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June 20, 2007

The Honorable Kimberly Bose  
Secretary  
Federal Energy Regulatory Commission  
888 First Street, N.E.  
Washington, D.C. 20426

**Re: California Independent System Operator Corporation  
Docket No. ER07-\_\_\_\_  
SC Certification and Termination Amendment to the ISO Tariff**

Dear Secretary Bose:

Pursuant to Section 205 of the Federal Power Act ("FPA"), 16 U.S.C. § 824d, and Section 35.13 of the regulations of the Federal Energy Regulatory Commission ("Commission"), 18 C.F.R. § 35.13, the California Independent System Operator Corporation ("CAISO") respectfully submits for filing an original and five copies of an amendment (the "SC Certification and Termination Amendment") to the ISO Tariff.<sup>1</sup> The SC Certification and Termination Amendment revises the ISO Tariff by modifying the provisions relating to the process for Scheduling Coordinator ("SC") certification and termination in several respects, including increasing the Scheduling Coordinator application fee and addressing application processing issues. The CAISO is also proposing to implement with this SC Certification and Termination Amendment certain modifications to the Scheduling Coordinator certification provisions that the Commission has already approved for use in the CAISO's Market Redesign and Technology Upgrade ("MRTU") markets.

Two extra copies of this filing are also enclosed. Please stamp these copies with the date and time filed and return them to the messenger.

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<sup>1</sup> Capitalized terms not otherwise defined herein are used in the sense given in the Master Definitions Supplement, Appendix A to the ISO Tariff.

## **I. THE PROPOSED AMENDMENTS**

### **A. Background and Need for Tariff Amendment**

Section 4.5 of the ISO Tariff describes the requirements and process for certifying an entity as a CAISO Scheduling Coordinator. It includes requirements relating to acquisition of necessary software, a demonstration of system connectivity, a demonstration of financial security, and the execution of the necessary agreements. Over the past several years, it has become increasingly clear to CAISO personnel that several aspects of the Scheduling Coordinator certification process should be modified in order to make it more efficient and workable, both for the CAISO and Market Participants. Moreover, the CAISO believes that certain changes to this process should be made in order to ease the transition from the CAISO's current markets to the MRTU markets, which are scheduled to become operational on February 1, 2008. As detailed below, the CAISO has identified five types of modifications that it believes would improve the Scheduling Coordinator certification process, both in terms of current operations, as well as facilitating the transition to MRTU.

### **B. Proposed Tariff Modifications**

#### **1. Increase in Certification Timeframe**

Sections 4.5.1.1.4 and 4.5.1.1.6.1 of the ISO Tariff provide that a Scheduling Coordinator, in its application, must provide a proposed date for commencement of service, which may not be less than 60 days after the date the application is filed with the CAISO. In practice, CAISO personnel have found 60 days to be overly restrictive given the number of activities that must be accomplished in order to certify a Scheduling Coordinator under the ISO Tariff, including normal processing, establishing connectivity, addressing financial security, and scheduling sufficient time for training applicants so that they will be able to adequately participate in the CAISO markets. Therefore, the CAISO is proposing to increase the minimum time period that an applicant may elect for commencement of service after filing its application with the CAISO from 60 to 120 days.

This modification will also ease the transition to MRTU. Absent this change, an entity could apply late in 2007 to be certified for participation in the existing CAISO markets for the few weeks they will remain in effect while at the same time training for the MRTU markets. The CAISO does not believe that certifying new Scheduling Coordinators for participation in the current markets after the end of September is an efficient use of either the applicants' or the CAISO's resources, given that those markets will only be in place for less than two months subsequent to that point. Changing to a 120-day minimum period between application and certification will allow the CAISO to end all training and

certification related to the existing markets by the end of September and focus entirely on readiness and certification related to MRTU. This, however, does not preclude entities from participating in the CAISO markets during this period. An entity could still enter the current CAISO markets by contracting with any of the already-certified Scheduling Coordinators while it pursued Scheduling Coordinator certification for the MRTU markets. For these reasons, the CAISO submits that the change from a 60 day to 120 day minimum period between Scheduling Coordinator application and certification, as set forth in ISO Tariff Sections 4.5.1.1.4 and 4.5.1.1.6.1, is reasonable.

## **2. Increase in Scheduling Coordinator Application Fee**

The ISO Tariff provides for a Scheduling Coordinator certification fee of \$500, which has not changed since it was initially set in 1997. As set forth in detail in the attached declaration of Ali Miremadi, the current \$500 certification fee is far below the actual costs incurred by the CAISO in performing the various activities necessary to certify Scheduling Coordinators. As Mr. Miremadi explains, the CAISO has recently conducted a study of the actual costs associated with the Scheduling Coordinator certification process, and concluded that these costs, assuming a typical certification (*i.e.*, one that does not raise any special issues or require additional processing), totaled over \$7000.<sup>2</sup> Therefore, as Mr. Miremadi states in his declaration, the CAISO believes that it is appropriate to raise the Scheduling Coordinator certification fee to \$5000, in order to assign the majority of the costs to the entity seeking certification, rather than passing most of the costs on to the CAISO's Market Participants.<sup>3</sup>

The CAISO also believes that this change will help to discourage entities from submitting "placeholder" Scheduling Coordinator applications before they are truly committed to becoming certified. This behavior has contributed to the issue discussed in Section I.B.3 below with respect to Scheduling Coordinator applications that remain open and uncompleted indefinitely. For all of these reasons, the CAISO believes that the proposed certification fee increase is just and reasonable.

The changes made to reflect this proposal are located in Sections 4.5.1.1.4 and 4.5.1.1.6.1 of the ISO Tariff. It should also be understood that this change will not affect the fee for obtaining additional Scheduling Coordinator Identification Codes ("SCIDs"). Scheduling Coordinators that wish to obtain additional SCIDs will still be charged \$500 per month, or as may otherwise be set forth in Appendix F, Schedule 1, for each additional SCID. This is made clear in proposed new Section 4.5.1.3.

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<sup>2</sup> Attachment E at PP 4-8.

<sup>3</sup> *Id.* at P 8.

**3. Provisions to Close Applications When an Applicant Fails to Complete Applicable Requirements Within a Twelve Month Period**

Historically, some Scheduling Coordinator Applicants have filed an application, initiated work at the CAISO, and then failed to complete the Scheduling Coordinator certification requirements. Under the current ISO Tariff, such applications remain "alive" indefinitely. A variation on this situation is when a Scheduling Coordinator Applicant begins the certification process, ceases meeting the various requirements at a certain point, and then, after a lengthy period of inactivity, seeks to revive its application and continue the process.

The lack of a sunset provision in the ISO Tariff for failure to meet the SC certification process milestones is problematic because of the risk that a lapsed application could be revived at a later date. An attempt to revive a Scheduling Coordinator application after the passage of many months creates confusion and drains the CAISO's resources. This is the case because during the time period between initial application and the attempted revival of the application, relevant CAISO and Scheduling Coordinator Applicant contact information may have changed, digital certificates may have expired, and the CAISO processes and systems may have changed, making previous training, setup and testing in CAISO systems obsolete.

For these reasons, the CAISO believes that it is reasonable to terminate the applications of those Scheduling Coordinator Applicants that have not completed the Scheduling Coordinator certification requirements within twelve months after the CAISO receives their application. Prior to terminating such an application, the CAISO will provide the applicant with 30 days notice of its intent to close the application. In the event an application is closed for this reason, and the applicant subsequently wishes to obtain Scheduling Coordinator certification, the applicant would be required to submit a new SC application and nonrefundable fee to begin the process again.

Changes to implement this new sunset provision are set forth in proposed new ISO Tariff Section 4.5.1.1.10.2.

**4. Suspension or Termination of Scheduling Coordinator Status After Twelve Consecutive Months of Market Inactivity**

Some Scheduling Coordinators have discontinued participation in the CAISO markets for long periods of time without seeking to terminate their Scheduling Coordinator Agreements ("SCA"). In such cases, the CAISO has been concerned that any attempts by such Scheduling Coordinators to resume market participation would result in significant obstacles for both the Scheduling Coordinators and the CAISO of the sort discussed in the section above

concerning lapsed applications (e.g. changes in contact information, expiration of digital certificates, and changed training requirements relating to CAISO processes and procedures). Such a situation occurred just recently, reinforcing the need for a provision to address this issue.

The CAISO proposes to add to Section 4.5 language allowing the CAISO to suspend Scheduling Coordinator certifications and terminate SCAs (and deactivate the associated SCID) for SCs that do not schedule or bid in the CAISO's markets for twelve consecutive months. This language is set forth in proposed new Section 4.5.4.4(a)(iv). A Scheduling Coordinator who receives a notice of proposed termination of its SCA (and therefore has its certification suspended) may avoid termination and have its certification reinstated by completing the standard testing and training required for Scheduling Coordinator certification within 120 days of receiving from the CAISO a notice of termination. This opportunity to avoid termination is set forth in proposed new Section 4.5.4.4.2 and the related revisions to Section 4.5.4.5.1. If an entity fails to meet this requirement, and therefore has its SCA terminated, it would need to go through the application and certification process from the beginning, including executing a new SCA, in order to participate once again in the CAISO markets as a Scheduling Coordinator.

## **5. Incorporation of MRTU-Related Tariff Changes**

As noted above, one of the main reasons for filing this amendment at this time is to assist the CAISO and Market Participants in transitioning to the MRTU markets, scheduled to go live on February 1, 2008, particularly with respect to certifying new Scheduling Coordinators to participate in the MRTU markets. In this regard, it is optimal to use the tariff and Business Practice Manual ("BPM") provisions designed for the MRTU markets. The CAISO therefore proposes to modify the current ISO Tariff to incorporate provisions regarding the Scheduling Coordinator certification process that the CAISO has already included or proposes to include in the MRTU version of the CAISO Tariff ("MRTU Tariff").

Many of these proposed MRTU-related changes have already been accepted by the Commission in its order on the MRTU Tariff filed by the CAISO in February 2006.<sup>4</sup> However, there is a need for some additional clarifying revisions to reflect the provisions that the CAISO has developed as part of the stakeholder process for the BPM for SC Certification and Termination over the course of the past year. The primary proposed new substantive revisions to the provisions accepted as part of the MRTU Tariff would make clear the need for an SC Applicant to comply with CAISO system security requirements, meet

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<sup>4</sup> *California Independent System Operator Corp.*, 116 FERC ¶ 61,274 (2006) ("September 21 Order"). The CAISO is including with this filing, as Attachment C, a set of blacklined Tariff Sheets showing the extent to which the provisions of this proposed SC Certification and Termination Amendment reflect the already-approved provisions of the MRTU Tariff.

additional training and testing requirements, and submit an emergency plan. These revisions are in addition to other more minor clarifications, such as changing review and response periods from calendar days to their equivalent in Business Days, updating terminology, including the MRTU definitions necessary in order to give meaning to certain provisions, and the deletion of Appendix T, which currently sets forth details regarding the Scheduling Coordinator application process – the effective provisions of which are being incorporated into the BPM for SC Certification and Termination.

In addition, these provisions will allow the BPM for SC Certification and Termination to provide the implementing details of the new SC certification process. The current draft version of this BPM is attached for informational purposes as Attachment D.

These changes should not be controversial, as they have already been subjected to stakeholder review and comment, as well as the Commission's filing and review process for many of them. Having these modifications take effect in advance of MRTU implementation will facilitate a smoother transition to the new market design. Therefore, the CAISO respectfully requests that the Commission approve these modifications for use in the current version of the ISO Tariff.

### **C. Stakeholder Process**

The modifications proposed herein were reviewed as part of multiple stakeholder processes. The tariff changes discussed in Sections I.B.1-I.B.4 above were the subject of a stakeholder process conducted by the CAISO beginning on March 21, 2007 with the issuance of a whitepaper by the CAISO laying out these proposals. Also proposed to stakeholders at that time was a "freeze" on new Scheduling Coordinator certifications for several months before MRTU implementation and a delay in the effectiveness of new Scheduling Coordinator certifications until one month after MRTU implementation. In their written comments and in a conference call on April 2, 2007, stakeholders were generally supportive or silent on the proposals discussed in Sections I.B.1-I.B.4, but several raised concerns with respect to the "freeze" proposal. These concerns have been resolved by the current proposal because it eliminates the proposed "freeze" period and relies on the 120-day certification timeframe to provide ample time for certification of SCs for participation in the MRTU markets prior to the MRTU implementation date. In addition, these proposals were presented to and approved by the ISO Governing Board on May 30, 2007. No opposition was expressed to the proposals in conjunction with their presentation to the ISO Governing Board.

As noted in Section I.B.5 above, many of the proposed revisions to implement existing MRTU Tariff provisions have already been accepted by the Commission as part of the MRTU Tariff and their incorporation into the current

version of the ISO Tariff should not be controversial. With respect to the other proposed MRTU-related revisions discussed in Section I.B.5 above, the stakeholder process on these revisions has included: (1) posting of drafts of the BPM for SC Certification and Termination for stakeholder review on July 31, 2006, January 19, 2007, and April 2, 2007; (2) stakeholder meetings and written comments on the draft BPM and CAISO responses to those comments; posting of draft MRTU Tariff revisions on April 2, 2007; and (3) written comments and a stakeholder call on the draft MRTU Tariff language on April 17, 2007. These revisions include a number of changes in response to stakeholder comments on the BPM or the MRTU Tariff language.

Finally, draft tariff language reflecting the complete and integrated current proposal (other than the proposed deletion of the outdated Appendix T) was posted on the CAISO's website on May 18, 2007. Only a very few minor comments were received, either in writing or on the conference call held on May 29, 2007. The CAISO has made minimal changes between that language and the language enclosed herein, primarily to make clarifications in response to the few comments received.

## **II. COMMUNICATIONS**

Communications regarding this filing should be addressed to the following individuals, whose names should be placed on the official service list established by the Secretary with respect to this submittal:

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## **III. EFFECTIVE DATE**

The CAISO respectfully requests that this SC Certification and Termination Amendment be allowed to go into effect on August 20, 2007, sixty-one days from the June 20, 2007 filing date.

#### **IV. SERVICE**

The CAISO has served copies of this transmittal letter, and all attachments, on the California Public Utilities Commission, the California Energy Commission, the California Electricity Oversight Board, all parties with effective Scheduling Coordinator Service Agreements under the ISO Tariff. In addition, the CAISO is posting this transmittal letter and all attachments on the ISO Website.

#### **V. ATTACHMENTS**

The following documents, in addition to this letter, support this filing:

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|--------------|--|
| Attachment A | Clean Tariff Sheets to the currently-effective ISO Tariff  |
| Attachment B | Blacklined Tariff Sheets from the currently-effective ISO Tariff   |
| Attachment C | For information only, blacklined Tariff Sheets showing changes to provisions from the currently-approved MRTU Tariff |
| Attachment D | For information only, the current version of the BPM for Scheduling Coordinator Certification and Termination        |
| Attachment E | Declaration of Ali Miremadi Concerning Increase in Scheduling Coordinator Certification Fee                          |




The Honorable Kimberly Bose  
June 20, 2007  
Page 9

Two extra copies of this filing are also enclosed. Please stamp these copies with the date and time filed and return them to the messenger. Please feel free to contact the undersigned if you have any questions concerning this matter.

Respectfully submitted,

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**Attachment A – Clean Sheets to Currently Effective Tariff**

**Scheduling Coordinator Certification Amendment Filing**

**4.5 Responsibilities of a Scheduling Coordinator.**

**4.5.1 Scheduling Coordinator Certification.**

Only Scheduling Coordinators that the CAISO has certified as having met the requirements of this Section 4.5.1 may participate in the CAISO's Energy and Ancillary Services markets. Scheduling Coordinators offering Ancillary Services shall additionally meet the requirements of Section 8.

Each Scheduling Coordinator shall:

- (a) demonstrate to the CAISO's reasonable satisfaction that it is capable of performing the functions of a Scheduling Coordinator under this CAISO Tariff including (without limitation) the functions specified in Sections 4.5.3 and 4.5.4;
- (b) identify each of the Eligible Customers (including itself if it trades for its own account) which it is authorized to represent as Scheduling Coordinator and confirm that the metering requirements under Section 10 are met in relation to each Eligible Customer that it represents under this CAISO Tariff;
- (c) confirm that each of the End-Use Customers it represents is eligible for Direct Access;
- (d) confirm that none of the Wholesale Customers it represents is ineligible for wholesale transmission service pursuant to the provisions of FPA Section 212(h);
- (e) demonstrate to the CAISO's reasonable satisfaction that it meets the financial criteria set out in Section 12;
- (f) enter into a Scheduling Coordinator Agreement with the CAISO; and
- (g) provide NERC tagging data.

**4.5.1.1 Procedure to become a Scheduling Coordinator.**

**4.5.1.1.1 Scheduling Coordinator Application.**

To become a Scheduling Coordinator, a Scheduling Coordinator Applicant must submit a completed application, as set forth in the applicable Business Practice Manual, to the CAISO by mail or in person. A Scheduling Coordinator Applicant may retrieve the application and necessary information from the CAISO Website.

**4.5.1.1.2 CAISO Information.**

The CAISO will provide the following information, in its most current form, on the CAISO Website. Upon a request by a Scheduling Coordinator Applicant, the CAISO will send the following information by electronic mail:

- (a) the Scheduling Coordinator Application Form, as set forth in the applicable Business Practice Manual;
- (b) the CAISO Tariff and Business Practice Manuals; and
- (c) forms for a credit application for Scheduling Coordinator Applicants applying for Unsecured Credit Limits and for provision of Financial Security to be provided pursuant to Section 12.

**4.5.1.1.3 Duplicate Information.**

If two or more Scheduling Coordinators apply simultaneously to register with the CAISO for a single meter or Meter Point for a CAISO Metered Entity or if a Scheduling Coordinator applies to register with the CAISO for a meter or Meter Point for a CAISO Metered Entity for which a Scheduling Coordinator has already

registered, the CAISO will return the application with an explanation that only one Scheduling Coordinator may register with the CAISO for the meter or Meter Point in question and that a Scheduling Coordinator has already registered or that more than one Scheduling Coordinator is attempting to register for that meter or Meter Point. The CAISO will send the Scheduling Coordinator Applicant the name and address of the applicable Scheduling Coordinator or Scheduling Coordinator Applicant.

**4.5.1.1.4 Scheduling Coordinator Applicant returns Application.**

At least 120 days before the proposed commencement of service, the Scheduling Coordinator Applicant must return a completed application form with the non-refundable application fee of \$5,000 to cover the application processing costs.

**4.5.1.1.5 Notice of Receipt.**

Within three (3) Business Days of receiving the application, the CAISO will send electronic notification to the Scheduling Coordinator Applicant that it has received the application and the non-refundable fee.

**4.5.1.1.6 CAISO Review of Application.**

Within ten (10) Business Days after receiving an application, the CAISO will provide electronic notification to the Scheduling Coordinator Applicant whether the Scheduling Coordinator Applicant has submitted all necessary information as set forth in Section 4.5.1, and the Scheduling Coordinator Application Form set forth in the applicable Business Practice Manual.

**4.5.1.1.6.1 Information Requirements.**

The Scheduling Coordinator Applicant must submit with its application:

- (a) the proposed date for commencement of service, which may not be less than 120 days after the date the application, was filed, unless waived by the CAISO;
- (b) financial and credit information as set forth in Section 12; and
- (c) the prescribed non-refundable application fee of \$5,000.

**4.5.1.1.6.2 Scheduling Coordinator Applicant's Obligation for Contracts.**

A Scheduling Coordinator Applicant must certify that it is duly authorized to represent the Generators and Loads that are its Scheduling Coordinator Customers and must further certify that:

(a) represented Generators have entered into Participating Generator Agreements or Qualifying Facility Participating Generator Agreements as provided in Appendices B.2 and B.3, respectively with the CAISO;

(b) represented UDCs have entered into UDC Operating Agreements as provided in Appendix B.8 with the CAISO;

(c) represented CAISO Metered Entities have entered into Meter Service Agreements for CAISO Metered Entities as provided in Appendix B.6 with the CAISO;

(d) none of the Wholesale Customers it will represent are ineligible for wholesale transmission service pursuant to the provisions of the FPA Section 212(h); and

(e) each End-Use Customer it will represent is eligible for Direct Access service pursuant to an established program approved by the California Public Utilities Commission or a Local Regulatory Authority.

**4.5.1.1.7 Deficient Application.**

In the event that the CAISO has determined that the application is deficient, the CAISO will send an electronic notification of the deficiency to the Scheduling Coordinator Applicant within ten (10) Business Days of receipt by the CAISO of the application explaining the deficiency and requesting additional information.

**4.5.1.1.7.1 Scheduling Coordinator Applicant's Additional Information.**

Once the CAISO requests additional information, the Scheduling Coordinator Applicant has five (5) Business Days, or such longer period as the CAISO may agree, to provide the additional material requested by the CAISO.

**4.5.1.1.7.2 No Response from Scheduling Coordinator Applicant.**

If the Scheduling Coordinator Applicant does not submit additional information within five (5) Business Days or the longer period referred to in Section 4.5.1.1.7.1, the application may be rejected by the CAISO.

**4.5.1.1.8 CAISO Approval Or Rejection Of An Application.**

**4.5.1.1.8.1 Approval or Rejection Notification.**

(a) If the CAISO approves the application, it will send an electronic notification of approval. In addition, the CAISO will provide a Scheduling Coordinator Agreement, a Meter Service Agreement for Scheduling Coordinators as provided in Appendix B.7, if applicable, any other applicable agreements, and any required CAISO network connectivity security agreement for the Scheduling Coordinator Applicant's signature.

(b) If the CAISO rejects the application, the CAISO will send an electronic notification of rejection stating one or more of the following grounds:

- i. incomplete information;
- ii. non-compliance with credit requirements pursuant to Section 12;
- iii. non-compliance with third party contractual obligations;
- iv. non-compliance with technical requirements; or
- v. non-compliance with any other CAISO Tariff requirements.

Upon request, the CAISO will provide guidance as to how the Scheduling Coordinator Applicant can cure the grounds for the rejection.

**4.5.1.1.8.2 Time for Processing Application.**

The CAISO will make a decision whether to accept or reject the application within ten (10) Business Days of receipt of the application. If more information is requested, the CAISO will make a final decision within ten (10) Business Days of the receipt of all outstanding or additional information requested.

**4.5.1.1.9 Scheduling Coordinator Applicant's Response.**

**4.5.1.1.9.1 Scheduling Coordinator Applicant's Acceptance.**

If the CAISO accepts the application, the Scheduling Coordinator Applicant must return an executed Scheduling Coordinator Agreement, Meter Service Agreement for Scheduling Coordinators, if applicable, any other applicable agreements, and a completed credit application and Financial Security provided pursuant to Section 12, as applicable.

**4.5.1.1.9.2 Scheduling Coordinator Applicant's Rejection.**

**4.5.1.1.9.2.1 Resubmittal.**

If an application is rejected, the Scheduling Coordinator Applicant may resubmit its application at any time. An additional application fee will not be required for the second application submitted within six (6) months after the CAISO's issuance of a rejection notification.

**4.5.1.1.9.2.2 Appeal.**

The Scheduling Coordinator Applicant may also appeal against the rejection of an application by the CAISO. An appeal must be submitted within twenty (20) Business Days following the CAISO's issuance of a notification of rejection of its application.



**4.5.1.1.10 Post Application Procedures Prior To Final Certification.**

**4.5.1.1.10.1 Scheduling Coordinator's Administrative, Financial and Technical Requirements.**

The CAISO will not certify that a Scheduling Coordinator Applicant has become a Scheduling Coordinator until the Scheduling Coordinator Applicant has completed all of the following requirements:

- (a) provided the technical/operational information required to complete the Scheduling Coordinator Application Form set forth in the applicable Business Practice Manual, and to comply with Section 10.3;
- (b) executed a network connectivity security agreement for access to the CAISO's software used in conducting business with the CAISO and compliance with the CAISO's system security requirements in a form approved by the CAISO, if applicable;
- (c) obtained and installed any required software for functional interface for Validation, Estimation and Editing meter values (VEE), if applicable;

- (d) undertaken required training and testing regarding the use of the CAISO's market, operating, and technical systems, as specified in the applicable Business Practice Manual;
- (e) provided its bank account information and arranged for Fed-Wire transfers;
- (f) provided an emergency plan specifying the procedures by which Scheduling Coordinator operations and contacts with the CAISO will be maintained during an emergency, containing information specified in the applicable Business Practice Manual; and
- (g) obtained and installed a computer link and any necessary software in order to communicate with the CAISO, as specified in the applicable Business Practice Manual.

Additional instructions for completing the foregoing requirements will be set forth in a Business Practice Manual posted on the CAISO Website.

**4.5.1.1.10.2 Application Closure after 12 Months.**

The CAISO will not certify a Scheduling Coordinator Applicant as a Scheduling Coordinator until the Scheduling Coordinator Applicant has completed all of the requirements for certification set forth in this Section 4.5 to the CAISO's satisfaction within twelve (12) months following the CAISO's acceptance of the application for processing. If the Scheduling Coordinator Applicant has not completed all the above referenced requirements within twelve (12) months after the CAISO's acceptance of the application, the CAISO may close the Scheduling Coordinator Applicant's application. The CAISO shall provide the Scheduling Coordinator Applicant thirty (30) days advance notice of its intent to close the application. If the CAISO closes the application, the Scheduling Coordinator Applicant must submit a new application and non-refundable application fee if it continues to request certification as a Scheduling Coordinator.

**4.5.1.1.11 Final Certification of Scheduling Coordinator Applicant.**

The Scheduling Coordinator Applicant will become a Scheduling Coordinator when:

- (a) its application has been accepted;
- (b) it has entered into a Scheduling Coordinator Agreement, a Meter Service Agreement for Scheduling Coordinators, if applicable, and any other applicable agreements with the CAISO;
- (c) it has met the credit requirements of Section 12; and
- (d) it has fulfilled all technical/operational requirements of Sections 4.5.4.1 and 4.5.1.1.10.1.

The CAISO will not certify a Scheduling Coordinator Applicant as a Scheduling Coordinator until the Scheduling Coordinator Applicant has completed all the above referenced requirements to the CAISO's satisfaction, at least ten (10) Business Days before the commencement of service.

**4.5.1.2 Scheduling Coordinator's Ongoing Obligations After Certification.**

**4.5.1.2.1 Scheduling Coordinator's Obligation to Report Changes.**

**4.5.1.2.1.1 Obligation to Report a Change in Filed Information.**

Each Scheduling Coordinator has an ongoing obligation to inform the CAISO of any changes to any of the information submitted by it to the CAISO as part of the application process, including any changes to the additional information requested by the CAISO and including but not limited to changes in its credit ratings. The applicable Business Practice Manual sets forth the procedures for changing the Scheduling Coordinator's information and timing of notifying the CAISO of such changes.

**4.5.1.2.1.2 Obligation to Report a Change in Credit Ratings or Material Change in Financial Condition.**

The Scheduling Coordinator has an ongoing obligation to inform the CAISO within three (3) Business Days of any change to its credit ratings or any Material Change in Financial Condition.

**4.5.1.2.2 CAISO's Response for Failure to Inform.**

**4.5.1.2.2.1 Failure to Promptly Report a Material Change.**

If a Scheduling Coordinator fails to inform the CAISO of a material change in its information provided to the CAISO, which may affect the reliability or safety of the CAISO Controlled Grid, or the financial security of the CAISO, the CAISO may suspend or terminate the Scheduling Coordinator's rights under the CAISO Tariff in accordance with the terms of Sections 12 and 4.5 respectively. If the CAISO intends to terminate the Scheduling Coordinator's rights it shall file a notice of termination with FERC, if required by FERC, in accordance with the terms of the Scheduling Coordinator Agreement. Such termination shall be effective upon acceptance by FERC of a notice of termination, if required by FERC rules, or as otherwise permitted by FERC rules.

**4.5.1.3 Additional Scheduling Coordinator Identification Code Registration.**

A Scheduling Coordinator Applicant is granted one Scheduling Coordinator Identification Code with its application fee. Requests may be made for additional Scheduling Coordinator Identification Codes. The fee for each additional Scheduling Coordinator Identification Code is \$500 per month, or as otherwise specified in Schedule 1 of Appendix F.

**4.5.2 Eligible Customers Represented by Scheduling Coordinators.**

Each Scheduling Coordinator shall within ten (10) days of a request by the ISO provide the ISO with a list of the Eligible Customers which it represents at the date of the request.

**4.5.3 Responsibilities of a Scheduling Coordinator.**

**Each Scheduling Coordinator shall be responsible for:**

**4.5.3.1 Obligation to Pay.** Paying the ISO's charges in accordance with this ISO Tariff;

**4.5.4.3 Dynamic Scheduling.**

Scheduling Coordinators may dynamically schedule imports of Energy, Supplemental Energy, and Ancillary Services (other than Regulation) for which associated Energy is delivered dynamically from System Resources located outside of the ISO Control Area, provided that (a) such dynamic scheduling is technically feasible and consistent with all applicable NERC and WECC criteria and policies, (b) all operating, technical, and business requirements for dynamic scheduling functionality, as posted in standards on the ISO Home Page, are satisfied, (c) the Scheduling Coordinator for the dynamically scheduled System Resource executes an agreement with the ISO for the operation of dynamic scheduling functionality, and (d) all affected host and intermediary Control Areas each execute with the ISO an Interconnected Control Area Operating Agreement ("ICAOA") or special operating agreement related to the operation of dynamic functionality. See the forms of agreement in Attachment A to Appendix X.

**4.5.4.4 Termination of Scheduling Coordinator Agreement and Suspension of Certification.**

(a) A Scheduling Coordinator's Scheduling Coordinator Agreement may be terminated by the CAISO on written notice to the Scheduling Coordinator:

- (i) if the Scheduling Coordinator no longer meets the requirements for eligibility set out in Section 4.5 and fails to remedy the default within a period of five (5) Business Days after the CAISO has given written notice of the default;

- (ii) if the Scheduling Coordinator fails to pay any sum under this CAISO Tariff and fails to remedy the default within a period of five (5) Business Days after the CAISO has given written notice of the default;

(iii) if the Scheduling Coordinator commits any other default under this CAISO Tariff or any of the CAISO Business Practice Manuals which, if capable of being remedied, is not remedied within thirty (30) days after the CAISO has given it written notice of the default; or

(iv) if the Scheduling Coordinator does not schedule or bid in the CAISO's markets for Energy or Ancillary Services for a period of twelve (12) consecutive months and fails to comply with the provisions of Section 4.5.4.4.2 within 120 days after the CAISO has given it written notice of the CAISO's intent to terminate its Scheduling Coordinator Agreement.

(b) A Scheduling Coordinator's Scheduling Coordinator Agreement may be terminated by the Scheduling Coordinator on sixty (60) days written notice to the CAISO, provided that such notice shall not be effective to terminate the Scheduling Coordinator Agreement until the Scheduling Coordinator has complied with all applicable requirements of Section 4.5.2.

The CAISO shall, following termination of a Scheduling Coordinator Agreement and within thirty (30) days of being satisfied that no sums remain owing by the Scheduling Coordinator under the CAISO Tariff, return or release to the Scheduling Coordinator, as appropriate, any money or credit support provided by such Scheduling Coordinator to the CAISO under Section 12.

**4.5.4.4.1** Pending the effective date of termination of service pursuant to Section 4.5.4.5.1, the CAISO will suspend the certification of a Scheduling Coordinator which has received a notice of termination under Section 4.5.4.4(a) and the Scheduling Coordinator will not be eligible to schedule or bid in the CAISO's Energy and Ancillary Services markets.

**4.5.4.4.2** A Scheduling Coordinator that has received a notice of the CAISO's intent to terminate its Scheduling Coordinator Agreement for failure to schedule or bid in the CAISO's markets for Energy and Ancillary Services for a period of twelve (12) consecutive months pursuant to Section 4.5.4.4(a)(iv) will avoid having its Scheduling Coordinator Agreement terminated and will have its certification reinstated if it completes the testing and training required for Scheduling Coordinator certification as set forth in the applicable Business Practice Manual within 120 days after the CAISO's issuance of the notice of intent to terminate.



**4.5.4.5 Notification of Termination.**

The ISO shall, promptly after providing written notice of default to a Scheduling Coordinator as specified in Section 4.5.4.4 (a), notify the Scheduling Coordinators that could be required to represent End Use Eligible Customers of the Scheduling Coordinator under Section 4.5.4.6.2 if the default is not cured. The ISO shall, as soon as reasonably practicable following the occurrence of any of the events specified in Section 4.5.4.4, notify the Scheduling Coordinator and the Scheduling Coordinators that could be required to represent End Use Eligible Customers of the defaulting Scheduling Coordinator, and the UDCs, and shall as soon as reasonably practicable after the issuance of such notice of termination post such notice on the ISO Home Page. Termination of the Scheduling Coordinator Agreement will automatically remove the Scheduling Coordinator's certification under Section 4.5 and Section 8.4.

**4.5.4.5.1 Filing of Notice of Termination.**

Any notice of termination given pursuant to Section 4.5.4.4 shall also be filed by the CAISO with FERC, if required by FERC rules, if the non-compliance is not remedied within the period specified in Section 4.5.4.4, and it shall be effective in accordance with FERC rules.

	rating guidelines, less any reserved uses applicable to the path.
<b><u>Backup ISO Control Center</u></b>	The ISO Control Center located in Alhambra, California.
<b><u>Balanced Schedule</u></b>	A Schedule shall be deemed balanced when Generation, adjusted for Transmission Losses equals Demand with respect to all entities for which a Scheduling Coordinator schedules.
<b><u>Balancing Account</u></b>	An account set up to allow periodic balancing of financial transactions that, in the normal course of business, do not result in a zero balance of cash inflows and outflows.
<b><u>Black Start</u></b>	The procedure by which a Generating Unit self-starts without an external source of electricity thereby restoring power to the ISO Controlled Grid following system or local area blackouts.
<b><u>Black Start Generator</u></b>	A Participating Generator in its capacity as party to an Interim Black Start Agreement with the ISO for the provision of Black Start services, but shall exclude Participating Generators in their capacity as providers of Black Start services under their Reliability Must-Run Contracts.
<b><u>Bulk Supply Point</u></b>	A UDC metering point.
<b><u>Business Day</u></b>	Monday through Friday, excluding federal holidays and the day after Thanksgiving Day.
<b><u>Business Practice Manual (BPM)</u></b>	A collection of documents made available by the CAISO on the CAISO Website that contain the rules, policies, procedures and guidelines established by the CAISO for operational, planning, accounting and settlement requirements of CAISO Market activities, consistent with the CAISO Tariff.
<b><u>C.F.R.</u></b>	Code of Federal Regulations.
<b><u>CAISO</u></b>	The California Independent System Operator Corporation, a California non-profit public benefit corporation that operates the transmission facilities of all Participating TOs and dispatches certain Generating Units and Loads.
<b><u>CAISO Controlled Grid</u></b>	The system of transmission lines and associated facilities of the Participating TOs that have been placed under the CAISO's Operational Control.

<b><u>CAISO Tariff</u></b>	The California Independent System Operator Corporation Operating Agreement and Tariff, dated March 31, 1997, as it may be modified from time to time.
<b><u>CAISO Website</u></b>	The CAISO internet home page at <a href="http://www.caiso.com">http://www.caiso.com</a> / or such other internet address as the CAISO shall publish from time to time.
<b><u>Calendar Day</u></b>	Any day including Saturday, Sunday or a federal holiday.
<b><u>Candidate CRR Holder</u></b>	Defined in Appendix BB.
<b><u>CDWR-SWP</u></b>	The California Department of Water Resources, State Water Project.
<b><u>CDWR-SWP Participating Generating Units</u></b>	The Generating Units operated by the California Department of Water Resources, State Water Project, that are subject to a Participating Generator Agreement with the ISO.
<b><u>Certificate of Compliance</u></b>	A certificate issued by the ISO which states that the Metering Facilities referred to in the certificate satisfy the certification criteria for Metering Facilities contained in the ISO Tariff.
<b><u>Check Meter</u></b>	A redundant revenue quality meter which is identical to and of equal accuracy to the primary revenue quality meter connected at the same metering point which must be certified in accordance with the ISO Tariff.

**ISO TARIFF APPENDIX T**  
**[NOT USED]**

**[NOT USED]**

**[NOT USED]**

**[NOT USED]**

**[NOT USED]**



**[NOT USED]**

**[NOT USED]**

**Attachment B – Blacklines to Currently Effective Tariff**  
**Scheduling Coordinator Certification Amendment Filing**

\* \* \*

#### 4.5 Responsibilities of a Scheduling Coordinator.

##### 4.5.1 Scheduling Coordinator Certification.

~~The ISO shall accept Schedules and bids for Energy and Ancillary Services~~ Only from Scheduling Coordinators which ~~it~~ that the CAISO has certified as having met the requirements of this Section 4.5.1 may participate in the CAISO's Energy and Ancillary Services markets. Scheduling Coordinators ~~scheduling~~ offering Ancillary Services shall additionally meet the requirements of Section 8.4.

##### 4.5.1A Each Scheduling Coordinator shall:

- (a) demonstrate to the CAISO's reasonable satisfaction that it is capable of performing the functions of a Scheduling Coordinator under this CAISO Tariff including (without limitation) the functions specified in Sections 4.5.3 and 4.5.4 ~~and that it is capable of complying with the requirements of all ISO Protocols;~~
- (b) identify each of the Eligible Customers (including itself if it trades for its own account) which it is authorized to represent as Scheduling Coordinator and confirm that the metering requirements under Section 10 are met in relation to each Eligible Customer that it represents ~~for which it is submitting bids~~ under this CAISO Tariff;
- (c) confirm that each of the End-Use Customers it represents is eligible for Direct Access;
- (d) confirm that none of the Wholesale Customers it represents is ineligible for wholesale transmission service pursuant to the provisions of FPA Section 212(h);
- (e) demonstrate to the CAISO's reasonable satisfaction that it meets the financial criteria set out in Section 12.4;
- (f) enter into a Scheduling Coordinator Agreement with the CAISO; and
- (g) provide NERC tagging data.

##### 4.5.1.1 Procedure to become a Scheduling Coordinator.

#### 4.5.1.1.1 Scheduling Coordinator Application ~~nt makes a Request.~~

To become a Scheduling Coordinator, a Scheduling Coordinator Applicant must submit a written completed application, as set forth in the applicable Business Practice Manual, to the CAISO by mail, ~~fax,~~ e-mail or in person. A Scheduling Coordinator Applicant may retrieve the application and necessary information from the CAISO Website Home Page.

#### 4.5.1.1.2 CAISO Information.

The CAISO will provide the following information, in its most current form, on the CAISO Website Home Page. Upon a request by a Scheduling Coordinator Applicant, the CAISO will send the following information by electronic mail:

- (a) the Scheduling Coordinator Application Form, as set forth in the applicable Business Practice Manual ~~(including the ISO Application File Template, which is Appendix T);~~
- (b) the CAISO Tariff and Business Practice Manuals ~~ISO Protocols; and~~
- ~~(c) Interim Black Start Agreement;~~
- ~~(d) historical ISO charges (Note: prior to January 2, 1998, estimated ISO charges) including, but not limited to, charges for purchased Ancillary Services, ISO Grid Management Charge, ISO Grid Operations Charge, Imbalance Energy market charges, and Usage Charges to assist the Scheduling Coordinator Applicant in determining the Financial Security Amount the Scheduling Coordinator Applicant must provide; and~~
- ~~(e) forms for a completed credit application for Scheduling Coordinator Applicants applying for Unsecured Credit Limits or and for provision of Financial Security to be provided pursuant to Section 12-1.2.~~

#### 4.5.1.1.3 Duplicate Information.

If two or more Scheduling Coordinators apply simultaneously to register with the CAISO for a single meter or Meter Point for an CAISO Metered Entity or if an Scheduling Coordinator applies to register with the CAISO for a meter or Meter Point for an CAISO Metered Entity for which an Scheduling Coordinator has

already registered, the CAISO will return the application with an explanation that only one Scheduling Coordinator may register with the CAISO for the meter or Meter Point in question and that an Scheduling Coordinator has already registered or that more than one Scheduling Coordinator is attempting to register for that meter or Meter Point. The CAISO will send the Scheduling Coordinator Applicant the name and address of the applicable Scheduling Coordinator or Scheduling Coordinator Applicant.

#### **4.5.1.1.4 Scheduling Coordinator Applicant returns Application.**

At least ~~60~~ 120 days before the proposed commencement of service, the Scheduling Coordinator Applicant must return a completed application form with the non-refundable application fee set by the ISO Governing Board of \$5,000 to cover the application processing costs, site visit and the costs of furnishing the ISO Tariffs.

#### **4.5.1.1.5 Notice of Receipt.**

Within ~~three~~ (3) Business Days of receiving the application, the CAISO will send a ~~written~~ electronic notification to the Scheduling Coordinator Applicant that it has received the application and the non-refundable fee.

#### **4.5.1.1.6 CAISO Review of Application.**

Within ~~44~~ ten (10) Business ~~d~~Days after receiving an application, the CAISO will ~~notify~~ provide electronic notification to the Scheduling Coordinator Applicant whether the Scheduling Coordinator Applicant has submitted all necessary information as set forth in ~~ISO Tariff~~ Section 4.5.1, and the ~~ISO Scheduling Coordinator Application Form~~ set forth in the applicable Business Practice Manual ~~File Template~~ requirements.

#### **4.5.1.1.6.1 Information Requirements.**

The Scheduling Coordinator Applicant must submit with its application:

- (a) the proposed date for commencement of service, which may not be less than ~~60~~ 120 days after the date the application, was filed, unless waived by the CAISO;

(b) financial and ~~security credit~~ information as set forth in ISO Tariff Section 12.4;

and

(c) the prescribed non-refundable application fee of \$5,000.

#### **4.5.1.1.6.2 Scheduling Coordinator Applicant's Obligation for Contracts.**

An Scheduling Coordinator Applicant must certify that it is duly authorized to represent the Generators and Loads, ~~which that~~ are its Scheduling Coordinator Customers and must further certify that:

(a) represented Generators have entered into Participating Generator Agreements or Qualifying Facility Participating Generator Agreements as provided in Appendices B.2 and B.3, respectively with the CAISO;

(b) represented UDCs have entered into UDC Operating Agreements as provided in Appendix B.8 with the CAISO;

(c) represented CAISO Metered Entities have entered into Meter Service Agreements for CAISO Metered Entities as provided in Appendix B.6 with the CAISO;

(d) none of the Wholesale Customers it will represent are ineligible for wholesale transmission service pursuant to the provisions of the FPA Section 212(h); and

(e) each End-Use Customer it will represent is eligible for Direct Access service pursuant to an established program approved by the California Public Utilities Commission or a Local Regulatory Authority.

#### **4.5.1.1.7 Deficient Application.**

In the event that the CAISO has determined that the application is deficient, the CAISO will send an electronic written notification of the deficiency to the Scheduling Coordinator Applicant within 44ten (10) Business dDays of receipt by the CAISO of the application explaining the deficiency and requesting additional information.

#### **4.5.1.1.7.1 Scheduling Coordinator Applicant's Additional Information.**

Once the CAISO requests additional information, the Scheduling Coordinator Applicant has five (5) Business Days, or such longer period as the CAISO may agree, to provide the additional material requested by the CAISO.

**4.5.1.1.7.2 No Response from Scheduling Coordinator Applicant.**

If the Scheduling Coordinator Applicant does not submit additional information within five (5) Business Days or the longer period referred to in Section 4.5.1.1.7.1, the application may be rejected by the CAISO.

**4.5.1.1.8 CAISO Approval Or Rejection Of An Application.**

**4.5.1.1.8.1 Approval or Rejection Notification Letter.**

(a) If the CAISO approves the application, it will send an electronic notification of approval letter with a signed In addition, the CAISO will provide a Scheduling Coordinator Agreement, a Meter Service Agreement for Scheduling Coordinators as provided in Appendix B.7, if applicable, any other applicable agreements, and any required CAISO network connectivity security agreement for the Scheduling Coordinator Applicant's signature ~~and any required software licensing agreement.~~

(b) If the CAISO rejects the application, the CAISO will send an electronic notification of rejection letter stating one or more of the following grounds:

- i. incomplete information;
- ii. non-compliance with security credit requirements pursuant to Section 12;
- iii. non-compliance with third party contractual obligations;
- iv. non-compliance with technical requirements; or
- v. non-compliance with any other CAISO Tariff requirements.

Upon request, the CAISO will provide guidance as to how the Scheduling Coordinator Applicant can cure the grounds for the rejection.

**4.5.1.1.8.2 Time for Processing Application.**



The CAISO will make a decision whether to accept or reject the application within ~~44~~ten (10) Business ~~d~~Days of receipt of the application. If more information is requested, the CAISO will make a final decision within ~~44~~ten (10) Business ~~d~~Days of the receipt of all outstanding or additional information requested.

**4.5.1.1.9 Scheduling Coordinator Applicant's Response.**

**4.5.1.1.9.1 Scheduling Coordinator Applicant's Acceptance.**

If the CAISO accepts the application, the Scheduling Coordinator Applicant must return an executed Scheduling Coordinator Agreement, Meter Service Agreements for Scheduling Coordinators, if applicable, any other applicable agreements, and a Interim Black Start Agreements, completed credit application provided pursuant to Section 12.1.1, and Financial Security provided pursuant to Section 12.1.2, as applicable.

**4.5.1.1.9.2 Scheduling Coordinator Applicant's Rejection.**

**4.5.1.1.9.2.1 Resubmittal.**

If an application is rejected, the Scheduling Coordinator Applicant may resubmit its application at any time. An additional application fee will not be required for the second application submitted within six (6) months after the CAISO's issuance of a rejection notification.

**4.5.1.1.9.2.2 Appeal.**

The Scheduling Coordinator Applicant may also appeal against the rejection of an application by the CAISO. An appeal must be submitted within ~~28~~twenty (20) Business ~~d~~Days following the CAISO's issuance of a notification of rejection of its application.

**4.5.1.1.10 Post Application Procedures Prior To Final Certification.**

**4.5.1.1.10.1 Scheduling Coordinator's Administrative, Financial and Technical Requirements.**

The CAISO will not certify that an Scheduling Coordinator Applicant has become a Scheduling Coordinator until the Scheduling Coordinator Applicant has completed all of the following requirements:

- (a) provided the technical/operational information required to complete the ISO Scheduling Coordinator Application Form set forth in the applicable Business Practice Manual File Template, and to comply with ISO Tariff Section 10.3;
- (b) executed a network connectivity security software licensing agreement for access to the CAISO's software used in conducting business with the CAISO and compliance with the CAISO's system security requirements in a form approved by the CAISO, if applicable;
- (c) ~~bought~~ obtained and installed any required software for functional interface ~~in order to for~~ Validation, Estimation and Editing meter values (VEE), if applicable;-
- (d) undertaken required training and testing regarding the use of the CAISO's market, operating, and technical systems, as specified in the applicable Business Practice Manual ~~purchased the requisite Value Area Network (VAN) service in order to support Electronic Data Interchange (EDI) requirements~~;
- (e) provided its bank account information and arranged for Fed-Wire System transfers as defined in Tariff Appendix A;
- (f) provided an emergency plan specifying the procedures by which Scheduling Coordinator operations and contacts with the CAISO will be maintained during an emergency, containing information specified in the applicable Business Practice Manual ~~submitted a timetable for completion of its operational facilities, in order to coordinate site visits by ISO staff to ensure compliance with the ISO Tariff Section 4.5.4.1~~; and
- (g) obtained ~~bought~~ and installed a computer link account and any necessary software in order to communicate with the CAISO, as specified in the applicable Business Practice Manual.

Additional instructions for completing the foregoing requirements will be set forth in a Business Practice Manual posted on the CAISO Website.

#### **4.5.1.1.10.2 Application Closure after 12 Months.**

The CAISO will not certify a Scheduling Coordinator Applicant as a Scheduling Coordinator until the Scheduling Coordinator Applicant has completed all of the requirements for certification set forth in this

Section 4.5 to the CAISO's satisfaction within twelve (12) months following the CAISO's acceptance of the application for processing. If the Scheduling Coordinator Applicant has not completed all the above referenced requirements within twelve (12) months after the CAISO's acceptance of the application, the CAISO may close the Scheduling Coordinator Applicant's application. The CAISO shall provide the Scheduling Coordinator Applicant thirty (30) days advance notice of its intent to close the application. If the CAISO closes the application, the Scheduling Coordinator Applicant must submit a new application and non-refundable application fee if it continues to request certification as a Scheduling Coordinator.

#### **4.5.1.1.11 Final Certification of Scheduling Coordinator Applicant.**

The Scheduling Coordinator Applicant will become a Scheduling Coordinator when:

- (a) its application has been accepted;
- (b) it has entered into an Scheduling Coordinator Agreement, a Meter Service Agreements for Scheduling Coordinators and Interim Black Start Agreements, if applicable, and any other applicable agreements with the CAISO;
- (c) ~~the Scheduling Coordinator Applicant it~~ has met the financial-credit requirements of ISO Tariff Section 12.4; and
- (d) ~~the Scheduling Coordinator Applicant it~~ has fulfilled all technical/operational requirements of ISO Tariff Sections 4.5.4.1, and Section 4.5.1.1.10.1, and the ISO Application File Template.

The CAISO will not certify a Scheduling Coordinator Applicant as a Scheduling Coordinator until the Scheduling Coordinator Applicant has completed all the above referenced requirements to the CAISO's satisfaction, at least ~~44~~ ten (10) Business dDays before the commencement of service.

#### **4.5.1.2 Scheduling Coordinator's Ongoing Obligations After Certification.**

##### **4.5.1.2.1 Scheduling Coordinator's Obligation to Report Changes.**

##### **4.5.1.2.1.1 Obligation to Report a Change in Filed Information.**

Each Scheduling Coordinator has an ongoing obligation to inform the CAISO of any changes to any of the information submitted by it to the CAISO as part of the application process, including any changes to the

additional information requested by the CAISO and including but not limited to changes in its credit ratings. Appendix T-The applicable Business Practice Manual sets forth the procedures for changing the Scheduling Coordinator's information and timing of notifying the CAISO of such changes.

**4.5.1.2.1.2      Obligation to Report a Change in Credit Ratings or Material Change in Financial Condition.**

The Scheduling Coordinator has an ongoing obligation to inform the CAISO within three (3) Business Days of any change to its credit ratings or any Material Change in Financial Condition.

**4.5.1.2.2      CAISO's Response for Failure to Inform.**

**4.5.1.2.2.1      Failure to Promptly Report a Material Change.**

If a Scheduling Coordinator fails to inform the CAISO of a material change in its information provided to the CAISO, which may affect the reliability or safety of the CAISO Controlled Grid, or the financial security of the CAISO, the CAISO may suspend or terminate the Scheduling Coordinator's rights under the CAISO Tariff in accordance with the terms of ISO Tariff Sections 12.3 and 4.5.4 respectively. If the CAISO intends to terminate the Scheduling Coordinator's rights it shall file a Notice of Termination with FERC, if required by FERC, in accordance with the terms of the Scheduling Coordinator Agreement. Such termination shall be effective upon acceptance by FERC of a Notice of Termination, if required by FERC rules, or as otherwise permitted by FERC rules.

**4.5.1.3      Additional Scheduling Coordinator Identification Code Registration.**

A Scheduling Coordinator Applicant is granted one Scheduling Coordinator Identification Code with its application fee. Requests may be made for additional Scheduling Coordinator Identification Codes. The fee for each additional Scheduling Coordinator Identification Code is \$500 per month, or as otherwise specified in Schedule 1 of Appendix F.

\* \* \*

**4.5.4.4      Termination of Service-Scheduling Coordinator Agreement and Suspension of Certification.**

(a) A Scheduling Coordinator's Scheduling Coordinator Agreement may be terminated by the CAISO on written notice to the Scheduling Coordinator:

(i) if the Scheduling Coordinator no longer meets the requirements for eligibility set out in Section 4.5 and fails to remedy the default within a period of ~~seven~~ five (5) Business Days after the CAISO has given written notice of the default;

(ii) if the Scheduling Coordinator fails to pay any sum under this CAISO Tariff and fails to remedy the default within a period of ~~seven~~ five (5) Business Days after the CAISO has given written notice of the default; ~~or~~

(iii) if the Scheduling Coordinator commits any other default under this CAISO Tariff or any of the CAISO ~~Protocols~~ Business Practice Manuals which, if capable of being remedied, is not remedied within thirty (30) days after the CAISO has given it written notice of the default; or

(iv) if the Scheduling Coordinator does not schedule or bid in the CAISO's markets for Energy or Ancillary Services for a period of twelve (12) consecutive months and fails to comply with the provisions of Section 4.5.4.4.2 within 120 days after the CAISO has given it written notice of the CAISO's intent to terminate its Scheduling Coordinator Agreement.

(b) A Scheduling Coordinator's Scheduling Coordinator Agreement may be terminated by the Scheduling Coordinator on sixty (60) days written notice to the CAISO, provided that such notice shall not be effective to terminate the Scheduling Coordinator Agreement until the Scheduling Coordinator has complied with all applicable requirements of Section 4.5.2.

The CAISO shall, following termination of an Scheduling Coordinator Agreement and within thirty (30) days of being satisfied that no sums remain owing by the Scheduling Coordinator under the CAISO Tariff, return or release to the Scheduling Coordinator, as appropriate, any money or credit support provided by such Scheduling Coordinator to the CAISO under Section 12.4.

**4.5.4.4.1** Pending acceptance ~~the effective date~~ of termination of service pursuant to Section 4.5.4.5.1 by FERC, the CAISO will suspend the certification of a Scheduling Coordinator which has received a notice of termination under Section 4.5.4.4-(a) and the Scheduling Coordinator will not be

eligible to submit Schedules and bids for schedule or bid in the CAISO's Energy and Ancillary Services markets to the ISO.

**4.5.4.4.2** A Scheduling Coordinator that has received a notice of the CAISO's intent to terminate its Scheduling Coordinator Agreement for failure to schedule or bid in the CAISO's markets for Energy and Ancillary Services for a period of twelve (12) consecutive months pursuant to Section 4.5.4.4(a)(iv) will avoid having its Scheduling Coordinator Agreement terminated and will have its certification reinstated if it completes the testing and training required for Scheduling Coordinator certification as set forth in the applicable Business Practice Manual within 120 days after the CAISO's issuance of the notice of intent to terminate.

\* \* \*

**4.5.4.5.1 Filing of Notice of Termination.**

Any notice of termination given pursuant to Section 4.5.4.4 shall also be filed by the CAISO with FERC, if required by FERC rules, if the non-compliance is not remedied within the period specified in Section 4.5.4.4, and it shall be effective in accordance with FERC rules.

\* \* \*

**APPENDIX A**

**Business Practice Manual (BPM)**

A collection of documents made available by the CAISO on the CAISO Website that contain the rules, policies, procedures and guidelines established by the CAISO for operational, planning, accounting and settlement requirements of CAISO Market activities, consistent with the CAISO Tariff.

\* \* \*

**CAISO**

The California Independent System Operator Corporation, a California non-profit public benefit corporation that operates the transmission facilities of all Participating TOs and dispatches certain Generating Units and Loads.

**CAISO Controlled Grid**

The system of transmission lines and associated facilities of the Participating TOs that have been placed under the CAISO's

**CAISO Tariff**

Operational Control.  
The California Independent System Operator Corporation Operating Agreement and Tariff, dated March 31, 1997, as it may be modified from time to time.

**CAISO Website**

The CAISO internet home page at <http://www.caiso.com> / or such other internet address as the CAISO shall publish from time to time.

\* \* \*

**ISO TARIFF APPENDIX T**

**[NOT USED]**

**~~Scheduling Coordinator Application~~The information provided for this application will be treated as confidential information**

**PART A**

**SCHEDULING COORDINATOR APPLICATION FORM**

This application is for approval as a Scheduling Coordinator ("SC") by the California Independent System Operator Corporation ("ISO") in accordance with the ISO Tariff.

**I. Administrative Requirements**

SC Applicant's Legal Name:

\_\_\_\_\_

Address of principal place of business:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Authorized Representative: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

Type of entity: \_\_\_\_\_

(Municipal utility, power marketer, investor owned utility, federal or state entity or other)

State of Incorporation or Partnership: \_\_\_\_\_

Proposed commencement date for service: \_\_\_\_\_

**II. Scheduling Coordinator Customer Information**

2.1 The information required under Part C, the ISO Application File Template, must be provided for represented Scheduling Coordinator Metered Entities, which are Generators. The Scheduling Coordinator Applicant must submit all requested information prior to final certification, which must occur fourteen (14) days before the commencement of service.

2.2 — Information for Scheduling Coordinator Metered Entities, which are End Users or Eligible Customers, must be kept in a standard business format based on generally accepted accounting principals. The ISO shall have the right to inspect and audit a Scheduling Coordinator's accounts and files relating to its Scheduling Coordinator Metered Entities after giving two Business Days notice in writing.

2.3 — The Scheduling Coordinator Applicant must submit a list of all ISO Metered Entities, which it will represent.

### III. Security Requirement

3.1 — The Scheduling Coordinator Applicant will submit a credit application to apply for an Unsecured Credit Limit as set forth in the ISO Tariff and the ISO Credit Policy & Procedures Guide: (yes/no).

3.2 — The Scheduling Coordinator Applicant will provide Financial Security in a form listed in Section 12.1.2 of the ISO Tariff: (yes/no).

Acceptable forms of Financial Security include:

- (a) — an irrevocable and unconditional letter of credit issued by a bank or financial institution that is reasonably acceptable to the ISO;
- (b) — an irrevocable and unconditional surety bond issued by an insurance company that is reasonably acceptable to the ISO;
- (c) — an unconditional and irrevocable guaranty issued by a company that is reasonably acceptable to the ISO;
- (d) — a cash deposit standing to the credit of the ISO in an interest-bearing escrow account maintained at a bank or financial institution that is reasonably acceptable to the ISO;
- (e) — a certificate of deposit in the name of the ISO issued by a bank or financial institution that is reasonably acceptable to the ISO;
- (f) — a payment bond certificate in the name of the ISO issued by a bank or financial institution that is reasonably acceptable to the ISO; or
- (g) — a prepayment to the ISO.

3.3 — The Scheduling Coordinator Applicant must provide its bank account information before final certification. The Scheduling Coordinator Applicant's bank must be capable of performing Fed-Wire System transfers.

### IV. Technical Requirements

4.1 — Does the Scheduling Coordinator Applicant have the computer hardware, software and communication capabilities for interface compatibility with the ISO system for data transmission, for electronic data interchange (EDI) and for Fed-Wire System transfer accounts? (yes / no) — If no, please submit a proposed completion date to be fully operational so that an ISO staff site visit can be arranged.

4.2 — For Loads and Generating Units located within the ISO-Controlled Grid, does the Scheduling Coordinator Applicant have any scheduling restrictions imposed by the parties they represent? (yes / no) If yes, provide full details on a separate sheet of paper.

4.3 — Does the Scheduling Coordinator Applicant have adequate staffing to operate a Scheduling Coordinator's operational facility twenty-four (24) hours a day for 365 days a year? (yes / no). If no,



please submit a proposed completion date to be fully operational so that an ISO staff site visit can be arranged.

**V. Third Party Contractual Requirements**

5.1 ~~The Scheduling Coordinator Applicant confirms that all of its Scheduling Coordinator Customers which are located within the ISO Controlled Grid and which should execute agreements with the ISO have entered into or will enter into, prior to the certification of the Scheduling Coordinator Applicant, all required agreements with the ISO to enable them to meet the requirements of the ISO Tariff. (yes / no).~~

(a) ~~Represented Generators have signed Participating Generator Agreements. (yes / no).~~

(b) ~~Represented UDCs have signed UDC Operating Agreements and Meter Service Agreements. (yes / no).~~

(c) ~~Represented ISO Metered Entities have signed Meter Service Agreements. (yes / no).~~

(d) ~~Wholesale Customers it will represent have warranted to the Scheduling Coordinator Applicant that they are eligible for wholesale transmission service pursuant to the provisions of the FPA Section 212(h). (yes / no).~~

(e) ~~Each End Use Customer it will represent which requests Direct Access service has warranted to the Scheduling Coordinator Applicant that the End Use Customer is eligible for such service. (yes / no).~~

5.2 ~~The SCHEDULING COORDINATOR Applicant confirms that all of the parties which it represents as Scheduling Coordinator Customers have granted it all necessary agency authority, whether actual, implied or inherent, to enable the Scheduling Coordinator to perform all of its obligations under the ISO Tariff. (yes / no).~~

5.3 ~~Notwithstanding 5.2, the Scheduling Coordinator confirms that it will have the primary responsibility, as the principal, for all Scheduling Coordinator payment obligations under the ISO Tariff. (yes / no).~~

**VI. Additional Information and Obligations**

6.1 ~~The Scheduling Coordinator Applicant agrees to provide such further information to the ISO as the ISO may deem necessary to process the application and certify the Scheduling Coordinator Applicant as a Scheduling Coordinator now and on a continuing basis.~~

6.2 ~~Subject to the ISO Tariff, the Scheduling Coordinator Applicant agrees to promptly report to the ISO within seven (7) Business Days or earlier any changes regarding the information provided by it referred to in the ISO Tariff and in the application with the exception of the security requirement data referred to in Part III of Part A in this Appendix which must be updated within five (5) Business Days. The Scheduling Coordinator shall be responsible if a failure to submit revised technical data more promptly extends the period during which schedules are rejected by the ISO.~~

6.3 ~~The Scheduling Coordinator Applicant agrees to enclose herein the non-refundable application fee of \$500 to cover the application processing costs, site visit and costs of providing ISO Tariff.~~

Please make check payable to:

**The California Independent System Operator Corporation**

~~6.4 Scheduling Coordinator Applicant agrees to promptly execute and return the Scheduling Coordinator Agreement, Meter Service Agreements, Interim Black Start Agreements, software licensing agreement, completed credit application, and/or Financial Security as applicable, and Fed Wire System bank account number, after receiving its application approval letter from the ISO.~~

~~6.5 Final certification is contingent upon Scheduling Coordinator Applicant fulfilling all financial and technical requirements as referenced in the ISO Tariff (including Part C of this Appendix, the ISO Application File Template).~~

**Scheduling Coordinator Applicant certifies by its signature on this Application Form that:**

- ~~(1) all information it is submitting is correct and accurate; and that~~
- ~~(2) the Scheduling Coordinator Applicant has read and agrees to be bound by the ISO Tariff as may be in force or amended from time to time.~~

Name of Organization:

\_\_\_\_\_

Scheduling Coordinator Applicant's Name (please print):

\_\_\_\_\_

Scheduling Coordinator Applicant's Title:

\_\_\_\_\_

Scheduling Coordinator Applicant's Signature:

\_\_\_\_\_

State of \_\_\_\_\_ }

\_\_\_\_\_ ss

County of \_\_\_\_\_ }

\_\_\_\_\_ [SEAL]

Sworn and subscribed

before me this \_\_\_\_\_ day of

\_\_\_\_\_, 19\_\_\_\_.

Notary's Signature: \_\_\_\_\_

**Please send application and required information to:**

California Independent System Operator Corporation  
c/o Schedule Coordinator Application Processing Office  
151 Blue Ravine Road,  
Folsom, CA 95630

**Scheduling Coordinator Application PART B**

**Procedures for Changes or Additions to**

**Scheduling Coordinator's (SC's) Information**

The Scheduling Coordinator must update, amend and / or correct the information originally submitted to the ISO during the Scheduling Coordinator application process using the format set forth in this Part and/or a revised Part C, the ISO Application File Template. The Scheduling Coordinator must submit all changes or additional information by first class postage paid mail to:

California Independent System Operator Corporation

c/o SC Application Processing Office

151 Blue Ravine Road

Folsom, CA 95630

The Scheduling Coordinator must notify the ISO of any change to the information that it has previously submitted to the ISO, or any additional information, at least three Business Days before the change will take effect.

The ISO will send a written acknowledgment of receipt of the Scheduling Coordinator's changes within three Business Days of receipt. The receipt shall be sent to the address on file with the ISO or the address specified in the notice of change received by the ISO.

**Prior Information**

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**New Information**

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**Explanation and Reason for Change**

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## ISO APPLICATION FILE TEMPLATE

The ISO Application File Template is an Excel template used to load resources into the ISO's database. There is also a customer help file created to work with a Microsoft Access Database which are used together to gather application information.

\* \* \*

**Attachment C**

**Blacklines to MRTU Tariff - Informational**

**Scheduling Coordinator Certification Amendment Filing**

## **4.5 Responsibilities of a Scheduling Coordinator.**

### **4.5.1 Scheduling Coordinator Certification.**

The CAISO shall accept Bids only from Only Scheduling Coordinators that the CAISO has certified as having met the requirements of this Section 4.5.1 may participate in the CAISO's Energy and Ancillary Services markets. Scheduling Coordinators offering Ancillary Services shall additionally meet the requirements of Section 8.

Each Scheduling Coordinator shall:

- (a) demonstrate to the CAISO's reasonable satisfaction that it is capable of performing the functions of a Scheduling Coordinator under this CAISO Tariff including (without limitation) the functions specified in Sections 4.5.3 and 4.5.4;
- (b) identify each of the Eligible Customers (including itself if it trades for its own account) which it is authorized to represent as Scheduling Coordinator and confirm that the metering requirements under Section 10 are met in relation to each Eligible Customer that it represents ~~for which it is submitting Bids~~ under this CAISO Tariff;
- (c) confirm that each of the End-Use Customers it represents is eligible for Direct Access;
- (d) confirm that none of the Wholesale Customers it represents is ineligible for wholesale transmission service pursuant to the provisions of FPA Section 212(h);
- (e) demonstrate to the CAISO's reasonable satisfaction that it meets the financial criteria set out in Section 12.4;
- (f) enter into a Scheduling Coordinator Agreement with the CAISO; and
- (g) provide NERC tagging data.

#### **4.5.1.1 Procedure to become a Scheduling Coordinator.**

##### **4.5.1.1.1 Scheduling Coordinator Application.**

To become a Scheduling Coordinator, a Scheduling Coordinator Applicant must submit a completed ~~written~~ application, as set forth in the applicable Business Practice Manual ~~provided in Appendix T~~, to the

CAISO by mail, fax, e-mail or in person. A Scheduling Coordinator Applicant may retrieve the application and necessary information from the CAISO's Website.

#### **4.5.1.1.2 CAISO Information.**

The CAISO will provide the following information, in its most current form, on the CAISO Website. Upon a request by a Scheduling Coordinator Applicant, the CAISO will send the following information by electronic mail:

- (a) the Scheduling Coordinator Application Form, as set forth in the applicable Business Practice Manual ~~(including the CAISO Application File Template, which is Appendix T);~~
- (b) the CAISO Tariff and Business Practice Manuals; and
- ~~(c) Interim Black Start Agreement;~~
- ~~(d) historical CAISO charges (Note: with respect to historical charges prior to implementation of MRTU, the CAISO will provide historical CAISO Grid Operations Charges, and Imbalance Energy market charges) to assist the Scheduling Coordinator applicant in determining the CAISO Security Amount the Scheduling Coordinator Applicant must provide; and~~
- (ce) a pro forma letter of understanding for payment forms for a credit application for Scheduling Coordinator Applicants applying for Unsecured Credit Limits and for provision of Financial Security to be provided pursuant to Section 12 with Approved Credit Ratings, guarantee, letter of credit and escrow agreement for the CAISO Security Amount, all of which will be in a form acceptable to the CAISO.

#### **4.5.1.1.3 Duplicate Information.**

If two or more Scheduling Coordinators apply simultaneously to register with the CAISO for a single meter or Meter Point for a CAISO Metered Entity or if a Scheduling Coordinator applies to register with the CAISO for a meter or Meter Point for a CAISO Metered Entity for which a Scheduling Coordinator has already registered, the CAISO will return the application with an explanation that only one Scheduling Coordinator may register with the CAISO for the meter or Meter Point in question and that a Scheduling Coordinator has already registered or that more than one Scheduling Coordinator is attempting to register

for that meter or Meter Point. The CAISO will send the Scheduling Coordinator Applicant the name and address of the applicable Scheduling Coordinator or Scheduling Coordinator Applicant.

#### **4.5.1.1.4 Scheduling Coordinator Applicant returns Application.**

At least ~~60~~120 days before the proposed commencement of service, the Scheduling Coordinator Applicant must return a completed application form with the non-refundable application fee ~~set by the CAISO Governing Board of \$5,000~~ to cover the application processing costs, ~~site visit and the costs of furnishing the CAISO Tariffs.~~

#### **4.5.1.1.5 Notice of Receipt.**

Within ~~three~~ (3) Business Days of receiving the application, the CAISO will send a ~~written~~electronic notification to the Scheduling Coordinator Applicant that it has received the application and the non-refundable fee.

#### **4.5.1.1.6 CAISO Review of Application.**

Within ~~four~~ ten (10) Business ~~d~~Days after receiving an application, the CAISO will ~~notify~~provide electronic notification to the Scheduling Coordinator Applicant whether the Scheduling Coordinator Applicant has submitted all necessary information as set forth in ~~CAISO Tariff Section 4.5.1, and the CAISO Scheduling Coordinator Application Form set forth in the applicable Business Practice Manual File Template~~ requirements.

#### **4.5.1.1.6.1 Information Requirements.**

The Scheduling Coordinator Applicant must submit with its application:

- (a) the proposed date for commencement of service, which may not be less than 60~~120~~ days after the date the application was filed, unless waived by the CAISO;
  - (b) financial and ~~security credit~~ information as set forth in ~~CAISO Tariff Section 12.4;~~
- and
- (c) the prescribed non-refundable application fee of \$5,000.

#### **4.5.1.1.6.2 Scheduling Coordinator Applicant's Obligation for Contracts.**



A Scheduling Coordinator Applicant must certify that it is duly authorized to represent the Generators and Loads, ~~which that~~ are its Scheduling Coordinator Customers and must further certify that:

(a) represented Generators have entered into Participating Generator Agreements or Qualifying Facility Participating Generator Agreements as provided in Appendices B.2 and B.3, respectively with the CAISO;

(b) represented UDCs have entered into UDC Operating Agreements as provided in Appendix B.8 with the CAISO;

(c) represented CAISO Metered Entities have entered into Meter Service Agreements for CAISO Metered Entities as provided in Appendix B.6 with the CAISO;

(d) none of the Wholesale Customers it will represent are ineligible for wholesale transmission service pursuant to the provisions of the FPA Section 212(h); and

(e) each End-Use Customer it will represent is eligible for Direct Access service pursuant to an established program approved by the California Public Utilities Commission or a Local Regulatory Authority.

#### **4.5.1.1.7 Deficient Application.**

In the event that the CAISO has determined that the application is deficient, the CAISO will send an electronic-written notification of the deficiency to the Scheduling Coordinator Applicant within ~~14~~ten (10) Business dDays of receipt by the CAISO of the application explaining the deficiency and requesting additional information.

#### **4.5.1.1.7.1 Scheduling Coordinator Applicant's Additional Information.**

Once the CAISO requests additional information, the Scheduling Coordinator Applicant has ~~7~~five (5) Business dDays, or such longer period as the CAISO may agree, to provide the additional material requested by the CAISO.

#### **4.5.1.1.7.2 No Response from Scheduling Coordinator Applicant.**

If the Scheduling Coordinator Applicant does not submit additional information within ~~7~~five (5) Business ~~4~~Days or the longer period referred to in Section 4.5.1.1.7.1, the application may be rejected by the CAISO.

#### **4.5.1.1.8 CAISO Approval Or Rejection Of An Application.**

##### **4.5.1.1.8.1 Approval or Rejection NotificationLetter.**

(a) If the CAISO approves the application, it will send an electronic notification of approval. ~~letter with a signed~~ In addition, the CAISO will provide a Scheduling Coordinator Agreement, a Meter Service Agreement for Scheduling Coordinators as provided in Appendix B.7, if applicable, any other applicable agreements, and any required CAISO network connectivity security agreement for the Scheduling Coordinator Applicant's signature and any required software licensing agreement.

(b) If the CAISO rejects the application, the CAISO will send an electronic notification of rejection ~~letter~~ stating one or more of the following grounds:

- i. incomplete information;
- ii. non-compliance with security credit requirements pursuant to Section 12;
- iii. non-compliance with third party contractual obligations;
- iv. non-compliance with technical requirements; or
- v. non-compliance with any other CAISO Tariff requirements.

Upon request, the CAISO will provide guidance as to how the Scheduling Coordinator Applicant can cure the grounds for the rejection.

##### **4.5.1.1.8.2 Time for Processing Application.**

The CAISO will make a decision whether to accept or reject the application within ~~44~~ten (10) Business ~~4~~Days of receipt of the application. If more information is requested, the CAISO will make a final decision within ~~44~~ten (10) Business ~~4~~Days of the receipt of all outstanding or additional information requested.

##### **4.5.1.1.9 Scheduling Coordinator Applicant's Response.**

###### **4.5.1.1.9.1 Scheduling Coordinator Applicant's Acceptance.**

If the CAISO accepts the application, the Scheduling Coordinator Applicant must return an executed Scheduling Coordinator Agreement, Meter Service Agreements for Scheduling Coordinators, if applicable, any other applicable agreements, and a completed credit application and Financial Security provided pursuant to Section 12-Interim Black Start Agreements and letter of credit, guarantee or escrow agreement for the CAISO Security Amount, as applicable.

**4.5.1.1.9.2 Scheduling Coordinator Applicant's Rejection.**

**4.5.1.1.9.2.1 Resubmittal.**

If an application is rejected, the Scheduling Coordinator Applicant may resubmit its application at any time. An additional application fee will not be required for the second application submitted within six (6) months after the CAISO's issuance of a rejection notification.

**4.5.1.1.9.2.2 Appeal.**

The Scheduling Coordinator Applicant may also appeal against the rejection of an application by the CAISO. An appeal must be submitted within 28twenty (20) Business dDays following the CAISO's issuance of a notification of rejection of its application.

**4.5.1.1.10 Post Application Procedures Prior To Final Certification.**

**4.5.1.1.10.1 Scheduling Coordinator's Administrative, Financial and Technical Requirements.**

The CAISO will not certify that a Scheduling Coordinator Applicant has become a Scheduling Coordinator until the Scheduling Coordinator Applicant has completed all of the following requirements:

- (a) provided the technical/operational information required to complete the CAISO-Scheduling Coordinator Application Form as set forth in the applicable Business Practice ManualFile Template, and to comply with CAISO-Tariff Section 10.3;
- (b) executed software licensing-a network connectivity security agreement for access to the CAISO's software used in conducting business with the CAISO and compliance with the CAISO's system security requirements in a form approved by the CAISO, if applicable;

- (c) ~~bought~~obtained and installed any required software for functional interface in order to ~~for~~Validation, Estimation and Editing meter values (VEE), if applicable;
- (d) undertaken required training and testing regarding the use of the CAISO's market, operating, and technical systems, as specified in the applicable Business Practice Manual;~~purchased the requisite Value Area Network (VAN) service in order to support Electronic Data Interchange (EDI) requirements;~~
- (e) provided its bank account information and arranged for Fed-Wire System transfers as defined in Tariff Appendix A;
- (f) provided an emergency plan specifying the procedures by which Scheduling Coordinator operations and contacts with the CAISO will be maintained during an emergency, containing information specified in the applicable Business Practice Manual;~~submitted a timetable for completion of its operational facilities, in order to coordinate site visits by CAISO staff to ensure compliance with the CAISO Tariff Section 4.5.4.1; and~~
- (g) ~~obtained~~bought and installed a computer link account ~~and~~ any necessary software in order to communicate with the CAISO, as specified in the applicable Business Practice Manual.

Additional instructions for completing the foregoing requirements will be set forth in a Business Practice Manual posted on the CAISO Website.

#### **4.5.1.1.10.2 Application Closure after 12 Months.**

The CAISO will not certify a Scheduling Coordinator Applicant as a Scheduling Coordinator until the Scheduling Coordinator Applicant has completed all of the requirements for certification set forth in this Section 4.5 to the CAISO's satisfaction within twelve (12) months following the CAISO's acceptance of the application for processing. If the Scheduling Coordinator Applicant has not completed all the above referenced requirements within twelve (12) months after the CAISO's acceptance of the application, the CAISO may close the Scheduling Coordinator Applicant's application. The CAISO shall provide the Scheduling Coordinator Applicant thirty (30) days advance notice of its intent to close the application. If the CAISO closes the application, the Scheduling Coordinator Applicant must submit a new application and non-refundable application fee if it continues to request certification as a Scheduling Coordinator.

#### **4.5.1.1.11 Final Certification of Scheduling Coordinator Applicant.**

The Scheduling Coordinator Applicant will become a Scheduling Coordinator when:

- (a) its application has been accepted;
- (b) it has entered into an Scheduling Coordinator Agreement, a Meter Service Agreements for Scheduling Coordinators and Interim Black Start Agreements, if applicable, and any other applicable agreements with the CAISO;
- (c) ~~the Scheduling Coordinator Applicant~~ it has met the financial credit requirements of CAISO Tariff Section 12.4; and
- (d) ~~the Scheduling Coordinator Applicant~~ it has fulfilled all technical/operational requirements of CAISO Tariff Sections 4.5.4.1, and Section 4.5.1.1.10.1, and the CAISO Application File Template.

The CAISO will not certify a Scheduling Coordinator Applicant as a Scheduling Coordinator until the Scheduling Coordinator Applicant has completed all the above referenced requirements to the CAISO's satisfaction, at least ~~14~~ ten (10) Business dDays before the commencement of service.

#### **4.5.1.2 Scheduling Coordinator's Ongoing Obligations After Certification.**

##### **4.5.1.2.1 Scheduling Coordinator's Obligation to Report Changes.**

###### **4.5.1.2.1.1 Obligation to Report a Change in Filed Information.**

Each Scheduling Coordinator has an ongoing obligation to inform the CAISO of any changes to any of the information submitted by it to the CAISO as part of the application process, including any changes to the additional information requested by the CAISO and including but not limited to changes in its credit ratings. ~~Appendix T~~ The applicable Business Practice Manual sets forth the procedures for changing the Scheduling Coordinator's information and timing of notifying the CAISO of such changes.

###### **4.5.1.2.1.2 Obligation to Report a Change in Credit Rating or Material Change in Financial Condition.**

The Scheduling Coordinator has an ongoing obligation to inform the CAISO within three (3) Business Days of any change to its credit ratings or any Material Change in Financial Condition if its Approved Credit Rating has been reduced below the CAISO requirements.

**4.5.1.2.2 CAISO's Response for Failure to Inform.**

**4.5.1.2.2.1 Failure to Promptly Report a Material Change.**

If a Scheduling Coordinator fails to inform the CAISO of a material change in its information provided to the CAISO, which may affect the reliability or safety of the CAISO Controlled Grid, or the financial security of the CAISO, the CAISO may suspend or terminate the Scheduling Coordinator's rights under the CAISO Tariff in accordance with the terms of CAISO Tariff Sections 12.3 and 4.5.4 respectively. If the CAISO intends to terminate the Scheduling Coordinator's rights it shall file a Notice of Termination with FERC, if required by FERC, in accordance with the terms of the Scheduling Coordinator Agreement. Such termination shall be effective upon acceptance by FERC of a Notice of Termination, if required by FERC rules, or as otherwise permitted by FERC rules.

**4.5.1.3 Additional Scheduling Coordinator Identification Code Registration.**

A Scheduling Coordinator Applicant is granted one Scheduling Coordinator Identification Code with its application fee. Requests may be made for additional Scheduling Coordinator Identification Codes. The fee for each additional Scheduling Coordinator Identification Code is \$500 per month, or otherwise specified in Schedule 1 of Appendix F.

\* \* \*

**4.5.4.4 Termination of a Scheduling Coordinator Agreement and Suspension of Certification.**

(a) A Scheduling Coordinator's Scheduling Coordinator Agreement may be terminated by the CAISO on written notice to the Scheduling Coordinator:

- (i) if the Scheduling Coordinator no longer meets the requirements for eligibility set out in Section 4.5 and fails to remedy the default within a period of seven-five (57) Business dDays after the CAISO has given written notice of the default;

(ii) if the Scheduling Coordinator fails to pay any sum under this CAISO Tariff and fails to remedy the default within a period of ~~seven~~five (5) Business Days after the CAISO has given written notice of the default; ~~or~~

(iii) if the Scheduling Coordinator commits any other default under this CAISO Tariff or any of the CAISO Business Practice Manuals which, if capable of being remedied, is not remedied within thirty (30) days after the CAISO has given it written notice of the default; or

(iv) if the Scheduling Coordinator does not schedule or bid in the CAISO's markets for Energy or Ancillary Services for a period of twelve (12) consecutive months and fails to comply with the provisions of Section 4.5.4.4.2 within 120 days after the CAISO has given it written notice of the CAISO's intent to terminate its Scheduling Coordinator Agreement.

(b) A Scheduling Coordinator's Scheduling Coordinator Agreement may be terminated by the Scheduling Coordinator on sixty (60) days written notice to the CAISO, provided that such notice shall not be effective to terminate the Scheduling Coordinator Agreement until the Scheduling Coordinator has complied with all applicable requirements of Section 4.5.2.

The CAISO shall, following termination of a Scheduling Coordinator Agreement and within thirty (30) days of being satisfied that no sums remain owing by the Scheduling Coordinator under the CAISO Tariff, return or release to the Scheduling Coordinator, as appropriate, any money or credit support provided by such Scheduling Coordinator to the CAISO under Section 12.4.

**4.5.4.4.1** Pending acceptance ~~the effective date~~ of termination of service pursuant to Section 4.5.4.5.1 by FERC, the CAISO will suspend the certification of a Scheduling Coordinator which has received a notice of termination under Section 4.5.4.4(a) and the Scheduling Coordinator will not be eligible to schedule or bid in the CAISO's Energy and Ancillary Services markets ~~submit Bids or Inter-SC Trades to the CAISO.~~

**4.5.4.4.2** A Scheduling Coordinator that has received a notice of the CAISO's intent to terminate its Scheduling Coordinator Agreement for failure to schedule or bid in the CAISO's markets for Energy and Ancillary Services for a period of twelve (12) consecutive months pursuant to Section 4.5.4.4(a)(iv) will avoid having its Scheduling Coordinator Agreement terminated and will have its certification reinstated if it

completes the testing and training required for Scheduling Coordinator certification as set forth in the applicable Business Practice Manual within 120 days after the CAISO's issuance of the notice of intent to terminate.

\* \* \*

**4.5.4.5.1 Filing of Notice of Termination.**

Any notice of termination given pursuant to Section 4.5.4.4 shall also be filed by the CAISO with FERC, if required by FERC rules, if the non-compliance is not remedied within the period specified in Section 4.5.4.4, and it shall be effective in accordance with FERC rules.

\* \* \*

**CAISO TARIFF APPENDIX T  
[NOT USED]  
Scheduling Coordinator Application**

~~The information provided for this application will be treated as confidential information~~

**PART A**

**SCHEDULING COORDINATOR APPLICATION FORM**

This application is for approval as a Scheduling Coordinator ("SC") by the California Independent System Operator Corporation ("CAISO") in accordance with the CAISO Tariff.

**I. Administrative Requirements**

SC Applicant's Legal Name:

\_\_\_\_\_

Address of principal place of business:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Authorized Representative: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_



E-mail: \_\_\_\_\_

Type of entity: \_\_\_\_\_

(Municipal utility, power marketer, investor-owned utility, federal or state entity or other)

State of Incorporation or Partnership: \_\_\_\_\_

Proposed commencement date for service: \_\_\_\_\_

**II. Scheduling Coordinator Customer Information**

2.1 ~~\_\_\_\_\_~~ The information required under Part C, the CAISO Application File Template, must be provided for represented Scheduling Coordinator Metered Entities, which are Generators. The Scheduling Coordinator Applicant must submit all requested information prior to final certification, which must occur fourteen (14) days before the commencement of service.

2.2 ~~\_\_\_\_\_~~ Information for Scheduling Coordinator Metered Entities, which are End Users or Eligible Customers, must be kept in a standard business format based on generally accepted accounting principals. The CAISO shall have the right to inspect and audit a Scheduling Coordinator's accounts and files relating to its Scheduling Coordinator Metered Entities after giving two Business Days notice in writing.

2.3 ~~\_\_\_\_\_~~ The Scheduling Coordinator Applicant must submit a list of all CAISO Metered Entities, which it will represent.

**III. Security Requirement**

3.1 ~~\_\_\_\_\_~~ The Scheduling Coordinator Applicant has an Approved Credit Rating as set forth in the CAISO Tariff: (yes/no).

~~\_\_\_\_\_~~ The Scheduling Coordinator Applicant's credit rating is \_\_\_\_\_.

~~\_\_\_\_\_~~ Please attach certified documentation of an Approved Credit Rating from Standard & Poor's, Moody's Investors Services or the equivalent. Scheduling Coordinator Applicant must also submit, before final certification, an executed letter of understanding for payment providing contact details in case of default. ~~\_\_\_\_\_~~ OR

3.2 ~~\_\_\_\_\_~~ The Scheduling Coordinator Applicant will provide an irrevocable and unconditional guarantee from a company which has an Approved Credit Rating: (yes / no).

~~\_\_\_\_\_~~ The Scheduling Coordinator Applicant must submit a signed irrevocable and unconditional guarantee in a CAISO approved form and certified documentation of the other company's Approved Credit Rating before final certification. ~~\_\_\_\_\_~~ OR

3.3 ~~\_\_\_\_\_~~ The Scheduling Coordinator Applicant will provide an irrevocable and unconditional letter of credit: (yes / no).

~~\_\_\_\_\_~~ Amount: \$ \_\_\_\_\_.

~~\_\_\_\_\_~~ The Scheduling Coordinator Applicant must submit a signed irrevocable and unconditional letter of credit in a CAISO approved form before final certification. ~~\_\_\_\_\_~~ OR

3.4 ~~\_\_\_\_\_~~ The Scheduling Coordinator Applicant will provide a cash deposit: (yes / no).

Amount: \$\_\_\_\_\_. The Scheduling Coordinator Applicant must enter into an escrow agreement in a CAISO approved form before final certification. AND

3.5 The Scheduling Coordinator Applicant must provide its bank account information before final certification. The Scheduling Coordinator Applicant's bank must be capable of performing Fed-Wire System transfers.

#### IV. Technical Requirements

4.1 Does the Scheduling Coordinator Applicant have the computer hardware, software and communication capabilities for interface compatibility with the CAISO system for data transmission, for electronic data interchange (EDI) and for Fed-Wire System transfer accounts? (yes / no) If no, please submit a proposed completion date to be fully operational so that a CAISO staff site visit can be arranged.

4.2 For Loads and Generating Units located within the CAISO Controlled Grid, does the Scheduling Coordinator Applicant have any scheduling restrictions imposed by the parties they represent? (yes / no) If yes, provide full details on a separate sheet of paper.

4.3 Does the Scheduling Coordinator Applicant have adequate staffing to operate a Scheduling Coordinator's operational facility twenty-four (24) hours a day for 365 days a year? (yes / no). If no, please submit a proposed completion date to be fully operational so that a CAISO staff site visit can be arranged.

#### V. Third Party Contractual Requirements

5.1 The Scheduling Coordinator Applicant confirms that all of its Scheduling Coordinator Customers which are located within the CAISO Controlled Grid and which should execute agreements with the CAISO have entered into or will enter into, prior to the certification of the Scheduling Coordinator Applicant, all required agreements with the CAISO to enable them to meet the requirements of the CAISO Tariff: (yes / no).

(a) Represented Generators have signed Participating Generator Agreements: (yes / no).

(b) Represented UDCs have signed UDC Operating Agreements and Meter Service Agreements: (yes / no).

(c) Represented CAISO Metered Entities have signed Meter Service Agreements: (yes / no).

(d) Wholesale Customers it will represent have warranted to the Scheduling Coordinator Applicant that they are eligible for wholesale transmission service pursuant to the provisions of the FPA Section 212(h): (yes / no).

(e) Each End-Use Customer it will represent which requests Direct Access service has warranted to the Scheduling Coordinator Applicant that the End-Use Customer is eligible for such service: (yes / no).

5.2 The SCHEDULING COORDINATOR Applicant confirms that all of the parties which it represents as Scheduling Coordinator Customers have granted it all necessary agency authority, whether actual, implied or inherent, to enable the Scheduling Coordinator to perform all of its obligations under the CAISO Tariff: (yes / no).

5.3 Notwithstanding 5.2, the Scheduling Coordinator confirms that it will have the primary responsibility, as the principal, for all Scheduling Coordinator payment obligations under the CAISO Tariff: (yes / no).

**VI. Additional Information and Obligations**

~~6.1 The Scheduling Coordinator Applicant agrees to provide such further information to the CAISO as the CAISO may deem necessary to process the application and certify the Scheduling Coordinator Applicant as a Scheduling Coordinator now and on a continuing basis.~~

~~6.2 Subject to the CAISO Tariff, the Scheduling Coordinator Applicant agrees to promptly report to the CAISO within seven (7) Business Days or earlier any changes regarding the information provided by it referred to in the CAISO Tariff and in the application with the exception of the security requirement data referred to in Part III of Part A in this Appendix which must be updated within three (3) Business Days. The Scheduling Coordinator shall be responsible if a failure to submit revised technical data more promptly extends the period during which schedules are rejected by the CAISO.~~

~~6.3 The Scheduling Coordinator Applicant agrees to enclose herein the non-refundable application fee of \$500 to cover the application processing costs, site visit and costs of providing CAISO Tariff.~~

Please make check payable to:

**The California Independent System Operator Corporation**

~~6.4 Scheduling Coordinator Applicant agrees to promptly execute and return the Scheduling Coordinator Agreement, Meter Service Agreements, Interim Black Start Agreements, software licensing agreement, letter of understanding, letter of credit, guarantee, escrow agreement, as applicable, and Fed-Wire System bank account number, after receiving its application approval letter from the CAISO.~~

~~6.5 Final certification is contingent upon Scheduling Coordinator Applicant fulfilling all financial and technical requirements as referenced in the CAISO Tariff (including Part C of this Appendix, the CAISO Application File Template).~~

**Scheduling Coordinator Applicant certifies by its signature on this Application Form that:**

(1) all information it is submitting is correct and accurate; and that

(2) the Scheduling Coordinator Applicant has read and agrees to be bound by the CAISO Tariff as may be in force or amended from time to time.

Name of Organization:

\_\_\_\_\_

Scheduling Coordinator Applicant's Name (please print):

\_\_\_\_\_

Scheduling Coordinator Applicant's Title:

\_\_\_\_\_

Scheduling Coordinator Applicant's Signature:

\_\_\_\_\_

State of \_\_\_\_\_ }

\_\_\_\_\_ ss

County of \_\_\_\_\_ }

\_\_\_\_\_ [SEAL]

Sworn and subscribed

before me this \_\_\_\_\_ day of

\_\_\_\_\_, 19\_\_\_\_.

Notary's Signature: \_\_\_\_\_

**Please send application and required information to:**

California Independent System Operator Corporation  
c/o Schedule Coordinator Application Processing Office  
151 Blue Ravine Road,  
Folsom, CA 95630

**Scheduling Coordinator Application PART B**

**Procedures for Changes or Additions to**

**Scheduling Coordinator's (SC's) Information**

The Scheduling Coordinator must update, amend and / or correct the information originally submitted to the CAISO during the Scheduling Coordinator application process using the format set forth in this Part and/or a revised Part C, the CAISO Application File Template. The Scheduling Coordinator must submit all changes or additional information by first class postage paid mail to:

California Independent System Operator Corporation  
c/o SC Application Processing Office  
151 Blue Ravine Road  
Folsom, CA 95630

The Scheduling Coordinator must notify the CAISO of any change to the information that it has previously submitted to the CAISO, or any additional information, at least three Business Days before the change will take effect.

The CAISO will send a written acknowledgment of receipt of the Scheduling Coordinator's changes within three Business Days of receipt. The receipt shall be sent to the address on file with the CAISO or the address specified in the notice of change received by the CAISO.

**Prior Information**

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**New Information**

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**Explanation and Reason for Change**

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**Scheduling Coordinator Application PART C**  
**CAISO APPLICATION FILE TEMPLATE**

The CAISO Application File Template is an Excel template used to load resources into the CAISO's database. There is also a customer help file created to work with a Microsoft Access Database which are used together to gather application information.

\* \* \*

**Attachment D**



California ISO  
Your Link to Power

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# Business Practice Manual for Scheduling Coordinator Certification & Termination

Version 3

Last Revised: June 20, 2007

## Disclaimer

All information contained in this draft Business Practice Manual, along with any other draft Business Practice Manual provided by the California Independent System Operator Corporation (CAISO), is prepared for discussion and information purposes only and provided "as is" without representation or warranty of any kind, including without limitation, accuracy, completeness or appropriateness for any particular purpose. Such draft Business Practice Manuals shall be revised as the development and review of the Business Practice Manuals progresses. The CAISO assumes no responsibility for the consequences of any errors or omissions. The CAISO may revise or withdraw all or part of this information at any time at its discretion without notice.



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## Approval History

Approval Date:

Effective Date:

BPM Owner: Don Fuller

BPM Owner's Title: Director, Customer Services & Industry Affairs

## Revision History

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Draft

**TABLE OF CONTENTS**

**1. Introduction ..... 5**

    1.1 Purpose of California ISO Business Practice Manuals ..... 5

    1.2 Purpose of this Business Practice Manual..... 6

    1.3 References..... 7

**2. Entities that Require SC Representation ..... 8**

**3. Types of Activities or Representation..... 11**

**4. Scheduling Agent Designation..... 15**

**5. SC Certification Process..... 16**

    5.1 Application Timeline ..... 16

        5.1.1 Application Sunset Provision..... 17

    5.2 Submit Scheduling Coordinator Application Form ..... 18

    5.3 Certification Requirements ..... 19

        5.3.1 Establish Financial Security with CAISO ..... 19

        5.3.2 Establish Network Interface ..... 20

        5.3.3 Request Application Access ..... 21

        5.3.4 Attend Training ..... 22

        5.3.5 Complete Market Proficiency Test ..... 23

        5.3.6 Test Fed-Wire..... 23

        5.3.7 Complete Real-Time and Contact Drills ..... 23

        5.3.8 Submit SC Emergency Plan..... 23

        5.3.9 Register Intertie Resource IDs ..... 24

        5.3.10 Establish CAISO Automated Dispatch System (ADS) Access..... 24

        5.3.11 Establish SLIC System Access ..... 25

        5.3.12 Establish Access to Settlement Quality Meter Data System..... 25

        5.3.13 Submit Acknowledgement Forms ..... 26

        5.3.14 Execute Agreements ..... 26

    5.4 Rejection ..... 27

    5.5 Other Registration and Certification Processes ..... 27

        5.5.1 Additional SCID Registration..... 27

        5.5.2 AS Certification..... 27

        5.5.3 NERC Registration ..... 27

        5.5.4 CRR Registration..... 28

Draft

---

<b>6. Maintaining SC Status Obligations &amp; Operations .....</b>	<b>28</b>
6.1 Ongoing Obligations.....	28
6.1.1 Failure to Inform.....	28
6.1.2 Training & Testing.....	29
6.2 Termination .....	29
6.2.1 CAISO Initiated.....	29
6.2.2 SC Initiated.....	30
6.2.3 Processes and Consequences of Termination.....	30
6.2.4 Notification.....	30
6.2.5 Continuation of Service.....	30
6.3 Operations.....	32
<b>A. SC Applicant Certification Requirements Matrix.....</b>	<b>A-1</b>
<b>B. Scheduling Coordinator Application Form.....</b>	<b>B-1</b>
<b>C. Letter Representing Agency Relationship between Scheduling Coordinator Applicant and Scheduling Agent.....</b>	<b>C-1</b>

## 1. Introduction

Welcome to the CAISO *BPM for Scheduling Coordinator Certification & Termination*. In this Introduction you will find the following information:

- The purpose of CAISO BPMs
- What you can expect from this CAISO BPM
- Other CAISO BPMs or documents that provide related or additional information

### 1.1 Purpose of California ISO Business Practice Manuals

The Business Practice Manuals (BPMs) developed by CAISO are intended to contain implementation detail, consistent with and supported by the CAISO Tariff, including: instructions, rules, procedures, examples, and guidelines for the administration, operation, planning, and accounting requirements of CAISO and the markets. Exhibit 1-1 lists CAISO BPMs.

**Exhibit 1-1: CAISO BPMs**

Title
BPM for Market Operations
BPM for Market Instruments
BPM for Settlements & Billing
BPM for Scheduling Coordinator Certification & Termination
BPM for Congestion Revenue Rights
BPM for Candidate CRR Holder Registration
BPM for Managing Full Network Model
BPM for Rules of Conduct Administration
BPM for Outage Management
BPM for Metering
BPM for Reliability Requirements
BPM for Credit Management (On hold pending outcome of CAISO credit policy tariff amendment in ER06-700)
BPM for Compliance Monitoring
BPM for Definitions & Acronyms
BPM for BPM Change Management

## 1.2 Purpose of this Business Practice Manual

The *BPM for Scheduling Coordinator Certification & Termination* covers the process that an applicant must complete in order to become a certified Scheduling Coordinator (SC) eligible to transact business directly with the CAISO. It also addresses ongoing responsibilities of a certified Scheduling Coordinator in order to maintain its SC status. In order to participate in the CAISO Market an entity must qualify as an SC. Agreements that must be filed during the process of becoming a certified SC are cited and referenced.

In this BPM you will find:

- A description of the application and certification process to become an SC.
- A listing of obligations, responsibilities and operations necessary for an SC to maintain its SC status.
- General information of use to an SC.

The provisions of this BPM are intended to be consistent with the CAISO Tariff. If the provisions of this BPM nevertheless conflict with the CAISO Tariff, the CAISO is bound to operate in accordance with the CAISO Tariff. Any provision of the CAISO Tariff that may have been summarized or repeated in this BPM is only to aid understanding. Even though every effort will be made by CAISO to update the information contained in this BPM and to notify Market Participants of changes, it is the responsibility of each Market Participant to ensure that he or she is using the most recent version of this BPM and to comply with all applicable provisions of the CAISO Tariff.

A reference in this BPM to the CAISO Tariff, a given agreement, or any other BPM or instrument, is intended to refer to the CAISO Tariff, that agreement, BPM or instrument as modified, amended, supplemented or restated.

The captions and headings in this BPM are intended solely to facilitate reference and not to have any bearing on the meaning of any of the terms and conditions of this BPM.

## 1.3 References

Note to Reader: The definition of acronyms and words beginning with capitalized letters are provided in the *BPM for Definitions & Acronyms*.

The following references are related to this BPM:

- Other CAISO BPMs
- The CAISO Tariff, as it may be amended
- CAISO Information Security Services: CAISO Information Security Requirements for the Energy Communication Network (ECN)
- CAISO Corporate Policy – Information Security: Scheduling Coordinators Connectivity Security Requirements

Current versions of these documents are posted on the CAISO Website.

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## 2. Entities that Require SC Representation

CAISO Tariff Section 4.3.1.2, regarding the relationship between the CAISO and Participating Transmission Owners

CAISO Tariff Section 17, Transmission Ownership Rights (“TOR”), including Section 17.1.2, TOR Scheduling Coordinator Responsibilities

CAISO Tariff Section 4.6, Relationship Between CAISO and Generators

CAISO Tariff Section 4.7, Relationship Between CAISO and Participating Loads

CAISO Tariff Section 4.8, Relationship Between CAISO and Eligible Intermittent Resources and Between the CAISO and Participating Intermittent Resources

CAISO Tariff Section 4.5.4.3, Dynamic Scheduling

CAISO Tariff Section 4.4.1, General Nature of Relationship Between CAISO and UDCs

CAISO Tariff Section 4.9.5, Scheduling by or on behalf of a MSS Operator

SCs may represent many different types of entities in their interactions with the CAISO.

Many different entities are required to use an SC with regard to interactions with the CAISO. Since for the most part only SCs are authorized to transact business directly with the CAISO, the primary need for an SC is to facilitate participation in the CAISO Markets. This section describes the types of entities that require SC representation, a brief description of the types of activities these entities perform, and roles these entities undertake that may necessitate representation by an SC.

All entities transacting business with the CAISO, either directly or through an SC, must verify their relationship choices and alignments to the CAISO by providing a written notification to their CAISO Client Representative or to the CAISO contact specified in a contract with the CAISO as responsible for accepting notices. Specifically, an SC is required to submit written notification to the CAISO identifying the entities and types of entities it will be representing. A represented entity is required to execute an appropriate agreement with the CAISO and provide the CAISO with written notification identifying the SC that will represent it.

- Participating Transmission Owners (PTOs) – In order to submit Bids to the CAISO, a PTO, including any New PTO, must either become or obtain the services of a certified SC. The CAISO does not accept Bids for a PTO other than through a certified SC. The SC must not be the entity’s Responsible PTO in accordance with the Responsible

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Participating Transmission Owner Agreement, unless mutually agreed between the two parties.

- Non-Participating Transmission Owners (Non-PTOs) – In order to submit Bids to the CAISO, including Transmission Ownership Right (TOR) Self-Schedules using only the Non-PTO's Transmission Ownership Rights in the CAISO Control Area, a Non-PTO must also become or use the services of a certified SC. The CAISO does not accept Bids, including TOR Self-Schedules using only the Non-PTO's TORs in the CAISO Control Area, for a Non-PTO other than through a certified SC. In addition, in order for the CAISO to accommodate TORs appropriately, the Non-PTO must submit to the CAISO Transmission Rights and Transmission Curtailment Instructions describing its TORs.
- Generating Units – In order to submit Bids to the CAISO, a Generator, including a Generator with a Qualifying Facility, must either become or obtain the services of a certified SC. The CAISO does not accept Bids for any Generating Unit interconnected directly or indirectly to the CAISO Controlled Grid, including a Qualifying Facility, other than those submitted by a certified SC.
- Load – In order to submit Bids to the CAISO, a Load Serving Entity (LSE), including any Participating Load, must either become or obtain the services of a certified SC. The CAISO does not accept submitted Bids for Demand from LSEs or Bids for Demand or Supply of Energy and Ancillary Services from a Participating Load other than those submitted through a certified SC.
  - If bidding or scheduling Load, an SC must have an executed Meter Service Agreement for SCs (MSA SC) in place with the CAISO.
- Eligible Intermittent Resources – In order to submit Bids to the CAISO, the owner or operator of an Eligible Intermittent Resource must either become or obtain the services of a certified SC. The CAISO does not accept Bids for an Eligible Intermittent Resource other than through a certified SC.
- System Resources – In order to submit Bids to the CAISO, the owner or operator of a System Resource must either become or obtain the services of a certified SC. In addition, the following requirements apply to bidding and scheduling of System Resources:
  - Resource-Specific System Resources must be registered with the CAISO, have a Resource ID and provide the CAISO with operational characteristics similar to a Generating Unit internal to the CAISO Control Area.



- 
- Non-Resource-Specific System Resources need to register the Scheduling Point that they utilize for scheduling purposes as well as the unique ID associated with the System Resource.
  - There are four types of System Resources identified in the CAISO Tariff:
    - ❖ *Non-Dynamic*: not having satisfied the CAISO's contractual and operational requirements for submitting a Dynamic Schedule;
    - ❖ *Dynamic*: having satisfied the CAISO's contractual and operational requirements for submitting a Dynamic Schedule;
    - ❖ *Non-Dynamic Resource-Specific*: a Non-Dynamic System Resource that is a specific generation resource outside the CAISO Control Area; and
    - ❖ *Dynamic Resource-Specific*: a Dynamic System Resource that is a specific generation resource outside the CAISO Control Area.
  - Utility Distribution Companies (UDCs) – In order to submit Bids to the CAISO, a UDC must either become or obtain the services of a certified SC. The CAISO does not accept Bids for a UDC other than through a certified SC.
  - Metered Subsystems (MSSs) – In order to submit Bids to the CAISO, an MSS Operator must either become or obtain the services of a certified SC. The CAISO does not accept Bids for an MSS other than through a certified SC.

In the event that an entity with a contractual relationship to a certified SC provides data and/or information directly to the CAISO, the CAISO must make available the data and/or information to the certified SC upon receipt of reasonable notice.

### 3. Types of Activities or Representation

An SC Applicant selects the types of business it plans to perform and represent in the CAISO Markets. The SC Applicant makes this selection on the Scheduling Coordinator Application Form (Attachment C). If a certified SC changes its activities or representation from what it was originally certified to conduct or represent, then it may be subject to additional certification and contract requirements that were not applicable in the initial certification.

An SC may have and represent multiple business types with different contract and certification requirements applicable to each. All SC Applicants are required to execute an SC Agreement (SCA).

#### Common Business Types and Contract Obligations:

- **Inter-SC Trades**

The SC may choose only to engage in Inter-SC Trades. In this case, the SC would not represent any other entities and would not be required to enter into any agreements other than the SCA or to obtain any certifications from the CAISO.

- **CAISO Control Area Generating Units without Ancillary Services (AS) capability**

The SC may represent Generators with Generating Units in the CAISO Control Area without the capability to, or choosing not to, provide AS. Typically, the represented Generator would be required to enter into a Participating Generator Agreement (PGA) and Meter Service Agreement for CAISO Metered Entities (MSA CAISOME) with the CAISO. SCs representing Generators that are SC-Metered must enter into a Meter Service Agreement for Scheduling Coordinators (MSA SC). The Generator could alternatively enter into a Qualifying Facility (QF) PGA if it were a QF and were to choose that form of contract. The Generator could also be required to enter into a Reliability Must-Run (RMR) Contract with the CAISO or to obtain CAISO certification as a Participating Intermittent Resource (PIR) if the Generator were to choose and be eligible to do so.

- **CAISO Control Area Generating Units with AS capability**

The SC may represent Generators with Generating Units in the CAISO Control Area that have the capability to and choose to provide AS. In addition to entering into a PGA or QF PGA and MSA CAISOME (and possibly entering into an RMR Contract or obtaining PIR certification), the represented Generator would also be required to obtain CAISO certification of its ability to provide each type of AS that it desires to provide to the CAISO. SCs representing Generators that are SC-Metered must enter into a Meter Service Agreement for Scheduling Coordinators (MSA SC).

- **CAISO Control Area Load not directly connected to the CAISO Controlled Grid**

The SC may represent Load in the CAISO Control Area not directly connected to the CAISO Controlled Grid. Typically, the SC would be required to enter into a Meter Service Agreement for Scheduling Coordinators (MSA SC) with the CAISO. Among the types of entities with Load the SC could represent would be a UDC or MSS, which represented

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entities would be required to enter into a UDC Operating Agreement or an MSS Agreement, respectively, with the CAISO.

- **CAISO Control Area Load directly connected to the CAISO Controlled Grid**

The SC may represent Load in the CAISO Control Area directly connected to the CAISO Controlled Grid, including a UDC or MSS. Typically, the represented Load would be required to enter into an MSA CAISOME with the CAISO, except that the applicable terms of the MSA CAISOME are incorporated into the MSS Agreement for MSSs.

- **CAISO Control Area Load with AS Capability**

The SC may represent Load in the CAISO Control Area that has the capability to and chooses to provide AS. In addition to entering into an MSA CAISOME, the represented Load would be required to enter into a Participating Load Agreement (PLA) with the CAISO and to obtain CAISO certification of its ability to provide AS to the CAISO.

- **Non-dynamic Energy imports into the CAISO Control Area**

The SC may represent entities with Non-Dynamic System Resources that wish to import Energy into the CAISO Control Area. No additional agreements with the CAISO (other than the SCA) or certifications from the CAISO would be required.

- **Imports of dynamic Energy and AS into the CAISO Control Area**

The SC may represent entities with Dynamic System Resources that wish to submit Dynamic Schedules to import Energy or AS into the CAISO Control Area. In addition to the System Resource obtaining CAISO certification of its ability to provide each type of AS that it desires to provide to the CAISO, the SC would be required to enter into a Dynamic Scheduling Agreement (DSA) for SCs and would be required to obtain CAISO certification of the functionality for Dynamic Schedules and obtain a Scheduling Coordinator Certificate of Imports. In addition, the Host Control Area and any intermediary Control Area would have to enter into an agreement with the CAISO to facilitate the submittal of Dynamic Schedules.

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**Exhibit 3 -1: Entity Contract Obligation by Business Type**

Business Type	Executed Agreement (agreement examples listed on the CAISO Website)	Additional Certification Requirements [Not described in detail in this BPM. Refer to the CAISO Website for more information.]
Inter SC Trades	<ul style="list-style-type: none"> <li>• Scheduling Coordinator Agreement (SCA)</li> </ul>	
CAISO Control Area Generation without AS Capability	<ul style="list-style-type: none"> <li>• Scheduling Coordinator Agreement (SCA)</li> <li>• Participant Generation Agreement (PGA) or Qualifying Facility (QF) PGA</li> <li>• Meter Service Agreement for Scheduling Coordinators (MSA SC) (as applicable)</li> <li>• Meter Service Agreement for CAISO Metered Entities (MSA CAISOME)</li> <li>• Reliability Must Run (RMR) Contract (as applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• PIR Certification (as applicable)</li> </ul>
CAISO Control Area Generation with AS Capability	<ul style="list-style-type: none"> <li>• Scheduling Coordinator Agreement (SCA)</li> <li>• Participant Generation Agreement (PGA) or Qualifying Facility (QF) PGA</li> <li>• Meter Service Agreement for Scheduling Coordinators (MSA SC) (as applicable)</li> <li>• Meter Service Agreement for CAISO Metered Entities (MSA CAISOME)</li> <li>• Reliability Must Run (RMR) Contract (as applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• PIR Certification (as applicable)</li> <li>• AS Certification</li> </ul>
CAISO Control Area Load Non-CAISO Grid-Connected	<ul style="list-style-type: none"> <li>• Scheduling Coordinator Agreement (SCA)</li> <li>• Meter Service Agreement for Scheduling Coordinators (MSA SC)</li> <li>• Utility Distribution Company (UDC) Operating Agreement (as applicable)</li> <li>• Metered Subsystem (MSS) Agreement (as applicable)</li> </ul>	
CAISO Control Area Load CAISO Grid-Connected	<ul style="list-style-type: none"> <li>• Scheduling Coordinator Agreement (SCA)</li> <li>• Metered Service Agreement for CAISO Metered Entities (MSA CAISOME)</li> </ul>	

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Business Type	Executed Agreement (agreement examples listed on the CAISO Website)	Additional Certification Requirements [Not described in detail in this BPM. Refer to the CAISO Website for more information.]
	<ul style="list-style-type: none"> <li>• Meter Service Agreement for Scheduling Coordinators (MSA SC) (as applicable)</li> <li>• Metered Subsystem (MSS) Agreement (as applicable)</li> <li>• Utility Distribution Company (UDC) Operating Agreement (as applicable)</li> </ul>	
CAISO Control Area Load with AS Capability	<ul style="list-style-type: none"> <li>• Scheduling Coordinator Agreement (SCA)</li> <li>• Participating Load Agreement (PLA)</li> <li>• Meter Service Agreement for CAISO Metered Entities (MSA CAISOME)</li> </ul>	<ul style="list-style-type: none"> <li>• AS Certification</li> </ul>
Non-dynamic Energy Imports into the CAISO Control Area	<ul style="list-style-type: none"> <li>• Scheduling Coordinator Agreement (SCA)</li> </ul>	
Imports of dynamic Energy and AS into the CAISO Control Area	<ul style="list-style-type: none"> <li>• Scheduling Coordinator Agreement (SCA)</li> <li>• Dynamic Scheduling Agreement for SCs</li> <li>• ICAOA/DSHCAOA/other equivalent agreement</li> </ul>	<ul style="list-style-type: none"> <li>• Dynamic Scheduling Capability Certification</li> <li>• AS Certification (as applicable)</li> </ul>

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## 4. Scheduling Agent Designation

The CAISO Tariff does not preclude an SC from meeting some of its certification requirements through the use of a Scheduling Agent. For example, the Scheduling Agent may provide the 24 hours x 365 days scheduling/Dispatch operation and the meter data management aspects of SC operation. Any agreements between an SC and its Scheduling Agent are solely between those two entities and do not directly involve CAISO.

An SC Applicant is responsible for and must meet all CAISO SC certification requirements in order to receive SC certification. However, the certification requirements to complete real time and contact drills and the establishment of SQMDS connectivity and functionality of other technical systems may be completed by the Scheduling Agent acting on behalf of the SC Applicant. If the SC Applicant intends to use a Scheduling Agent to fulfill some or all of its responsibilities as an SC, any of the certification requirements set forth in Section 5 for which the Scheduling Agent will be fulfilling the SC Applicant's responsibilities will be considered satisfied by the prior certification of the Scheduling Agent as an SC.

The SC itself, not the Scheduling Agent, is ultimately responsible for all CAISO Market and administrative costs, scheduling, operating performance, and CAISO network security, as well as contractual and financial Settlement issues consistent with its executed SCA.

If, after the SC Applicant is certified as an SC, the SC decides to discontinue use of a Scheduling Agent, the SC must give 60-days advance written notice to the CAISO identifying the change in its relationship with the Scheduling Agent, and the SC will be required to satisfy all requirements that were fulfilled by the Scheduling Agent during the SC certification process. Failure to do so may result in decertification of the SC and termination of the SC's Scheduling Coordinator Agreement.

Any SC that intends to use a Scheduling Agent must submit a letter of agency as part of the application process. A template for the letter of agency is set forth in Attachment C.

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## 5. SC Certification Process

Welcome to the SC Certification Process section of the *BPM for Scheduling Coordinator Certification & Termination*.

In this section you will find the following information:

- A high-level timeline for the SC certification process
- How to apply to become an SC
- What certification requirements the SC Applicant must fulfill to become a SC

### 5.1 Application Timeline

CAISO Tariff Section 4.5.1.1.4, Scheduling Coordinator Applicant Returns Application

CAISO Tariff Section 4.5.1.1.5, Notice of Receipt

CAISO Tariff Section 4.5.1.1.6, CAISO Review of Application

CAISO Tariff Section 4.5.1.1.7, Deficient Application

CAISO Tariff Section 4.5.1.1.7.1, Scheduling Coordinator Applicant's Additional Information

CAISO Tariff Section 4.5.1.1.7.2, No Response from Scheduling Coordinator Applicant

CAISO Tariff Section 4.5.1.1.8.2, Time for Processing Application

CAISO Tariff Section 4.5.1.1.9.1, Scheduling Coordinator Applicant's Acceptance

CAISO Tariff Section 4.5.1.1.11, Final Certification of Scheduling Coordinator Application

At least 120 days prior to the proposed start of service, the SC Applicant must submit a completed application form to the CAISO with a non-refundable application fee.

Within three (3) Business Days of receiving the application, CAISO sends an electronic notification to the SC Applicant stating that it has received the application and fee. A CAISO Representative will assist the applicant throughout the certification process.

Within ten (10) Business Days after receiving an application, the CAISO notifies the SC Applicant if the submittal includes all of the necessary information that is required by CAISO. If the application is deemed to be deficient, the CAISO sends electronic notification of the deficiency to the SC Applicant explaining the deficiency and requesting additional clarifying information. The SC Applicant has five (5) Business Days (or longer if the CAISO agrees) to

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provide the additional material that is requested. If the SC Applicant does not submit the additional information that was requested by the CAISO within five (5) Business Days (or a longer agreed upon period) then the application may be rejected by the CAISO.

The CAISO makes a decision whether to accept or reject an application within ten (10) Business Days of receipt of the complete application (including any additional or clarifying material that may have been requested).

If the application is accepted, then all certification requirements and applicable contracts must be executed by the applicant and returned to the CAISO no later than ten (10) Business Days prior to the proposed start of service.

### **5.1.1 Application Sunset Provision**

The SC Applicant has twelve (12) months in which to complete and pass the requirements for certification. If certification is not completed within twelve (12) months from the initial submittal date, the CAISO can close the application upon the provision of thirty (30) days advance notice. At a later date, if the SC Applicant wishes to again pursue certification, a new application and fee is required.



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## 5.2 Submit Scheduling Coordinator Application Form

CAISO Tariff Section 4.5.1.1.6.1, Information Requirements

To commence the SC application process, an SC Applicant must complete the Scheduling Coordinator Application Form that is located in Attachment B of this document, and then;

- 1) Send an electronic copy of the application form to [scapplicant@caiso.com](mailto:scapplicant@caiso.com); and
- 2) Send a hardcopy of the application form, including the \$5000.00 non-refundable application fee to:

CAISO External Affairs  
ATTN: Scheduling Coordinator Application Processing Office  
151 Blue Ravine Road  
Folsom, CA 95630

Please make check or money order (no other forms of payment are accepted)  
payable to: The California Independent System Operator Corporation

An application is considered submitted once the original hardcopy application and fee are received by the CAISO.

If there are any questions regarding the application or certification process, please contact the CAISO at [scapplication@caiso.com](mailto:scapplication@caiso.com).

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## 5.3 Certification Requirements

Once an SC Applicant's application is accepted, a CAISO Representative contacts the SC Applicant to begin the certification process. This section outlines the certification requirements that an SC Applicant needs to fulfill to become certified to participate in the CAISO Markets. Any SC Applicant that intends to use a Scheduling Agent must submit a letter of agency along with the application and fee or prior to beginning the certification process. Refer to Section 4 for additional information.

Note: Attachment A sets forth a summary listing of the certification requirements that an SC Applicant must complete prior to participating in the CAISO Market, including the requirements that may be fulfilled by a Scheduling Agent.

### 5.3.1 Establish Financial Security with CAISO

Pursuant to the CAISO Tariff, the CAISO requires reasonable credit review procedures to be conducted in accordance with standard commercial practices for the purpose of determining the ability of SC Applicants to meet their financial obligations.

Once the Scheduling Coordinator Application Form is accepted, the SC Applicant must begin establishing Financial Security. An SC Applicant can estimate its initial Financial Security requirement by completing the spreadsheet template found on the CAISO Website at <http://www.caiso.com/docs/09003a6080/36/8b/09003a6080368bec.xls>.

An SC Applicant can satisfy its initial Financial Security requirement by applying for unsecured credit or posting an approved form of Financial Security. The CAISO's Credit Policy & Procedures Guide outlines the options for satisfying the CAISO's Financial Security requirements. Information submitted to the CAISO by an SC Applicant for the purpose of establishing Financial Security will be treated as confidential and not subject to disclosure.

The CAISO 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. Estimated time to complete this process is approximately ten (10) Business Days. Additional information can be obtained at:

Credit Policy & Procedures Guide  
and  
Financial Security Forms

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## 5.3.2 Establish Network Interface

This requirement enables the SC Applicant to have access to the CAISO Market applications. These applications are available over two network interfaces: internet and ECN. 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 (refer to Section 5.3.2.3 for more information).

### 5.3.2.1 Internet

There is no Service Level Agreement (SLA) between an SC and the CAISO 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 CAISO. The internet has little or no cost for setup and maintenance and minimal setup time.

### 5.3.2.2 ECN

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

The estimated set up time is approximately thirty (30) Business Days and additional information can be obtained at:

CAISO Connected Entity Service Guide Version

and

CAISO Information Security Requirements for the ECN

### 5.3.2.3 Submit Network Connectivity Security Agreement

This requirement applies to SC Applicants using ECN.

SCs must employ several different computer systems and subsystems to properly participate in CAISO Markets. In employing these systems and in all communications with the CAISO, SCs must adhere to the computer system security requirements of the CAISO.

The Network Connectivity Security Agreement establishes a commitment to mutually assure security of proprietary information. The SC Applicant must provide three (3) signed originals of the agreement to its Customer Services representative. The name entered on the signature line must match the name listed on the Scheduling Coordinator Application Form.

Form location can be obtained at:

Network Connectivity Security Requirements & Agreement

### 5.3.3 Request Application Access

#### CAISO Tariff Section 6.2.1.3, Individually Assigned Login Accounts

In order to gain access to the CAISO Market applications, the SC Applicant must submit an Application Access Request Form (AARF). The AARF captures the applications to which a person(s) designated by the SC Applicant needs access. Once the form is received, the CAISO determines how many digital certificates are required. The CAISO creates the digital certificate and issues the certificate to the person(s) listed on the AARF. Each person or system has an individually assigned login account provided through the digital certificate. The digital certificates are emailed to the designated person along with installation instructions. User IDs and passwords required to access CAISO Market applications are communicated separately to the SC Applicant once the certification requirements are fulfilled. Please note, CAISO Market application access becomes available the day the SC is certified to become active in the CAISO Market.

A person may receive more than one digital certificate depending on the requested application(s). In some cases, one digital certificate enables an individual to see multiple applications. In other cases, there may be additional digital certificate issued for legacy applications. .

#### Exhibit 5-3: CAISO Market Applications Access Based on Business Type

CAISO Market Applications	Business Type
SIBR (Scheduling Infrastructure Business Rules)	All
SaMC (Settlements and Market Clearing) aka BAPI (Business Associate Portal Interface) Note: BAPI is the reporting interface that delivers SaMC output (invoices and settlements).	All
CMRI (CAISO Market Results Interface)	All
CRR (Congestion Revenue Rights)	Refer to the BPM for CRR Registration
ADS (Automated Dispatch System)	CAISO Control Area Generation without AS Capability CAISO Control Area Generation with AS Capability CAISO Control Area Load with AS Capability Non-dynamic Energy Imports into the CAISO Control Area (as applicable) Imports of dynamic Energy and AS into

	the CAISO Control Area
SLIC (Scheduling and Logging system for the CAISO of California)	CAISO Control Area Generation without AS Capability CAISO Control Area Generation with AS Capability
SDS (Settlement Dispute System)	All
SQMDS (Settlement Quality Meter Data System) (previously called OMAR)	CAISO Control Area Generation without AS Capability CAISO Control Area Generation with AS Capability CAISO Control Area Load Non-CAISO Grid-Connected CAISO Control Area Load CAISO Grid-Connected CAISO Control Area Load with AS Capability
RMR (discussion board)	CAISO Control Area Generation without AS Capability (as applicable) CAISO Control Area Generation with AS Capability (as applicable)
RMR Client (smart cards)	CAISO Control Area Generation without AS Capability (as applicable) CAISO Control Area Generation with AS Capability (as applicable)
PIRP (Participating Intermittent Resource program)	CAISO Control Area Generation without AS Capability (as applicable) CAISO Control Area Generation with AS Capability (as applicable)

The estimated time to for an SC Applicant to receive digital certificates is approximately fifteen (15) Business Days. Form can be obtained at:

Application Access Request Form

### 5.3.4 Attend Training

The SC Applicant is required to complete training, which consists of:

- Detailed Settlements
- CAISO SC Certification Workshop

The CAISO continues to evaluate and determine the required training curriculum. Entities that are considering application should access the training schedule so that they can obtain

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necessary training before they intend to operate. The CAISO Representative will provide information on registration and training logistics.

### **5.3.5 Complete Market Proficiency Test**

The SC Applicant is required to take a test to demonstrate proficiency in submitting various types of Bids and Self-Schedules to the CAISO. The SC Applicant notifies the CAISO when ready to perform the test. The CAISO Representative will ensure the appropriate information is available.

### **5.3.6 Test Fed-Wire**

This requirement ensures that an SC Applicant can submit payments to/and receive payment from CAISO. The SC Applicant is required to test its Fed-Wire. Fed-Wire is a computerized high-speed communication system linking the banks within the Federal Reserve System. The network enables transfers to be conducted at high speed for inter-bank dealings and customer transfers. The SC Applicant notifies the CAISO when ready to perform the test. The CAISO Representative will ensure the appropriate information is available.

The estimated time to set up Fed-Wire transfers is approximately ten (10) Business Days.

### **5.3.7 Complete Real-Time and Contact Drills**

All SC Applicants, except applicants becoming certified only for Inter-SC Trades, must complete real-time and contact drills. These drills demonstrate a twenty-four hour real-time desk capability and sufficient understanding of the CAISO Markets to respond correctly to Dispatch Instructions in a timely manner. This test has three versions, requires approximately ten (10) Business Days to complete and is sometimes referred to as the grid ops test.

### **5.3.8 Submit SC Emergency Plan**

The SC Applicant is required to provide an up-to-date emergency procedure to the CAISO. This procedure presents the following information:

- The method for providing alternative bidding and scheduling capability upon the loss of an SC's primary facilities
- Emergency power supply capabilities
- Emergency contact information

The SC emergency plan ensures that a procedure is in place that gives the SC the capability to submit, withdraw, or adjust Bids and Self-Schedules in the case of an emergency. The CAISO Representative will provide the emergency plan template to the SC Applicant.

### **5.3.9 Register Intertie Resource IDs**

Note: This requirement applies only to SC Applicants representing Non-Dynamic System Resources for Energy imports into the CAISO Control Area and imports of Dynamic Schedules of Energy and AS into the CAISO Control Area from Dynamic System Resources.

SC Applicants are required to submit an Intertie resource data template (RDT) which sets forth the Intertie Resource IDs of the SC Applicant. The Intertie RDT allows SC Applicants to determine their Intertie Resource IDs based on the CAISO naming convention. The SC will select the appropriate Intertie Resource IDs when creating Bids and Self-Schedules. The CAISO Representative will provide the Intertie RDT to the SC Applicant.

### **5.3.10 Establish CAISO Automated Dispatch System (ADS) Access**

Note: This requirement applies only to those SC Applicants representing Generation and Imports.

SC Applicants representing any Generation or Participating Loads within the CAISO Control Area or planning to import Generation at the CAISO Control Area interties must utilize the Automated Dispatch System. ADS is a messaging system that allows for clear and unambiguous Dispatch Instructions to be sent from the CAISO to SCs. It is designed to accomplish timely and transparent Dispatch, logging, archival, and retrieval of information. ADS is implemented via the public internet and utilizes a 128-bit domestic encryption and Secure Sockets Layer communications technology.

The estimated time to complete this process is approximately ten (10) Business Days. Additional information can be obtained at:

[ADS Guidelines](#)

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### 5.3.11 Establish SLIC System Access

Note: This requirement applies only to those SC Applicants representing Generation and/or Participating Load.

SCs representing Generating Units within the CAISO Control Area must submit Generating Unit Outages through an on-line process referred to as Scheduling and Logging system for the CAISO of California (SLIC).

The estimated time to acquire access is approximately ten (10) Business Days.

#### 5.3.11.1 Attend SLIC Training

Note: This training is optional and applies only to those SC Applicants representing Generation and/or Participating Load.

Following the establishment of access to SLIC, SC Applicants representing Generators and/or Loads are encouraged to attend SLIC training. This training is held at the SC Applicant's facility, so SLIC access must be installed prior to the training.

The estimated time training is approximately six hours. Additional information can be obtained at:

[SLIC Information](#)

### 5.3.12 Establish Access to Settlement Quality Meter Data System

Note: This requirement applies only to those SC Applicants representing Generation and/or Load.

The Settlement Quality Meter Data System (SQMDS) is a system allowing for the submittal and viewing of Settlement Quality Meter Data. SQMDS is utilized by:

- Scheduling Coordinators of SC Metered Entities for submittal of Settlement Quality Meter Data to the CAISO
- Scheduling Coordinators for CAISO Metered Entities and CAISO Metered Entities to view the SQMD that is created by the polling of Revenue Quality Meter Data and the CAISO Validation, Estimation, and Editing (VEE) process to produce Settlement Quality Meter Data

SQMDS is a required system for SCs of SC Metered Entities, as they are required to submit SQMD on behalf of the entities they represent. SCs and SC Metered Entities can obtain access to the SQMDS system by requesting a secured digital certificate.



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The estimated time to complete this task is approximately ten (10) Business Days. Additional information can be obtained at:

SQMDS Information

### **5.3.13 Submit Acknowledgement Forms**

An SC Applicant that intends to submit Bids and Self-Schedules for Generation must provide the necessary letters that assign the Resource IDs of the represented Generating Units to the SC Applicant and terminate any current SC rights to represent that resource. The Generating Unit owner must also submit a form indicating it is aware of the SC change.

Form letter templates can be obtained at:

Form Letter Templates

### **5.3.14 Execute Agreements**

The types of agreements that must be executed vary depending on the type of business the SC Applicant intends to do with the CAISO. The CAISO Customer Services representative helps determine which agreements apply to the SC Applicant, which will include, at a minimum, the SC Agreement (SCA).

Pro forma agreements can be obtained at:

Pro forma Agreements

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## 5.4 Rejection

Procedures associated with rejection of an application and grounds for rejection of an application are specified in CAISO Tariff Section 4.5.1.1.8. If the application is rejected, the SC Applicant may resubmit its application within six (6) months without paying another application fee. Any appeal by the SC Applicant of a rejection of its application by the CAISO must be submitted within twenty (20) Business Days following the CAISO's issuance of the notification of the rejection.

## 5.5 Other Registration and Certification Processes

There are other registration processes that affect SCs as described in the following sections.

### 5.5.1 Additional SCID Registration

An SC must submit Bids using an identification code specific to that SC. The Scheduling Coordinator ID (SCID) is four characters in length and is determined by the SC Applicant on the Scheduling Coordinator Application Form and approved by the CAISO during the SC certification process. An SC Applicant is granted one SCID with its application fee. There is no fee to request additional SCIDs, but the SC may be assessed a \$500 per month GMC charge for each SCID; please refer to CAISO Tariff - Appendix F for more information on rates and terms. Contact your CAISO Representative to request additional SCIDs.

### 5.5.2 AS Certification

An SC representing a Generator that wishes to participate in the CAISO AS markets must ensure that the Generator obtains appropriate certification from the CAISO of the capability of its Generating Unit to participate in the desired AS markets. Additional information can be obtained at:

Ancillary Certification Testing Information

Refer to the G-213 Management of Ancillary Services Certification Testing heading

### 5.5.3 NERC Registration

SCs that are submitting interchange Bids or Self-Schedules must register the source and sink with NERC. This can be accomplished at:

<http://www.tsin.com/>

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#### 5.5.4 CRR Registration

SCs that are participating in the CRR Allocation or CRR Auction need to register in order to participate. Details on CRR registration are found in the BPM for Candidate CRR Holder Registration.

## 6. Maintaining SC Status Obligations & Operations

Welcome to the *Maintaining SC Status Obligations & Operations* section of the *BPM for Scheduling Coordinator Certification & Termination*. In this section you will find the following information:

- The ongoing obligations for an SC
- The termination procedure for SC status
- Details on the operations of an SC

### 6.1 Ongoing Obligations

CAISO Tariff Section 4.5.1.2.1.1, Obligations to Report a Change in Filed Information

Each SC has an ongoing obligation to inform the CAISO of any changes to any of the information that it has submitted to the CAISO as part of the application process. Such changes must be reported to the CAISO within seven (7) Business Days of the change unless it is security information. Any changes to security information must be updated within three (3) Business Days.

#### 6.1.1 Failure to Inform

CAISO Tariff Section 4.5.1.2.2.1, Failure to Promptly Report a Material Change

If an SC fails to inform the CAISO of a material change in the information that it has supplied to the CAISO and the information in question affects the reliability or safety of the CAISO Controlled Grid or the financial security of the CAISO, then the CAISO may suspend or terminate the SC's rights.

If the CAISO intends to terminate an SC's rights, then it must file a notice of termination with FERC, if required by FERC rules, and such termination is only effective upon acceptance of the notice of termination by FERC, if required by FERC rules, or as otherwise permitted by FERC rules.

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## 6.1.2 Training & Testing

SCs are required to maintain continued proficiency and compliance with the rules and regulations concerning participation in the CAISO Markets. New employees are expected to enroll in the CAISO training classes as soon as practical given their other duties. Refresher training courses may be offered occasionally by the CAISO and all SC personnel involved in the CAISO operations are encouraged to participate in such training when it is offered. In addition, the CAISO may require re-testing of SC systems from time to time as conditions merit. Such testing is developed with the affected SC and is designed to minimize cost and business interruptions.

For various reasons, SCs may become 'inactive' in the CAISO Markets. If these SCs return to activity at some time in the future, they are expected to develop a refresher training program for their affected employees in concert with CAISO training staff or demonstrate proficiency in CAISO operations through the successful completion of the proficiency tests (see Section 5.3.5). SCs need to allow a minimum of thirty (30) days to accommodate required re-activation activities.

## 6.2 Termination

CAISO Tariff Section 4.5.4.4, Termination of a Scheduling Coordinator Agreement

### 6.2.1 CAISO Initiated

An SC's SCA may be terminated by the CAISO upon written notice to the SC for any of the following reasons:

- The SC no longer meets the requirements for eligibility and fails to remedy the default condition(s) within five (5) Business Days after receiving written notice of the problem from the CAISO.
- The SC fails to pay any sum under the CAISO Tariff and fails to remedy the non-payment within five (5) Business Days after receiving written notice of the non-payment from the CAISO.
- The SC commits any other default under the CAISO Tariff or any of the CAISO BPMs that is not remedied within thirty (30) days after having received written notice from the CAISO.
- The SC does not schedule or bid in the CAISO's markets for twelve (12) consecutive months and fails to meet the testing and training requirements applicable to new SC Applicants within 120 days of receipt of the CAISO's notice of intent to terminate.

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## 6.2.2 SC Initiated

The SC can terminate its SCA by supplying sixty (60) days written notice to the CAISO of its intention to terminate its services as an SC.

Such notice does not take effect until the SC complies with all applicable termination requirements.

## 6.2.3 Processes and Consequences of Termination

SCA termination means that an SC loses all rights and status to participate in the CAISO Markets and to transact business with the CAISO. Contact your CAISO Representative to initiate this process.

Following termination of an SCA and within thirty (30) days of being satisfied that no sums remain owed by the SC, the CAISO returns or releases any money or credit support provided by the terminated SC. However, termination of an SC's certification does not in any manner relieve the SC from its commitment and obligations to participate in settlement re-runs beyond the termination of the SCA.

Pending acceptance of the termination by FERC, the CAISO suspends the certificate of an SC and the SC is not eligible to submit Bids or Inter-SC Trades to the CAISO.

## 6.2.4 Notification

CAISO Tariff Section 4.5.4.5, Notification of Termination

CAISO Tariff Section 4.5.4.5.1, Filing of Notice of Termination

Promptly after providing written notice of default to an SC, the CAISO must notify SCs that could be required to represent End-Users or Eligible Customers of the SC that is being terminated. The CAISO also notifies any UDCs that may be involved in the proceedings and posts all applicable information on the CAISO Website.

Termination of an SCA automatically removes an SC's certification.

Any notice of termination must also be filed with FERC, if required by FERC rules. Otherwise, the notice of termination will be effective pursuant to the FERC rules relating to the submittal of the CAISO's Electric Quarterly Report to FERC.

## 6.2.5 Continuation of Service

CAISO Tariff Section 4.5.6.1, Option for Eligible Customers to Choose a New Scheduling Coordinator

When the CAISO suspends the certification of an SC pending termination, Eligible Customers of the defaulting SC are entitled to select another SC to represent them. The CAISO must post notice of any suspension on the CAISO Website.

#### **6.2.5.1 Interim Service**

CAISO Tariff Section 4.5.4.6.2, Interim Service

Until the CAISO is notified by another SC that it now represents an Eligible Customer of the defaulting SC, the Eligible Customer of the defaulting SC receives interim SC service as follows.

The CAISO maintains a list of SCs willing to represent Eligible Customers of a defaulting SC. This list may be differentiated by UDC Service Area. The list is ordered randomly.

Eligible Customers of the defaulting SC must be assigned to all SCs on the list in a non-discriminatory manner and each Eligible Customer must be represented by the assigned SC unless and until it selects another SC.

Unless the CAISO is notified by another SC that it represents an Eligible Customer of a defaulting SC within seven days of the notice of termination being posted, the SC to which that Eligible Customer is assigned may establish a reasonable period for service not to exceed thirty days.

In the event that no SC indicates its willingness to represent Eligible Customers of a defaulting SC, the UDC who has the obligation to serve End-Use Customers of the Eligible Customer must arrange to serve those End-Use Customers that are located within the Service Area of the UDC. However, a UDC is not required to provide or arrange for SC service for wholesale Eligible Customers.

## 6.3 Operations

CAISO Tariff Section 4.5.4, Operations of a Scheduling Coordinator

CAISO Tariff Section 6.1.1, Full-Time Communications Facility Requirement

CAISO Tariff Section 6.1.4, Information Transfer from CAISO to Scheduling Coordinators

CAISO Tariff Section 6.1.5, Information to be provided by Connected Entities to CAISO

Each SC must operate and maintain a twenty-four hour, seven days per week scheduling center unless it has contracted with a Scheduling Agent for such services. Each SC must provide, or contract for, a communications facility manned twenty-four hours a day, seven days per week that is capable of receiving Dispatch Instructions issued by the CAISO. If it is not possible to communicate with the SC using the primary means of communication, then alternate means of communication are selected by the CAISO.

Each SC designates a senior member of its staff as a scheduling center manager who is responsible for operational communications with the CAISO and who has sufficient authority to commit and bind the SC.

Each Connected Entity provides the CAISO with the following information:

- A single and an alternative telephone number and a single and an alternative facsimile number by which the CAISO may contact a representative of the Connected Entity twenty-four hours a day in relation to a System Emergency
- The names or titles of the Connected Entity's representatives who may be contacted at such numbers

Each designated representative is a person having appropriate experience, qualifications, authority, responsibility and accountability within the Connected Entity to act as the primary contact for CAISO in the event of a System Emergency. Any changes to this information must be forwarded to CAISO promptly and as far in advance as possible.

## **Attachment A**

# **SC APPLICANT CERTIFICATION MATRIX**

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## A. SC Applicant Certification Requirements Matrix

The following table lists the certification requirements that an SC Applicant must complete prior to participating in the CAISO Market. Refer to Section 5.3 for additional information on the certification requirements.

### Column Heading Descriptions

*Certification Requirement* – Lists the certification requirements defined in Section 5.3.

*May Be Fulfilled By Scheduling Agent* – If the certification requirement can be performed by the Scheduling Agent a “Yes” is listed, otherwise a “No” indicates the SC Applicant must fulfill the certification requirement.

*Applies to Business Type* – Depending on type of business the SC Applicant plans to perform in the CAISO Market additional SC certifications requirements may apply. Refer to Types of Activities or Representation for additional information.

*Estimated Time to Complete* – Once the SC Applicant completes a SC certification requirement, this column list the time it normally takes for the CAISO to process and notify the SC Applicant if the certification requirement was completed successfully.

*Certification Requirement Prerequisite*– Many SC certification requirements can be pursued in parallel with other requirements, this column lists the requirement(s) that needs to be fulfilled prior to pursuing an SC certification requirement.

**Exhibit A-1: SC Applicant Certification Requirements Matrix**

Certification Requirement	May Be Fulfilled By Scheduling Agent	Applies to Business Type	Estimated Time to Complete	Certification Requirement Prerequisite
Establish Financial Security	No	All	30 days	
Establish Network Interface	Yes	All	30 days	
Request Application Access	Form must be sent to CAISO by SC Applicant, not the Scheduling Agent	All	15 Business Days	
Attend Training	Satisfied by Prior Scheduling Agent Certification	All	base on curriculum offered	
Complete Market Proficiency Test	Satisfied by Prior Scheduling Agent Certification	All	TBD	Attend Training
Test Fed-Wire	No	All	10 Business Days	

**Draft**

Certification Requirement	May Be Fulfilled By Scheduling Agent	Applies to Business Type	Estimated Time to Complete	Certification Requirement Prerequisite
Complete Real Time and Contact Drills	Yes	All, except Inter-SC Trades	10 Business Days	
Submit SC Emergency Plan	No	All	3 Business Days	
Register Interchange ID	TBD	Non-dynamic Energy Imports into the CAISO Control Area Imports of dynamic Energy and AS into the CAISO Control Area	TBD	
Establish CAISO Automated Dispatch System (ADS) Access	Yes	CAISO Control Area Generation without AS Capability CAISO Control Area Generation with AS Capability CAISO Control Area Load with AS Capability Non-dynamic Energy Imports into the CAISO Control Area (as applicable) Imports of dynamic Energy and AS into the CAISO Control Area	10 Business Days	
Establish SLIC System Access	Yes	CAISO Control Area Generation without AS Capability CAISO Control Area Generation with AS Capability	10 Business Days	
Attend SLIC Training	Satisfied by Prior Scheduling Agent Certification	CAISO Control Area Generation without AS Capability CAISO Control Area Generation with AS Capability	1 Day	Establish SLIC System Access
Establish Access to Settlement Quality Meter	Yes	CAISO Control Area Generation without AS	10 Business	

*Draft*

Certification Requirement	May Be Fulfilled By Scheduling Agent	Applies to Business Type	Estimated Time to Complete	Certification Requirement Prerequisite
Data System		Capability CAISO Control Area Load with AS Capability CAISO Control Area Generation with AS Capability CAISO Control Area Load Non-CAISO Grid-Connected CAISO Control Area Load CAISO Grid-Connected	Days	
Submit Network Connectivity Security Agreement	No	All	3 Business Days	
Submit Acknowledgement Forms	No	CAISO Control Area Generation without AS Capability CAISO Control Area Generation with AS Capability	Need forms 10 Business Days before commencement date	

## **Attachment B**

# **SCHEDULING COORDINATOR APPLICATION FORM**

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## B. Scheduling Coordinator Application Form

This application is for certification of the applicant as a Scheduling Coordinator ("SC") by the California Independent System Operator Corporation ("CAISO") in accordance with the CAISO Tariff. The information provided for this application will be treated as confidential information.

### Section I: Administrative Requirements

<b>Applicant's Legal Name</b> <i>Note: This name must be used on all documentation submitted to the CAISO. Use of an inconsistent name may result in the document being returned to you for correction thus delaying the certification process.</i>			
<b>Scheduling Coordinator ID (SCID)</b> <i>Provide three options for your SCID. The SCID has to start with a letter and must be four digits. The SCID is a unique identifier used throughout the CAISO Market systems. The SC Applicant is granted one SCID with its application.</i>	First Choice:	Second Choice:	Third Choice:
<b>Street Address</b>			
<b>City, State, Zip Code</b>	City:	State:	Zip Code:
<b>State of Incorporation or Partnership (if applicable)</b>			
<b>Proposed Commencement Date for Service</b>			
<b>Entity Type</b> <i>(Municipal utility, power marketer, investor owned utility, federal or state entity or other)</i>			
<b>Does your company plan to use the services of a Scheduling Agent</b> <i>(refer to Section 4 of this BPM for more information)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No		

### Section II: Scheduling Coordinator Customer Information

<b>Select the common business types</b>	<input type="checkbox"/> Inter-SC Trades <input type="checkbox"/> CAISO Control Area Generating Units without AS capability <i>(complete additional information in Section IV of this application)</i> <input type="checkbox"/> CAISO Control Area Generating Units with AS capability <i>(complete additional information in Section IV of this application)</i> <input type="checkbox"/> CAISO Control Area Load not directly connected to the CAISO Controlled Grid <i>(complete additional information in Section V of this application)</i> <input type="checkbox"/> CAISO Control Area Load directly connected to the CAISO Controlled Grid <i>(complete additional information in Section V of this application)</i> <input type="checkbox"/> CAISO Control Area Load with AS Capability <i>(complete additional information in Section V of this application)</i> <input type="checkbox"/> Non-dynamic Energy imports into the CAISO Control Area <i>(complete additional information in Section VI of this application)</i> <input type="checkbox"/> Imports of dynamic Energy and Ancillary Services (AS) into the CAISO Control Area <i>(complete additional information in Section VI of this application)</i>
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**Section III: Contact Information**

<b>Authorized Primary Customer Services Contact</b> <i>(works with CAISO during/after the SC certification process)</i>			
Name			
Title			
Email Address			
Desk Phone Number			
Mobile Phone Number (optional)			
Fax Number			
Street Address <i>If different than the one listed under Section I-Administrative Requirements.</i>			
City, State, Zip Code	City:	State:	Zip Code:
<b>Authorized Alternate Customer Services Contact</b> <i>(alternate person that can provide backup responsibilities if the CAISO is unable to contact the primary contact)</i>			
Name			
Title			
Email Address			
Desk Phone Number			
Mobile Phone Number (optional)			
Fax Number			
Street Address <i>If different than the one listed under Section I-Administrative Requirements.</i>			
City, State, Zip Code	City:	State:	Zip Code:
<b>Authorized Primary Invoicing Contact</b> <i>(person responsible for ensuring Fed Wire payment is setup correctly)</i>			
Name			
Title			
Email Address			
Desk Phone Number			
Mobile Phone Number (optional)			
Fax Number			
Street Address <i>If different than the one listed under Section I-Administrative Requirements.</i>			
City, State, Zip Code	City:	State:	Zip Code:

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**Authorized Alternate Invoicing Contact** (alternate person that can provide backup responsibilities if the CAISO is unable to contact the primary contact)

Name			
Title			
Email Address			
Desk Phone Number			
Mobile Phone Number (optional)			
Fax Number			
Street Address <i>If different than the one listed under Section I-Administrative Requirements.</i>			
City, State, Zip Code	City:	State:	Zip Code:

**Authorized Primary Financial Security Contact** (primary person that works with CAISO to ensure Financial Security are being meet)

Name			
Title			
Email Address			
Desk Phone Number			
Mobile Phone Number (optional)			
Fax Number			
Street Address <i>If different than the one listed under Section I-Administrative Requirements.</i>			
City, State, Zip Code	City:	State:	Zip Code:

**Authorized Alternate Financial Security Contact** (primary person that works with CAISO to ensure Financial Security are being meet)

Name			
Title			
Email Address			
Desk Phone Number			
Mobile Phone Number (optional)			
Fax Number			
Street Address <i>If different than the one listed under Section I-Administrative Requirements.</i>			
City, State, Zip Code	City:	State:	Zip Code:

<b>Authorized Primary Settlements Contact</b> <i>(primary person that works with CAISO to resolve Settlements issues)</i>			
Name			
Title			
Email Address			
Desk Phone Number			
Mobile Phone Number (optional)			
Fax Number			
Street Address <i>If different than the one listed under Section I-Administrative Requirements.</i>			
City, State, Zip Code	City:	State:	Zip Code:
<b>Alternate Settlement Contact</b> <i>(alternate person that can provide backup responsibilities if the CAISO is unable to contact the primary contact)</i>			
Name			
Title			
Email Address			
Desk Phone Number			
Mobile Phone Number (optional)			
Fax Number			
Street Address <i>If different than the one listed under Section I-Administrative Requirements.</i>			
City, State, Zip Code	City:	State:	Zip Code:
<b>Primary Dispute Contact</b> <i>(primary person that works with CAISO to resolve Settlements dispute issues)</i>			
Name			
Title			
Email Address			
Desk Phone Number			
Mobile Phone Number (optional)			
Fax Number			
Street Address <i>If different than the one listed under Section I-Administrative Requirements.</i>			
City, State, Zip Code	City:	State:	Zip Code:



<b>Alternate Dispute Contact</b> (alternate person that can provide backup responsibilities if the CAISO is unable to contact the primary contact)			
Name			
Title			
Email Address			
Desk Phone Number			
Mobile Phone Number (optional)			
Fax Number			
Street Address <i>If different than the one listed under Section I-Administrative Requirements.</i>			
City, State, Zip Code	City:	State:	Zip Code:
<b>Primary Information Security Contact</b> (submits application access requests & approves digital certificate renewals)			
Name			
Title			
Email Address			
Desk Phone Number			
Mobile Phone Number (optional)			
Fax Number			
Street Address <i>If different than the one listed under Section I-Administrative Requirements.</i>			
City, State, Zip Code	City:	State:	Zip Code:
<b>Alternate Information Security Contact</b> (submits application access requests & approves digital certificate renewals)			
Name			
Title			
Email Address			
Desk Phone Number			
Mobile Phone Number (optional)			
Fax Number			
Street Address <i>If different than the one listed under Section I-Administrative Requirements.</i>			
City, State, Zip Code	City:	State:	Zip Code:

<b>Authorized Primary Network Interface Contact</b> <i>(ensures network interfaces to CAISO Market systems is setup and functioning properly)</i>			
Name			
Title			
Email Address			
Desk Phone Number			
Mobile Phone Number (optional)			
Fax Number			
Street Address <i>If different than the one listed under Section I-Administrative Requirements.</i>			
City, State, Zip Code	City:	State:	Zip Code:
<b>Alternate Authorized Network Interface Contact</b> <i>(alternate person that can provide backup responsibilities if the CAISO is unable to contact the primary contact)</i>			
Name			
Title			
Email Address			
Desk Phone Number			
Mobile Phone Number (optional)			
Fax Number			
Street Address <i>If different than the one listed under Section I-Administrative Requirements.</i>			
City, State, Zip Code	City:	State:	Zip Code:

**Section IV: Additional Information for:**

- CAISO Control Area Generating Units without Ancillary Services (AS) capability &
- CAISO Control Area Generating Units with AS capability

#	Question	Answer
1	Are the Generating Unit(s) your organization represents or intends to represent in the CAISO Markets Participating Generator(s)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2	Are the Generating Unit(s) your organization represents or intends to represent in the CAISO Markets certified for the provision of any Ancillary Services?	<input type="checkbox"/> Yes <input type="checkbox"/> No
3	Are the Generating Unit(s) your organization represents or intends to represent in the CAISO Markets dispatchable in Real-Time?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4	Are any of the Generating Unit(s) your organization represents or intends to represent in the CAISO Markets Participating Intermittent Resources?	<input type="checkbox"/> Yes <input type="checkbox"/> No
5	Are any of the Generating Unit(s) your organization represents or intends to represent in the CAISO Markets Reliability Must-Run Units?	<input type="checkbox"/> Yes <input type="checkbox"/> No
6	Do the Generating Unit(s) your organization represents or intends to represent in the CAISO Markets have Resource Adequacy (RA) obligations?	<input type="checkbox"/> Yes <input type="checkbox"/> No
7	Do any of the Generating Unit(s) your organization represents or intends to represent in the CAISO Markets qualify as Regulatory Must-Take Generation or Regulatory Must-Run Generation as defined in the CAISO Tariff?	<input type="checkbox"/> Yes <input type="checkbox"/> No
8	Does the Generator have a Participating Generator Agreement (PGA) and Meter Service Agreement for CAISO Metered Entities executed with the CAISO?	<input type="checkbox"/> Yes <input type="checkbox"/> No
9	Does the Generating Unit(s) have a CAISO Resource ID? If yes, please list:	<input type="checkbox"/> Yes <input type="checkbox"/> No
10	Does the Generating Unit have CAISO-certified revenue metering and is its Meter Data polled by the CAISO's Revenue Meter Data Acquisition and Processing System (RMDAPS)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11	Do you plan to become the SC for the Generating Unit(s) on the day you become certified to perform in the CAISO Market? If no, anticipated date:	<input type="checkbox"/> Yes <input type="checkbox"/> No
12	Does your organization represent or intend to represent a Generator with Station Power Load?	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Section V: Additional Information for:**

- CAISO Control Area Load not directly connected to the CAISO Controlled Grid
- CAISO Control Area Load directly connected to the CAISO Controlled Grid
- CAISO Control Area Load with AS capability

#	Question	Answer
1	Does your organization intend to represent Load Serving Entities (which includes a Utility Distribution Company, MSS Operator, Energy Service Provider, or governmental entity (which include Federal Power Marketing Authority, state agencies, community choice aggregator (CCA), and municipal utilities) in the CAISO Markets?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2	Does your organization intend to represent Participating Load in the CAISO Markets? If yes, please answer the following two questions.	<input type="checkbox"/> Yes <input type="checkbox"/> No.
2.1	If "yes" to 2, does your organization participate or intend to participate in other demand response programs?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.2	If "yes" to 2, will the Participating Load that your organization intends to represent in the CAISO Markets be dispatchable in real-time?	<input type="checkbox"/> Yes <input type="checkbox"/> No
3	Does your organization represent or intend to represent a Generator with Station Power Load?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4	Does your organization represent or intend to represent any entity with Load directly connected to the CAISO Controlled Grid?	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Section VI: Additional Information: Imports of dynamic Energy and AS into the CAISO Control Area**

#	Question	Answer
1	Does your organization represent or intend to represent any System Resources for purposes of scheduling imports of Power into the CAISO Control Area?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2	If "yes" to question 1, are any of the System Resources your organization represents or intends to represent in the CAISO Markets dispatchable in Real-Time (i.e. Dynamic System Resources)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.1	If "yes" to question 2, have the Host Control Area and any intermediary Control Areas through which the telemetry signals for the Dynamic Schedules for the System Resources your organization represents or intends to represent must be transmitted executed an agreement with the CAISO to facilitate the dynamic scheduling?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.2	If "yes" to question 2, are the System Resources your organization represents or intends to represent Dynamic Resource-Specific System Resource(s)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.2.1	If "yes" to question 2.2, have the organizations that own or operate the System Resources your organization represents or intends to represent and the CAISO installed direct telemetry and revenue metering for provision of data regarding the resources directly to the CAISO?	<input type="checkbox"/> Yes <input type="checkbox"/> No
3	Are any of the System Resources your organization represents or intends to represent Non-Dynamic Resource-Specific System Resources?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4	Are the System Resources your organization represents or intends to represent solely Non-Dynamic System Resources?	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Section VII: Signatory Page**

The undersigned hereby represents and confirms that all information submitted herein is true and accurate to the best of his/her knowledge.

The undersigned hereby acknowledges that it is the responsibility of the undersigned to provide the CAISO with all confidential and/or proprietary information that is reasonably needed to determine the SC Applicant's eligibility to become an SC.

The undersigned further hereby acknowledges that: (i) it is the responsibility of the undersigned to inform the CAISO of any change to any of the information submitted in this Scheduling Coordinator Application Form immediately upon learning of any such change; (ii) that this responsibility will continue to apply even after the SC Applicant becomes a certified SC; (iii) CAISO reserves the right to reevaluate the applicant in light of the new information; and that (iv) an SC Applicant's failure to promptly notify the CAISO of a change in information may result in termination of the SC Certification Process or revocation of SC Applicant.

**Signatory Block**

Company Name:	
Authorized Representative Signature:	
Authorized Representative Name:	
Authorized Representative Title:	

**Notarization**

State of \_\_\_\_\_ }

ss

County of \_\_\_\_\_ }

[SEAL]

Sworn and subscribed

before me this \_\_\_\_ day of

\_\_\_\_\_, 20\_\_.

Notary's Signature: \_\_\_\_\_

Send a hardcopy of the applicable applicant forms with the Signatory Page letter and \$5000.00 applicant fee to:

CAISO External Affairs  
ATTN: Scheduling Coordinator Application Processing Office  
151 Blue Ravine Road  
Folsom, CA 95630

**Attachment C**

**LETTER OF AGENCY**

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### C. Letter Representing Agency Relationship between Scheduling Coordinator Applicant and Scheduling Agent

[SC Applicant Name] ("Applicant") has applied to become a Scheduling Coordinator in accordance with the terms of the CAISO Tariff and hereby requests that the California Independent System Operator Corporation ("CAISO") consider its application to include a Scheduling Agent in satisfaction of certain Scheduling Coordinator requirements. Accordingly, Applicant hereby represents and warrants the following with respect to its request that the CAISO certify Applicant to be a Scheduling Coordinator:

1. Applicant has a legal relationship between itself and another Scheduling Coordinator, [Scheduling Coordinator Name] (the "Agent").
2. In accordance with the terms of this relationship, Applicant has authorized Agent to serve as a Scheduling Agent for the following Generation resources and/or Demand resources for which Applicant is the Scheduling Coordinator:

[Describe resources]

3. In accordance with the terms of this relationship, Applicant has authorized Agent to perform the following functions as a Scheduling Agent on behalf of Applicant as the Scheduling Coordinator:

[Describe functions]

4. In reliance on the foregoing, CAISO is entitled to issue and respond to instructions to/by Scheduling Agent with regard to the foregoing resources and functions in the same manner as if such instructions were issued to/by Applicant.
5. Applicant will give 60-day written notice to the CAISO identifying the change in its relationship with Agent. Once the Applicant is certified to perform in the CAISO Market and Applicant decides not use an Agent, Applicant understands it maybe necessary to satisfy requirements that were fulfilled by Agent during the Scheduling Coordinator certification process.

The CAISO Tariff shall apply to this letter of agency. By signing below, Applicant [Signatory Name] certifies that he/she is authorized to legally bind Applicant with regard to the subject matter of this letter.

Executed, this [date] day of [month], [year].

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[Signatory Name]

[Signatory Title]

cc: Scheduling Agent

**Attachment E**



**UNITED STATES OF AMERICA  
BEFORE THE  
FEDERAL ENERGY REGULATORY COMMISSION**

**California Independent System            )     Docket No. ER07-\_\_\_\_  
Operator Corporation                    )**

**DECLARATION OF ALI MIREMADI ON BEHALF OF THE CALIFORNIA  
INDEPENDENT  
SYSTEM OPERATOR CORPORATION  
CONCERNING INCREASE IN SCHEDULING COORDINATOR CERTIFICATION FEE**

1. My name is Ali Miremadi. I am the Manager of Customer Services for the California Independent System Operator Corporation ("CAISO"). I joined the CAISO in September of 1997 as a Lead Account Manager. Since then, I have been engaged in the certification of Scheduling Coordinators, either as an individual contributor or as the Manager in charge of the process. Prior to joining the CAISO, I spent twelve years at the California Public Utilities Commission working on various issues concerning water and energy regulation of California utilities. I hold a Bachelor of Science degree in Engineering and a Master of Arts in Management.
  
2. The purpose of my declaration is to explain why it is necessary for the CAISO to increase the fee for certifying new Scheduling Coordinators for participation in the CAISO markets from \$500 to \$5,000. As I explain at greater length below, the CAISO has conducted a detailed study of the costs, in terms of staff hours, that the CAISO incurs in certifying new Scheduling Coordinators in the current market. This study shows that it costs the CAISO approximately \$7500 in staff

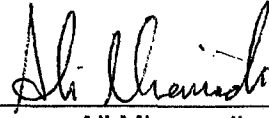
labor costs to certify a new Scheduling Coordinator. Given the magnitude of these costs, I believe that a \$5,000 fee is just and reasonable.

3. At the outset, I wish to make clear that this proposed fee increase will only apply to new applications for Scheduling Coordinators to participate in the CAISO Markets under the upcoming Market Redesign and Technology Upgrade (“MRTU”) regime. This increase will not be retroactively applied to existing CAISO Scheduling Coordinators. Also, this increase will not apply to applications for additional Scheduling Coordinator IDs made by existing certified Scheduling Coordinators.
4. The main reason underlying the CAISO’s proposal to increase the Scheduling Coordinator Certification fee to \$5000 is to bring the fee for certification closer in line with the actual costs of certification, in terms of staff hours, incurred by the CAISO. These costs are set forth in detail in the attached Scheduling Coordinator Certification Study (the “study”), which the CAISO performed on its existing certification process. This study was prepared under my direction and guidance.
5. This study displays each task that CAISO personnel must perform in order to certify a Scheduling Coordinator. These tasks fall under several categories: Information Technology Connectivity/Security, Training, Market Operations Requirements, Scheduling and Dispatch Operations Requirements, Metering and Data Acquisition Systems Requirements, and Completion of Certification Contracts/Agreements.

6. For each task, the study indicates the CAISO department responsible for approving the completion of the specific task, the number of hours required to complete the task, the CAISO personnel responsible for performing the task, any additional hours required by the CAISO's Customer Services department not accounted for in the previous columns, and the responsible Customer Services personnel.
7. The study determined that at least 107 hours of CAISO staff time are required to complete the Scheduling Coordinator certification process. Multiplying this figure by an average labor rate of \$62/hour results in a total labor cost of \$7,534 per Scheduling Coordinator certification. It should be noted, however, that this result is based on a "best case" assumption in which there are no unusual or extraordinary circumstances, which would require more staff time to resolve, and therefore increase the overall costs of certification.
8. Given that, under favorable circumstances, the CAISO incurs over \$7500 in labor costs to certify a Scheduling Coordinator, I believe that it is entirely reasonable for the CAISO to increase its Scheduling Coordinator certification fee from \$500 to \$5,000. A \$5,000 fee will go much farther in terms of defraying the costs of certification, thus minimizing the costs that are spread to participants in the CAISO markets. On the other hand, \$5000 is not so onerous a fee that it will hinder or dissuade entities from applying to become Scheduling Coordinators in the CAISO market.
9. Although the study is based on Scheduling Coordinator certification under CAISO's current market design, I believe that it closely reflects the costs that will

be incurred in order to certify Scheduling Coordinators under the upcoming MRTU market design. In both cases, CAISO staff members must program the CAISO's systems to add the information regarding the new Scheduling Coordinator and must conduct training and testing of Scheduling Coordinator Applicant personnel and systems to ensure they are adequate to permit the Scheduling Coordinator Applicant to participate reliably in the CAISO's markets. While, at least initially, there will likely be some increase in the amount of effort on the part of CAISO personnel to conduct the training and testing for participation in the MRTU markets, it is my belief that any difference in the level of effort will be relatively small and will likely be further minimized once the MRTU markets have been functioning for a significant enough period to permit CAISO staff and Scheduling Coordinator Applicants to develop a greater familiarity with their operations. Therefore, the \$5,000 certification fee is appropriate for certifying Scheduling Coordinators to participate in the MRTU markets.

I declare under penalty of perjury that the foregoing is true and correct.

A handwritten signature in black ink, appearing to read 'Ali Miremadi', written over a horizontal line.

Ali Miremadi

Executed on June 20, 2007

## Estimated Labor Cost for SC Certification

### SC Certification

Cost  
\$ 7,534

\* *Estimates are optimistic, and do not include time for circumstances out of the ordinary.*

## Overview of SC Certification Basic Steps

The following requirements are processed and completed for an SC Applicant to be Certified in the CAISO Markets.

- 1 Application and Fee received by CAISO
- 2 IT Security
- 3 ECN Connectivity
- 4 EDI / FEDWire Setup and Test
- 5 ADS
- 6 Required Training
- 7 Market Proficiency Test
- 8 Dispatch Requirements and Unannounced Drill
- 9 Meter Data Requirements
- 10 Contracts / Agreements
- 11 Master File Changes
- 12 Communication to SC

SC CERTIFICATION

		Hours Spent Per SC Certification	Approved by and Department Responsible	Additional Customer Services Hours Spent Per SC Certification (if not accounted for in previous column)	Customer Services Interaction
<b>SCAP</b>					
<b>1</b>	Acknowledgement and Acceptance Letters	2.00	Customer Services		
	<b>Information Technology Connectivity/ Security</b>				
<b>2</b>	IT Security Execute IT Security Agreement.		IT Security	1.00	X
<b>3</b>	ECN Connectivity Develop communications interface with the ISO.	3.00	Telecomm Services	1.00	X
<b>4</b>	EDI - Invoice Demonstrate ability to receive ISO invoices via Electronic Data Interchange (EDI).	4.00	Market Quality	0.50	X
	EDI - Acknowledgement Demonstrate ability to transmit Functional Acknowledgements (FA) to the ISO confirming receipt of invoices.	0.10	Settlements	0.50	X
	Vender Set Up in financials for SC	0.50	Accounting	0.00	X
	Fed-Wire Test Send Demonstrate ability to send funds to ISO bank account with valid Invoice Identification. Send \$10.00 transaction to the ISO.	0.25	Accounting	0.50	X
	Fed-Wire Test Receive Demonstrate ability to receive, reconcile and identify funds received from ISO. Receive \$10.00 transaction from the ISO.	0.25	Accounting	0.00	
<b>5</b>	ADS Registration Establish connectivity with ISO ADS (Automated Dispatching System) for Real Time dispatched energy instructions.	12.00	Market Operations	0.50	X
	API Sublicense If SC requests, execute API Sublicense Agreement. (OPTIONAL)	1.00	Customer Services	0.00	
<b>6</b>	<b>Training</b>				
	SI Training Attend Scheduling Coordinator SI training class	27.00	Market Operations	0.50	X
	- Includes UFAS Unscheduled Flow Self Study (Loop Flow Mitigation Qualification).		Market Operations		
	-Settlements Training	3.00	Customer Services		
<b>7</b>	<b>Market Operations Requirements</b>				
	3-day SI Proficiency Test Successfully demonstrate ability to submit 3 days of balanced schedules / bids to the ISO by successfully completing proficiency test to be coordinated by ISO.	12.00	Market Operations	4.00	X
	Includes ability to produce a valid ASCII text file scheduling template.	1.00	Market Operations		
<b>8</b>	<b>Scheduling and Dispatch Operations Requirements</b>				

SC Emergency Plan Provide SC's emergency operating plan to the ISO. Send to Customer Services Representative to be reviewed and forwarded to the Dispatch and Security Coordination Department. Attach first page of SC Energy Plan to Site Survey.				Grid Operations				
Emergency Procedure Compliance Confirm SC understanding of its responsibility to be familiar with and abide by the ISO emergency operating procedures as posted on the ISO website.			0.50	Grid Operations		0.50		X
Unannounced Contact Drill Confirm direct person to person phone contact to real time Scheduling Center. Successfully complete three (3) drills (7x24 hour basis). DAM/HART			0.50	Grid Operations		0.50		X
				Drill 1				
				Drill 2				
				Drill 3				
Unannounced RT Scheduling Test Demonstrate ability to perform real-time scheduling in a timely manner in response to ISO normal and emergency mitigation requests. Successfully complete three (3) drills for unscheduled flow and tie/line outages on a 7x24			1.00	Grid Operations				
Dispatch Instruction Compliance Confirm SC understanding of consequences related to non-performance or inadequate response times, to normal and emergency ISO operating instructions.			0.50	Grid Operations				
WECC Compliance Confirm SC understanding of obligations, sites comply with WECC minimum operating and reliability criteria, interchange scheduling procedures, and unscheduled power flow mitigation.			0.50	Grid Operations				
RT Dispatch Operations Test Demonstrate ability to perform real-time operations in a timely manner in response to ISO normal and emergency requests. Successfully complete three (3) drills for unscheduled flow mitigation and tie/line outages on a 7x24 basis.			0.50	Grid Operations				
<b>Meter Data Acquisition System (MDAS) Requirements for SC's Submitting Both Load and Generation Data</b>								
Set up and Receive User Account Information After the ISO creates an SC user account and provides the account information to the SC, the SC must create a user account for the ISO providing access/permission rights required when the ISO sends acknowledgement.			2.00	MDAS System Administrator				
Test MDAS Connectivity Demonstrate REMnet connection to ISO Meter Data Acquisition System (MDAS) by performing the login function.			1.00	MDAS System Administrator		0.50		X
Meter Data Test 1) The SC must demonstrate the ability to send settlement ready meter data to MDAS in the MDEF format specified by the ISO and 2) The SCs must demonstrate a complete understanding of requirements for submitting meter data during Daylight			2.00	MDAS System Administrator		0.50		X
ISO Meter Data Test The SC must demonstrate the ability to send ISO grid-level revenue meter data in its raw state, without modification (i.e. raw un-edited values) in the required MDEF format via FTP, Fed-EX or U.S. Mail. Applicable for SC's representative			1.00	MDAS System Administrator		0.50		X
Emergency Power Confirm ability to perform MDAS functions with the loss of AC power. Describe method and capabilities currently in place.			0.50	MDAS System Administrator				



	Meter Data Security Confirm meter data back-up and recovery procedures by describing existing procedures.				0.50	MIDAS System Administrator			
	Confirm Understanding of Various SQMD Requirements Payment Calendar, Late SQMD Program, SC Monthly Estimation Report, MP 4.2.1(a) audit requirement.				1.00	MIDAS System Administrator			
	<b>Meter Data Acquisition System (MDAS) Requirements for SC's Submitting Only Generation Data (ISO Metered Entities)</b>								
	Meter Reading The SC must be able to demonstrate the ability to interrogate ISO metering via the REMNET, optical probe or RS-232 connection.				1.00	MIDAS System Administrator			
	Meter Reading Software The SC must demonstrate competence in the use of MW-LT or meter manufacturers software when reading ISO meters via optical probe or RS-232 connection.				2.00	MIDAS System Administrator			
	Meter Data Format The SC must confirm the ability to deliver raw meter data to the ISO in files using either the HHF or the MDEF format.				2.00	MIDAS System Administrator			
	Meter Data Transport Demonstrate the ability to transport raw, valid, pre-settlement meter data to MDAS via FTP over the WENET or via Fed-EX or via U.S. Mail.				1.00	MIDAS System Administrator			
<b>10</b>	<b>Completion of Certification Contracts/Agreements</b>								
	SCA Execute Scheduling Coordinator Agreement				1.50	Contract & Compliance		1.00	X
	MISASC Execute Meter Service Agreement for SC metered entities				1.75	Contract & Compliance			
	MISAIISO Execute Meter Service Agreement for ISO metered entities , if required.				2.50	Contract & Compliance			
	PGA Execute Participating Generator Agreement (PGA), if required.				3.25	Contract & Compliance			
	PLA Execute Participating Load Agreement (PLA), if required.				3.25	Contract & Compliance			
	Establish Financial Security with ISO:								
	SI Password Issue SC SI Password & SI IP Address				1.00	Finance		1.00	X
<b>11</b>	<b>BA # BA Account Number Assignment / Set up</b>				0.75	Market Operations			
	Master File Infrastructure Changes				2.00	Settlements		0.50	X
	Emergency Pager Authorize / Distribute SC Emergency Pager (Use ISO SC Pager Request form)				1.00	Market Quality			
	SC Certification Letter Issue SC Certification Letter				0.17	Telecomm Services		0.08	X
<b>12</b>	<b>SC Certification Certificate Prepare SC Certification Certificate</b>				1.00	Customer Services			
	ISO Contacts/E-mail Distribution(s) Update ISO SC Contacts				2.00	Customer Services			
	Notification of New SC Issue Internal ISO Notification of newly certified SC.				2.00	Customer Services			
	Update Certified SC list on CAISO website.				2.00	Customer Services			

<b>Total</b>	<b>Avg Labor Rate</b>	<b>Hours</b>	<b>Dollars</b>	<b>Additional CR Hours</b>	<b>Dollars</b>
	62.34	106.77	6655.83	14.08	877.96
<b>Grand Total</b>			<b>7533.79</b>		

\* note this is an estimate, and does not include time for circumstances out of the ordinary.