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## **Screening Procedures for Access to ISO Register of Transmission Facilities and Entitlements**

In accordance with the Federal Energy Regulatory Commission (FERC) order issued on January 24, 2003 (as modified on February 14, 2003) in Docket No. ER03-219, the California ISO will provide limited access to the ISO Register of Transmission Facilities and Entitlements (RTFE) to market participants with a demonstrated, legitimate business need for such access in accordance with the following screening procedures. Consistent with FERC Order Nos. 630-A and 643, RTFE information is treated as Critical Energy Infrastructure Information (CEII).

## 1. Eligible Classes of Entities:

In order to be eligible to request and, subject to approval, obtain access to RTFE information, an entity must (a) demonstrate adequate control procedures to ensure security of the information within the requesting entity's organization and facility, (b) identify a legitimate business need and valid use of the information, and (c) be a member of one of the following classes of entities:

- Participating Transmission Owner (PTO) which, in the case of transmission system information other than that regarding its own transmission facilities, demonstrates a legitimate business need for such information;
- Scheduling Coordinator that demonstrates a legitimate business need for ISO transmission system information;
- Participating Generator or Participating Load or prospective Participating Generator or prospective Participating Load that demonstrates a legitimate business need for ISO transmission system information for use in planning or developing a Generating Unit or Curtailable Demand;
- Transmission Owner or prospective Transmission Owner that demonstrates a legitimate business need for ISO transmission system information for use in planning or development of a transmission line;
- Electric or natural gas utility that demonstrates a legitimate business need for ISO transmission system information for use in planning or development of either Distribution System facilities or Generating Units, which are to be located within the ISO Control Area or directly connected to the ISO Controlled Grid;
- Party to a legal or regulatory proceeding in which ISO transmission system information is material to the proceeding, subject to the terms of any Protective Order in such proceeding; or
- ISO market participant that demonstrates a legitimate commercial business need for ISO transmission system information.

## 2. Requesting Access to RTFE Information:

Requests for access to RTFE information must be made by letter to:

ISO Account Manager – RTFE Information  
ISO Customer Service and Stakeholder Affairs Department  
California Independent System Operator Corporation  
250 Outcropping Way  
Folsom, California 95630

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E-mail requests to an ISO Account Manager will only be considered if (a) the e-mail request is acknowledged by return e-mail message from the ISO Account Manager, (b) the required non-disclosure agreement has previously been mailed to and received by the ISO, and (c) none of the items listed below are missing. Complete requests must include the following information:

- Show title of request as “Request for Access to ISO Register of Transmission Facilities and Entitlements”;
- Name (including any other name(s) which the requester has used and the dates the requester used such name(s)), date and place of birth, driver’s license number and issuing state, title, organization, street address, and telephone number of the employee making the request for the eligible requesting entity;
- In addition, name (including any other name(s) which the requester has used and the dates the requester used such name(s)), date and place of birth, driver’s license number and issuing state, title, organization, street address, and telephone number of the agent when an otherwise ineligible agent makes the request for the eligible requesting entity;
- Identification of the eligible class of entities of which the requesting entity is a member;
- Detailed description of the requesting entity’s legitimate business need for and valid use of the RTFE information. **Do not include market sensitive information unless otherwise in accordance with FERC Order No. 2004 Final Rule<sup>1</sup>**. Show requesting entity is capable of making valid use of RTFE information. Identify the requesting entity’s business transaction with the ISO or other organization that makes access to this RTFE information necessary;
- Detailed and specific list of RTFE information requested (PTO, transmission line name, substation name, voltage class, geographic area, etc.);
- Name, title, organization, street address, telephone number, and e-mail address of the person to whom the RTFE information is to be sent by the ISO if the request is approved;
- Identification whether the authorized recipient of the RTFE information is (a) an employee of the eligible requesting entity or (b) an otherwise ineligible agent of the eligible requesting entity;
- Executed non-disclosure agreement in the form provided by the ISO, showing original signature(s); and
- Description of adequate control procedures to ensure the security of RTFE information within the requesting entity’s organization and facility.

PTO requests for the PTO’s own RTFE information are exempt from the requirements of this Section 2 and are instead addressed in Section 5.

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<sup>1</sup> Market sensitive information includes information not otherwise available to the general public without restriction that, if shared by a transmission provider “transmission function” and a market merchant, or energy affiliate function, would violate the standards of conduct in FERC Order No. 2004.

**3. ISO Initial Screening and Review of Requests for Access to RTFE Information:**

The ISO Customer Service and Stakeholder Affairs Department will perform the initial screening, copy the ISO RTFE administrator (Grid Assets Department), and jointly review the request for limited access to RTFE information. The ISO Customer Service and Stakeholder Affairs and Grid Assets Departments will make an initial determination as to whether the requesting entity is a member of an eligible class of entities and whether the information requested is needed for a legitimate business purpose.

**4. ISO and PTO Approval of Request for Access to RTFE Information:**

If the ISO determines that a requesting entity is a member of an eligible class of entities and needs RTFE information for a legitimate business purpose, the ISO RTFE administrator will notify the affected PTO RTFE administrator within seven (7) Calendar Days after the ISO Customer Service and Stakeholder Affairs Department receipt of the complete request. The notification will include all request detail and will indicate ISO's intent to approve the request for access to RTFE information. If the PTO RTFE administrator also approves the request, or if the PTO RTFE administrator fails to notify the ISO RTFE administrator of its approval or disapproval of the request within seven (7) Calendar Days after the PTO RTFE administrator receipt of the ISO's transmittal of the request for the PTO's review, the ISO RTFE administrator will notify the ISO Customer Service and Stakeholder Affairs Department representative, who will inform the requesting entity in writing of the approval of the request. As described in Section 6 of this procedure, RTFE information will not be released to a requesting entity if the PTO RTFE administrator objects to the request within seven (7) Calendar Days after PTO RTFE administrator receipt from the ISO of the complete request.

**5. PTO Direct Access to Own RTFE Information:**

PTO personnel designated by their PTO RTFE administrator will have direct access through a secure ISO maintained website to only that PTO's RTFE information. This type of direct access will be available at all times for the safe and reliable operation of the PTO's transmission system. When the designated PTO RTFE administrator submits a request for a new user for that PTO to the ISO RTFE administrator, a secure certificate will be issued to the new PTO user by the ISO's ISS Operations Group and appropriate log-in information will be issued to the new PTO user by the ISO RTFE administrator within fifteen (15) Calendar Days after receipt of the PTO request. Referring to Section 10 of this procedure, a PTO is not required to return to the ISO the original or copies of the information other than that same PTO's RTFE information. Access by one PTO to RTFE for another PTO will follow the procedure outlined in Sections 1 through 4 and not through this direct access procedure.

**6. Denial of Request for Access to RTFE Information:**

If either the ISO or the PTO RTFE administrator determines a requesting entity is not a member of an eligible class of entities or has not demonstrated a need for RTFE information for a legitimate business purpose, the ISO will deny the request for access to RTFE information. The ISO Customer Service and Stakeholder Affairs Department representative will inform the requesting entity, or its agent if requested through an agent, in writing of the reason for the denial of the request and provide a copy to the PTO RTFE administrator. The denial-of-access notice to the requesting entity, or its agent if requested through an agent, will be made as appropriate either (a) within seven (7) Calendar Days after ISO receipt of a request or (b) if the request is not denied as a result of the ISO initial screening and review process,

within ten (10) Calendar Days after PTO RTFE administrator receipt of the request notice from the ISO as described in Section 4 of this screening procedure.

If the ISO determines the requesting entity is not a member of an eligible class of entities, does not need RTFE information for a legitimate business purpose, or the request is not complete, the ISO RTFE administrator will notify the affected PTO RTFE administrator within seven (7) Calendar Days after ISO Customer Service and Stakeholder Affairs Department receipt of the request. The notification will include all request detail and, if so determined, will indicate the ISO's intent to not approve the request for access to RTFE information.

#### **7. Conditions of Provision of Access to RTFE Information:**

Granting of limited access to the RTFE information will be conditioned upon the requesting entity entering into the required non-disclosure agreement. If the access to RTFE information is to be provided to an agent of the requesting entity, both the requesting entity and the agent must enter into the required non-disclosure agreement. The required non-disclosure agreement will limit use of the RTFE to a particular proceeding or for the purpose stated in the request, as appropriate, involving or undertaken by the requesting entity. In addition, a time limit will be imposed on access to and use of RTFE information, such time limit being the earliest of (a) the requesting entity no longer needs the information, (b) the duration of the particular proceeding, if applicable and as identified in the request, or (c) five years from the date of RTFE information access. The required non-disclosure agreement will also require that within seven (7) Calendar Days after the end of the relevant time period, the requesting entity shall immediately (a) return to the ISO Customer Service and Stakeholder Affairs Department the original RTFE information, including all computer-readable storage media if provided by the ISO, (b) destroy all RTFE information directly or indirectly extracted from the storage media, or provide all such information to the ISO Customer Service and Stakeholder Affairs Department, and (c) provide written confirmation to the ISO Customer Service and Stakeholder Affairs Department that all RTFE information was destroyed or returned to the ISO.

#### **8. Provision of Access to RTFE Information:**

Upon ISO and PTO approval of a request for limited access to RTFE information and upon the effectiveness of the required non-disclosure agreement, the ISO Customer Service and Stakeholder Affairs Department will (a) first obtain the approved RTFE information on computer-readable storage media (currently a compact optical disk (DC)) from the ISO RTFE administrator and then (b) transmit the approved RTFE information storage media to the authorized recipient designated by the requesting entity. To the extent approved by the ISO and the affected PTO, RTFE information will be provided within thirty (30) Calendar Days after ISO Customer Service and Stakeholder Affairs Department receipt of the complete request, including the executed non-disclosure agreement.

#### **9. Dispute Resolution:**

The requesting entity, the PTO, and the ISO shall make reasonable efforts to settle all disputes arising out of or in connection with this ISO Register access procedure. In the event any dispute involving the ISO and this procedure is not settled, the requesting entity, the PTO, and the ISO shall follow the ADR Procedures in Section 13 of the ISO Tariff.

**10. Disposition of RTFE Information:**

Consistent with the time limits described in Section 7 of this procedure, the requesting entity shall immediately (a) return to the ISO Customer Service and Stakeholder Affairs Department the original RTFE information, including the storage media if provided by the ISO, (b) destroy all RTFE information directly or indirectly extracted from the storage media, or provide all such information to the ISO Customer Service and Stakeholder Affairs Department, and (c) provide written confirmation to the ISO Customer Service and Stakeholder Affairs Department that all RTFE information was destroyed or returned to the ISO.

**REVISION HISTORY**

<b>VERSION NO.</b>	<b>DATE</b>	<b>DESCRIPTION</b>
1.0	3/01/2004	Original
2.0	8/1/2013	Update responsible ISO department names and ISO mailing address