

This document is a general overview of the requirements and provides helpful information to assist in the Scheduling Coordinator (SC) Certification process. For additional information and detail of the SC Certification process, refer to the Business Practice Manual (BPM) or SC Certification link below.

Minimum Participation Requirement (FERC Order 741)

Each prospective or existing market participant must satisfy the following capitalization requirements:
Market participant or its guarantor must have at least:

- \$1 million in tangible net worth or
- \$10 million in total assets, or
- Post financial \$500,000 cash or a letter of credit

Refer to the [Credit Management BPM](#)

Quick Notes

- **Application Fee: (non-refundable)**
 - **\$5000**
- **Approximate Completion Timeline:**
 - **120 days (4 months) after application is accepted and approved**
 - Actual completion is contingent on timely submission of requested forms, training attendance and completion of testing by the SC applicant.
 - There is a sunset period if the SC Certification process is not completed in 12 months.
- **Contact Information:**
 - SCRequests@caiso.com or call 916-608-1246 or 916-608-1133
- **Please refer to the:** [Scheduling Coordinator Certification & Termination BPM](#)

Entities requiring SC representation

Only a Scheduling Coordinator is authorized to transact business directly with the ISO. The primary need for an SC is to facilitate participation in the California ISO Markets.

Below is a list of entities that require SC representation:

- Participating Transmission Owners (PTOs)
- Non-Participating Transmission Owners (Non-PTOs)
- Generating Units
- Load / Community Choice Aggregators (CCAs)
- Eligible Intermittent Resources
- System Resources
- Utility Distribution Companies (UDCs)
- Metered Subsystems (MSSs)
- Proxy Demand Resources
- Convergence Bidding Entities
- EIM Entities
- EIM Participating Resources



Application Submittal

Step	Action
1	Complete the SC Application located at: http://www.caiso.com/docs/1999/01/15/1999011506402128181.doc Note: Be sure the application is complete and signed.
2	Email a signed PDF to SCRequests@caiso.com and wire application fee to: Please wire funds to the account below: Bank ABA#: 121000248 Account #: 4122041783 Bank Name: WELLS FARGO BANK Account Name: CONCENTRATION If sending a check, mail check and copy of signed application to: California ISO Customer Service and Industry Affairs ATTN: Application Processing Office 250 Outcropping Way Folsom, CA 95630 Note: Check or money order needs to be payable to: California Independent System Operator
3	Send an email to SCRequests@caiso.com indicating application is being sent.

After submittal of application and fee, the ISO will review content, confirm acceptance of the application, and schedule a call to walk through each of the requirements.

Requirements for Certification

To complete the SC certification an entity must do the following:

- Complete all required training
- Complete all required testing
- Submit required financial security as applicable
- Submit all required documentation, including all required agreements

Required Training

The California ISO offers a [Scheduling Coordinator Certification Workshop](#) quarterly. This two-day class covers all the basics of the ISO markets from bid to bill and is a required class for new scheduling coordinator applicants. This 2-day class is held on campus at the Folsom facility, 250 Outcropping Way, Folsom, CA 95630. Attendance is mandatory for certification and is a pre-requisite for the market proficiency test. An ISO representative will provide information on registration and training logistics once the application and fee are submitted. To be registered for the SC Certification Workshop, an SC application and fee must be received at least 2 weeks prior to the class for the current quarter. Send an email to SCRequests@caiso.com for the next available certification workshop.

Pre-requisite course work consisting of the Day-Ahead Market Overview –CBT and the Real-Time Market Overview -CBT are recommended (these are in the Markets Training section). These training modules and additional information on specific classes as well as other training topics are available on the ISO website > Training at <http://www.caiso.com/docs/2005/10/12/200510121106573501.html>.

Required Testing

1. ACH or Fed Wire Test

This requirement ensures that an SC applicant can submit payments to/and receive payment from the ISO. The SC applicant is required to test its ACH or Fed-Wire funds transfer.

Form used to initiate test: [ISO Electronic Funds Transfer Form](#)

2. Real Time Grid Ops Test

All SC applicants planning on scheduling physical energy must complete real-time and contact drills. These drills demonstrate a twenty-four hour real-time desk capability and sufficient understanding to respond correctly to dispatch instructions in a timely manner. This test consists of several contact phone calls and requires approximately ten (10) business days to complete and is sometimes referred to as the grid ops test.

Form used to initiate test: [Emergency Plan Form](#)

Do not submit the Emergency Plan Form until you are ready to take this test.

3. Market Proficient Test

The SC applicant is required to take a test to demonstrate proficiency in submitting various types of bids and self-schedules to the ISO. The SC applicant must attend the SC Certification Workshop to be eligible to take this test.

The test is conducted on the last day of the SC Certification Workshop

Required Financial Security

Once the Scheduling Coordinator Application form is accepted, the SC applicant must begin establishing financial security.

The ISO recommends that an SC applicant understand its financial security requirement prior to submitting the Scheduling Coordinator Application Form, to ensure the financial security requirement can be completed in a reasonable timeframe.

The Credit Management BPM and other Credit Policy documents can be found on the [Settlements](#) web page

FERC Order 741

The scheduling coordinator applicant must complete the Officer Certification form and submit a copy of their current risk policies, procedures and controls.

Application Access User Access Administrator (UAA) or Point of Contact (POC)

Minimally, a primary and secondary Application Access User Access Administrator (UAA) must be established for each company. This allows the ISO continued communications with an entity regarding user access requests and reissues. The establishment of UAAs must be made by an individual at the external entity that has an appropriate level of authority to designate UAAs. All Application Access Request Forms (AARFs) must be submitted by a designated UAA. The designated UAA must understand and agree with the terms stated in the Application Access Point of Contact Establishment and Requirements document.

Refer to the [User Access Administrator guide](#)

System Requirements

An SC applicant must confirm whether they intend to establish ECN, or utilize their own established connectivity. The SC applicant determines which network interface best meets its needs during the certification process. If an SC applicant selects ECN, then a Network Connectivity Security Requirement and Agreement must be submitted prior to completion of the certification process. If the SC applicant chooses not to use the ECN, then the applicant sends an email waiving ECN and indicates use of their own internet service provider.

Internet

There is no Service Level Agreement (SLA) between an SC and the ISO for ensuring connectivity. If the internet carrier selected by an SC has an availability issue, it may affect the SC's ability to communicate with the ISO. The internet has little or no cost for setup and maintenance and minimal setup time.

The ISO requires an email be sent to the SCRequests@caiso.com indicating waiving the use of ECN, if an applicant decides to use their own internet provider.

ECN

ECN is a secure private network and is run entirely by AT&T. There is a monthly cost that is associated with ECN depending on which service package is selected.

The estimated set up time is approximately 30-45 business days. This should be requested up front at the beginning of the SC certification process. The Network Connectivity Security Agreement is required for those using ECN. An email needs to be sent to the SCRequests@caiso.com requesting the use of ECN.

Note: All ISO applications can be accessed via the Internet and/or the ECN.

Master File Update

Once all the requirements have been met, all documentation submitted and all applicable scheduling coordinator agreements are fully executed, the ISO Master File will then be updated with the SCID. Master File updates will not be requested until all the required agreements are signed, returned to the ISO, and signed by an ISO officer. This is a compliance requirement. (SAS70).

The Master File update propagates the various systems with the SC data and in turn initiates the process to generate passwords and allows access for the applicable systems. Access for the various systems is requested once Master File is updated with an effective date for the SCID.

Note: The effective date in the Master File is not the initial trade date. The initial trade date is based on obtaining the digital certificate and having access provisioned, which can be an additional 5 -10 business days after the access requests are submitted and approved.

CAISO Market Applications/Systems

In order to gain access to the ISO market applications, the SC applicant must have a POC registered with the ISO. The POC then gains access to the Access Identity Management (AIM) system. The certified Scheduling Coordinator's POC can request certificates and provision access to ISO market applications through the AIM tool once the Master File has been updated with an effective date for the SCID. Link to the application access web page: [CAISO Market Applications](#)



Required Documents

The following table lists each required document and its purpose. After the application and fee are received and approved, the SC applicant is assigned a coordinator who will set an initial conference call and will go over each requirement in greater detail. These documents are posted under SC Forms on the [Become a Scheduling Coordinator](#) web page.

Doc Name	Purpose
Information Request Sheets* for the appropriate agreements	<p>The information from these documents is used to complete the actual agreement(s). Submit this form early in the process to allow time for agreement preparation.</p> <p>Agreement Information can be found on this web page under Pro forma agreements. http://www.caiso.com/rules/Pages/ContractsAgreements/Default.aspx SC Information Request Sheet: http://www.caiso.com/Documents/SchedulingCoordinatorAgreementInformationRequestSheet.doc</p> <p>Important: Use the company's exact full legal name</p>
Electronic Funds Transfer form	<p>Form used to test the transfer of funds to and from the ISO via fed wire or ACH. The tested bank account data is updated in production system when the master file system is updated. http://www.caiso.com/Documents/ISO_PaymentSelectionInstructions-EFT-Form.doc</p>
Officer Certification form	<p>FERC Order requirement to submit a signed form. http://www.caiso.com/Documents/ISOFormOfficerCertification.doc</p> <p>In addition, the applicant must also submit a copy of their risk management, procedures and controls documentation. These are reviewed and approved by the ISO Finance team.</p>
ISO Affiliate and Resource Control Agreement Disclosure form	<p>Part of the local market power mitigation requirement, all SC applicants are required to submit the affiliate form and if scheduling physical energy, the resource control agreement form as applicable. http://www.caiso.com/Documents/ISOAffiliationResourceControlAgreementDisclosureForm.xls</p>
Network Connectivity Agreement	<p>This is only required if the entity is using ECN. This agreement states your entity will adhere to CAISO network security. Not required if using own internet service provider. http://www.caiso.com/Documents/EnergyCommunicationNetworkConnectivitySecurityRequirements-Agreement_RemoteIntelligentGatewayDevices.pdf</p>
Emergency Plan	<p>This form is used to initiate the RT Grid Ops test. This provides the ISO with emergence plan information and procedures along with the appropriate Day Ahead and Real Time scheduling numbers along with an emergency number. http://www.caiso.com/Documents/EmergencyPlanForm.doc</p>
User Access Administrator Agreement	<p>User Access Administrator (UAA) Agreement provides the authorization for primary and secondary UAAs to create users, generate digital certificates and provision access to ISO systems. https://na2.docusign.net/Member/PowerFormSigning.aspx?PowerFormId=a71b0fae-1d10-4b15-8c0d-ba25697d2d8f</p>
Contact List	<p>List provided to the ISO from the SC applicant providing contacts for various business units such as settlements, IT, metering, Day Ahead Scheduling etc. http://www.caiso.com/Documents/SchedulingCoordinatorContactListTemplate.xls</p>
Agreements for Scheduling Coordinators	<p>Upon completion of all requirements, all agreements will be issued for signature. Note: The information for these agreements is provided on the Information Request Sheets.*</p>

For additional questions regarding SC Certification and other SC transactions: Send an email to SCRequests@caiso.com