
**IMPORTANT INSTRUCTIONS FOR BEGINNING
YOUR ASSIGNMENT WITH THE CALIFORNIA ISO**

The California Independent System Operator Corporation requires that all vendors and contractors who require unescorted access to the ISO's property or access to the ISO's networks or servers complete a background investigation, drug screening, computer based information security training, and participate in a brief safety orientation. These requirements are specifically designed to support the ISO's mandatory compliance with standards set by the North American Electric Reliability Corporation and other entities to ensure the safety of our people, information, and property. We appreciate your attention to these important pre-assignment activities.

PRIOR TO COMING ONSITE, all vendors/contractors are required to review the ISO policies located on <http://www.caiso.com/doingbusiness/Pages/default.aspx> and complete the following forms:

- Background Check Information
- Security Badge Questionnaire
- Policy Agreement and Acknowledgement

DUE TO THE SENSITIVE NATURE OF THE INFORMATION YOU ARE PROVIDING, PLEASE FAX A COPY OF THE SIGNED FORMS OR MAIL THE ORIGINALS ONLY TO:

California ISO
Attn: Human Resources
250 Outcropping Way
Folsom, California 95630
Phone: (916) 608-7000
Fax: (916) 608-7297

After your consultant packet has been received AND your vendor contract paperwork has been finalized, Human Resources will coordinate with you and/or your ISO contact to schedule a start date and time. The ISO's process for new or returning contract resources is scheduled on Mondays at 9:00 a.m. in order to ensure smooth orientation activities.*

FAILURE TO COORDINATE WITH YOUR ISO CONTACT AND HUMAN RESOURCES MAY DELAY AUTHORIZATION TO START YOUR ASSIGNMENT.

ON YOUR CONFIRMED START DATE, please arrive at 250 Outcropping Way, Folsom, CA at 9:00 a.m. or your designated start time. Please stay in the left lane and check in at the guard shack. Then, go to the Security Office located along the left wall once you enter the main lobby. You must complete the following requirements to receive your unescorted access badge:

- Drug Screen
- Computer Based Information Security Training
- Safety Orientation

NOTE: Other restrictions may apply to contract employees as negotiated in your employer's contract with the ISO. Please confirm with your employer if other restrictions do or do not apply to you.

* Please contact Human Resources if your assignment will not be physically located at the ISO in order to coordinate information security training and other activities prior to commencing your assignment. After these activities are completed, you will be released to your ISO contact to begin your assignment.

Notice and Disclosure Regarding Authorization to Obtain Consumer Report and Investigative Consumer Report

This notice and disclosure is to notify you that:

1. In the course of conducting an investigation into your background, the California ISO may obtain a consumer report or an investigative consumer report about you.
2. The consumer report or investigative consumer report will be obtained for employment purposes. Or, if you are a service vendor or independent contractor, the report will be used to determine if you may be assigned to work in particular functions for the California ISO pursuant to its Personnel Risk Assessment Policy.
3. The consumer report or investigative consumer report may include information about your character, general reputation, personal characteristics and mode of living.
4. The investigative consumer reporting agency that would conduct the investigation is: Lexis Nexis Consumer Center Employment, PO Box 105108, Atlanta, Georgia 30348, (800) 845-6004.
5. If such an investigation is requested, you will be notified of the nature and scope of the investigation. The nature and scope of the investigation will be described in the Authorization to Obtain Consumer Report and Investigative Consumer Report provided to you at that time. You also will be provided a summary of the provisions of California Civil Code § 1786.22 (which sets forth rights provided under the California Investigative Consumer Reporting Agencies Act), among other notices of potentially applicable rights.

Please sign below to authorize that you have received this notice and disclosure.

Applicant/Employee's Full Name
Date

Applicant/Employee's Signature

Policy Agreement and Acknowledgement

I, _____, of _____
(PLEASE PRINT NAME) **(PLEASE PRINT COMPANY NAME)**

hereby acknowledge that I have read and understand the ISO Policies listed and available on the ISO website under the following link <http://www.caiso.com/doingbusiness/Pages/default.aspx> (collectively the "Policies") as of the date signed below. I hereby further acknowledge that upon notice of a change by electronic mail of the Policies (which may be communicated directly to my Company of employment or contract), I will agree to abide by such changes, unless I notify the ISO in writing that I cannot satisfy the terms of the Policies.

I hereby agree to comply in full with all requirements of the Policies. I understand that performing services for the ISO is contingent upon passing a drug screening test (if so designated in the Contract). I understand that I may be required to undergo drug screening upon reasonable suspicion of actions.

Further, I understand that I am responsible for complying with the Consultant Safety Handbook **and that I also take responsibility for my visitors, my guests and all Consultants that I am supervising on ISO property.** I will convey all information Consultant Safety Handbook to my visitors, my guests and all Consultants that I am supervising on ISO property and make available a copy of the Consultant Safety Handbook to such persons. I understand that noncompliance with the Consultant Safety Handbook may be grounds for termination of the Agreement and/or Work Order(s) with my employer or myself, or my ability to work on ISO property. If I have any questions regarding the Consultant Safety Handbook, I will contact the Safety Coordinator.

Signature

Date

Company Name: _____

Job Title: _____

Print Name: _____

ISO Contact Name: _____

Drug Screening

It is the policy of the California Independent System Operator Corporation (ISO) to require an initial drug screening before Services may be commenced at the ISO.

Upon request by the Security Department your drug screening shall be taken and completed on-site at the time that you complete the badging process. Please do not have any food or beverages except water prior to 30 minutes before arrival at the Security Department. Any food or beverages may cause a false positive to the drug screen where additional testing may be required prior to issuance of a non-escort badge.

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Answers to questions below are not a bar to establishing a contract. Each case is considered on the requirement of the contract. Give details of "yes" answers to items 1, 2 or 3

- | | | |
|--|------------|-----------|
| | Yes | No |
| 1. Do you have relatives employed by California ISO or who are members of the California ISO Board of Governors? If yes, list the name and relationship. | () | () |
| 2. Have you ever been discharged from employment or resigned to avoid such discharge? | () | () |
| 3. Have you ever been convicted of a misdemeanor or a felony by any court? If yes, give offense, date, and penalty of each conviction. | () | () |
| 4. Have you ever worked for the ISO as an Employee, Contractor, and/or Consultant in the past? | () | () |

Provide complete details of "yes" answers to items 1, 2, and 3 above:

I hereby certify that the above information is true and complete and I authorize the California ISO, or its agent, to verify this information. I agree and understand that any misstatements or omissions of material facts herein may result in the termination of my placement with ISO. I understand that continuation of my placement is contingent upon passing a criminal background check, credit reference check, education verification, and License verification when applicable.

Consultant's Signature: _____ **Date:** _____
Consultant's Company Name: _____
ISO Contact Name: _____

NOTE: Please do not come onsite to the ISO unless you have received the necessary approval and notification from the ISO Contact listed above to do so.

- _____ If a credit check is completed, I request a copy of my credit report as delivered to the California ISO ("X" or initial)
 _____ If a credit check is completed, I do not request a copy of my credit report as delivered to the California ISO ("X" or initial)

You have a right to request information regarding the nature and scope of any background verifications done on behalf of the California ISO. In the event that adverse action is taken as a result of information you believe to be erroneous, you must inform your employer or contracting agency within sixty (60) days of the time that the report is tendered to the California ISO. You will be provided with a copy of the disputed information and a method of contacting the agent completing the background check.

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| | | |
|-------------------------------|-------------------|--|
| Resource Type | Check Type | |
| () Consultant | () Criminal | Drug Test Required () Yes () No |
| () Contractor | () Credit | |
| () Employee | () Education | |
| () Temporary | () Work History | |
| Reviewer's Name: _____ | | Reviewer's Department: _____ |

Para informacion en espanol, visite www.ftc.gov/credit o escribe a la FTC Consumer Response Center, Room 130-A, 600 Pennsylvania Ave., N.W. Washington, D.C. 20580

A Summary of Your Rights Under the Fair Credit Reporting Act

The federal Fair Credit Reporting Act (FCRA) promotes accuracy, fairness, and privacy of information in the files of every “consumer reporting agency” (CRA). There are many types of CRAs, including credit bureaus and specialty agencies (such as agencies that sell information about check writing histories, medical records, and rental history records). Here is a summary of your rights. **For more information, including information about additional rights, go to www.ftc.gov/credit or write to Consumer Response Center, Room 130-A, Federal Trade Commission, 600 Pennsylvania Ave., N.W., Washington, D.C. 20580.**

- **You must be told if information in your file has been used against you.** Anyone who uses a credit report or another type of consumer report to deny your application for credit, insurance, or employment—or to take another adverse action against you—must tell you, and must give you the name, address, and phone number of the CRA that provided the report.
- **You have the right to know what is in your file.** At any time, you may request and obtain all the information about you in the files of a CRA (your “file disclosure”). You will be required to provide proper identification, which may include your Social Security number. In many cases, the disclosure will be free. You are entitled to a free file disclosure if:
 - a person has taken adverse action against you because of information in your credit report;
 - you are the victim of identity theft and place a fraud alert in your file;
 - your file contains inaccurate information as a result of fraud;
 - you are on public assistance;
 - you are unemployed but expect to apply for employment within 60 days.In addition, all consumers are entitled to one free disclosure every 12 months upon request from each nationwide credit bureau and from nationwide specialty consumer reporting agencies. See www.ftc.gov/credit for additional information.
- **You have the right to ask for a credit score.** Credit scores are numerical summaries of your credit-worthiness based on information from credit bureaus. You may request a credit score from CRAs that create scores or distribute scores used in residential real property loans, but you will have to pay for it. In some mortgage transactions, you will receive credit score information for free from the mortgage lender.
- **You have the right to dispute incomplete or inaccurate information.** If you identify information in your file that is incomplete or inaccurate, and report it to the CRA, the agency must investigate unless your dispute is frivolous. See www.ftc.gov/credit for an explanation of dispute procedures.
- **CRAs must correct or delete inaccurate, incomplete, or unverifiable information.** Inaccurate, incomplete or unverifiable information must be removed or corrected, usually within 30 days. However, a CRA may continue to report information it has verified as accurate.

You can dispute inaccurate items with the source of the information. If you tell anyone—such as a creditor who reports to a CRA—that you dispute an item, they may not then report the information to a CRA without including a notice of your dispute. In addition, once you’ve notified the source of the error in writing, it may not continue to report the information if it is, in fact, an error.

- **Outdated information may not be reported.** In most cases, a CRA may not report negative information that is more than seven years old or bankruptcies that are more than ten years old.
- **Access to your file is limited.** A CRA may provide information about you only to people with a valid need—usually to consider an application with a creditor, insurer, employer, landlord, or other business. The FCRA specifies those with a valid need for access.
- **Your consent is required for reports that are provided to employers.** A CRA may not give out information about you to your employer, or prospective employer, without your written consent given to the employer. For more information, go to www.ftc.gov/credit.
- **You may limit “prescreened” offers of credit and insurance you get based on information in your credit report.** Creditors and insurers may use file information as the basis for sending you unsolicited offers of credit or insurance. Such offers must include a toll-free phone number for you to call if you want your name and address excluded from future lists. You may opt-out with the nationwide credit bureaus at 1-888-5-OPTOUT.
- **You may seek damages from violators.** If a CRA, a user or (in some cases) a provider of CRA data, violates the FCRA, you may be able to sue them in state or federal court.
- **Identity theft victims and active duty military personnel have additional rights.** For more information, visit www.ftc.gov/credit.

States may enforce the FCRA, and many states have their own consumer reporting laws. In some cases, you may have more rights under state law. For more information, contact your state or local consumer protection agency or your state Attorney General. Federal enforcers are:

| For questions or concerns regarding: | Please contact: |
|--|---|
| CRAs, creditors and others not listed below | Federal Trade Commission: Consumer Response Center -- FCRA Washington, D.C. 20580 (877) 382-4357 |
| National banks, federal branches/agencies of foreign banks (word “National” or initials “N.A.” appear in or after bank’s name) | Office of the Comptroller of the Currency Compliance Management, Mail Stop 6-6 Washington, D.C. 20219 (800) 613-6743 |
| Federal Reserve System member banks (except national banks, and federal branches/agencies of foreign banks) | Federal Reserve Consumer Help P.O. Box 1200 Minneapolis, MN 55480 (888) 851-1920 www.federalreserveconsumerhelp.gov E-mail: ConsumerHelp@FederalReserve.gov |
| Savings associations and federally chartered | Office of Thrift Supervision: Consumer |

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| savings banks (word “Federal” or initials “F.S.B.” appear in federal institution’s name) | Complaints Washington, D.C. 20552 (800) 842-6929 |
| Federal credit unions (words “Federal Credit Union” appear in institution’s name) | National Credit Union Administration 1775 Duke Street Alexandria, VA 22314 (703) 519-4600 |
| Banks that are state-chartered, or are not Federal Reserve System members | Federal Deposit Insurance Corporation Consumer Response Center 2345 Grand Avenue, Suite 100 Kansas City, MO 64108-2638 (877) 275-3342 |
| Air, surface, or rail common carriers regulated by former Civil Aeronautics Board or Interstate Commerce Commission | Department of Transportation, Office of Financial Management Washington, D.C. 20590 (202) 366-1306 |
| Activities subject to the Packers and Stockyards Act, 1921 | Department of Agriculture: Office of Deputy Administrator—GIPSA Washington, D.C. 20250 (202) 720-7051 |

A Summary of Your Rights Under the California Investigative Consumer Reporting Agencies Act (Cal. Civ. Code §1786.22)

- An investigative consumer reporting agency must supply files and information for your inspection during normal business hours after you have given reasonable notice. In the disclosure, the agency must identify the names of recipients of any investigative consumer report on you that the agency has furnished for employment, insurance, or any other purposes within the two-year period preceding the request. You may also request the address and telephone number of the recipients of the reports. The agency must also disclose the dates, original payees and amounts of any checks or charges upon which is based any adverse characterization of you, which appear in your file at the time of your request.
- You may inspect your consumer report files and information, upon written request, in the following three ways:
 1. You may inspect your consumer report files and information in person, provided you furnish proper identification. You may also obtain a copy of your consumer report file from the agency for a fee not to exceed the actual costs of copying the file.
 2. You may request that a copy of your consumer report files and information be sent to you by certified mail, provided you furnish proper identification. However, the agency is not liable for disclosures of your files and information to third parties that result from the mishandling of mail after the mailing leaves the agency.
 3. You may request that a summary of your consumer report files and information be provided to you by telephone, if you have made a written request with proper identification for telephone disclosure, and the toll charge, if any, for the telephone call is prepaid by or charged directly to you.
- “Proper identification” as referenced above may include a valid driver’s license, social security account number, military identification card and credit cards. If you are unable to provide such identification listed above, the consumer reporting agency may require you to give additional information concerning your employment and personal or family history in order to verify your identity.

- The consumer reporting agency must provide trained personnel to explain to you any information furnished to you from your consumer report file.
- The consumer reporting agency must give you a written explanation of any coded information contained in your consumer report file. This written explanation must be provided to you whenever you have requested to inspect your file.
- You may be accompanied by one other person of your choice to inspect your consumer report file. That individual will have to provide proper identification to the consumer reporting agency prior to any inspection of information. The agency may also require you to give a written statement granting permission to the agency to discuss your file in the presence of this individual.



SECURITY BADGE QUESTIONNAIRE

Initial Renewal Date _____

The following information should be submitted to the Corporate Security Office upon initial hire and annually before your hire date* or when changes occur. Maintaining up-to-date information is crucial and supports the Security Team's ability to provide the safe and secure working environment we all enjoy.

*Your access badge is automatically de-activated by the security system at midnight the day before your hire date.

Employee/Contractor Information (Please print)

| | | | | | | | | | |
|-----------------------|-------|------------------|-------------------|---------------------------|--|---------------|--|-----------------------|--|
| Last Name | | | | First Name | | | | Middle Initial | |
| Job Title | | | | Company Name | | | | | |
| Work Phone | | | Cell Phone | | | DOB | | | |
| ISO Supervisor | | | | Supervisor Phone # | | | | | |
| Gender | M / F | Eye Color | | Hair Color | | Weight | | Height | |

Work Location (Circle one)

| | | | | | |
|-------------------|-------------|------------|------------|------------------|----------|
| Folsom Iron Point | OB Level 1 | OB Level 2 | OB Level 3 | Mission Critical | Level 00 |
| Alhambra | Room Number | | | | |

Vehicle Information

| | | | | | |
|---------------|--|----------------|--|-------------------|--|
| Year | | Make | | Model | |
| Color | | License | | State | |
| 2 door | | 4 door | | Permit No. | |

| | | | | | |
|---------------|--|----------------|--|-------------------|--|
| Year | | Make | | Model | |
| Color | | License | | State | |
| 2 door | | 4 door | | Permit No. | |

The following information is to be filled out by an ISO representative

| | | | | | |
|---------------------------|--|-----------------------------|---------------------------|------------------------|--|
| Resource Type | Consultant () Contractor () Employee () Temporary () | | | | |
| Resource Dates | Start Date | | End Date | | |
| Drug Test Required | Y () N () | | Project Code _____ | Task Code _____ | |
| Reviewers Name | | Reviewers Department | | Date _____ | |

Emergency Contact Information – Voluntary

During an emergency, ISO Security may need to call you at home or contact someone close to you. Please provide your emergency contact information below and sign your approval so the calls can be made during emergencies. Please also be sure that Human Resources has your current emergency contact information.

| | | | | | |
|--------------------------------------|--|---------------------------------------|--|---------------------|--|
| Emergency Contact's Last Name | | Emergency Contact's First Name | | Relationship | |
| Home Phone | | Second Number | | | |
| Signature | | | | | |