

Readiness Criterion ID	Readiness Category	Criteria	Measurable Elements	Threshold	Owner	Status	Evidence	Tariff Mapping
1	Prospective EIM Entity Full Network Model Integration	Generation, Interchange and Load comparison	Load, EIM Internal Intertie and EIM External Interties, and Generating Unit definition in the Full Network Model is consistent with the Load, EIM Internal Intertie and EIM External Interties, and Generating Unit definition in the exported prospective EIM Entity network model file that it delivered to the CAISO.	Data matches within 10%, measured in MW capacity to start parallel operation, and within 5% before full activation. Discrepancies, if any, are accounted for in terms of imbalance adjustment	ISO	On Track		Tariff section 29.2(b)(7)(A)(i)
2	Prospective EIM Entity Full Network Model Integration	Comparison of SCADA measurement	SCADA measurements used in prospective EIM Entity EMS model match the measurements observed by the CAISO through the CAISO EMS model	Critical and used SCADA measurements match 90% to start parallel operation and 95% before full activation, measured in MW, outside of any exception in EMS model	ISO	On Track		Tariff section 29.2(b)(7)(A)(ii)
3	Prospective EIM Entity Full Network Model Integration	State Estimator solution	CAISO state estimator solution is equivalent or superior to the prospective EIM Entity state estimator solution for its Balancing Authority Area.	State Estimator solutions converge >90% of the time in two days before parallel operation and three days before full activation. Solution differences within 10% before parallel operation and 5% before full activation measured in MW or justified due to different external BAA modeling	ISO	On Track		Tariff section 29.2(b)(7)(A)(iii)
4	Prospective EIM Entity Full Network Model Integration	Non-Conforming Load, Behind-the-Meter Generation, Pseudo Ties, and Dynamic Schedules	Physical representation of the prospective EIM Entity's network matches the Base Market Model that accounts for non-conforming load, behind-the-meter generation, pseudo-ties, and dynamic schedules, and third party transmission service provider and path operator information that supports EIM Transfers and Real-Time Dispatch in the Energy Imbalance Market, as applicable	Prospective EIM Entity major non-conforming loads > 5% of prospective EIM Entity total actual load in MW are modeled separately from conforming load in market model	ISO	Complete	BANC-SMUD provided an email stating that they have no non-conforming loads that meet the criteria.	Tariff section 29.2(b)(7)(A)(iv)
5	Agreements	Execution of Necessary Agreements	The prospective EIM Entity has executed all necessary agreements.	The prospective EIM Entity will execute all agreements, as outlined in Section 5 of the EIM BPM within the required timelines outlined in Section 5.	Joint	Complete	All agreements have been executed with executed agreements as evidence.	Tariff section 29.2(b)(7)(K)(i)
6	Operations Training	Completion of mandatory training courses	Prospective EIM Entity operators who will have responsibility for EIM operations, transactions and settlements, will complete CAISO training modules.	Prospective EIM Entity operators will complete training and close-of-training assessment in the appropriate timeframes as outlined in <ul style="list-style-type: none"> <li>· "100 series" – an introduction to Energy Imbalance Market training</li> <li>· "200 series" – the specific hourly and daily tasks and duties for normal operation training module; and</li> <li>· "300 series" – the assessment of market results and response to contingencies and abnormal situations training module.</li> </ul>	SMUD	Complete	BANC-SMUD provided evidence that all necessary training has been completed.	Tariff section 29.2(b)(7)(B)

Readiness Criterion ID	Readiness Category	Criteria	Measurable Elements	Threshold	Owner	Status	Evidence	Tariff Mapping
7	Forecasting Capability	Load forecast capability	<p>Definition of EIM demand forecast boundaries based on the conforming and non-conforming load characteristics, as applicable</p> <ul style="list-style-type: none"> <li>Accuracy of the CAISO forecast of EIM demand based on historical actual load data for the defined EIM demand forecast boundaries.</li> <li>Identification of weather station(s) locations used in forecasting, if applicable,</li> </ul>	All Plant Information (PI) tags and historical data for defined load area(s), and non-conforming load, if applicable, compared with load forecasts provided from CAISO (if CAISO load forecast used).	ISO	Complete	The ISO Short-Term Forecasting team provided screen shots from Forecast Monitoring showing accurate measurements to satisfy this criteria.	Tariff sections 29.2(b)(7)(C)(i)-(iii)
8	Forecasting Capability	Variable Energy Resource (VER) forecast capability	<p>Identification of the source of VER forecasts. (If a participating wind or solar unit requires a CAISO forecast, then BPM and Tariff requirements apply.)</p> <ul style="list-style-type: none"> <li>Accuracy of the CAISO forecast of EIM demand based on historical actual load data for the defined EIM demand forecast boundaries.</li> </ul>	<p>Forecasting entity must demonstrate delivery of Unit MW forecast at 5 min intervals for at least three hours ahead in addition to current hour and next hour forecast.</p> <p>Forecasting entity must also provide base schedule by T-75, T-55 and T-40. EIM Entity provides to CAISO real-time MW production PI tags.</p>	ISO	Complete	CAISO provided an email with a sample chart, indicating that VER forecasts have been submitted and the data flow has been demonstrated.	Tariff section 29.2(b)(7)(C)(iv)
9	Forecasting Capability	Flexible capacity requirements	CAISO has established flexible capacity requirements for the prospective EIM Entity Balancing Authority Area and the combined EIM Area including the prospective EIM Entity	The CAISO has received and stored all historical data from the prospective EIM Entity necessary and sufficient for the CAISO to perform the flexible ramp requirement.	ISO	Complete	CAISO provided an email stating that they have received and stored all historical data from BANC-SMUD, sufficient for the CAISO to perform the flexible ramp requirement.	Tariff section 29.2(b)(7)(K)(iv)
10	Balanced Schedules	Base schedule balancing capability	The prospective EIM Entity Scheduling Coordinator demonstrates its ability to balance EIM demand and EIM supply for the prospective EIM Entity's Balancing Authority Area	90% or greater of base schedules balance tests during monitored hours are within 10% average imbalance of load forecast over one day period before parallel operation, and 5% average over five full days before full activation. The CAISO will provide examples of MW thresholds for each prospective EIM Entity to indicate a reasonable threshold as it applies to a given EIM Entity and indicate the potential implications of a swing from 5% over to 5% under forecast in one hour to the next.	SMUD	Complete	CAISO provided reports indicating that SMUD has met the base schedule balancing criteria.	Tariff section 29.2(b)(7)(D)(i)
11	Balanced Schedules	Flexible ramping sufficiency test capability	The prospective EIM Entity \ Scheduling Coordinator demonstrates its ability to pass the flexible ramping sufficiency test	Passes 90% of the time or greater over monitored hours of one day before parallel operation and five non-consecutive days before full activation	SMUD	Complete	CAISO provided reports indicating that SMUD has met the flexible ramping sufficiency test (both Up and Down)	Tariff section 29.2(b)(7)(D)(iii)

Readiness Criterion ID	Readiness Category	Criteria	Measurable Elements	Threshold	Owner	Status	Evidence	Tariff Mapping
12	Balanced Schedules	Capacity test capability	The prospective EIM Entity Scheduling Coordinator demonstrates its ability to pass capacity test	Passes 90% of the time or greater over monitored hours of one day before parallel operation and five non-consecutive days before full activation. The CAISO will explain the implications of any potential issues with the reliability of an EIM Entity to meet its capacity requirements.	ISO	Complete	CAISO provided reports indicating that SMUD has met the capacity test capability	Tariff section 29.2(b)(7)(D)(ii)
13	Operating Procedures	CAISO operating procedures (relevant to EIM operations)	The prospective EIM Entity signs CAISO non-disclosure agreement and receives appropriate CAISO “public” and “restricted” operating procedures	Operating procedures NDA signed by the prospective EIM Entity.  The prospective EIM Entity receives CAISO operating procedures four months prior to the parallel operations date.	Joint	Complete	Signed non-disclosure agreement has been provided as evidence.	Tariff section 29.2(b)(7)(K)(i)
14	Operating Procedures	Prospective EIM Entity operating procedures	The prospective EIM Entity operating procedures are defined, updated, and tested for the EIM Entity Scheduling Coordinator	The prospective EIM Entity operating procedures are updated tested and implemented prior to parallel operations date.	SMUD	Complete	BANC-SMUD provided email and screen shots confirming that their operating procedures are complete and uploaded to Accellion	Tariff section 29.2(b)(7)(K)(ii)
15	System Readiness & Integration	Functional Testing	The prospective EIM Entity and the CAISO will test the functional and system elements in accordance with functional and system testing documentation posted on the CAISO website	All tasks identified in the functional and system testing documentation are completed and will not have any issues deemed significant.  Any exceptions will be explained or have an interim solution that is functionally equivalent.	SMUD	Complete	BANC-SMUD provided their EIM Test Results Summary document showing all test cases have been executed and passed.	Tariff section 29.2(b)(7)(E)(i)
16	System Readiness & Integration	System Integration	The prospective EIM Entity and CAISO will test system integration testing in accordance with the system integration testing documentation posted on the CAISO website	All tasks identified in the system integration testing documentation are completed and will not have any issues deemed significant.  Any exceptions will be explained or have an interim solution that is functionally equivalent.	SMUD	Complete	BANC-SMUD provided their EIM Test Results Summary document showing all test cases have been executed and passed.	Tariff section 29.2(b)(7)(E)(ii)
17	System Readiness & Integration	The prospective EIM Entity system access complete	All prospective EIM Entity employees who require system access to perform EIM-related job functions identified and have necessary certificates.	All prospective EIM Employees performing job functions for EIM market are identified.  All CASIO issued certificates are requested within the appropriate timeframes.  All identified employees provided the necessary EIM system access certificates.	Joint	Complete	CAISO provided evidence that all necessary SMUD staff have required access for Parallel Operations. SMUD confirmed the access is in place and plan is in place for production.	Tariff section 29.2(b)(7)(E)(iii)

Readiness Criterion ID	Readiness Category	Criteria	Measurable Elements	Threshold	Owner	Status	Evidence	Tariff Mapping
18	System Readiness & Integration	ISO - prospective EIM Entity interfaces	Data interfaces between prospective EIM Entity's systems and CAISO systems are tested	ISO and prospective EIM Entity identify significant data interface issues. EIM Entity and CAISO executives to approve exceptions.	Joint	Complete	BANC-SMUD provided the testing timeline summary document reflecting that all interface testing completed.	Tariff section 29.2(b)(7)(E)(i)
19	Market Simulation	Day in the life simulation	The prospective EIM Entity operators are able to meet the market timelines	The prospective EIM Entity grid operations staff complete end-to-end daily market workflow with no critical defects.	Joint	Complete	BANC-SMUD provided the testing timeline summary document reflecting that Day-In-The-Life testing was complete and successful.	Tariff section 29.2(b)(7)(I)(ii)
20	Market Simulation	Structured scenarios simulation	The prospective EIM Entity operators execute and pass all structured scenarios provided by CAISO	All significant issues resolved or have an interim solution that is functionally equivalent.	Joint	Complete	BANC-SMUD and the ISO have successfully executed the operational components of all Structured Market Simulation Scenarios successfully. Evidence is uploaded to the EIM Accellion site.	Tariff section 29.2(b)(7)(I)(iii)
21	Market Simulation	Unstructured scenarios simulation	The prospective EIM Entity operators execute and pass all unstructured scenarios provided by prospective EIM Entity	All significant issues resolved or have an interim solution that is functionally equivalent.	SMUD	Complete	SMUD sent an email stating that all scenarios met their intended training during Market Simulation	Tariff section 29.2(b)(7)(I)(iv)
22	Market Simulation	Market results reports	Market results are appropriate based on inputs	The prospective EIM Entity and CAISO executive project sponsors approve the market results reports during market simulation	ISO	Complete	The CAISO provided an email summarizing the market results during market simulation.	Tariff section 29.2(b)(7)(I)(v)
23a	Market Simulation	MS Market quality review	Prices are validated based on input data	Market simulation prices and MWs schedules/dispatches are validated by CAISO market quality team for entry into parallel operation	ISO	Complete	CAISO Market Quality team provided a report validating that the market prices and MW schedules/dispatches observed during market simulation meets the requirements.	Tariff section 29.2(b)(7)(I)(vi)
23b	Parallel Operations	PO Market quality review	Prices are validated based on input data	Parallel operations prices and MWs schedules/dispatches are validated by the CAISO market quality team	ISO	On Track		Tariff section 29.2(b)(7)(I)(vi)

Readiness Criterion ID	Readiness Category	Criteria	Measurable Elements	Threshold	Owner	Status	Evidence	Tariff Mapping
24	Market Simulation	The prospective EIM Entity Identification	Validation of SCID's and Resource ID's	The CAISO has established and the prospective EIM Entity has tested all necessary SCIDs and Resource IDs established for the prospective EIM Entity's Balancing Authority Area	Joint	Complete	BANC-SMUD provided the final updated schedule 1 form and an email confirming this criteria has been met.	Tariff section 29.2(b)(7)(I)(i)
25	Settlements	ISO Settlement Statements and Invoices published to the prospective EIM Entity and EIM Participating Resources	The CAISO Settlement statements and invoices match the operational data published to stakeholders or fed into settlement system and the resulting calculations correspond to the formulas defined in ISO's tariff and BPMs Resources	Sample monthly settlement statement and invoice with corresponding daily statements produced during market simulation and parallel operations are verifiably accurate against available data.	Joint	On Track		Tariff section 29.2(b)(7)(F)(i)
26	Settlements	The prospective EIM Entity settlement statements and invoices reflect accurate allocations to the prospective EIM Entity customers prior to financially binding operations.	Verification that settlement statements and invoices accurately reflects system and market data	The prospective EIM Entity settlement statements and invoices that allocate charges and credits to its customers accurately reflect system and market data during parallel operations.	Joint	Complete	SMUD provided an email stating that SMUD doesn't have third party customers, therefore no allocation of charges and credits is performed or applicable to SMUD.	Tariff section 29.2(b)(7)(F)(ii)
27	Monitoring	Data monitoring	Sufficient and adequate data is available to the CAISO and the Department of Market Monitoring	All required market monitoring data is available during testing and during post go-live for the key metrics (any exceptions will be addressed).  CAISO will provide a market report that will provide publicly available information to all market participants.	ISO	On Track		Tariff section 29.2(b)(7)(K)(v)
28	Parallel Operations Plan	Deployment plan	Parallel operations run consistently and in accordance with the timeframe set forth in the prospective EIM Entity specific parallel operation plan	Parallel operations runs consistently within normal production CAISO Market disruption tolerances.	ISO	Complete	CAISO provided an email with supporting reports stating the CAISO has verified that the Parallel Operations ran consistently within normal CAISO disruption tolerances.	Tariff section 29.2(b)(7)(J)
29	Outage Management System	Transmission and generation outage submittal and retrieval	The prospective EIM Entity will verify its ability to submit and retrieve outage information with the CAISO	The prospective EIM Entity validate their ability to submit and retrieve transmission out-of-service outages, generation Pmax derates, generation Pmin rerates, and generation out-of-service outage tickets within the required timelines.	Joint	Complete	BANC-SMUD submitted outages in the Map Stage environment. The CAISO confirmed that these were received and processed in the CAISO systems.	Tariff section 29.2(b)(7)(G)



Readiness Criterion ID	Readiness Category	Criteria	Measurable Elements	Threshold	Owner	Status	Evidence	Tariff Mapping
30	Communications between the CAISO and the prospective EIM Entity	Voice and/or electronic messaging	Implemented process and procedures used for voice and/or electronic messaging	The process and procedures are incorporated into the prospective EIM Entities business processes before the start of market simulation.	SMUD	Complete	BANC-SMUD sent email evidence that these processes are in place.	Tariff section 29.2(b)(7)(H)(i)
31	Communications between the CAISO and the prospective EIM Entity	Communication tools	Staff are trained on communication procedures and tools	The prospective EIM Entity operations staff who will have responsibility for EIM operations, transactions and settlements are trained on the relevant operating procedures and tools used for EIM related communications before the start of parallel operations	SMUD	Complete	BANC-SMUD sent email evidence that their staff has been trained on the communication procedures and tools	Tariff section 29.2(b)(7)(H)(ii)
32	Communications between the CAISO and the prospective EIM Entity	3 <sup>rd</sup> party transmission service provider	The third party transmission service provider information that supports EIM Transfers and Real-Time Dispatch included in the Full Network Model is available during parallel operations	The CAISO provides third party transmission service provider and path operator information to the prospective EIM Entity through parallel operations	Joint	Complete	BANC-SMUD provided an email confirming that SMUD does not have any 3rd party transmission customers.	Tariff section 29.2(b)(7)(H)(iii)
33	EIM Available Balancing Capacity	Identification of EIM Available Balancing Capacity	Participating resources and non-participating resources for EIM Available Balancing Capacity.	The prospective EIM Entity has identified EIM participating resources and non-participating resources that it intends to designate in the EIM Resource Plan as EIM Available Balancing Capacity	SMUD	Complete	BANC-SMUD provided an email confirming their systems are capable of designating ABC capacity on our participating resources (SMUD does not have any non-participating resources).	Tariff section 29.2(b)(7)(K)(iii)