

**9. OUTAGES.**

**9.1 Coordination and Approval for Outages.**

The CAISO shall have authority to coordinate and approve Outages and returns to service of all facilities comprised in the CAISO Controlled Grid and Reliability Must-Run Units in accordance with Section 9.3.

The CAISO will coordinate and approve Maintenance Outages and coordinate responses to Forced Outages of all transmission facilities in the CAISO Controlled Grid and Reliability Must-Run Units in accordance with this Section 9. Any scheduled Outages that are cancelled by CAISO Real-Time operations due to system requirements must be rescheduled with the CAISO Outage Coordination Office in accordance with Section 9.3.

**9.2 Responsibility for Authorized Work on Facilities.**

The CAISO shall have authority to approve requests by Participating TOs to work on all energized transmission equipment under the Operational Control of the CAISO.

**9.3 Coordination of Outages and Maintenance.**

**9.3.1 CAISO Outage Coordination Office.**

The CAISO Outage Coordination Office shall be established by the CAISO and shall coordinate and approve Maintenance Outages of: (i) all facilities that comprise the CAISO Controlled Grid and (ii) Participating Generators. The CAISO shall additionally coordinate and approve Outages required for new construction and for work on de-energized and live transmission facilities (e.g., relay maintenance or insulator washing) and associated equipment. The CAISO Outage Coordination Office will be operational Monday through Friday, except holidays. The Outage Coordination Office is located in Folsom. Each office and the areas of responsibility of that office are detailed in the most recent version of the applicable CAISO Operating Procedures, which are posted on the CAISO Website.

**9.3.1.1 Coordinating Maintenance Outages of UDC Facilities.**

Each UDC and the Participating TO with which it is interconnected shall coordinate their Outage requirements that will have an effect on their transmission interconnection prior to the submission by that Participating TO of its Maintenance Outage requirements under Section 9.3.

**9.3.1.2 Coordinating Maintenance Outages of CDWR-SWP Participating Generating Units.**

The provisions of Section 9.3 shall apply to CDWR-SWP Participating Generating Units. The submission by CDWR-SWP of an Outage schedule, Outage request, or request to change or cancel an Approved Maintenance Outage, and the CAISO's treatment of Outage schedules and requests relating to CDWR-SWP Participating Generating Units, shall be in accordance with Section 9.3, except as otherwise provided in Section 9.3.1.2.1.

**9.3.1.2.1 Coordinating Maintenance Outages of CDWR-SWP.**

- (a) In each Outage schedule, Outage request, and request to change or cancel an Approved Maintenance Outage that CDWR-SWP submits to the CAISO for a CDWR-SWP Participating Generating Unit, CDWR-SWP will state whether CDWR-SWP has determined that the proposed maintenance work, and/or the timing of the Outage, is necessary in order for CDWR-SWP to:
  - (i) Comply with various federal and state legal and regulatory requirements that govern stream flow, water temperature, water quality and quantity, flood control space, after-bay, reservoir, or lake elevation, and other environmental and wildlife constraints ("CDWR-SWP Statutory Compliance Outage"); or
  - (ii) Maintain reliable operations of critical water infrastructure and not impair its ability to satisfy water delivery or conservation requirements ("CDWR-SWP Water System Reliability Outage").

- (b) CDWR-SWP will identify each CDWR-SWP Statutory Compliance or Water System Reliability Outage by designating the Outage with an appropriate cause code in the Outage schedule, Outage request, or request to change or cancel an Approved Maintenance Outage and will provide a description of the requirement or constraint. If the designation of an Outage changes, or the Outage no longer meets the criteria of Section 9.3.1.2.1(a)(i) or (ii), CDWR-SWP will notify the CAISO about this change in status as soon as practical but no more than one (1) Business Day after it occurs.
- (c) The CAISO will not deny, cancel, or reschedule a CDWR-SWP Statutory Compliance or Water System Reliability Outage that CDWR-SWP submits to the CAISO in an Outage schedule, Outage request, or request to change or cancel an Approved Maintenance Outage, provided that the Outage request is timely, designates the Outage as a CDWR-SWP Statutory Compliance or Water System Reliability Outage by an appropriate cause code and includes a description of the requirement or constraint.
- (d) The CAISO may contact CDWR-SWP to inquire whether the timing of a CDWR-SWP Statutory Compliance or Water System Reliability Outage can be changed. CDWR-SWP may agree to the change or, after making best efforts to accommodate the change, may notify the CAISO that the change is not feasible as determined by CDWR-SWP in its sole discretion due to the described requirement or constraint. In the event that CDWR-SWP determines that changing the timing of the Outage is not feasible due to the described requirement or constraint, the CAISO will not deny, cancel, or reschedule that CDWR-SWP Statutory Compliance or Water System Reliability Outage.

- (e) The CAISO will process any Outage that CDWR-SWP submits in an Outage schedule, Outage request, or request to change or cancel an Approved Maintenance Outage, that is not timely, does not contain a cause code identifying the Outage as a CDWR-SWP Statutory Compliance or Water System Reliability Outage or does not include a description of the requirement or constraint, under the otherwise applicable provisions of Section 9.3 and CAISO Operating Procedures.

### **9.3.2 Requirement for Approval.**

An Operator shall not take: (i) facilities that comprise the CAISO Controlled Grid or (ii) Generating Units of Participating Generators out of service for the purposes of planned maintenance or for new construction or other work except as approved by the CAISO Outage Coordination Office. The information relating to each Maintenance Outage submitted by a Participating Generator in accordance with Section 9.3.5 or by a Participating TO in accordance with Section 9.3.5 constitutes a request for a long-range Maintenance Outage and is not considered an Approved Maintenance Outage until the CAISO has notified the Participating Generator of such approval pursuant to Section 9.3.6 or the Participating TO pursuant to Section 9.3.6.

### **9.3.3 Requests for Outages in Real-Time Operation.**

Requests for Outages of: (i) facilities that comprise the CAISO Controlled Grid or (ii) Generating Units of Participating Generators in Real-Time operation shall be made by the Operator to the CAISO Control Center. The CAISO will not approve any Outage request made within seventy-two (72) hours of the requested Outage start time unless: (i) the requested Outage could not have been reasonably foreseen and scheduled through the Outage coordination process provided in Section 9.3; (ii) the requested Outage will not compromise CAISO Controlled Grid reliability *and (iii) with respect to requests to convert from a Forced Outage to a Maintenance Outage for Resource Adequacy Resources subject to the Availability Standards of Section 40.9, the CAISO determines, in its reasonable discretion, that the Outage does not require the CAISO to implement backstop procurement measures to replace the capacity at the time of the Outage request.*

**9.3.4 Single Point of Contact.**

Requests for approvals and coordination of all Maintenance Outages (consistent with Section 9.3.1) will be through a single point of contact between the CAISO Outage Coordination Office and each Operator. The Operator shall provide in its initial request and specify from time to time the identification of the single point of contact along with primary and alternate means of communication pursuant to the detailed procedures referred to in Section 9.3.6.

**9.3.5 Method of Communications.**

The primary method of communication from an Operator to the CAISO with regard to maintenance and Outage planning will be as described in the Operating Procedure on the CAISO Website and in the applicable Business Practice Manual. Emergency capabilities, to be used only as a back-up if the primary communication method is unavailable, will include:

- (a) voice;
- (b) fax; and
- (c) electronic (E-mail, FTP file, etc.).

**9.3.5.1 Confirmation.**

When fax or electronic communication is utilized, confirmation from the CAISO must be received by the Operator to validate the receipt of the request.

**9.3.5.2 Communication of Approval or Rejection.**

The CAISO shall use the same methods in communicating the approval or rejection of an Outage request or approval of a request to change an Approved Maintenance Outage to the relevant Operator.

**9.3.5.2.1** Information regarding planned Outages for resources providing Regulatory Must-Take Generation shall be provided to the CAISO Outage Coordination Office by the Participating TO or UDC having an existing contract with such resource or by a Participating Generator. Information provided will be that obtained by the Participating TO, UDC or a Participating Generator pursuant to the terms of the existing agreement with the Regulatory Must-Take Generation resource or as requested by the CAISO. Scheduling and approvals of Maintenance Outages for resources providing Regulatory Must-Take Generation shall continue to be coordinated as detailed in the applicable contract with the Participating TO or UDC, provided the owner of the Regulatory Must-Take Generation resource has not executed a Participating Generator Agreement or QF PGA. If the owner of a Regulatory Must-Take Generation resource has executed a Participating Generator Agreement or QF PGA, it shall comply with Section 9.3.5 and other provisions applicable to Participating Generators.

**9.3.6 Maintenance Outage Planning.**

Each Operator shall, by not later than October 15 each year, provide the CAISO with a proposed schedule of all Maintenance Outages it wishes to undertake in the following year. The proposed schedule shall include all of the Operator's transmission facilities that comprise the CAISO Controlled Grid and Generating Units subject to a Participating Generator Agreement (including its Reliability Must-Run Units). In the case of a Participating TO's transmission facilities, that proposed schedule shall be developed in consultation with the UDCs interconnected with that Participating TO's system and shall take account of each UDC's planned maintenance requirements. The nature of the information to be provided and the detailed Maintenance Outage planning procedure shall be established by the CAISO.

This information shall include:

The following information is required for each Generating Unit of a Participating Generator:

- (a) the Generating Unit name and Location Code;
- (b) the MW capacity unavailable;
- (c) the scheduled start and finish date for each Outage; and
- (d) where there is a possibility of flexibility, the earliest start date and the latest finish date, along with the actual duration of the Outage once it commences.

The following information is required for each transmission facility:

- (a) the identification of the facility and location;
- (b) the nature of the proposed Maintenance Outage;
- (c) the preferred start and finish date for each Maintenance Outage; and
- (d) where there is a possibility of flexibility, the earliest start date and the latest finish date, along with the actual duration of the Outage once it commences.

Either the CAISO, pursuant to Section 9.3.7, or an Operator, subject to Section 9.3.6.11, may at any time request a change to an Approved Maintenance Outage. An Operator may, as provided in Section 9.3.6.3, schedule with the CAISO Outage Coordination Office a Maintenance Outage on its system, subject to the conditions of Sections 9.3.6.4.1, 9.3.6.8, and 9.3.6.9.

#### **9.3.6.1 Quarterly Updates.**

**9.3.6.1.1** Each Participating Generator will provide the CAISO with quarterly updates of its long-range Outage schedule referred to in Section 9.3.6 for Generating Units and System Units by the close of business on the fifteenth (15th) day of each January, April, and July. These updates must identify known changes to any previously planned Generating Unit Outages and any additional Outages anticipated over the next twelve (12) months from the time of this report. In this report, each Participating Generator must include all known planned Outages for the following twelve (12) months.

**9.3.6.1.2** Each Participating TO will provide the CAISO with quarterly updates of the data provided under Section 9.3.6 by close of business on the fifteenth (15th) day of each January, April, and July.

These updates must identify known changes to any previously planned CAISO Controlled Grid facility Maintenance Outages and any additional Outages anticipated over the next twelve (12) months from the time of the report. As part of this update, each Participating TO must include all known planned Outages for the following twelve (12) months.

**9.3.6.2 90 Day Look Ahead.**

In addition to changes made at quarterly Outage submittals, each Participating Generator shall notify the CAISO in writing of any known changes to a Generating Unit or System Unit Outage scheduled to occur within the next ninety (90) days and may submit changes to its planned Maintenance Outage schedule at any time. Participating Generators must obtain the approval of the CAISO Outage Coordination Office in accordance with Section 9. Such approval may be withheld only for reasons of System Reliability or security.

**9.3.6.3 Timeframe for Scheduling Generation and Transmission Outages.**

**9.3.6.3.1 72 Hours Ahead for Generating Units.**

An Operator may, upon seventy-two (72) hours advance notice (or within the notice period in the Operating Procedures posted on the CAISO Website), schedule with the CAISO Outage Coordination Office a Maintenance Outage for a Generating Unit, subject to the conditions of Sections 9.3.6.4.1, 9.3.6.8 and 9.3.6.9.

**9.3.6.3.2 For Transmission Facilities.**

Except for Outages that may have a significant effect upon CRR revenue adequacy as defined in Section 36.4.3, an Operator may, upon seventy-two (72) hours advance notice (or within the notice period in the Operating Procedures posted on the CAISO Website), schedule with the CAISO Outage Coordination Office a Maintenance



Outage for transmission facilities on its system, subject to the conditions of Sections 9.3.6.4.1, 9.3.6.8 and 9.3.6.9. For Outages that may have a significant effect upon CRR revenue adequacy as defined in Section 36.4.3, an Operator may, upon thirty (30) days notice in advance of the first day of the month the Outage is proposed to be scheduled (or within the notice period in the Operating Procedures posted on the CAISO Website), schedule with the CAISO Outage Coordination Office a Maintenance Outage for transmission facilities on its system, subject to the conditions of Sections 9.3.6.4.1, 9.3.6.8, 9.3.6.9, and 36.4.3.

**9.3.6.4 Changes to Planned Maintenance Outages.**

A Participating TO may submit changes to its planned Maintenance Outage information at any time, provided, however, that if the Participating TO cancels an Approved Maintenance Outage after 5:00 a.m. of the day prior to the day upon which the Outage is scheduled to commence and the CAISO determines that the change was not required to preserve System Reliability, the CAISO may disregard the availability of the affected facilities in determining the availability of transmission capacity in the Day-Ahead Market. The CAISO will, however, notify Market Participants and reflect the availability of transmission capacity in the HASP and Real-Time Market as promptly as practicable.

9.3.6.4.1 The CAISO Outage Coordination Office shall evaluate whether the requested Maintenance Outage or change to an Approved Maintenance Outage is likely to have a detrimental effect on the efficient use and reliable operation of the CAISO Controlled Grid or the facilities of a Connected Entity. The CAISO may request additional information or seek clarification from Participating Generators or Participating TOs of the information submitted in relation to a planned Generating Unit and System Unit Outage or a planned Maintenance Outage. This information may be used to assist the CAISO in prioritizing conflicting requests for Outages.

**9.3.6.5 CAISO Analysis of Generating Unit Outage Plans.**

**9.3.6.5.1 Calculation of Aggregate Generating Capacity.**

The CAISO will use the long-range Generating Unit or System Unit Outage schedule referenced in Section 9.3.6 and, as appropriate, additional approved Outage requests scheduled to start within ninety (90) days, to calculate the aggregate Generation capacity projected to be available in the following time frames:

- (a) on an annual and quarterly basis, the CAISO will calculate the aggregate weekly peak Generation capacity projected to be available during each week of the following year and quarter, respectively; and
- (b) on a monthly basis, the CAISO will calculate the aggregate daily peak Generation capacity projected to be available during the month.

**9.3.6.6 Withdrawal or Modification of Request.**

The Operator of a Participating Generator or a Participating TO's Operator may withdraw a request at any time prior to actual commencement of the Outage. The Operator of a Participating Generator or Participating TO's Operator may modify a request at any time prior to receipt of any acceptance or rejection notice from the CAISO Outage Coordination Office or pursuant to Sections 9.3.8.1, 9.3.8.2 and 9.3.8.3, but the CAISO Outage Coordination Office shall have the right to reject such modified request for reasons of System Reliability, system security or market impact, because of the complexity of the modifications proposed, or due to insufficient time to assess the impact of such modifications.

**9.3.6.7** Each Participating Generator or Participating TO which has scheduled a planned Maintenance Outage pursuant to Section 9.3.4 must schedule and receive approval of the Outage from the CAISO Outage Coordination Office prior to initiating the Approved Maintenance Outage. The CAISO

Outage Coordination Office will review the Maintenance Outages to determine if any one or a combination of Maintenance Outage requests relating to CAISO Controlled Grid facilities, Generating Units or System Units may cause the CAISO to violate the Applicable Reliability Criteria. This review will take consideration of factors including, but not limited to, the following:

- (a) forecast peak Demand conditions;
- (b) other Maintenance Outages, previously Approved Maintenance Outages, and anticipated Generating Unit Outages;
- (c) potential to cause Congestion;
- (d) impacts on the transfer capability of Interconnections; and
- (e) impacts on the market.

**9.3.6.8** The CAISO Outage Coordination Office shall acknowledge receipt of each request to confirm or approve a Maintenance Outage for a Generating Unit, System Unit, or Physical Scheduling Plant. Where the CAISO Outage Coordination Office reasonably determines that the requested Maintenance Outage or the requested change to an Approved Maintenance Outage, when evaluated together with existing Approved Maintenance Outages, is not likely to have a detrimental effect on the efficient use and reliable operation of the CAISO Controlled Grid, the CAISO shall authorize the Maintenance Outage or change to the Approved Maintenance Outage, and shall so notify the requesting Operator and other entities who may be directly affected.

**9.3.6.9** Where, in the reasonable opinion of the CAISO Outage Coordination Office, the requested Maintenance Outage or requested change to an Approved Maintenance Outage is likely to have a detrimental effect on the efficient use and reliable operation of the CAISO Controlled Grid, the CAISO Outage Coordination Office may reject the requested Maintenance Outage or requested change to Approved Maintenance Outage. If in the CAISO's determination, any of the Maintenance Outages

would cause the CAISO to violate the Applicable Reliability Criteria, the CAISO will notify the relevant Operator, and the Operator will then revise the proposed Maintenance Outage and inform the CAISO of the proposed changes. The CAISO Outage Coordination Office shall, in a rejection notice, identify the CAISO's reliability, security and market concerns which prompt the rejection and suggest possible remedies or schedule revisions which might mitigate any such concerns. The CAISO Outage Coordination Office may provide each Operator in writing with any suggested amendments to those Maintenance Outage requests rejected by the CAISO Outage Coordination Office. Any such suggested amendments will be considered as a CAISO maintenance request and will be approved in accordance with the process set forth in Section 9.3.7. The determination of the CAISO Outage Coordination Office shall be final and binding on the Operator. If, within fourteen (14) days of having made its determination, the Operator requests the CAISO Outage Coordination Office to provide reasons for its determination, it shall do so as soon as is reasonably practicable. The CAISO will give reasons for informational purposes only and without affecting in any way the finality or validity of the determination.

**9.3.6.10 Failure to Meet Requirements.**

Any request to consider maintenance that does not meet the notification requirements contained in Sections 9.3.8.2 and 9.3.8.3 will be rejected without further consideration, unless Section 9.3.10 applies.

**9.3.6.11 Cancellation of Approved Maintenance Outage.**

In the event an Operator of facilities forming part of the CAISO Controlled Grid cancels an Approved Maintenance Outage after 5:00 a.m. of the day prior to the day upon which the Outage is scheduled to commence and the CAISO determines that the change was not required to preserve System Reliability, the CAISO may disregard the availability of the affected facilities in determining the availability of transmission capacity in the Day-Ahead Market, provided, however, that the CAISO will, as promptly as practicable, notify Market Participants and reflect the availability of the affected facilities in determining the availability of transmission capacity in the HASP and Real-Time Market.

**9.3.7 Maintenance Outage Requests by the CAISO.**

The CAISO Outage Coordination Office may at any time request a Maintenance Outage or a change to an Approved Maintenance Outage from an Operator if, in the opinion of the CAISO Outage Coordination Office, the requested Maintenance Outage or change is required to secure the efficient use and reliable operation of the CAISO Controlled Grid. In addition, the CAISO Outage Coordination Office may, by providing notice no later than 5:00 a.m. of the day prior to the day upon which the Outage is scheduled to commence, direct the Operator to cancel an Approved Maintenance Outage, when necessary to preserve or maintain System Reliability or, with respect to Reliability Must-Run Units or facilities that form part of the CAISO Controlled Grid, to avoid unduly significant market impacts that would arise if the Outage were to proceed as scheduled. The Operator, acting in accordance with Good Utility Practice, shall comply with the CAISO's direction and the provisions of Sections 9.3.7.1 and 9.3.7.2 shall apply. The CAISO shall give notice of any such direction to Market Participants prior to the deadline for submission of Day-Ahead Market Bids for the day on which the Outage was to have commenced. For purposes of this section and Section 9.3.3, an "unduly significant market impact" means an unplanned event or circumstance (e.g., unseasonable weather, a Forced Outage of a facility, or other occurrence) that adversely affects the competitive nature and efficient workings of the CAISO Markets, and is of such severity that a prudent Operator would not have scheduled a Maintenance Outage of its facility if the unplanned event or circumstance could have been anticipated.

**9.3.7.1** The Operator may: (1) refuse the request; (2) agree to the request; or (3) agree to the request subject to specific conditions. The Operator, acting in accordance with Good Utility Practice, shall make every effort to comply with requests by the CAISO Outage Coordination Office. In the event that the Operator refuses the CAISO's request, it shall provide to the CAISO Outage Coordination Office written justification for its position within seventy-two (72) hours.

**9.3.7.2** In response the CAISO Outage Coordination Office may: (1) overrule any refusal of a Maintenance Outage or a change to an Approved Maintenance Outage by an Operator, in which case the CAISO Outage Coordination Office determination shall be final; (2) accept any changes or conditions proposed by the Operator, in which case the Maintenance Outage request or the request to change an Approved Maintenance Outage shall be deemed to be amended accordingly; or (3) reject the change or condition, in which case the CAISO Outage Coordination Office and the Operator shall determine if acceptable alternative conditions or changes can be agreed. If the Operator and the CAISO Outage Coordination Office cannot agree on acceptable alternative conditions or changes to the CAISO Outage Coordination Office's request for a Maintenance Outage or change to an Approved Maintenance Outage, the CAISO Outage Coordination Office determination shall be final. If the Operator and the CAISO Outage Coordination Office cannot agree on acceptable alternative conditions or changes to the CAISO Outage Coordination Office's request for a Maintenance Outage or change to an Approved Maintenance Outage, the CAISO may notify the FERC of the dispute and take any other steps that are within its authority to maintain the reliability of the CAISO Controlled Grid.

**9.3.7.3** The CAISO will compensate the applicable Participating TO or Participating Generator for any direct and verifiable costs that such Participating TO or Participating Generator incurs as a result of the CAISO's cancellation of an Approved Maintenance Outage pursuant to this Section 9.3.7. For purposes of this section, direct costs include verifiable labor and equipment rental costs that have been incurred by the applicable Participating TO or Participating Generator solely as a result of the CAISO's cancellation of the Approved Maintenance Outage. Each Participating TO or Participating Generator must make a reasonable effort to avoid incurring any such direct costs through such measures as, but not limited to, the prompt cancellation of all contractual arrangements with third parties related to the Approved Maintenance Outage.

**9.3.7.4** The amount used to compensate each applicable Participating TO and Participating Generator, as described in Section 9.3.7.3, shall be charged to the Scheduling Coordinators in proportion to their metered Demand (including exports) during the Settlement Period(s) of the originally scheduled Outage.

**9.3.8** The CAISO Outage Coordination Office shall provide notice to the Operator of the approval or disapproval of any requested Maintenance Outage. Additionally, the CAISO Outage Coordination Office shall notify any Connected Entity that may in the reasonable opinion of the CAISO Outage Coordination Office be directly affected by an Approved Maintenance Outage. The content of and procedures for such notice shall be established by the CAISO.

**9.3.8.1 Data Required.**

The Operator of a Generating Unit owned or controlled by a Participating Generator shall submit to the CAISO pursuant to Sections 9.3.4 and 9.3.5.2.1 its request to confirm the schedule of a planned Maintenance Outage or to change the schedule of a planned Maintenance Outage. Such request must be made to the CAISO Outage Coordination Office by no later than 11:30 a.m. three (3) working days prior to the starting date of the proposed Outage (or as specified on the CAISO Website). Likewise, all Participating TOs shall submit a formal request to confirm or change an Approved Maintenance Outage with respect to any CAISO Controlled Grid facility to the CAISO Outage Coordination Office in accordance with Sections 9.3.8.2 and 9.3.8.3.

Such schedule confirmation request shall specify the following:

- (a) the Generating Unit or System Unit name and Location Code, or the identification of the transmission system element(s) to be maintained including location;
- (b) the nature of the maintenance to be performed;
- (c) the date and time the Outage is to begin;
- (d) the date and time the Outage is to be completed;

- (e) the time required to terminate the Outage and restore the Generating Unit to normal capacity or the transmission system to normal operation;
- (f) identification of primary and alternate telephone numbers for the Operator's single point of contact; and
- (g) in the case of a request for a change to an Approved Maintenance Outage, the date and time of the original Approved Maintenance Outage.

**9.3.8.2 Three (3) Day Prior Notification.**

Any request to confirm an Approved Maintenance Outage that may affect the transfer capability of any part of the CAISO Controlled Grid must be submitted no later than 11:30 a.m. at least three (3) working days prior to the starting date of the Approved Maintenance Outage (or as posted on the CAISO Website). This Section applies to facilities as described on the CAISO Website and in the applicable Business Practice Manual.

Failure to submit a request for an Outage by the proper time may mean a delay in approval from the CAISO or may cause that Outage to be designated as a Forced Outage based on the nearness of the request to the requested Outage date.

**9.3.8.3 One (1) Day Prior Notification.**

Any request to confirm or change the schedule for an Approved Maintenance Outage requiring only one (1) day notice (as detailed on the CAISO Website) must be submitted no later than 11:30 am at least one (1) day prior to the starting date of the Outage (or as specified on the CAISO Website). Failure to submit a request for an Outage by the proper time may mean a delay in approval from the CAISO or may cause that Outage to be designated as a Forced Outage.



**9.3.8.4 Priority of Outage Requests.**

Outage requests which are listed in the long-range maintenance schedules submitted to and approved by the CAISO will be given a priority in the scheduling and approval of Outage requests over those which have not been listed.

**9.3.8.5 Delay.**

The CAISO Outage Coordination Office may delay its approval of an Approved Maintenance Outage schedule if sufficient or complete information is not received by the CAISO Outage Coordination Office within the time frames provided in Sections 9.3.8.2 and 9.3.8.3.

**9.3.9 Final Approval, Delay and Withholding.**

On the day on which an Approved Maintenance Outage is scheduled to commence, the Operator shall contact the CAISO Control Center for final approval of the Maintenance Outage. No Maintenance Outage shall commence without such final approval (including the time of release, in hours and minutes) being obtained from the CAISO Control Center whose decision shall be final. The CAISO Outage Coordination Office may delay its approval of a scheduled Maintenance Outage for a Participating Generator if sufficient or complete information is not received by the CAISO Outage Coordination Office within the time frames set forth in Section 9.3.8.1. The CAISO Control Center shall have the authority to withhold a Final Approval for an Approved Maintenance Outage for reasons of System Reliability, security or system status of the CAISO Controlled Grid or market impact. The CAISO Control Center shall immediately notify the relevant Operator of its intention to withhold the Final Approval. The Generator Maintenance Outage or CAISO Controlled Grid facility Maintenance Outage will then be rescheduled pursuant to this CAISO Tariff.

**9.3.10 Forced Outages.**

**9.3.10.1** Coordination of all Forced Outages (consistent with Sections 9.3.4 and 9.3.5.2.1) will be through the single point of contact between the Operator and the CAISO Control Center.

**9.3.10.2** Each Participating TO shall report any change or potential change in equipment status of the Participating TO's transmission assets turned over to the control of the CAISO or in equipment that affects transmission assets turned over to the control of the CAISO immediately upon discovery to the CAISO (this will include line and station equipment, line protection, Remedial Action Schemes and communication problems, etc.). Each Participating TO shall also keep the CAISO immediately informed upon discovery as to any change or potential change in the Participating TO's transmission system that could affect the reliability of the CAISO Controlled Grid. This would include, but is not limited to, adverse weather conditions, fires, bomb threats, system failures, etc. To the extent possible, the CAISO shall reflect all transmission Outages in the Integrated Forward Market, HASP, and Real-Time Market.

**9.3.10.3** Any Operator, upon identification of a situation likely to result in a Forced Outage within the next twenty-four (24) hours unless immediate corrective action is taken, where such action requires the removing from service or reducing the maximum output capability of a Generating Unit **or a Resource-Specific System Resource** by ten (10) MW or more from the value most recently recorded in SLIC, or removing a transmission facility from service, shall communicate directly with the CAISO Control Center. All such notifications of Forced Outages shall be communicated to the CAISO Control Center with as much notice as possible in order that the necessary security analysis and CAISO Controlled Grid assessments may be performed. If prior notice of a Forced Outage cannot be given, the Operator shall notify the CAISO of the Forced Outage within thirty (30) minutes after it occurs. Any Operator, upon identification of a situation likely to result in a Forced Outage but of a nature not requiring a removal from service until some time more than twenty-four (24) hours in the future will be subject to the provisions of Section 9 with respect to any necessary Outage except the requirements imposing time limits for notification will be waived and the request will be expedited by the CAISO provided notice is given as soon as possible.

**9.3.10.3.1** If prior notice of a Forced Outage cannot be given, the Operator of a Generating Unit **or a Resource-Specific System Resource** is required to notify the CAISO within sixty (60) minutes after discovering any change in the maximum output capability of at least ten (10) MW or five percent (5%) of the value registered in the Master File, whichever is greater, from the value registered in SLIC that lasts for fifteen (15) minutes or longer.

**9.3.10.4** The CAISO Control Center shall coordinate any operational changes necessary to accommodate a Forced Outage and Market Participants shall comply with the CAISO's instructions given for that purpose.

**9.3.10.5** All Forced Outages shall be communicated by the CAISO Control Center to Operators likely to be affected by the Outage using the same procedures adopted for Maintenance Outage coordination procedures.

**9.3.10.6** With respect to Forced Outages of Generating Units that result in a reduction in maximum output capability that lasts fifteen (15) minutes or longer of 40 MW or more below the value registered in the Master File and ten percent (10%) of the value registered in the Master File, the Operator shall provide to the CAISO an explanation of the Forced Outage and the estimated return time, within two (2) Business Days after the Operator initially notifies the CAISO pursuant to Section 9.3.10.2.1 of the change in maximum output capability. The explanation shall include a description of the equipment failure or other cause and a description of all remedial actions taken by the Operator. Upon request of the CAISO, Operators, and where applicable, Eligible Customers, Scheduling Coordinators, UDCs and MSS Operators promptly shall provide information requested by the CAISO to enable the CAISO to review the changes made to the maximum output capability or to provide further information relative to the explanation of the Forced Outages submitted by the Operator and to prepare reports on Forced Outages. If the CAISO determines that any Forced Outage may have been the result of gaming or other questionable behavior by the Operator, the CAISO shall submit a report describing the basis for its

determination to the FERC. The CAISO shall consider the following factors when evaluating the Forced Outage to determine if the Forced Outage was the result of gaming or other questionable behavior by the Operator: 1) if the Forced Outage coincided with certain market conditions such that the Forced Outage may have influenced market prices or the cost of payments associated with Exceptional Dispatches; 2) if the Forced Outage coincided with a change in the Bids submitted for any units or resources controlled by the Operator or the Operator's Scheduling Coordinator; 3) if the CAISO had recently rejected a request for an Outage for, or to Shut-Down, the Generating Unit experiencing the Forced Outage; 4) if the timing or content of the notice of the Forced Outage provided to the CAISO was inconsistent with subsequent reports of or the actual cause of the Outage; 5) if the Forced Outage or the duration of the Forced Outage was inconsistent with the history or past performance of that Generating Unit or similar Generating Units; 6) if the Forced Outage created or exacerbated Congestion; 7) if the Forced Outage was extended with little or no notice; 8) if the Operator had other alternatives to resolve the problems leading to the Forced Outage; 9) if the Operator took reasonable action to minimize the duration of the Forced Outage; or 10) if the Operator failed to provide the CAISO an explanation of the Forced Outage within two (2) Business Days or failed to provide any additional information or access to the generating facility requested by the CAISO within a reasonable time.

**9.3.10.7 Other Balancing Authority Areas.**

The CAISO Outage Coordination Office shall make all reasonable efforts to coordinate Outages involving other Balancing Authority Areas or affecting an Intertie, import or export capability not under the Operational Control of the CAISO to the extent that they may affect the reliability of the CAISO Controlled Grid.

**9.4 Outage Coordination For New Facilities.**

**9.4.1 Coordination by CAISO.**

The procedure to energize and place in service any new or relocated piece of equipment, connected to the CAISO Controlled Grid, must be set out by the Operator or Connected Entity in a written procedure and coordinated by the CAISO Outage Coordination Office.

**9.4.2 Types of Work Requiring Coordination.**

The types of work which the CAISO will coordinate includes any new addition, replacement or modification to the CAISO Controlled Grid, including:

- (a) transmission lines forming part of the CAISO Controlled Grid;
- (b) equipment including circuit breakers, transformers, disconnects, reactive devices, wave traps, forming part of the CAISO Controlled Grid;
- (c) Generating Unit Interconnections; and
- (d) protection and control schemes, including RAS, SCADA, EMS, or AGC.

**9.4.3 Uncomplicated Work.**

When line rearrangements and/or station equipment work is uncomplicated and easily understood, the CAISO Outage Coordination Office may determine that the work can be accomplished using Outages approved in accordance with Section 9.3.6. The CAISO Outage Coordination Office will make this determination in coordination with the respective requesting Operator or Connected Entity.

**9.4.4 Special Procedures for More Complex Work.**

**9.4.4.1 Responsibility for Preparation.**

In cases to which 9.4.3 does not apply, it is the responsibility of the requesting Operator or Connected Entity to prepare a written procedure to enable the CAISO to approve Outages in a manner that enables the necessary work to proceed. The CAISO Outage Coordination Office must approve the procedure.

**9.4.4.2 Information to be Provided to the CAISO.**

The written procedure must be received by the CAISO Outage Coordination Office a minimum of four (4) weeks prior to the start of procedure. Adequate drawings will be attached to the procedure to help clarify the work being performed and the Outages that will be required to complete the work must be specified. The procedure shall include all of the information referred to on the CAISO Website.

**9.4.4.3 Approval of the Procedure.**

Upon receipt of the procedure and drawings referred to in Section 9.4.4.2, the CAISO Outage Coordination Office will review the procedure and notify the Operator or Connected Entity of any required modifications. The CAISO Outage Coordination Office may, at its discretion, require changes to and more detail to be inserted in the procedure. The requesting Operator or Connected Entity will consult with other entities likely to be affected and will revise the procedure, following any necessary or appropriate discussions with the CAISO to reflect the requirements of the CAISO. Following the CAISO approval, an approved copy of the procedure will then be transmitted to the Operator or Connected Entity and the other entities likely to be affected.

**9.4.4.4 Changes to Procedure.**

Once the procedure is approved by the CAISO Outage Coordination Office any modifications to the procedure will require the requesting Operator or Connected Entity to notify the CAISO Outage Coordination Office with as much lead time as possible of the recommended changes. The modified procedure will then have to be approved by the CAISO Outage Coordination Office in accordance with Section 9.4.4.2 and 9.4.4.3.

**9.4.4.5 Approval of Work Requiring Coordination.**

No work can begin pursuant to any approved procedure unless approved by the CAISO Outage Coordination Office.

**9.5 Records.**

The CAISO and all Operators shall develop procedures to keep a record of Approved Maintenance Outages as they are implemented and to report the completion of Approved Maintenance Outages. Such records are available for inspection by Operators and Connected Entities at the CAISO Outage Coordination Office. Only those records pertaining to the equipment or facilities owned by the relevant Operator or Connected Entity will be made available for inspection at the CAISO Outage Coordination Office, and such records will only be made available provided notice is given in writing to the CAISO fifteen (15) days in advance of the requested inspection date.

**9.6 Facility Owner.**

The facility owner shall remain solely and directly responsible for the performance of all maintenance work, whether on energized or de-energized facilities, including all activities related to providing a safe working environment.

**10 METERING.**

**10.1 General Provisions.**

**10.1.1 Role of the CAISO.**

The CAISO is responsible for establishing and maintaining the Revenue Meter Data Acquisition and Processing System (RMDAPS) and the Settlement Quality Meter Data Systems (SQMDS). RMDAPS will acquire Revenue Quality Meter Data for use in the CAISO's Settlement and billing process, and SQMDS acquires Scheduling Coordinators' Settlement Quality Meter Data. The CAISO is also responsible for the following for CAISO Metered Entities:

- (a) setting standards and procedures for the registration, certification, auditing, testing and maintenance of revenue quality meters and Meter Data servers; and
- (b) establishing procedures for the collection, security, validation and estimation of Meter Data.

**10.1.2 Meter Data Retention by the CAISO.**

The CAISO will maintain a record of all Revenue Quality Meter Data and Settlement Quality Meter Data provided to it, as well as the Settlement Quality Meter Data it produces, for a period of 18 months on site at the CAISO's facilities and for a period which, at least, allows for the re-run of data as required by this CAISO Tariff and any adjustment rules of the Local Regulatory Authority governing the Scheduling Coordinators and their End-Use Customers and FERC. The CAISO will, on reasonable notice, provide a Scheduling Coordinator with access to Settlement Quality Meter Data (actual or Scheduling Coordinator estimated) provided that the Scheduling Coordinator requesting access represented the entity for which that data was provided at the time the data was provided to the CAISO.

**10.1.3 Netting.**



**10.1.3.1 Permitted Netting.**

CAISO Metered Entities and Scheduling Coordinators may, when providing Meter Data to the CAISO, net MWh values for Generating Unit output and auxiliary Load equipment electrically connected to that Generating Unit at the same point provided that the Generating Unit is on-line and is producing sufficient output to serve all of that auxiliary Load equipment. For example, where a Generating Unit's auxiliary Load equipment is served via a distribution line that is separate from the switchyard to which the Generating Unit is connected, that Generating Unit and auxiliary Load equipment will not be considered to be electrically connected at the same point.

**10.1.3.2 Prohibited Netting.**

CAISO Metered Entities or Scheduling Coordinators may not net values for Generating Unit output and Load. CAISO Metered Entities or Scheduling Coordinators that serve third party Load connected to a Generating Unit's auxiliary system must add that third party Load to the Generating Unit's output. The CAISO Metered Entity may add that third party Load to the Generating Unit's output either by means of a hard wire local meter connection between the metering systems of the third party Load and the Generating Unit or by requesting the CAISO to use RMDAPS to perform the addition. Scheduling Coordinators representing Scheduling Coordinator Metered Entities that serve third party Load connected to the auxiliary system of a Generating Unit must ensure that those Scheduling Coordinator Metered Entities add the Energy consumed by such third parties to that Generating Unit's output so as to ensure proper settlement of that Generating Unit's gross output. The CAISO Metered Entity or the Scheduling Coordinator must ensure that the third party Load has Metering Facilities that meet the standards referred to in this Section 10 and the Business Practice Manuals.

**10.1.3.3 Permitted Netting for a QF with a QF PGA and Other QF Metering Requirements.**

A Generating Unit that is a QF and that qualifies as Regulatory Must-Take Generation is subject to the revenue metering requirements set forth in the Existing QF Contract for the QF and is not subject to the revenue metering requirements of Section 10. A QF Generating Unit not operating under the terms of an Existing QF Contract is subject to the metering requirements of Section 10 prohibiting the net metering of Generation and Load, except if it is subject to a QF PGA. A Generating Unit that is a QF and that operates under the terms of a QF PGA is eligible for net metering treatment. Notwithstanding Section 10.1.3.2, a Participating Generator with a QF PGA may net the value for the Generation produced by each Net Scheduled QF listed in its QF PGA and the value for the Demand of the Self-provided Load that is (i) served by the Net Scheduled QF and (ii) electrically located on the same side of the Point of Demarcation. The Participating Generator with a QF PGA may satisfy the provisions of Section 10 for the installation of revenue metering by installing Metering Facilities at the Point of Demarcation; provided that the installed Metering Facilities satisfy the technical, functional, and performance requirements for Metering Facilities set forth in Section 10 and the applicable Business Practice Manual.

**10.1.4 Meter Service Agreements.**

A CAISO Metered Entity shall enter into a Meter Service Agreement for CAISO Metered Entities with the CAISO. A Scheduling Coordinator representing a Scheduling Coordinator Metered Entity shall enter into a Meter Service Agreement for Scheduling Coordinators. If a CAISO Metered Entity is also a Scheduling Coordinator, it shall be treated as a CAISO Metered Entity for the purposes of this Section 10 and will be required to enter into a Meter Service Agreement for CAISO Metered Entities. A CAISO Metered Entity will not be required to enter into a Meter Service Agreement for Scheduling Coordinators unless it represents any Scheduling Coordinator Metered Entities. A Meter Service Agreement for Scheduling Coordinators entered into by a CAISO Metered Entity shall only apply to those Scheduling Coordinator Metered Entities that the CAISO Metered Entity represents; the Meter Service Agreement for Scheduling Coordinators shall not apply to the CAISO Metered Entity other than in its capacity as Scheduling Coordinator for those Scheduling Coordinator Metered Entities.

**10.1.5 Access to Meter Data.**

The CAISO has complete authority over all rights of access to (and has authority to deny access to) the CAISO's RMDAPS and Settlement Quality Meter Data Systems including servers (where used), interface equipment, and software needed to collect the relevant information for Settlement, billing and related purposes. Each Market Participant acknowledges this CAISO authority as a condition of CAISO Controlled Grid service and participation. For CAISO Metered Entities, authority over the sealing of meters, and all related Metering Facilities, shall reside solely with the CAISO for all CAISO designated Meter Points, regardless of any remote electronic access that a CAISO Metered Entity or its Scheduling Coordinator may have provided to third parties, except as otherwise may be required by law, FERC, any Local Regulatory Authority or other provision of this CAISO Tariff. Meter Data supplied by a CAISO Metered Entity shall be made available by the CAISO to the Scheduling Coordinator representing such CAISO Metered Entity at the time the Meter Data was provided and the other authorized users identified in its Meter Service Agreement for CAISO Metered Entities, but shall not be disclosed to any other third party except as may otherwise be required by law, FERC, any Local Regulatory Authority or other provision of this CAISO Tariff. Meter Data supplied by a Scheduling Coordinator for a Scheduling Coordinator Metered Entity shall be made available by the CAISO to the Scheduling Coordinator representing such Scheduling Coordinator Metered Entity at the time the Meter Data was provided and the other authorized users identified in its Meter Service Agreement for Scheduling Coordinators, but shall not be disclosed to any other third party except as may otherwise be required by law, FERC, any Local Regulatory Authority or other provision of this CAISO Tariff. Access by third parties other than authorized users to Meter Data held by the CAISO shall be coordinated through the Scheduling Coordinator that provided the Meter Data or that is representing the relevant CAISO Metered Entity that supplied the data and shall not be obtained directly from the CAISO on any basis including, without limitation, by accessing the RMDAPS.

**10.1.6 Failure of CAISO Facilities or Systems.**

In the event facility and/or systems failures impact the CAISO's ability to accept, collect, and process Revenue Quality Meter Data or Settlement Quality Meter Data, alternative measures may be required by the CAISO, CAISO Metered Entities, and Scheduling Coordinator Metered Entities. These measures are described in the applicable Business Practice Manual.

**10.2 Metering for CAISO Metered Entities.**

CAISO Metered Entities' revenue quality meters will be directly polled by the CAISO's RMDAPS as specified in this CAISO Tariff and Business Practice Manuals.

**10.2.1 Responsibilities of CAISO Metered Entities.**

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

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

**10.2.1.2 Format for Data Submission.**

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

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

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

- (a) For CAISO Metered Entities, Revenue Quality Meter Data obtained by successfully polled meters will be validated, estimated and edited by the CAISO to produce Settlement Quality Meter Data (actual), which will be made available to Scheduling Coordinators within five (5) Business Days from the Trading Day (T+5B) and will be used in the Initial Settlement Statement T+7B calculation.
- (b) In the event that Revenue Quality Meter Data remains unavailable at noon on the fifth Business Day after the Trading Day (T+5B) due to unsuccessfully polled meters or facility and/or systems failures, the CAISO will estimate Settlement Quality Meter Data for CAISO Metered Entities for any outstanding metered Demand and/or Generation for the Initial Settlement Statement T+7B calculation as provided in Section 11.1.5.
- (c) If the CAISO is notified in accordance with Section 10.2.13.2 that the revenue quality meter for a CAISO Metered Entity requires repair, the CAISO will produce Settlement Quality Meter Data (actual) for that entity using the estimation procedures referred to in Section 10.2.9, which will be made available to the Scheduling Coordinator for the CAISO Metered Entity within forty-three (43) calendar days from the Trading Day (T+43C) and will be used in the Recalculation Settlement Statement T+38B calculation.

**10.2.2 Duty to Install and Maintain Meters.**

CAISO Metered Entities, at their cost, shall install and maintain, or cause to be installed and maintained, metering equipment and associated communication devices at CAISO-designated Meter Points to meet the requirements of this Section 10 and the applicable Business Practice Manuals. The CAISO may require CAISO Metered Entities to install, at the cost of CAISO Metered Entities, additional meters and relevant metering system components, including Real-Time metering, at CAISO-specified Meter Points or other locations as deemed necessary by the CAISO, in addition to those connected to or existing on the CAISO Controlled Grid at the CAISO Operations Date. In directing the addition of meters and metering system components that would impose increased costs on a CAISO Metered Entity, the CAISO shall give due consideration to whether the expected benefits of such equipment are sufficient to justify such increased costs. Nothing in this Section 10 shall preclude CAISO Metered Entities from installing additional meters, instrument transformers and associated communications facilities not deemed necessary by the CAISO at their own cost. A CAISO Metered Entity may not commence installing such additional Metering Facilities until the CAISO has approved the CAISO Metered Entity's Proposal for Installation. If a CAISO Metered Entity installs such additional metering, such metering must: (i) be installed and maintained at the CAISO Metered Entity's cost and (ii) not unduly interfere with the accuracy of any primary meter and, if that primary meter is directly polled by the CAISO, the CAISO's ability to poll directly that meter.

**10.2.3 Metering Standards.**

Each CAISO Metered Entity shall ensure that each of its meters used to provide Meter Data to the CAISO complies with the meter standards and accuracy requirements for meters set forth in this CAISO Tariff and the applicable Business Practice Manuals.

**10.2.4 Certification of Meters.**

Each CAISO Metered Entity that makes Meter Data available to the CAISO shall ensure that Metering Facilities used to produce such Meter Data have been certified by the CAISO as meeting the requirements of Section 10. Certification of the relevant Metering Facilities shall only be provided upon the production of such evidence as the CAISO may reasonably require to demonstrate that the facilities in question have been documented, inspected and successfully tested by the CAISO or a CAISO Authorized Inspector for conformance to the standards and accuracy requirements referred to in the Business Practice Manuals and this Section 10. CAISO certification pursuant to this Section 10.2.4 shall not relieve the CAISO Metered Entity from the obligation to ensure that its Metering Facilities continue to remain in compliance with the requirements of this CAISO Tariff and the applicable Business Practice Manuals.

**10.2.4.1 Requesting Certification.**

A CAISO Metered Entity seeking certification of its Metering Facilities shall independently engage a CAISO Authorized Inspector to perform certification of its Metering Facilities. A CAISO Metered Entity may request the CAISO to perform the certification of its Metering Facilities if it would be impractical or impossible for that CAISO Metered Entity to engage a CAISO Authorized Inspector to perform the certification. The CAISO may refuse any such request by a CAISO Metered Entity if it is of the opinion that it is not impractical or impossible for that CAISO Metered Entity to engage a CAISO Authorized Inspector.

**10.2.4.2 Certification by the CAISO.**

All requests made to the CAISO to perform the certification of Metering Facilities must be made in accordance with the certification process for Metering Facilities and technical specifications published in the Business Practice Manuals and be accompanied by the documents referred to in the applicable Business Practice Manual. If the CAISO agrees to perform the certification of Metering Facilities, the

CAISO and that CAISO Metered Entity will agree the terms and conditions on which the CAISO will undertake the certification, including the assistance to be provided by the CAISO Metered Entity, the responsibility for costs and the indemnities to be provided.

**10.2.4.3 Criteria for Certification.**

Subject to any exemption granted by the CAISO, the criteria for certifying the Metering Facilities of CAISO Metered Entities pursuant to the CAISO Tariff are the criteria set forth in the Business Practice Manuals.

**10.2.4.4 Certificate of Compliance.**

If the Metering Facilities satisfy the certification criteria as specified in this CAISO Tariff and in the Business Practice Manuals (after taking into account any exemptions to the certification criteria granted by the CAISO), the CAISO will issue a Certificate of Compliance in respect of those Metering Facilities and provide the original Certificate of Compliance to the CAISO Metered Entity that requested the certification of those Metering Facilities.

**10.2.4.5 Obligation to Maintain Certification.**

CAISO Metered Entities must ensure that their Metering Facilities continue to comply with the certification criteria referred to in the CAISO Tariff and the Business Practice Manuals.

**10.2.4.6 Revocation of Certification.**

The CAISO may revoke in full or in part any Certificate of Compliance if:

- (a) it has reasonable grounds to believe that all or some of the Metering Facilities covered by that Certificate of Compliance no longer meet the certification criteria for Metering Facilities contained in the CAISO Tariff and the Business Practice Manuals; and
- (b) it has given written notice to the relevant CAISO Metered Entity stating that it does not believe that the identified Metering Facilities meet the certification criteria (including the reasons for that belief) and that CAISO Metered Entity fails to satisfy the CAISO, within the time period specified in the CAISO's notice, that the Metering Facilities meet the certification criteria.



If the CAISO revokes in full or part a Certificate of Compliance, the relevant CAISO Metered Entity may seek recertification of the relevant Metering Facilities by requesting certification. Such request must indicate that it relates to Metering Facilities in respect of which the CAISO has previously revoked a Certificate of Compliance.

Subject to any exemption granted by the CAISO under this CAISO Tariff, the CAISO will not accept Revenue Quality Meter Data from a CAISO Metered Entity unless that Revenue Quality Meter Data is produced by Metering Facilities that are certified in accordance with this CAISO Tariff and the CAISO Metered Entity has a current Certificate of Compliance.

**10.2.4.7 Changes to Certified Metering Facilities.**

The CAISO's approval must be obtained before any modifications or changes are made to any Metering Facilities of a CAISO Metered Entity which have been certified pursuant to the CAISO Tariff. The CAISO may, at its discretion, require those Metering Facilities to be recertified.

**10.2.5 CAISO Authorized Inspectors.**

**10.2.5.1 Published List of Inspectors.**

The CAISO will publish on the CAISO Website, for informational purposes only, a list of the CAISO Authorized Inspectors and details of the procedure for applying to become a CAISO Authorized Inspector. The CAISO will, on request, provide a copy of that list to entities that do not have access to the CAISO Website.

**10.2.5.2 Current Certificates.**

It is the responsibility of the relevant CAISO Metered Entity to ensure that any inspector it engages to undertake the certification of its Metering Facilities holds a current certificate of approval issued by the CAISO which authorizes that inspector to carry out the duties of a CAISO Authorized Inspector.

**10.2.6 Metering Communications.**

The CAISO's RMDAPS shall collect and process Revenue Quality Meter Data made available by CAISO Metered Entities pursuant to Meter Service Agreements for CAISO Metered Entities and the applicable Business Practice Manual. Revenue Quality Meter Data for CAISO Metered Entities shall be made available to the CAISO's RMDAPS as specified in the applicable Business Practice Manual either directly by the CAISO Metered Entity or via a central data server which collects Revenue Quality Meter Data for various CAISO Metered Entities provided that the central data server does not aggregate or adjust that data. Revenue Quality Meter Data on the CAISO's RMDAPS may be provided or made accessible to other CAISO systems as deemed necessary by the CAISO, subject to the CAISO being satisfied that such access by such authorized uses and/or systems will not adversely effect the security of the data held by the CAISO. CAISO Metered Entities shall ensure that their Metering Facilities are compatible with the CAISO's RMDAPS for these purposes. The CAISO may, at its discretion, exempt a CAISO Metered Entity from the requirement to make Revenue Quality Meter Data directly available to the CAISO's RMDAPS, for example, where the installation of communication links is unnecessary, impracticable or uneconomic. The CAISO shall maintain the RMDAPS and remedy any faults occurring in such system. Scheduling Coordinators and other authorized users requiring Settlement Quality Meter Data for CAISO Metered Entities on whose behalf they Bid may obtain such data by accessing the CAISO's Settlement Quality Meter Data Systems in accordance with the CAISO Tariff and applicable Business Practice Manuals. Scheduling Coordinators and other authorized users shall not poll the CAISO revenue meters for any other purpose, unless specifically authorized in the Meter Service Agreement for CAISO Metered Entities.

**10.2.7 Format of Meter Data.**

CAISO Metered Entities shall make available to the CAISO's RMDAPS Revenue Quality Meter Data meeting the requirements of this Section 10. The format of Meter Data to be submitted shall be identified by Transmission Owner, Distribution System, PNode, CAISO Controlled Grid interface point and other information reasonably required by the CAISO.

**10.2.8 Security and Meter Data Validation Procedures.**

The applicable Business Practice Manuals shall specify, in such detail as the CAISO may deem necessary, the Meter Data security and validation procedures that the CAISO shall apply to the Revenue Quality Meter Data made available by each CAISO Metered Entity. The CAISO may base the security and validation procedures on historical data or an appropriate alternative data source. The CAISO shall correct or replace or cause to be corrected or replaced inaccurate or missing data. The procedure may include data correction and substitution algorithms which shall estimate, substitute and flag such inaccurate or missing data. Any necessary correction or replacement shall be approved by the CAISO prior to the data being sent to the CAISO for Settlement purposes. Security and validation measures for existing Tie Point Meters shall be consistent with existing arrangements with the operators in adjacent Balancing Authority Areas. Any additional measures or changes to the existing arrangements shall only be implemented upon mutual agreement of the CAISO and the operator in the adjacent Balancing Authority Area.

**10.2.8.1 Meter Site Security.**

Metering Facilities of CAISO Metered Entities (including communications devices) and secondary devices that could have any impact on the performance of the Metering Facilities must be sealed by the CAISO.

**10.2.8.2 Third Party Access to Meters.**

**10.2.8.2.1 Local Access.**

If a CAISO Metered Entity desires to grant a third party local access to its revenue quality meters, those meters must be equipped with CAISO approved communications capabilities in accordance with the applicable Business Practice Manuals. The CAISO may set the password and any other security requirements for locally accessing the revenue quality meters of CAISO Metered Entities so as to ensure the security of those meters and their Revenue Quality Meter Data. The CAISO may alter the password and other requirements for locally accessing those meters from time to time as it determines necessary.

The CAISO must provide CAISO Metered Entities with the current password and other requirements for locally accessing their revenue quality meters. CAISO Metered Entities must not give a third party local access to its revenue quality meters or disclose to that third party the password to its revenue quality meters without the CAISO's prior approval which shall not unreasonably be withheld. CAISO Metered Entities will be responsible for ensuring that a third party approved by the CAISO to access its revenue quality meters only accesses the data it is approved to access and that the data are only accessed for the purposes for which the access was approved.

**10.2.8.2 Remote Access.**

The CAISO may set the password and any other security requirements for remotely accessing the revenue quality meters of CAISO Metered Entities so as to ensure the security of those meters and their Revenue Quality Meter Data. The CAISO will alter the password and other requirements for remotely accessing those meters from time to time as it determines necessary. The CAISO must provide CAISO Metered Entities with the current password and other requirements for remotely accessing their revenue quality meters.

CAISO Metered Entities must not give a third party remote access to its revenue quality meters or disclose to that third party the password to its revenue quality meters without the CAISO's prior approval which shall not unreasonably be withheld. CAISO Metered Entities will be responsible for ensuring that a third party approved by the CAISO to access its revenue quality meters only accesses the data it is approved to access and that the data are only accessed for the purposes for which the access was approved.

**10.2.8.3 Third Party Access Withdrawn.**

If, in the reasonable opinion of the CAISO, access granted to a third party by a CAISO Metered Entity in any way interferes or impedes with the CAISO's ability to poll any revenue quality meter, the CAISO may require that CAISO Metered Entity to immediately withdraw any access granted to a third party.

**10.2.8.4 SQMDS Security.**

The CAISO will provide any needed information to entities that are permitted to access SQMDS. The CAISO must maintain the security and integrity of Revenue Quality Meter Data brought into SQMDS.

**10.2.9 Validation, Estimation and Editing of Meter Data.**

Subject to any exemption granted by the CAISO, Revenue Quality Meter Data that CAISO Metered Entities provide to the CAISO will be processed using the Validation, Estimation and Editing procedures published in the Business Practice Manuals in order to produce Settlement Quality Meter Data.

**10.2.9.1 Obligation to Assist.**

At the request of the CAISO, CAISO Metered Entities shall assist the CAISO in correcting or replacing defective data and in detecting and correcting underlying causes for such defects. Such assistance shall be rendered in a timely manner so that the Settlement process is not delayed.

**10.2.9.2 Availability of Meter Data.**

Subject to any exemption granted by the CAISO, Meter Data of CAISO Metered Entities must be recorded at 5-minute intervals and will be collected in accordance with the provisions of the applicable Business Practice Manual. The CAISO may also collect Meter Data on demand as provided in the applicable Business Practice Manual.

**10.2.9.3 [NOT USED]**

**10.2.9.4 CAISO Imposed Penalties and Sanctions.**

The CAISO shall have the authority to impose penalties and sanctions, including but not limited to Sanctions set forth in Section 37 and the applicable Business Practice Manual and suspension of trading rights, if a CAISO Metered Entity provides fraudulent metering data to the CAISO. Such penalties shall be approved by FERC.

**10.2.10 Low Voltage Side Metering.**

**10.2.10.1 Requirement for CAISO Approval.**

CAISO Metered Entities may only install revenue quality meters on the low voltage side of step-up transformers if they have obtained the prior approval of the CAISO in accordance with Section 10.2.10.

CAISO Metered Entities that have installed low voltage side metering, whether such installation was before or after the CAISO Operations Date, shall apply the Transformer and Line Loss Correction Factor in accordance with Section 10.2.10.4.

**10.2.10.2 Request for Approval.**

If a CAISO Metered Entity wishes to install low voltage side metering, it shall submit a written request to the CAISO. That CAISO Metered Entity must:

- (a) request approval to apply the Transformer and Line Loss Correction Factor to its revenue quality meter or request approval to have the CAISO apply the Transformer and Line Loss Correction Factor;
- (b) provide detailed reasons to support the request for low side metering;
- (c) provide all of the information in relation to the Transformer and Line Loss Correction Factor required by the Business Practice Manuals; and
- (d) any other information reasonably requested by the CAISO.

**10.2.10.3 CAISO's Grounds for Approval.**

The CAISO shall approve a request made under Section 10.2.10.2 only if the CAISO is satisfied that adequate accuracy and security of Revenue Quality Meter Data obtained can be assured in accordance with Section 10.2.10. The CAISO's rejection of such a request may be referred to the CAISO ADR Procedures if, after using all reasonable good faith efforts, the CAISO and a CAISO Metered Entity are unable to reach agreement.

**10.2.10.4 Application of Transformer and Line Loss Correction Factor.**

CAISO Metered Entities will apply the Transformer and Line Loss Correction Factor as set forth in the Business Practice Manuals. If the CAISO has approved a request from a CAISO Metered Entity for RMDAPS to apply the Transformer and Line Loss Correction Factor, RMDAPS will apply the Transformer and Line Loss Correction Factor set forth in the Business Practice Manuals. If the CAISO applies the Transformer and Line Loss Correction Factor, the CAISO may require the CAISO Metered Entity to pay the reasonable costs incurred by it in applying the Transformer and Line Loss Correction Factor.

**10.2.11 Audit, Testing Inspection and Certification Requirements.**

CAISO Metered Entities are subject to CAISO audit, testing and certification requirements for their entire metering system(s), including all relevant communication facilities and instrument transformers. The CAISO will have the right to either conduct any audit or test it considers necessary or to witness such audit or test carried out by the CAISO Metered Entity or a CAISO Authorized Inspector engaged by the CAISO Metered Entity or the CAISO to carry out those audits or tests.

**10.2.12 Exemptions.**

The CAISO has the authority to grant exemptions from certain CAISO metering standards for a CAISO Metered Entity, as set forth in Section 10.4. A CAISO Metered Entity with a temporary exemption shall provide site specific Revenue Quality Meter Data to the CAISO in accordance with its Meter Service Agreement for CAISO Metered Entities and the CAISO Tariff. A Generating Unit that provides Regulatory Must-Take Generation connected directly to a UDC Distribution System and that sells its entire output to the UDC in which the Generating Unit is located is not subject to the audit, testing or certification requirements of the CAISO.

**10.2.13 Maintenance of Metering Facilities.**

**10.2.13.1 Duty to Maintain Metering Facilities.**

CAISO Metered Entities must maintain their Metering Facilities so that those Metering Facilities continue to meet the standards prescribed by the CAISO Tariff and the applicable Business Practice Manuals.

**10.2.13.2 Repairs.**

If a revenue quality meter of a CAISO Metered Entity requires repairs to ensure that it operates in accordance with the requirements of the CAISO Tariff and the applicable Business Practice Manuals, the CAISO Metered Entity must immediately notify the CAISO of the need for repairing that meter and must ensure that those repairs are completed in accordance with the applicable Business Practice Manual. During periods for which no Revenue Quality Meter Data is available from a meter which has a current Certificate of Compliance, the CAISO will create and provide access to Settlement Quality Meter Data for use in the Settlement Statement calculations, as provided in Section 10.2.1.3.

**10.2.14 Installation of Additional Metering Facilities.**

**10.2.14.1 CAISO Requirement to Install Additional Metering.**

If the CAISO determines that there is a need to install additional Metering Facilities on the CAISO Controlled Grid pursuant to Section 10.2.2, it will notify the relevant CAISO Metered Entity of that need and will process the CAISO Metered Entity's Proposal for Installation in accordance with the applicable Business Practice Manual.

**10.2.14.2 CAISO Metered Entities' Election to Install Additional Metering.**

In accordance with Section 10.2.2, a CAISO Metered Entity may choose to install additional metering, including Backup Meters. If a CAISO Metered Entity installs such additional metering, such metering must, unless the CAISO agrees otherwise:



- (a) be installed and maintained at the CAISO Metered Entity's cost;
- (b) be located on the CAISO Metered Entity's side of any primary meter; and
- (c) not interfere with the accuracy of any primary meter and, if that primary meter is directly polled by the CAISO, the CAISO's ability to directly poll that meter.

Any Meter Data produced by any such additional metering may be used by the CAISO for Settlement and billing purposes in the event of the failure, or during tests or repairs of, the primary meter provided that such additional metering has a current Certificate of Compliance, the CAISO Metered Entity gives the CAISO prior verbal notice that such meter will be used and the period for which it will be used and, if the primary meter is directly polled by the CAISO, the additional metering must also be capable of being directly polled by the CAISO.

### **10.3 Metering for Scheduling Coordinator Metered Entities.**

#### **10.3.1 Applicability.**

The requirements set forth in this Section 10.3 shall apply only to Scheduling Coordinators representing Scheduling Coordinator Metered Entities. The requirements in Section 10.1 also apply to Scheduling Coordinators. If a Scheduling Coordinator Metered Entity is also a Scheduling Coordinator, it shall be treated as a Scheduling Coordinator for the purposes of Section 10 and any references to entities that such a Scheduling Coordinator represents shall be deemed to include that Scheduling Coordinator itself.

#### **10.3.2 Responsibilities of Scheduling Coordinators and the CAISO.**

##### **10.3.2.1 Duty to Provide Settlement Quality Meter Data.**

Scheduling Coordinators shall be responsible for: (i) the collection of Meter Data for the Scheduling Coordinator Metered Entities it represents; (ii) the provision of Settlement Quality Meter Data to the CAISO; and (iii) ensuring that the Settlement Quality Meter Data supplied to the CAISO meets the requirements of Section 10. Scheduling Coordinators shall provide the CAISO with Settlement Quality Meter Data for all Scheduling Coordinator Metered Entities served by the Scheduling Coordinator no later

than the day specified in Section 10.3.6. Settlement Quality Meter Data for Scheduling Coordinator Metered Entities shall be either (1) an accurate measure of the actual consumption of Energy by each Scheduling Coordinator Metered Entity in each Settlement Period; (2) for Scheduling Coordinator Metered Entities connected to a UDC Distribution System and meeting that Distribution System's requirement for Load profiling eligibility, a profile of that consumption derived directly from an accurate cumulative measure of the actual consumption of Energy over a known period of time and an allocation of that consumption to Settlement Periods using the applicable Approved Load Profile; or (3) an accurate calculation by the Scheduling Coordinator representing entities operating pursuant to Existing Contracts.

**10.3.2.2 Format for Data Submission.**

Scheduling Coordinators shall submit Settlement Quality Meter Data to the Settlement Quality Meter Data System for the Scheduling Coordinator Metered Entities they represent using one of the CAISO's approved Meter Data Exchange Formats. Subject to any exemption granted by the CAISO, Scheduling Coordinators must ensure that Settlement Quality Meter Data submitted to the CAISO is in intervals of five (5) minutes for Loads and Generators providing Ancillary Services and/or Imbalance Energy, and one (1) hour for other Scheduling Coordinator Metered Entities.

Each Scheduling Coordinator shall submit Settlement Quality Meter Data in kWh values for all of the Scheduling Coordinator Metered Entities that it schedules aggregated by:

- (a) LAPs and PNodes, as applicable; and
- (b) the relevant PNode for Generating Units.

**10.3.2.3 Format for Data Requests.**

Scheduling Coordinators may obtain Settlement Quality Meter Data relating to the Scheduling Coordinator Metered Entities they represent by requesting extracts from the CAISO's Settlement Quality Meter Data Systems using the Meter Data request formats as published in the Business Practice Manuals. The CAISO will ensure that such data is made available in a timely manner.

**10.3.3 Loss Factors.**

Where a Scheduling Coordinator Metered Entity is connected to a UDC's Distribution System, the responsible Scheduling Coordinator shall adjust the Meter Data by an estimated Distribution System loss factor to derive an equivalent CAISO Controlled Grid level measure. Such estimated Distribution System loss factors shall be approved by the relevant Local Regulatory Authority prior to their use.

**10.3.4 Load Profile Authorization.**

Scheduling Coordinators shall be responsible for obtaining all necessary authorizations of Approved Load Profiles from Local Regulatory Authorities having jurisdiction over the use of profiled Meter Data and shall use Approved Load Profiles in any Settlement process in which Load profiles are used to allocate consumption to Settlement Periods.

**10.3.5 Communication of Meter Data.**

Each Scheduling Coordinator shall submit Settlement Quality Meter Data for Scheduling Coordinator Metered Entities to the CAISO in accordance with Section 11.29.24.1, Section 37.5, and applicable Business Practice Manuals.

**10.3.6 Settlement Quality Meter Data Submission.**

Scheduling Coordinators shall submit to the CAISO Actual Settlement Quality Meter Data or Scheduling Coordinator Estimated Settlement Quality Meter Data, as provided in Section 10.3.6.1(a), for Scheduling Coordinator Metered Entities they represent for each Settlement Period in an Operating Day according to the timelines established in Section 10.3.6.1 and the CAISO Payments Calendar and as provided in the applicable Business Practice Manual. Scheduling Coordinators must also submit Settlement Quality Meter Data (actual and Scheduling Coordinator estimated) on demand as provided in the applicable Business Practice Manual.

**10.3.6.1 Timing of Settlement Quality Meter Data Submission for Calculation of Initial Settlement Statement T+7B.**

Scheduling Coordinators must submit Actual Settlement Quality Meter Data or Scheduling Coordinator Estimated Settlement Quality Meter Data for the Scheduling Coordinator Metered Entities they represent to the CAISO no later than noon on the fifth Business Day after the Trading Day (T+5B) for the Initial Settlement Statement T+7B calculation.

- (a) In the absence of Actual Settlement Quality Meter Data, Scheduling Coordinators may submit Scheduling Coordinator Estimated Settlement Quality Meter Data using interval metering when available, sound estimation practices, and other available information including, but not limited to, bids, schedules, forecasts, temperature data, operating logs, recorders, and historical data. Scheduling Coordinator Estimated Settlement Quality Meter Data must be a good faith estimate that reasonably represents Demand and/or Generation quantities for each Settlement Period.
- (b) When Actual Settlement Quality Meter Data or Scheduling Coordinator Estimated Settlement Quality Meter Data is not received by the CAISO for a Scheduling Coordinator Metered Entity within five (5) Business Days from the Trading Day (T+5B), the CAISO will estimate the entity's Settlement Quality Meter Data for any outstanding metered Demand and/or Generation for use in the Initial Settlement Statement T+7B calculation, as provided in Section 11.1.5.

**10.3.6.2 Timing of Settlement Quality Meter Data Submission for Recalculation Settlement Statement T+38B.**

Scheduling Coordinators must submit Actual Settlement Quality Meter Data for the Scheduling Coordinator Metered Entities they represent to the CAISO no later than midnight on the forty-third (43) calendar day after the Trading Day (T+43C) for the Recalculation Settlement Statement T+38B. A Scheduling Coordinator that timely submits Actual Settlement Quality Meter Data for the Initial Settlement Statement T+7B pursuant to Section 10.3.6.1 may submit revised Actual Settlement Quality Meter Data for the Recalculation Settlement Statement T+38B no later than the forty-third (43) calendar day after the Trading Day pursuant to this Section.

- (a) When Actual Settlement Quality Meter Data is not received by the CAISO for a Scheduling Coordinator Metered Entity by forty-three (43) calendar days after the Trading Day (T+43C), the Scheduling Coordinator has failed to submit complete and accurate meter data as required by Section 37.5.2.1 and will be subject to monetary penalty pursuant to Section 37.5.2.2.

(b) (b) Any Scheduling Coordinator Estimated Settlement Quality Meter Data submitted by a Scheduling Coordinator on behalf of the Scheduling Coordinator Metered Entities it represents that is not replaced with Actual Settlement Quality Meter Data by forty-three (43) calendar days after the Trading Day (T+43C) has failed to submit complete and accurate meter data as required by Section 37.5.2.1 and will be subject to monetary penalty pursuant to Section 37.5.2.2. In the absence of Actual Settlement Quality Meter Data, Scheduling Coordinator Estimated Settlement Quality Meter Data will be used in the Recalculation Settlement Statements.

(c) The CAISO will not estimate a Scheduling Coordinator Metered Entity's Settlement Quality Meter Data for any outstanding metered Demand and/or Generation for use in a Recalculation Settlement Statement calculation. Any previous CAISO Estimated Settlement Quality Meter Data that the Scheduling Coordinator does not replace with Actual Settlement Quality Meter Data by forty-three (43) calendar days after the Trading Day (T+43C) will be set to zero. The CAISO will follow the control process described in the BPM for Metering to monitor and identify the CAISO Estimated Settlement Quality Meter Data that was not timely replaced and will take proactive measures to obtain the Actual Settlement Quality Meter Data. A Scheduling Coordinator that fails to replace CAISO Estimated Settlement Quality Meter Data with Actual Settlement Quality Meter Data by forty-three (43) calendar days after the Trading Day (T+43) has failed to provide complete and accurate Settlement Quality Meter Data as required by Section 37.5.2.1 and will be subject to monetary penalty pursuant to Section 37.5.2.2.

**10.3.6.3 Timing of Settlement Quality Meter Data Submission for Recalculation Settlement Statements after the Recalculation Settlement Statement T+38B.**

Scheduling Coordinators may continue to submit Actual Settlement Quality Meter Data for the Scheduling Coordinator Metered Entities they represent to the CAISO for use in Recalculation Settlement Statements subsequent to the Recalculation Settlement Statement T+38B according to timelines established in the CAISO Payment Calendar.

**10.3.7 Meter Standards.**

Each Scheduling Coordinator, in conjunction with the relevant Local Regulatory Authority, shall ensure that each of its Scheduling Coordinator Metered Entities connected to and served from the Distribution System of a UDC shall be metered by a revenue meter complying with any standards of the relevant Local Regulatory Authority or, if no such standards have been set by that Local Regulatory Authority, the metering standards set forth in this CAISO Tariff and as further detailed in the Business Practice Manuals.

**10.3.8 Access to Meter Data.**

The CAISO has complete authority over rights of access to (and has authority to deny access to) its Settlement Quality Meter Data Systems by Scheduling Coordinators and Scheduling Coordinator Metered Entities for Settlement, billing and related purposes. Each Scheduling Coordinator, on behalf of itself and Scheduling Coordinator Metered Entities that it serves or represents, acknowledges this CAISO authority as a condition of access to the CAISO Controlled Grid. Meter Data of a Scheduling Coordinator Metered Entity remains the property of that Scheduling Coordinator Metered Entity and shall be made available to third parties only with its express permission or the permission of its Scheduling Coordinator or as otherwise required by law or provided for in this CAISO Tariff.

**10.3.9 Certification of Meters.**

Scheduling Coordinators shall ensure that revenue meters and related Metering Facilities of those Scheduling Coordinator Metered Entities whom they represent are certified in accordance with any certification criteria prescribed by the relevant Local Regulatory Authority or, if no such criteria have been prescribed by that Local Regulatory Authority, certified in accordance with this Section 10. Scheduling Coordinators shall upon request of the CAISO supply promptly copies of all certificates issued by the relevant Local Regulatory Authority. The End-Use Meter of a Scheduling Coordinator Metered Entity in place as of the CAISO Operations Date is deemed to be certified as in compliance with this CAISO Tariff and Business Practice Manuals. Once certified, meters for Scheduling Coordinator Metered Entities

need not be recertified provided such meters are maintained so as to meet the standards and accuracy requirements prescribed by any relevant Local Regulatory Authority or, if no such standards have been prescribed by that Local Regulatory Authority, such requirements as referred to in the Business Practice Manuals and this Section 10. Recertification is not required by the CAISO upon an election by a Scheduling Coordinator Metered Entity to change its Scheduling Coordinator from which it takes service.

**10.3.10 Requirement for Audit and Testing.**

**10.3.10.1 Audit and Testing by Scheduling Coordinator.**

Each Scheduling Coordinator shall at least annually conduct (or engage an independent, qualified entity to conduct) audits and tests of the Metering Facilities of the Scheduling Coordinator Metered Entities that it represents and the Meter Data provided to the Scheduling Coordinator in order to ensure compliance with all applicable requirements of any relevant Local Regulatory Authority. Scheduling Coordinators shall undertake any other actions that are reasonable necessary to ensure the accuracy and integrity of the Settlement Quality Meter Data (actual or Scheduling Coordinator estimated) provided by them to the CAISO.

**10.3.10.2 Audit and Testing by CAISO.**

Subject to any applicable Local Regulatory Authority requirements, the Metering Facilities and data handling and processing procedures of Scheduling Coordinators and Scheduling Coordinator Metered Entities are subject to audit and testing by the CAISO or a CAISO Authorized Inspector. Subject to any applicable Local Regulatory Authority requirements, the CAISO will have the right to either conduct any audit or test it considers necessary or to witness such audit or test carried out by the Scheduling Coordinator, Scheduling Coordinator Metered Entity or a CAISO Authorized Inspector engaged by the Scheduling Coordinator, Scheduling Coordinator Metered Entity or the CAISO to carry out those audits or tests.



**10.3.11 Scheduling Coordinator to Ensure Certification.**

If the relevant Local Regulatory Authority has not prescribed any certification criteria for the Metering Facilities of a Scheduling Coordinator Metered Entity, the Scheduling Coordinator representing that Scheduling Coordinator Metered Entity must promptly notify the CAISO in writing that no such criteria have been prescribed. That Scheduling Coordinator will then be responsible for ensuring that the Scheduling Coordinator Metered Entities it represents obtain and maintain Certificates of Compliance in respect of all of the Metering Facilities of those Scheduling Coordinator Metered Entities in accordance with Section 10.3.9. Scheduling Coordinators must engage a CAISO Authorized Inspector to perform the certification of any Metering Facilities that are to be certified under the CAISO Tariff.

**10.3.11.1 Confirmation of Certification.**

On the written request of the CAISO, each Scheduling Coordinator must give the CAISO written confirmation that the Metering Facilities of each Scheduling Coordinator Metered Entity that it represents are certified in accordance with either the criteria of the relevant Local Regulatory Authority or the criteria prescribed by the CAISO Tariff and Business Practice Manuals within five (5) Business Days of receiving a request from the CAISO.

**10.3.11.2 Deemed Certification.**

Revenue quality meters of Scheduling Coordinator Metered Entities that are subject to certification and which were installed and operational as of the CAISO Operations Date will be deemed to be certified for the purposes of the CAISO Tariff. Revenue quality meters that have been fully installed as of the CAISO Operations Date but which are not operational as of that date because they were undergoing maintenance or repairs will also be deemed to be certified in accordance with the CAISO Tariff.

**10.3.12 [NOT USED]**

**10.3.13 [NOT USED]**

**10.3.14 Approval by Local Regulatory Authority of Security and Validation Procedures.**

Scheduling Coordinators shall be responsible for obtaining any necessary approval of the relevant Local Regulatory Authority to its proposed security, validation, editing and estimation procedures. The CAISO will not perform any Validation, Estimation and Editing on the Settlement Quality Meter Data it receives from Scheduling Coordinators.

**10.3.14.1 UDC and TO Agreements.**

Each Scheduling Coordinator shall be responsible for obtaining any necessary consent from the UDCs on whose Distribution Systems or the Participating TOs on whose transmission facilities the Scheduling Coordinator has Scheduling Coordinator Metered Entities as is necessary to give effect to the procedures governing Meter Data validation and security and inspection and testing of Metering Facilities.

Scheduling Coordinators must verify with the relevant UDC and/or Participating TO the identity of each Scheduling Coordinator Metered Entity they represent and must notify the UDC and/or Participating TO of any discrepancies of which they become aware.

**10.3.15 [NOT USED]**

**10.3.16 [NOT USED]**

**10.3.17 Meter Identification.**

If a Scheduling Coordinator Metered Entity is required to identify its revenue quality meters by the relevant:

- (a) Local Regulatory Authority; or
- (b) UDC,

then the Scheduling Coordinator representing that Scheduling Coordinator Metered Entity must, at the CAISO's request, provide the CAISO with a copy of that information within five (5) Business Days of a request by the CAISO in a format to be prescribed by the CAISO.

If a Scheduling Coordinator Metered Entity is not required by either the relevant Local Regulatory

Authority or UDC to identify its revenue quality meters, the Scheduling Coordinator representing that Scheduling Coordinator Metered Entity shall maintain an accurate record of the revenue quality meter of each of the Scheduling Coordinator Metered Entities that it represents from time to time. The record maintained by Scheduling Coordinators must include the information set out in the applicable Business Practice Manuals. The Scheduling Coordinator must, at the CAISO's request, provide the CAISO with a copy of any information contained in that record within five (5) Business Days of a request by the CAISO in a format to be prescribed by the CAISO.

**10.4 Exemptions from Compliance.**

**10.4.1 Authority to Grant Exemptions.**

In addition to the specific exemptions granted under the CAISO Tariff, the CAISO has the authority under the CAISO Tariff to grant exemptions from compliance with certain requirements imposed by the CAISO Tariff.

**10.4.2 Guidelines for Granting Exemptions.**

The CAISO will use the following guidelines when considering applications for exemptions from compliance with the provisions of Section 10.

(a) Publication of Guidelines

The CAISO will publish on the CAISO Website the general guidelines that it may use when considering applications for exemptions so as to achieve consistency in its reasoning and decision making and to give prospective applicants an indication of whether an application will be considered favorably.

(b) Publication of Exemption Applications

The CAISO will promptly publish on the CAISO Website a description of each application it receives for an exemption.

(c) Publication of Decision

The CAISO will publish on the CAISO Website details of whether the application was approved or rejected by it and, if the CAISO considers it appropriate, the reasons for rejecting the application.

(d) Class Exemptions

In addition to exemptions granted to individual entities, the CAISO may grant exemptions that will apply to a class of entities. The CAISO may grant class exemptions whether or not it has received any application for an exemption. The CAISO will publish details of the class exemptions it has granted on the CAISO Website.

**10.4.3 Procedure for Applying for Exemptions.**

All applications to the CAISO for exemptions from compliance with the requirements of Section 10 must be made in writing and will be processed by the CAISO in accordance with the provisions of the applicable Business Practice Manual. The CAISO may require the applicant to provide additional information in support of its application. The applicant must provide such additional information to the CAISO within five (5) Business Days of receiving the request for additional information or within such other period as the CAISO may notify to the applicant. If the CAISO makes a request for additional information more than five (5) Business Days after the date on which it received the application, the CAISO will have an additional five (5) Business Days after receiving that additional information in which to consider the application. If the applicant does not provide the additional information requested, the CAISO may refuse the application in which case it will notify the applicant that its application has been rejected for failure to provide the additional information.

**10.4.4 Permitted Exemptions.**

**10.4.4.1 Exemptions from Providing Meter Data Directly to RMDAPS.**

The CAISO has the authority under Section 10.2.6 to exempt CAISO Metered Entities from the requirement to make Meter Data directly available to the CAISO via RMDAPS. The applicable Business Practice Manual sets forth specific exemptions available. In addition, the CAISO may, at its discretion, grant such an exemption where it considers the requirement to install communication links (or related facilities) between the CAISO Metered Entity and CAISO's secure communication system to allow the CAISO to directly poll the meters of that CAISO Metered Entity would be unnecessary, impractical or uneconomic.

**10.4.4.2 Exemptions from Meter Standards.**

The CAISO has the authority under Section 10.2.12 to exempt CAISO Metered Entities from the requirement to comply with the meter standards referred to in the CAISO Tariff. The applicable Business Practice Manual sets forth specific exemptions available.