**10.2.1 Responsibilities of CAISO Metered Entities**

**10.2.1.1 Duty to Provide Revenue Quality Meter Data**

CAISO Metered Entities shall ensure that Revenue Quality Meter Data from their meters directly connected to the CAISO Controlled Grid or at interconnections thereto, including interconnections between utility Service Areas which have separate UFE calculations, is made available to the CAISO RMDAPS in accordance with the requirements of this Section 10 and the Business Practice Manuals.

**10.2.1.2 Format for Data Submission**

CAISO Metered Entities must ensure that the Meter Data obtained by the CAISO directly from their revenue quality meters is raw, unedited and unaggregated Meter Data in kWh and kVarh values, as specified in the applicable Business Practice Manual. The CAISO will be responsible for the Validation, Estimation and Editing of that Meter Data in order to produce Settlement Quality Meter Data.

**10.2.1.3 Provision of and Access to Settlement Quality Meter Data**

Scheduling Coordinators may obtain Settlement Quality Meter Data relating to the CAISO Metered Entities they represent by directly accessing the Settlement Quality Meter Data Systems as specified in the applicable Business Practice Manual.

• For CAISO Metered Entities, Revenue Quality Meter Data obtained by successfully polled meters will be validated, estimated and edited by the CAISO to produce Settlement Quality Meter Data (actual), which will be made available to Scheduling Coordinators within seven (7) Business Days from the Trading Day (T+7B) and will be used in the Initial Settlement Statement T+9B calculation.

• In the event that Revenue Quality Meter Data remains unavailable at 10:00 am on the seventh (7) Business Day after the Trading Day (T+7B) due to unsuccessfully polled meters or facility and/or systems failures, the CAISO will estimate Settlement Quality Meter Data for CAISO Metered Entities for any outstanding metered Demand and/or Generation for the Iniital Settlement Statement T+9B calculation as provided in Section 11.29.7.1.1.

• If the CAISO is notified in accordance with Section 10.2.13.2 that the revenue quality meter for a CAISO Metered Entity requires repair, the CAISO will produce Settlement Quality Meter Data (actual) for that entity using the estimation procedures referred to in Section 10.2.9, which will be made available to the Scheduling Coordinator for the CAISO Metered Entity within fifty-two (52) Business Days from the Trading Day (T+52B) and will be used in the Recalculation Settlement Statement T+70B calculation.

**10.3.6 Settlement Quality Meter Data Submission**

Scheduling Coordinators shall submit to the CAISO Actual Settlement Quality Meter Data or Scheduling Coordinator Estimated Settlement Quality Meter Data, as provided in Section 10.3.6.2(a), for Scheduling Coordinator Metered Entities they represent for each Settlement Period in an Operating Day according to the timelines established in Section 10.3.6.2 and the CAISO Payments Calendar and as provided in the applicable Business Practice Manual. Scheduling Coordinators must also submit Settlement Quality Meter Data (actual and Scheduling Coordinator estimated) on demand as provided in the applicable Business Practice Manual.

**10.3.6.2 Timing of SQMD Submission for Calculation of Initial Settlement Statement T+9B**

Scheduling Coordinators must submit Actual Settlement Quality Meter Data or Estimated Settlement Quality Meter Data for the Scheduling Coordinator Metered Entities they represent to the CAISO no later than 10:00 am on the seventh (7) Business Day after the Trading Day (T+7B) for the Initial Settlement Statement T+9B calculation. Scheduling Coordinators can submit Estimated Settlement Quality Meter Data for Demand Response Resources.

(a) In the absence of Actual Settlement Quality Meter Data, Scheduling Coordinators may submit Scheduling Coordinator Estimated Settlement Quality Meter Data using interval metering when available, sound estimation practices, and other available information including, but not limited to bids, schedules, forecasts, temperature data, operating logs, recorders, and historical data. Scheduling Coordinator Estimated Settlement Quality Meter Data must be a good faith estimate that reasonably represents Demand and/or Generation quantities for each Settlement Period.

(b) When Actual Settlement Quality Meter Data or Scheduling Coordinator Estimated Settlement Quality Meter Data is not received by the CAISO for a Scheduling Coordinator Metered Entity withinseven (7) Business Days from the Trading Day (T+78B), the CAISO will estimate the entity’s Settlement Quality Meter Data for any outstanding metered Demand and/or Generation, including Demand Response Resources, for use in the Initial Settlement Statement T+9B calculation, as provided in Section 11.29.7.1.

**10.3.6.3 Timing of SQMD Submission for Recalculation Settlement Statement T+70B**

Scheduling Coordinators must submit Actual Settlement Quality Meter Data for the Scheduling Coordinator Metered Entities they represent to the CAISO no later than midnight on the fifty-second (52) Business Day after the Trading Day (T+52B) for the Recalculation Settlement Statement T+70B calculation. A Scheduling Coordinator that timely submits Actual Settlement Quality Meter Data for the Initial Settlement Statement T+9B pursuant to Section 10.3.6.2 may submit revised Actual Settlement Quality Meter Data for the Recalculation Settlement Statement T+70B no later than the fifty-second (52) Business Day after the Trading Day pursuant to this Section.

(a) When Actual Settlement Quality Meter Data is not received by the CAISO for a Scheduling Coordinator Metered Entity by fifty-two (52) Business Days after the Trading Day (T+52B), the Scheduling Coordinator has failed to submit complete and accurate meter data as required by Section 37.5.2.1 and will be subject to monetary penalty pursuant to Section 37.5.2.2.

(b) Any Scheduling Coordinator Estimated Settlement Quality Meter Data submitted by a Scheduling Coordinator on behalf of the Scheduling Coordinator Metered Entities it represents that is not replaced with Actual Settlement Quality Meter Data by fifty-two (52) Business Days after the Trading Day (T+52B) has failed to submit complete and accurate meter data as required by Section 37.5.2.1 and will be subject to monetary penalty pursuant to Section 37.5.2.2. In the absence of Actual Settlement Quality Meter Data, Scheduling Coordinator Estimated Settlement Quality Meter Data will be used in the Recalculation Settlement Statements.

(c) The CAISO will not estimate a Scheduling Coordinator Metered Entity’s Settlement Quality Meter Data for any outstanding metered Demand and/or Generation for use in a Recalculation Settlement Statement T+70B calculation. Any previous CAISO Estimated Settlement Quality Meter Data that the Scheduling Coordinator does not replace with Actual Settlement Quality Meter Data by fifty-two (52) Business Days after the Trading Day (T+52B) will be set to zero. The CAISO will follow the control process described in the BPM for Metering to monitor and identify the CAISO Estimated Settlement Quality Meter Data that was not timely replaced and will take proactive measures to obtain the Actual Settlement Quality Meter Data. A Scheduling Coordinator that fails to replace CAISO Estimated Settlement Quality Meter Data with Actual Settlement Quality Meter Data by fifty-two (52) Business Days after the Trading Day (T+52B) has failed to provide complete and accurate Settlement Quality Meter Data as required by Section 37.5.2.1 and will be subject to monetary penalty pursuant to Section 37.5.2.2.

**10.3.6.4 Timing of SQMD Submission for Recalculation Settlement Statement T+11M**

Scheduling Coordinators may submit Actual Settlement Quality Meter Data for the Scheduling Coordinator Metered Entities they represent to the CAISO by two hundred and fourteen business days after the Trading Day (T+214B) for use in Recalculation Settlement Statement T+11M. Scheduling Coordinators submitting Actual Settlement Quality Meter Data by T+214B, which is more than fifty-two (52) Business Days after the Trading Day (T+52B) have failed to provide complete and accurate Settlement Quality Meter Data as required by Section 37.5.2.1 and will be subject to monetary penalty pursuant to Section 37.5.2.2. Any Actual Settlement Quality Meter Data that is submitted by a Scheduling Coordinator after the T+214B Meter Data Resubmittal Deadline, will be rejected by the CAISO and not used in settlement calculations.

**10.3.6.5 Submission of Actual Settlement Quality Meter Data or Scheduling Coordinator Estimated Settlement Quality Meter Data for Reliability Demand Response Resources that Provide Demand Response Services in Real-Time**

Each Scheduling Coordinator for a Demand Response Provider representing a Reliability Demand Response Resource that provides Demand Response Services only in Real-Time shall submit Actual Settlement Quality Meter Data or Scheduling Coordinator Estimated Settlement Quality Meter Data for the Reliability Demand Response Resource by midnight of the seventh Business Day after the Trading Day (T+7B) on which the Demand Response Services were provided, including Actual Settlement Quality Meter Data or Scheduling Coordinator Estimated Settlement Quality Meter Data for a Demand Response Event and for the forty-five (45) calendar days preceding the Trading Day for use in the CAISO’s calculation of the Customer Load Baseline pursuant to Section 4.13.4.

**10.3.6.6 Auditing by CAISO for Demand Response Providers**

To ensure accuracy and compliance with the CAISO tariff, the CAISO will have the right to audit Meter Data submitted by Scheduling Coordinators to establish performance evaluation methodologies pursuant to Section 4.13.4 or Demand Response Energy Measurements pursuant to Section 11.6.

**13.1.4 Disputes Arising Under Section 11**

In the case of a dispute of a Settlement Statement under section 11.29.8.2 or 11.29.7.4, a Scheduling Coordinator, CRR Holder, Black Start Generator or Participating TO must initiate any good faith negotiation or other dispute resolution remedy under this Section 13 within 90 days of the day on which the CAISO provides notice of its resolution of a dispute under such section.

**37.5.2.1 Expected Conduct**

Scheduling Coordinators representing Scheduling Coordinator Metered Entities shall provide complete and accurate Settlement Quality Meter Data for each Trading Hour and shall correct any errors in such data no later than fifty-two (52) Business Days after the Trading Day (T+52B). Failure either to submit complete and accurate Actual Settlement Quality Meter Data or to replace Estimated Settlement Quality Meter Data with complete and accurate Actual Settlement Quality Meter Data by T+52B is late Actual Settlement Quality Meter Data and shall be a violation of this rule. The failure to provide complete and accurate Actual Settlement Quality Meter Data, as required by Section 10.3.6 that causes an error to exist in such Settlement Quality Meter Data after fifty-two (52) Business Days after the Trading Day (T+52B) shall be a violation of this rule. Scheduling Coordinators that fail to submit Scheduling Coordinator Estimated Settlement Quality Meter Data that is complete and based on a good faith estimate that reasonably represents Demand and/or Generation quantities for each Settlement Period as required by Section 10 shall be a violation of this rule and may be referred to DMM for investigation.

**37.11.1 Inaccurate or Late Actual SQMD Penalty**

There is no Sanction for the submission of inaccurate or late Actual Settlement Quality Meter Data used for Initial Settlement Statement T+9B. However, failure by a Scheduling Coordinator, under a specific SCID, to submit Actual Settlement Quality Meter Data or to replace Estimated Settlement Quality Meter Data with Actual Settlement Quality Meter Data by fifty-two (52) Business Days after the Trading Day (T+52B) for one or more scheduled Resource IDs for a given Trading Day is late Actual Settlement Quality Meter Data and constitutes a Rule of Conduct violation. The Sanction is $1,000 and the Scheduling Coordinator is required to submit Actual Settlement Quality Meter Data by the Meter Data Resubmittal Deadline of T+214B for Recalculation Settlement Statement T+11M. Where a Scheduling Coordinator fails to submit Actual Settlement Quality Meter Data or to replace Estimated Settlement Quality Meter Data with Actual Settlement Quality Meter Data by T+52B for one or more scheduled Resource IDs for a given Trading Day, and that Scheduling Coordinator also fails to submit Actual Settlement Quality Meter Data by the Meter Data Resubmittal Deadline of T+214B for Recalculation Settlement Statement T+11M, then the Scheduling Coordinator shall also be levied a Sanction of $3,000. The submission by a Scheduling Coordinator of Actual Settlement Quality Meter Data that causes an error to exist in such Actual Settlement Quality Meter Data after T+52B shall constitute inaccurate Actual Settlement Quality Meter Data and is a Rule of Conduct violation. The Sanction is $1,000. All violations of this Section 37.11.1 shall be found per SCID per Trading Day and all Sanctions assessed under this Section 37.11.1 shall be levied per SCID per Trading Day. Accordingly, for any given trade date, one Scheduling Coordinator may be found to have committed multiple violations of, and may be assessed multiple Sanctions under, this Section 37.11.1.

43A.5.4 Individualized **Non-Availability Charges And Availability Incentive Payments**

Capacity accepting a designation as CPM Capacity will face a resource-specific Availability Incentive Mechanism Priceunder section 40.9.6. The resource-specific price will be the higher of: (a) the price that the resource was paid by the CAISO ($/kW-month) as a result of receiving the designation; and (b) the RA Availability Incentive Mechanism rate. Availability Incentive Mechanism payments to a resource designated under the CPM will be capped at the general Availability Incentive Mechanism rate.

For a resource requesting a resource-specific CPM Capacity price pursuant to Section 43A.4.1.1.1, the CAISO shall use that resource-specific CPM capacity price for calculating the Availability Incentive Mechanism only if that resource-specific CPM capacity price has been approved in time for inclusion on the Recalculation Settlement Statement T+70B. Otherwise, for resources that have sought a resource-specific CPM Capacity price pursuant to Section 43A.4.1.1.1, the CAISO shall use the CPM Soft Offer Cap price for calculating the Availability Incentive Mechanism price.

**Appendix A - Definitions**

**Initial Settlement Statement T+9B**

A Settlement Statement generated by the CAISO for the calculation of Settlements for a given Trading Day, which is scheduled to publish on the ninth Business Day from the relevant Trading Day (T+9B) and is prior to the Invoice or Payment Advice published for the relevant bill period.

**Recalculation Settlement Statement**

The recalculation of a Settlement Statement in accordance with the provisions of the CAISO Tariff, which includes the Recalculation Settlement Statement T+70B, Recalculation Settlement Statement T+11M, Recalculation Settlement Statement T+21M, Recalculation Settlement Statement T+24M, any Recalculation Settlement Statement issued pursuant to Section 11.29.7.4.1 or any other Recalculation Settlement Statement authorized by the CAISO Governing Board.

**Recalculation Settlement Statement T+70B**

The reissue of an Initial Settlement Statement T+9B by the CAISO scheduled on the seventieth (70th) Business Day from the relevant Trading Day.

**Recalculation Settlement Statement T+11M**

The reissue of Recalculation Settlement Statement T+70B by the CAISO approximately eleven (11) calendar months after the Trading Day (T+11M) scheduled on the two hundred thirty-fourth (234th) Business Day from the relevant Trading Day.

**Recalculation Settlement Statement T+21M**

The reissue of Recalculation Settlement Statement T+70B, Recalculation Settlement Statement T+11M, or an Unscheduled Reissue Recalculation Settlement Statement by the CAISO approximately twenty-one (21) calendar months after the Trading Day (T+21M) scheduled on the four hundred forty-sixth (446th) Business Day from the relevant Trading Day.

**Recalculation Settlement Statement T+24M**

The reissue of a Recalculation Settlement Statement T+70B, Recalculation Settlement Statement T+11M, or Recalculation Settlement Statement T+21M by the CAISO approximately twenty-four (24) calendar months after the Trading Day (T+24M) scheduled on the five hundred-twelfth (512th) Business Day from the relevant Trading Day (T+24M).