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## Purpose

This procedure provides guidelines for:

- Change management for Reliability Coordinator (RC) Operating Procedures, Methodologies and Operating Guides
- Distribution of RC Operating Procedures, Methodologies and Operating Guides
- Document exchange with other entities such as Balancing Authorities, Transmission Operators and neighboring Reliability Coordinators

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## 1. Responsibilities

CAISO RC  
RC Working Groups  
Operationally Affected Parties  
RC Oversight Committee  
CAISO Procedure Control Desk

### 1.1.1. CAISO RC

- Creates new RC Operating Procedures and Methodologies
- Creates new Operating Guides in collaboration with operationally affected parties
- Reviews new RC documents and major changes with the appropriate working groups and operationally affected parties and provides opportunities for edits and feedback
- Informs appropriate working groups of minor implemented changes
- Informs RC Oversight Committee of RC document changes
- Manages urgent new or revised RC documents which are driven by NERC Alerts or other regulatory mandates, and informs the RC Oversight Committee and appropriate working groups. Works with the appropriate working group and operationally affected parties for post review and further revisions through the normal process.
- Facilitates periodic reviews of existing RC documents with appropriate working groups and operationally affected parties per a routine schedule or as needed


### 1.1.2. RC Working Groups

- Collaborates with CAISO RC on new RC Operating Procedures and Methodologies
- Reviews major and minor changes and provides edits and feedback
- Participates in periodic review processes and provides edits and feedback
- Approves new procedures, major and minor changes
- Working Group Chair escalates to RC Oversight Committee to request guidance if unable to resolve within working group activities

### 1.1.3. Operationally Affected Parties

- Collaborates with CAISO RC on new Operating Guides

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- Reviews and provides edits and feedback to major and minor changes to Operating Guides
- Participates in periodic review processes and provides edits and feedback

#### 1.1.4. RC Oversight Committee

- Adds RC document related items to future meeting agendas
- Discusses and provides feedback for unresolved working group issues
- Requests additional information from working groups as needed
- Determines if revisions need Oversight Committee approval, further action or no action
- Provides opinions and decisions related to RC documents to CAISO RC
- Approves new Operating Procedures and Methodologies
- Provides guidance and direction to working groups as needed or requested

#### 1.1.5. CAISO Procedure Control Desk

- Provides guidance regarding use of RC document templates and application of style guide
- Facilitates internal CAISO review of RC documents
- Performs quality review after content is finalized
- Ensures consistent record of RC document approvals and publication


## 2. Scope/Applicability

### 2.1. Background

CAISO RC documents can generally be categorized as Operating Procedures, Methodologies and Operating Guides. These documents are generally maintained in standardized templates, which use a consistent style guide. These documents may be supported by appendices, which can also be referred to as “attachments”.

CAISO RC 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 RC documents shall not duplicate content contained in policy or regulatory level documents,

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except to the extent where quoting the source or adding a reference in a footnote provides clarity.

RC documents are prepared, maintained and distributed in a manner which is consistent with CAISO Tariff sections 22.11 Operating Procedures and BPM Development and Amendment and 22.11.3 Requests for and Access to Nonpublic Operating Procedures.

## 2.2. Scope/ Applicability

This procedure provides the guidelines necessary for RC document revision, review, approval, and publishing. These guidelines should be followed anytime there is cause for the revision of an RC document.

## 3. Procedure Detail

### 3.1. RC Document Categories

#### **CAISO RC Operating Procedures and Methodologies**


These documents contain overarching processes and principles that impact all Balancing Authorities (BAs) and Transmission Operators (TOPs) in the CAISO RC area or support specific CAISO RC operations processes. Examples of these documents include SOL Methodology, Outage Coordination Process, SOL/ IROL Mitigation (in general, not area specific), Communications Testing, Real Time Event Notifications, IRO-010 Data Specifications, etc.

Documents in this category generally only undergo major revisions when there are NERC/ WECC or other regulatory changes or if policy or process changes are needed or requested through the working group processes. Major changes to these documents could result in impacts to BA and TOP processes and/or systems, and as such they should be approved by the assigned working groups. Procedures which support specific CAISO RC operations processes may not result in changes to BA and TOP processes, but are handled in a consistent manner in order to ensure impact analysis is performed prior to major changes being implemented.

#### **Operating Guides**

These documents contain area specific operating plans which may impact some, but not all BAs and TOPs. Examples of these documents include special operating conditions like WECC Open Loop operations, as well as area specific plans for SOL or IROL mitigation.

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SOL and IROL related documents are addressed in accordance with RC0610 System Operating Limits Methodology for the Operations Horizon. If time allows in advance of real-time, CAISO RC collaborates with the operationally affected parties to document the operating plan in an Operating Guide.

Documents in this category are created and revised in collaboration with operationally affected parties and, as needed with appropriate working groups and task forces.

Unless otherwise stated, the effective date of an IROL will coincide with the effective date of the Operating Guide.<sup>1</sup>

### **Interim Operating Procedures and Temporary Operating Guides**

These documents are published in a “fast track” manner in order to address an urgent unplanned operational need driven by NERC Alerts or other regulatory mandates, or an urgent operational need with reliability impacts. The RC Oversight Committee, operationally affected parties and appropriate working groups are notified.

Unless otherwise stated, the effective date of an IROL will coincide with the effective date of the Temporary Operating Guide.<sup>2</sup>

When issued, interim and temporary documents will have targeted sunset dates and should not be operated to any longer than necessary. CAISO RC will collaborate with the appropriate working groups and/or operationally affected parties to review and manage further revisions through the normal process. CAISO RC will provide progress updates to the RC Oversight Committee as needed.


### **3.2. Review Guidance**

CAISO RC, Working Groups and Operationally Affected Parties consider the following guidelines when reviewing an RC 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 an RC document can be made public.

<sup>1</sup> FAC-014 R5, 5.1, PER-005-2 R4.1

<sup>2</sup> FAC-014 R5, 5.1, PER-005-2 R4.1

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- **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 working groups or subject matter experts as needed for clarification.
- **Verify** 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.

### 3.3. Style and Format

CAISO RC and CAISO Procedure Control Desk consider the following guidelines to ensure consistent style and formatting is applied to RC 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 aid 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.
- **Maintain** a record of Oversight Committee approvals in the Version History.

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### 3.4. Internal CAISO Review of RC Documents

Take the following actions to internally review RC document changes:

- **Evaluate** scope of review needed:
  - Minor changes – route to applicable CAISO RC Leads and/or Managers
  - Major changes – route to applicable CAISO RC Leads and/or Managers and Directors
  - Periodic review – route to CAISO RC content owner
- **Note:** *if an RC document change needs to be release immediately and cannot wait for full review, then consult with management to determine if partial review is acceptable, and/or if the RC document can be released as “Interim – Pending Final Approval”.*

### 3.5. External Review of RC Documents

In accordance with the RC Oversight Committee Charter, CAISO RC shall facilitate reviews of new and revised RC documents with the appropriate working groups and operationally affected parties.


CAISO RC presents revisions as minor changes if there are no policy, process or software impacts. Minor changes are generally aesthetic or help provide clarity. Working groups, operationally affected parties and the RC Oversight Committee can provide feedback regarding minor changes and shall inform CAISO RC if they do not agree that the presented revisions are minor in nature.

CAISO RC facilitates discussions, impact analysis and review periods with the appropriate working groups and operationally affected parties for major changes which could potentially result in changes to methodologies, processes, software and/or operating plans.

CAISO RC will generally post redlined draft documents for review to aid the reader in easily detecting changes. If a redline version is not posted, interested parties can contact the CAISO RC lead for that specific effort and/or email [isorc@caiso.com](mailto:isorc@caiso.com).

If operationally affected parties include parties which are unable to participate in the normal RC working group sessions, such as Generator Owners, Generator Operators, Transmission Owners or Distribution Providers, then CAISO RC will facilitate a public outreach process to provide opportunities for review and feedback. As appropriate

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CAISO RC will post draft RC documents to its public website so these parties can access the content.

### 3.6. RC Document Deployment and Distribution

CAISO RC maintains copies of its currently effective RC documents versions in locations accessible to CAISO personnel. In accordance with CAISO Tariff section 22.11, CAISO RC provides public access to RC documents whenever possible. CAISO RC 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 ISO Internet Website [www.caiso.com](http://www.caiso.com).

RC 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 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 an RC document can be made public.*


The CAISO RC documents posted on the public website [www.caiso.com](http://www.caiso.com) and the secure RC Portal site shall be considered the official effective versions and indicate the version numbers and the effective dates.

CAISO Procedure Control Desk ensures the public and operationally affected parties are notified when new or revised RC documents are published. This includes operating plans which have been implemented through Operating Guides.

- 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 and the “Notices” page.
- Each Balancing Authority and Transmission Operator in the CAISO RC area is responsible for maintaining their procedure desk contacts on [the secure RC Portal site](#).
- Interested individuals may also subscribe to library or document level notifications.

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CAISO RC proactively works with the CAISO Procedure Control Desk to disseminate identified IROLs and supporting information prior to the effective date(s). Distribution will include the Transmission Operators, Transmission Planners, Transmission Service Providers and Planning Coordinators of entities affected by an IROL.<sup>3</sup> CAISO RC will not provide notifications or attestations to non-affected entities.

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

CAISO RC reviews requests for access to restricted RC documents with appropriate personnel and operationally affected parties.

- CAISO RC 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, CAISO RC may propose conditions or controls such as a non-disclosure agreement, extracted or redacted content, revisions to the RC 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 RC will not distribute documents provided to CAISO RC by other entities to third parties. If third parties desire documents not owned by CAISO RC, then the document owner should be contacted directly by the requesting party.

<sup>3</sup> FAC-014 R5, 5.1

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## 4. Supporting Information

### Operationally Affected Parties

Publicly posted at [www.caiso.com](http://www.caiso.com) > Rules > Operating Procedures

### 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:


NERC Requirements	EOP-006-3 R2; FAC-014-2 R5. R5.1., PER-005-2 R4.1
CAISO Tariff	<a href="#">22.11, 22.11.3</a>
RC Document	<a href="#">RC0610 System Operating Limits Methodology for the Operations Horizon</a>
BA/TOP Operating Procedure	
Other References	<a href="#">RC Oversight Committee Charter</a>

### Definitions

The following terms capitalized in this Operating Procedure are in accordance with the NERC Glossary, and/or otherwise when used are as defined below:

<b>Operationally Affected Parties</b>	Entities that are operationally affected by implementation of, or proposed changes to, a CAISO Reliability Coordinator operating procedure, methodology or operating guide. 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 RC documents, operationally affected parties will generally include impacted Balancing Authorities, Transmission Operators, Transmission Planners, Transmission Service Providers and Planning Coordinators and/or Adjacent Reliability Coordinators.
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### Version History

Version	Change	Date
1.0	New Procedure – approved by Steering Committee 2/19/19.	2/22/19

## 5. Periodic Review Procedure

### Review Criteria & Incorporation of Changes

There are no specific review criteria identified for this document.

### Frequency

Review at least once every three years.

## Appendix

None