post draft procedure documents to its public website www.caiso.com, as appropriate. When applicable, the CAISO will post redlined draft documents to the RC Portal for review to aid the reader (affected parties) in easily detecting changes. If a redline version is not posted, interested parties can contact CAISO Procedure Control Desk for that specific effort and/or email CAISO procedurecontrol@caiso.com.

3.5 Procedure Deployment and Distribution


The CAISO maintains copies of its currently effective procedure documents versions in locations accessible to CAISO personnel. In accordance with CAISO Tariff Section 22.11, the CAISO provides public access to procedure documents whenever possible. CAISO documents which do not contain information that is 1) system or security sensitive (i.e., Critical Energy Infrastructure Information) or 2) third party proprietary information, are posted on the CAISO Internet Website www.caiso.com.

CAISO procedure documents, which contain sensitive or proprietary information, have distribution restrictions and access is limited to operationally affected parties. These documents are posted on the secure RC Portal site at rc.caiso.com / [Libraries](#) / [BA/TOP Operating Procedures](#) and/or distributed via email to operationally affected parties, which do not have access to the secure site. Distribution is limited to identified operationally affected parties.

Note: Consideration is given to the segmentation of sensitive information into separate attachments so that the remainder of a CAISO procedure document can be made public.

CAISO procedure documents posted on the public website www.caiso.com and the secure RC Portal site shall be considered the official effective versions and indicate the version numbers and effective dates.

*This document is controlled when viewed electronically.
When downloaded or printed, this document becomes UNCONTROLLED.*

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CAISO Procedure Control Desk ensures **that** public and operationally affected parties are notified when new or revised procedure documents are published.

- Public notifications are issued via Daily Briefings, and operationally affected parties are responsible for maintaining their subscriptions to these notices.
- Operationally affected parties with access to the secure RC Portal site are notified via email **with a link to the procedure in the BATOP Operating Procedures library.**
- Interested individuals may also subscribe to library or document level notifications.


If an entity believes that they are operationally affected by a distribution restricted CAISO procedure document, submit a written request via CIDI (Customer Inquiry, Dispute and Information system) or an email to procedurecontrol@caiso.com identifying:

- Specific document being requested,
- Name of requesting entity(ies) as well as the names and positions of the individuals that need access,
- Business justification which supports why the entity is an operationally affected party,
- Confirmation that each individual does not perform a merchant function on behalf of the requesting entity.

The CAISO reviews requests for access to restricted procedure documents with appropriate personnel and operationally affected parties, if applicable.

- The CAISO will provide a response to the requestor within ten (10) business days. The response will indicate whether it is still under review, or if access has been approved or denied.
- If access is provided, the CAISO may propose conditions or controls such as a non-disclosure agreement, extracted or redacted content, revisions to the procedure document, or other appropriate means.
- If it is determined that the requesting entity is operationally affected, then access will be provided within thirty (30) days of the written request, subject to agreed-upon controls.

The CAISO will not distribute documents provided by other entities to third parties. If third parties desire documents not owned by the CAISO, then the document owner should be contacted directly by the requesting party.

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4. Supporting Information

Operationally Affected Parties

Shared on the Internet.

References

Resources studied in the development of this procedure and that may influence some steps taken herein include, but are not limited to:


CAISO Tariff	Sections 13.3.9, 20.3 and 22.11.
CAISO Operating Procedure	
NERC Requirements	EOP-005-3
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:

Subject Matter Expert (SME)	An expert from one of various fields and departments within the CAISO assigned to assist in the development and review of an Operating Procedure, and to make recommendations to the Drafter, the Operations Implementation Specialist, and the Directors.
Director	One of the departmental Directors of the CAISO Operations Division or other affected CAISO Divisions. The Directors of the affected departments will review and approve an Operating Procedure to make it effective.
CAISO Operating Procedure	An authorized document that details the procedures and processes necessary to implement the policies and authorities contained in the CAISO Tariff.
CAISO Procedure Control Desk	The CAISO representative responsible for developing and managing the CAISO Operating Procedure Management Program.
Limited Distribution	Distribution to Operationally Affected Parties via e-mail of PDF files, internal CAISO Hard Copy Distribution, or CAISO Intranet posting.

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Major Revision	An update or revision that effectively and materially changes procedures and/or operational decision-making and therefore requires formal review and authorization. Major Revisions are identified by the digit to the left of the point in the Version number.
Market Sensitive	Any procedure that contains information that could benefit or harm a particular entity or give an unfair advantage to an entity and therefore should not be released to either the public or any party that may use that information.
Minor Revision	An update or revision that does not effectively or materially change procedures and/or operational decision-making and therefore does not require formal review and authorization. Minor Revisions are identified by the digit to the right of the point in the Version number. Minor Revisions include seasonal Nomogram and table updates, clarifications, additional instructions, necessary corrections, Annual or Periodic Review with minor changes , and format changes.
Operationally Affected Party (OAP)	Entities that are operationally affected by implementation of, or proposed changes to, a CAISO operating procedure. An entity is "operationally affected" if the implementation of, or proposed changes to, would require a change in the operation of that entity's processes, procedures, and/or facilities. In the context of CAISO procedure documents, operationally affected parties will generally include impacted Balancing Authorities, Transmission Operators, Transmission Planners, Transmission Service Providers and Planning Coordinators.
Proprietary	Proprietary procedures include those that deal specifically with the operation of a single party. Proprietary information includes that information owned by a specific party and provided to the CAISO for use in the development of procedures.
Sensitive procedure	Any CAISO Operating Procedure that contains Market Sensitive, System Security Sensitive, or Proprietary information.
System Security	Any procedure that contains information that could be used by any public party to threaten or jeopardize the reliability of the CAISO Controlled Grid and therefore should not be released to the public.

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Version History

Version	Change	Date
5.0	Changed title of the procedure and combined content with procedures 5510, 5520, 5520A, 5520B, 5520C, 5530 procedures. Removed the term “Interim Operating Instruction,” removed references to combined procedures throughout and removed technical review and approval sections. Format and grammar updates throughout.	1/31/19
6.0	Periodic Review - Major update. Sections 1 & 2: Various updates made. Section 3: Revised and reduced content, extracting content to be included in an internal CAISO Desktop Procedure. Removed references and definitions that are no longer applicable. Replaced ISO with CAISO throughout. Updated review frequency to 3 years. Minor format and grammar updates and removed history prior to five years.	2/25/21
6.1	Purpose section: Spelled out first instance of CAISO. Section 3.1: Minor edit replacing RC with CAISO. Minor edit made in Version History with Version 6.0. Section 5: Updated Review Criteria and Frequency subsections.	7/28/22
6.2	Periodic Review: Minor edits based on current process changes.	4/09/24
6.3	Sections 2.2, 3.4, and 3.5: Minor edits for clarity and to reflect current process. References: Included NERC Standard EOP-005-3. Definitions: Minor edit under “Minor Revision.” Minor formatting and grammar edits.	6/25/25


5. Periodic Review Procedure

Review Criteria & Incorporation of Changes

Generally, the CAISO will strive to review procedures at least once every three years. When a Tariff or Regulatory Requirement asks to review in a different frequency then the review will follow required frequency.

Frequency

Every three (3) years.

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Appendix

No references currently.