Table Of Contents

1. Definitions And Interpretation

1.1 General Provisions Of Article I Applicable To CAISO Tariff

- 1.2 Definitions
- 1.3 Rules Of Interpretation

2. Access To The CAISO Controlled Grid

- 2.1 Open Access
- 2.2 Customer Eligibility For Direct Access Or Wholesale Sales

3. Local Furnishing, Other Tax-Exempt Bond Facility Financing

4. Roles And Responsibilities

- 4.1 [Not Used]
- 4.2 Market Participant Responsibilities
 - 4.2.1 Comply With Dispatch Instructions And Operating Orders
 - 4.2.2 Implementation Of Instructions
- 4.3 Relationship Between CAISO And Participating TOs
 - 4.3.1 Nature Of Relationship
- 4.4 Relationship Between CAISO And UDCs
 - 4.4.1 General Nature Of Relationship Between CAISO And UDCs
 - 4.4.2 UDC Responsibilities
 - 4.4.3 System Emergency Reports: UDC Obligations
 - 4.4.4 Coordination Of Expansion Or Modifications To UDC Facilities
 - 4.4.5 Information Sharing
 - 4.4.6 Installation Of And Rights Of Access To UDC Facilities
 - 4.4.7 Provision Of Information For CRRs To Reflect Load Migration
 - 4.4.8 UDC Facilities Under CAISO Control
- 4.5 Responsibilities Of A Scheduling Coordinator
 - 4.5.1 Scheduling Coordinator Certification
 - 4.5.2 Eligible Customers and Convergence Bidding Entities
 - 4.5.3 Responsibilities Of A Scheduling Coordinator
 - 4.5.4 Operations Of A Scheduling Coordinator
- 4.6 Relationship Between CAISO And Generators
 - 4.6.1 General Responsibilities
 - 4.6.2 [Not Used]
 - 4.6.3 Participating Generators, Must-Take Generation And QFs
 - 4.6.4 Identification Of Generating Units
 - 4.6.5 NERC and WECC Requirements
 - 4.6.6 Forced Outages
 - 4.6.7 Recordkeeping; Information Sharing
 - 4.6.8 Sharing Information On Reliability Of CAISO Controlled Grid
 - 4.6.9 Access Right
- 4.7 Relationship Between CAISO And Participating Loads
- 4.8 Relationships Between CAISO And Intermittent Resources
- 4.9 Metered Subsystems
 - 4.9.1 General Nature Of Relationship Between CAISO And MSS
 - 4.9.2 Coordination Of Operations
 - 4.9.3 Coordinating Maintenance Outages Of MSS Facilities
 - 4.9.4 MSS Operator Responsibilities
 - 4.9.5 Scheduling By Or On Behalf Of A MSS Operator
 - 4.9.6 System Emergencies
 - 4.9.7 Coordination Of Expansion Or Modifications To MSS Facilities

- 4.9.8 Ancillary Services Obligations For MSS
- 4.9.9 [Not Used]

4.9.10 Information Sharing

- 4.9.11 Installation Of And Rights Of Access To MSS Facilities
- 4.9.12 MSS System Unit
- 4.9.13 MSS Elections And Participation In CAISO Markets
- 4.10 Candidate CRR Holder And CRR Holder Registration
 - 4.10.1 Procedure To Become A Candidate CRR Holder
 - 4.10.2 Ongoing Obligations After Registration And Qualification
 - 4.10.3 Termination Of A CRR Entity Agreement
- 4.11 Relationship Between CAISO And SUDCs
 - 4.11.1 General Nature Of Relationship Between CAISO And SUDCs
 - 4.11.2 Coordinating Maintenance Outages Of SUDC Facilities
 - 4.11.3 SUDC Responsibilities
 - 4.11.4 System Emergencies
 - 4.11.5 Load Reduction
 - 4.11.6 System Emergency Reports: SUDC Obligations
 - 4.11.7 Coordinating Expansion Or Modifications To SUDC Facilities
 - 4.11.8 Information Sharing
 - 4.11.9 Equipment Installation And Access Rights To SUDC Facilities
- 4.12 Relationship Of CAISO And Resource-Specific System Resources
 - 4.12.1 General Responsibilities
 - 4.12.2 Identification Of Resource-Specific System Resources
 - 4.12.3 Telemetry Data To Demonstrate Compliance
 - 4.12.4 Recordkeeping
 - 4.12.5 Access Right
- 4.13 Demand Response Providers and Proxy Demand Resources
 - 4.13.1 Relationship Between CAISO and DRPs
 - 4.13.2 Applicable Requirements for PDRs and DRPs
 - 4.13.3 Identification of Proxy Demand Resources
 - 4.13.4 Customer Baseline Methodologies for PDRs
- 4.14 Relationship Between the CAISO and CBEs
 - 4.14.1 Procedure to Become a Convergence Bidding Entity
 - 4.14.2 Convergence Bidding Entity's Ongoing Obligations
 - 4.14.3 Termination of a Convergence Bidding Entity Agreement

5. [Not Used]

6. Communications

- 6.1 Methods Of Communications
 - 6.1.1 Full-Time Communications Facility Requirement
 - 6.1.2 Information Transfer From Scheduling Coordinator To CAISO
 - 6.1.3 Submitting Information To The Secure Communication System
 - 6.1.4 Information Transfer From CAISO To Scheduling Coordinator
 - 6.1.5 Information To Be Provided By Connected Entities To CAISO
- 6.2 CAISO'S Secure Communication System
 - 6.2.1 Scheduling Coordinators
 - 6.2.2 Public Market Information
- 6.3 Communication Of Dispatch Instructions
 - 6.3.1 SC Responsibility For Communications To Generator Or Load
 - 6.3.2 Recording Of Dispatch Instructions
 - 6.3.3 Contents Of Dispatch Instructions
- 6.4 Communication Of Operating Orders
- 6.5 CAISO Communications
 - 6.5.1 Communication With Market And CRR Participants And Public

- 6.5.2 Communications Prior To The Day-Ahead Market
- 6.5.3 Day-Ahead Market Communications
- 6.5.4 HASP Communications
- 6.5.5 Real-Time Market Communications
- 6.5.6 Market Bid Information
- 6.5.7 Monthly Report on Conforming Transmission Constraints
- 6.5.8 Virtual Award Information

7. System Operations Under Normal And Emergency Conditions

7.1 CAISO Control Center Operations

- 7.1.1 Maintain CAISO Control Center
- 7.1.2 Maintain Back-Up Control Facility
- 7.1.3 CAISO Control Center Authorities
- 7.2 Operating Reliability Criteria
- 7.3 Transmission Planning Authority
 - 7.3.1 Criteria For CAISO's Operational Control
 - 7.3.2 Planning Guidelines; Revision Of Local Reliability Criteria
 - 7.3.3 NAESB Standards
- 7.4 General Standard Of Care
- 7.5 Routine Operation Of The CAISO Controlled Grid
 - 7.5.1 CAISO Controlled Facilities
 - 7.5.2 Clearing Equipment For Work
 - 7.5.3 Equipment De-Energized For Work
 - 7.5.4 Hot-Line Work
 - 7.5.5 Intertie Switching
 - 7.5.6 Operating Voltage Control Equipment
- 7.6 Normal System Operations
 - 7.6.1 Actions For Maintaining Reliability Of CAISO Controlled Grid
- 7.7 Management Of System Emergencies
 - 7.7.1 System Emergency
 - 7.7.2 Emergency Procedures
 - 7.7.3 Notifications By CAISO Of System Conditions
 - 7.7.4 Intervention In CAISO Market Operations
 - 7.7.5 Emergency Guidelines
 - 7.7.6 Periodic Tests Of Emergency Procedures
 - 7.7.7 Prioritization Schedule For Shedding And Restoring Load
 - 7.7.8 Under Frequency Load Shedding (UFLS)
 - 7.7.9 [Not Used]
 - 7.7.10 Further Obligations Relating To System Emergencies
 - 7.7.11 Use Of Load Curtailment Programs
 - 7.7.12 Curtailment Under Emergency And Non-Emergency Conditions
 - 7.7.13 System Emergency Reports And Sanctions
 - 7.7.14 CAISO Facilities And Equipment
 - 7.7.15 System Operations In The Event Of A Market Disruption
- 7.8 Management Of Overgeneration Conditions
 - 7.8.1 Dispatch Instructions To Reduce Generation And Imports
 - 7.8.2 Notification Of Projected Overgeneration To Be Mitigated
 - 7.8.3 Energy Offered For Sale To Adjacent Balancing Authorities
 - 7.8.4 Instruction To SCs To Reduce Generation Or Imports
 - 7.8.5 Mandatory Dispatch Instructions For Specific Reductions
 - 7.8.6 CAISO Costs To Be Reimbursed Proportionately By SCs
- 7.9 Suspension or Limitation of Virtual Bidding
 - 7.9.1 Suspension or Limitation Generally
 - 7.9.2 Reasons for Suspension or Limitation
 - 7.9.3 Procedures Regarding Suspension or Limitation

8. Ancillary Services

8.1 Scope

8.2 Ancillary Services Standards

8.2.1 Determination Of Ancillary Service Standards

- 8.2.2 Time-Frame For Revising Ancillary Service Standards
- 8.2.3 Quantities Of Ancillary Services Required; Use Of AS Regions
- 8.3 Procurement; Certification And Testing; Contracting Period

8.3.1 Procurement Of Ancillary Services

- 8.3.2 Procurement Internal And External Resources
- 8.3.3 Ancillary Service Regions And Regional Limits
- 8.3.4 Certification And Testing Requirements
- 8.3.5 Daily And Hourly Procurement
- 8.3.6 Market-Based Prices
- 8.3.7 AS Bidding Requirements
- 8.3.8 Procurement Of Voltage Support
- 8.4 Technical Requirements For Providing Ancillary Services
 - 8.4.1 Operating Characteristics Required To Provide AS
 - 8.4.2 Ancillary Service Control Standards
 - 8.4.3 Ancillary Service Capability Standards
 - 8.4.4 Ancillary Service Availability Standards
 - 8.4.5 Communication Equipment
 - 8.4.6 Metering Infrastructure
- 8.5 Time Frame To Submit And Evaluate Ancillary Services Bids
- 8.6 Obligations For And Self-Provision Of Ancillary Services
 - 8.6.1 Ancillary Service Obligations
 - 8.6.2 Right To Self-Provide
 - 8.6.3 Services Which May Be Self-Provided
 - 8.6.4 Time Frame For Informing CAISO Of Self-Provision
- 8.7 Ancillary Services Awards
- 8.8 Black Start
- 8.9 Verification, Compliance Testing, And Auditing
 - 8.9.1 Compliance Testing For Spinning Reserve
 - 8.9.2 Compliance Testing For Regulation
 - 8.9.3 Compliance Testing For Non-Spinning Reserve
 - 8.9.4 Compliance Testing For Voltage Support
 - 8.9.5 Compliance Testing For Black Start
 - 8.9.6 Compliance Testing For RUC Capacity
 - 8.9.7 Consequences Of Failure To Pass Compliance Testing
 - 8.9.8 Performance Audits For Standard Compliance
 - 8.9.9 Performance Audit For Regulation
 - 8.9.10 Performance Audit For Spinning Reserve
 - 8.9.11 Performance Audit For Non-Spinning Reserve
 - 8.9.12 Performance Audit For Voltage Support
 - 8.9.13 Performance Audit For Black Start
 - 8.9.14 Performance Audit For RUC Capacity
 - 8.9.15 Consequences Of Failure To Pass Performance Audits
 - 8.9.16 Sanctions For Poor Performance
- 8.10 Periodic Testing Of Units
 - 8.10.1 Regulation Up And Regulation Down Reserves
 - 8.10.2 Spinning Reserve
 - 8.10.3 Non-Spinning Reserve
 - 8.10.4 Voltage Support
 - 8.10.5 Black Start
 - 8.10.6 RUC Capacity
 - 8.10.7 Penalties For Failure To Pass Tests

- 8.10.8 Rescission Of Payments For Ancillary Service Capacity
- 8.11 Temporary Changes To Ancillary Services Penalties
 - 8.11.1 Application And Termination
 - 8.11.2 Exemption for Penalties Due to CAISO Software Limitations

9. Outages

- 9.1 Coordination And Approval For Outages
- 9.2 Responsibility For Authorized Work On Facilities
- 9.3 Coordination Of Outages And Maintenance
 - 9.3.1 CAISO Outage Coordination Office
 - 9.3.2 Requirement For Approval
 - 9.3.3 Requests For Outages In Real-Time Operation
 - 9.3.4 Single Point Of Contact
 - 9.3.5 Method Of Communications
 - 9.3.6 Maintenance Outage Planning
 - 9.3.7 Maintenance Outage Requests By The CAISO
 - 9.3.8 CAISO Notice Required Re Maintenance Outages
 - 9.3.9 Final Approval, Delay And Withholding
 - 9.3.10 Forced Outages
- 9.4 Outage Coordination For New Facilities
 - 9.4.1 Coordination By CAISO
 - 9.4.2 Types Of Work Requiring Coordination
 - 9.4.3 Uncomplicated Work
 - 9.4.4 Special Procedures For More Complex Work
- 9.5 Information About Outages
 - 9.5.1 Approved Maintenance Outages
 - 9.5.2 Publication to Website
- 9.6 Facility Owner
- 9.7 Multi-Stage Generating Resources Outages

10. Metering

- 10.1 General Provisions
 - 10.1.1 Role Of The CAISO
 - 10.1.2 Meter Data Retention By The CAISO
 - 10.1.3 Netting
 - 10.1.4 Meter Service Agreements
 - 10.1.5 Access To Meter Data
 - 10.1.6 Failure Of CAISO Facilities Or Systems
- 10.2 Metering For CAISO Metered Entities
 - 10.2.1 Responsibilities Of CAISO Metered Entities
 - 10.2.2 Duty To Install And Maintain Meters
 - 10.2.3 Metering Standards
 - 10.2.4 Certification Of Meters
 - 10.2.5 CAISO Authorized Inspectors
 - 10.2.6 Metering Communications
 - 10.2.7 Format Of Meter Data
 - 10.2.8 Security And Meter Data Validation Procedures
 - 10.2.9 Validation, Estimation And Editing Of Meter Data
 - 10.2.10 Low Voltage Side Metering
 - 10.2.11 Audit, Testing Inspection And Certification Requirements
 - 10.2.12 Exemptions
 - 10.2.13 Maintenance Of Metering Facilities
 - 10.2.14 Installation Of Additional Metering Facilities
- 10.3 Metering For Scheduling Coordinator Metered Entities
- 10.3.1 Applicability
- 10.3.2 Responsibilities Of Scheduling Coordinators And The CAISO

10.3.3 Loss Factors

10.3.4 Load Profile Authorization

10.3.5 Communication Of Meter Data

10.3.6 Settlement Quality Meter Data Submission

10.3.7 Meter Standards

10.3.8 Access To Meter Data

10.3.9 Certification Of Meters

10.3.10 Requirement For Audit And Testing

10.3.11 Scheduling Coordinator To Ensure Certification

10.3.12 [Not Used]

10.3.13 [Not Used]

10.3.14 Approval By LRA Of Security And Validation Procedures

10.3.15 [Not Used]

10.3.16 [Not Used]

10.3.17 Meter Identification

10.4 Exemptions From Compliance

10.4.1 Authority To Grant Exemptions

10.4.2 Guidelines For Granting Exemptions

- 10.4.3 Procedure For Applying For Exemptions
- 10.4.4 Permitted Exemptions

11. CAISO Settlements And Billing

11.1 Settlement Principles

11.1.1 [Not Used]

11.1.2 Settlement Charges And Payments

11.1.3 Financial Transaction Conventions And Currency

11.1.4 CAISO Estimates for Initial Settlement Statement T+3B

11.1.5 SQMD for Recalculation Settlement Statement T+7B

11.2 Settlement Of Day-Ahead Market Transactions

11.2.1 IFM Settlements

11.2.2 Calculation Of Hourly RUC Compensation

11.2.3 IFM Energy Charges And Payments For Metered Subsystems

11.2.4 CRR Settlements

11.2.5 Payment By OBAALSE For CRRs Through CRR Allocation Process

11.3 Settlement of Virtual Awards

11.3.1 Virtual Supply Awards

11.3.2 Virtual Demand Awards

11.4 HASP Settlement Of Scheduling Points

11.4.1 HASP Settlement For Exports

11.4.2 HASP Settlement For Imports

11.5 Real-Time Market Settlements

11.5.1 Instructed Imbalance Energy Settlements

11.5.2 Uninstructed Imbalance Energy

11.5.3 Unaccounted For Energy (UFE)

11.5.4 Imbalance Energy Pricing; Non-Zero Offset Amount Allocation

11.5.5 Settlement Amount For Residual Imbalance Energy

11.5.6 Settlement Amounts For IIE From Exceptional Dispatch

11.5.7 Not Used

11.5.8 Settlement For Emergency Assistance

11.6 Settlement of Transactions Involving Proxy Demand Resources

11.7 Additional MSS Settlements Requirements

11.7.1 MSS Load Following Deviation Penalty

11.7.2 Neutrality Adjustments and Charges Assessed on MSS SC

11.7.3 Available MSS Operator Exemption for Certain Program Charges

11.7.4 Emission Cost Responsibility Of An SC For An MSS

11.8 Bid Cost Recovery

11.8.1 CAISO Determination Of Self-Commitment Periods

11.8.2 IFM Bid Cost Recovery Amount

11.8.3 RUC Bid Cost Recovery Amount

11.8.4 RTM Bid Cost Recovery Amount

11.8.5 Unrecovered Bid Cost Uplift Payment

11.8.6 System-Wide IFM, RUC And RTM Bid Cost Uplift Allocation

11.9 Inter-SC Trades

11.9.1 Physical Trades

11.9.2 Inter-SC Trades At Aggregated Pricing Nodes

11.10 Settlements For Ancillary Services

11.10.1 Settlements For Contracted Ancillary Services

11.10.2 Settlement For User Charges For Ancillary Services

11.10.3 Spinning Reserves

11.10.4 Non-Spinning Reserves

11.10.5 Negative Operating Reserve Obligation Adjustment Factor

11.10.6 Upward Ancillary Services Neutrality Adjustment

11.10.7 Voltage Support

11.10.8 Black Start

11.10.9 Settlements Of Rescission Of Payments For AS Capacity

11.11 HVACs And Transition Charges, And Wheeling Transactions

11.11.1 High Voltage Access Charges And Transition Charges

11.11.2 Wheeling Through And Wheeling Out Transactions

11.12 Participating Intermittent Resources

11.12.1 Uninstructed Energy By Participating Intermittent Resources

11.12.2 Allocation Of Participating Intermittent Resources Costs

11.12.3 Payment Of Participating Intermittent Resource Fees

11.12.4 Price For Uninstructed Deviations

11.13 Settlements And Billing Of RMR Charges And Payments

11.13.1 Objectives

11.13.2 Accounts

11.13.3 RMR Payments Calendar

11.13.4 Information Provided By RMR Owners To The CAISO

11.13.5 Validation Of RMR Charges And RMR Refunds

11.13.6 Description Of The Billing Process

11.13.7 Payment Procedures

11.13.8 Overpayments

11.13.9 Communications

11.13.10 Confidentiality

11.14 Neutrality Adjustments

11.15 Payments Under Section 42.1 Contracts

11.16 Additional AS And RUC Payment Rescission Requirements

11.16.1 Resources With More Than One Capacity Obligation

11.16.2 Load-Following MSSs With An AS Or RUC Capacity Obligation

11.17 CAISO Operating And Capital Reserves Account

11.18 Emissions Costs

11.18.1 Obligation To Pay Emissions Cost Charges

11.18.2 CAISO Emissions Cost Trust Account

11.18.3 Rate For The Emissions Cost Charge

11.18.4 Adjustment Of The Rate For The Emissions Cost Charge

11.18.5 Credits And Debits Of Emissions Cost Charges From SCs

11.18.6 Submission Of Emissions Cost Invoices

11.18.7 Payment Of Emissions Cost Invoices

11.19 FERC Annual Charges

11.19.1 FERC Annual Charge Recovery Rate

11.19.2 FERC Annual Charge Trust Account

11.19.3 Determination Of The FERC Annual Charge Recovery Rate

11.19.4 Credits And Debits Of FERC Annual Charges From SCs

11.20 NERC/WECC Charges

11.20.1 Responsibility For NERC/WECC Charges

11.20.2 Process For Invoicing NERC/WECC Charges Assessed For 2007

11.20.3 Process For Invoicing NERC/WECC Charges Assessed For 2008

11.20.4 Process For Invoicing NERC/WECC Charges For Years After 2008

11.20.5 Timely Payments

11.20.6 NERC/WECC Charge Trust Account

11.20.7 Preliminary And Final NERC/WECC Charge Invoices

11.20.8 Provision Of Payments And Information To The WECC

11.21 Make Whole Payments for Price Corrections

11.21.1 CAISO Demand and Exports

11.21.2 Price Correction for Settlement of Virtual Awards

11.22 Grid Management Charge

11.22.1 CAISO'S Obligations

11.22.2 Costs Included In The Grid Management Charge

11.22.3 MSS GMC Charges

11.23 Penalties For Uninstructed Imbalance Energy

11.24 Not Used

11.24.1 Not Used

11.24.2 Not Used

- 11.24.3 Not Used
- 11.24.4 Not Used
- 11.25 [Not Used]

11.26 [Not Used]

11.27 Voltage Support And Black Start Charges

11.28 Calculating, Charging And Disbursing Default Interest

11.29 Billing And Payment Process

11.29.1 Billing And Payment Process Based On Settlement Statements

11.29.2 Time-Frame For Payments Or Charges

11.29.3 Prepayments

11.29.4 System Failure

11.29.5 General Principles For Production Of Settlement Statements

11.29.6 Balancing Of Market Accounts In Absence Of Meter Data

11.29.7 Settlements Cycle

11.29.8 Confirmation And Validation

11.29.9 Payment Procedures

11.29.10 Billing And Payment

11.29.11 Instructions For Payment

11.29.12 CAISO'S Responsibilities

11.29.13 Non-Payment By A Scheduling Coordinator Or CRR Holder

11.29.14 Enforcement Actions for Late Payments

11.29.15 [Not Used]

11.29.16 Prohibition On Transfers

11.29.17 Alternative Payment Procedures

11.29.18 [Not Used]

11.29.19 Payment Errors

11.29.20 Defaults

11.29.21 Proceedings To Recover Overdue Amounts

11.29.22 Data Gathering And Storage

11.29.23 Communications

11.29.24 CAISO Payments Calendar

11.30 Auditing

11.31 HASP Intertie Schedules Decline Charges

11.31.1 Decline Monthly Charge - Imports

11.31.2 Decline Monthly Charge – Exports

11.31.3 Allocation Of Import/Export Decline Monthly Charges

11.32 Measures to Address Intertie Scheduling Practices

12. Creditworthiness

12.1 Credit and Minimum Participation Requirements

12.1.1 Unsecured Credit Limit

- 12.1.2 Financial Security And Financial Security Amount
- 12.1.3 Estimated Aggregate Liability
- 12.2 Review Of Creditworthiness

12.3 Posting And Releases Of Financial Security

12.3.1 Self-Supply Of UDC Demand

12.4 Calculation Of Ongoing Financial Security Requirements

12.4.1 Resolution Of A CAISO Request For Additional Security Amount

12.4.2 Dispute Process For A Request For Additional Security Amount

12.5 CAISO Enforcement Actions

12.5.1 Under-Secured and Non-Compliant Market Participants

12.5.2 Late Posting Of Financial Security

12.6 Credit Obligations Applicable To CRRs

12.6.1 Credit Requirements For CRR Allocations

12.6.2 Credit Requirements For CRR Auctions

12.6.3 Credit Requirements For The Holding Of CRRs

12.6.4 Credit Requirements For Sales Of Allocated CRRs

12.7 Credit Obligation Of New Responsible Utilities For RMR Costs

12.8 Credit Requirements Applicable to Virtual Bids

12.8.1 Credit Check in the Day-Ahead Market

12.8.2 Virtual Bid Reference Prices

- 12.8.3 Adjustment of EAL After Close of the DAM
- 12.8.4 Adjustment of EAL After the Close of the RTM

13. Dispute Resolution

13.1 Applicability

- 13.1.1 General Applicability
- 13.1.2 Disputes Involving Government Agencies
- 13.1.3 Injunctive And Declaratory Relief
- 13.2 Negotiation And Mediation
 - 13.2.1 Negotiation
 - 13.2.2 Statement Of Claim
 - 13.2.3 Selection Of Mediator
 - 13.2.4 Mediation
 - 13.2.5 Demand For Arbitration
- 13.3 Arbitration
 - 13.3.1 Selection Of Arbitrator
 - 13.3.2 Disclosures Required Of Arbitrators

13.3.3 Arbitration Procedures

- 13.3.4 Modification Of Arbitration Procedures
- 13.3.5 Remedies
- 13.3.6 Summary Disposition
- 13.3.7 Discovery Procedures
- 13.3.8 Evidentiary Hearing
- 13.3.9 Confidentiality
- 13.3.10 Timetable
- 13.3.11 Decision
- 13.3.12 Compliance
- 13.3.13 Enforcement
- 13.3.14 Costs

13.4 Appeal Of Award

13.4.1 Basis For Appeal

- 13.4.2 Appellate Record
- 13.4.3 Procedures For Appeals
- 13.4.4 Award Implementation
- 13.4.5 Judicial Review Of FERC Orders
- 13.5 Allocation Of Awards Payable By Or To The CAISO
 - 13.5.1 Allocation Of An Award
 - 13.5.2 Timing Of Adjustments
 - 13.5.3 Method Of Allocation

14. Force Majeure Indemnification And Limitations On Liability

- 14.1 Uncontrollable Forces
- 14.2 Responsibilities Of Affected Entity
- 14.3 Strikes, Lockouts Or Labor Disputes
- 14.4 Market Participant's Indemnity
- 14.5 Limitation On Liability
 - 14.5.1 Liability For Damages
 - 14.5.2 Exclusion Of Certain Types Of Loss
- 14.6 Potomac Economics, Ltd. Limitation Of Liability

15. Regulatory Filings

16. Existing Contracts

- 16.1 Continuation Of Existing Contracts For Non-Participating TOs
 - 16.1.1 Participating TO Obligation
 - 16.1.2 Right To Use And Ownership Of Facilities
 - 16.1.3 Existing Contract Dispute Resolution
 - 16.1.4 Conversion Of PTOs' Rights Under Existing Contracts
- 16.2 [Not Used]
- 16.3 [Not Used]
- 16.4 TRTC Instructions
 - 16.4.1 Responsibility To Create TRTC Instructions
 - 16.4.2 Responsible PTO Re Multiple PTO Parties To Existing Contract
 - 16.4.3 Scheduling Coordinator Responsibilities
 - 16.4.4 Submission Of TRTC Instructions
 - 16.4.5 TRTC Instructions Content
 - 16.4.6 Changes And Updates To TRTC Instructions
 - 16.4.7 Treatment Of TRTC Instructions
 - 16.4.8 CAISO Role In Existing Contracts
 - 16.4.9 Implementation Of TRTC Instructions
- 16.5 Treatment Of Existing Contracts For Transmission Service
 - 16.5.1 System Emergency Exceptions
- 16.6 Valid ETC Self-Schedules
 - 16.6.1 Validation Of ETC Self-Schedules
 - 16.6.2 Treatment Of Invalid ETC Self-Schedules
 - 16.6.3 Treatment Of Valid ETC Self-Schedules
 - 16.6.4 Notification To SCs Of CAISO Determination
- 16.7 [Not Used]
- 16.8 [Not Used]
- 16.9 The HASP
 - 16.9.1 Scheduling Deadlines
- 16.10 The CAISO'S Real-Time Process
- 16.11 Inter-Balancing Authority Area ETC Self-Schedule Bid Changes
- 16.12 Intra-Balancing Authority Area ETC Self-Schedule Changes

17. Transmission Ownership Rights (TORs)

17.1 TRTC Instructions

17.1.1 Responsibility To Create TRTC Instructions

17.1.2 TOR Scheduling Coordinator Responsibilities

17.1.3 Submission Of TRTC Instructions

17.1.4 TRTC Instructions Content

17.1.5 Changes And Updates To TRTC Instructions

17.1.6 CAISO Role In Accepting TRTC Instructions

17.1.7 Implementation Of TRTC Instructions

17.2 Treatment Of TORs

17.2.1 System Emergency Exceptions

17.3 Valid TOR Self-Schedules

17.3.1 Validation Of TOR Self-Schedules

17.3.2 Treatment Of Invalid TOR Self-Schedules

17.3.3 Settlement Treatment Of Valid TOR Self-Schedules

17.3.4 Notification To SCs Of CAISO Determination

17.4 The HASP

17.4.1 Scheduling Deadlines

17.5 The CAISO'S Real-Time Process

17.6 Inter-Balancing Authority Area TOR Self-Schedule Bid Changes

17.7 Intra-Balancing Authority Area TOR Self-Schedule Changes

17.8 Existing Contracts Re TORs For Non-Participating TOs

17.8.1 Participating TO Obligation

17.8.2 Right To Use And Ownership Of TORs

17.8.3 Dispute Resolution For Existing Contracts Applicable To TORs

17.9 Conversion Of PTOs' Rights Under Existing Contracts Re TORs

17.10 TOR Operational Obligations

18. [Not Used]

19. [Not Used]

19.1 [Not Used] 19.1.1 [Not Used] 19.1.2 [Not Used] 19.1.3 [Not Used] 19.2 [Not Used]

20. Confidentiality

20.1 CAISO 20.2 Confidential Information 20.3 Other Parties 20.4 Disclosure 20.5 Confidentiality

21. [Not Used]

22. Miscellaneous

22.1 Audits

22.1.1 Materials Subject To Audit

22.1.2 CAISO Audit Committee

22.1.3 Audit Results

22.1.4 Availability Of Records

22.1.5 Confidentiality Of Information

22.1.6 Payments

22.2 Assignment

22.3 Term And Termination

- 22.3.1 Effective Date Of CAISO Tariff
- 22.3.2 Termination Of CAISO Tariff With Board And FERC Approval
- 22.4 Notice
 - 22.4.1 Effectiveness
 - 22.4.2 Addresses
 - 22.4.3 Notice Of Changes In Operating Procedures And BPMs
- 22.5 Waiver
- 22.6 Staffing And Training To Meet Obligations
- 22.7 Accounts And Reports
- 22.8 Applicable Law And Forum
- 22.9 Consistency With Federal Laws And Regulations
- 22.10 [Not Used]
- 22.11 Operating Procedures And BPM Development And Amendment
 - 22.11.1 Process For Revisions Of Business Practice Manuals
 - 22.11.2 Changes To BPM For BPM Change Management
 - 22.11.3 Requests For And Access To Nonpublic Operating Procedures
- 22.12 [Not Used]
- 22.13 Scheduling Responsibilities And Obligations

23. Categories Of Transmission Capacity

24. Comprehensive Transmission Planning Process

- 24.1 Overview
 - 24.1.1 Not Used
 - 24.1.2 Not Used
 - 24.1.3 Not Used
 - 24.1.4 Not Used
- 24.2 Nature of the Transmission Planning Process
 - 24.2.1 Not Used
 - 24.2.2 Not Used
 - 24.2.3 Not Used
 - 24.2.4 Not Used
- 24.3 Transmission Planning Process Phase 1
 - 24.3.1 Inputs to the Unified Planning Assumptions and Study Plan
 - 24.3.2 Contents of the Unified Planning Assumptions and Study Plan
 - 24.3.3 Stakeholder Input Unified Planning Assumptions/Study Plan
 - 24.3.4 Economic Planning Studies
 - 24.3.5 Not Used
- 24.4 Transmission Planning Process Phase 2
 - 24.4.1 Conducting Technical Studies
 - 24.4.2 Submission of Reliability Driven Projects
 - 24.4.3 Phase 2 Request Window
 - 24.4.4 Comment Period of Conceptual Statewide Plan
 - 24.4.5 Determination of Needed Transmission Projects and Elements
 - 24.4.6 Categories of Transmission Projects
 - 24.4.7 Description of Transmission Elements
 - 24.4.8 Additional Contents of Comprehensive Transmission Plan
 - 24.4.9 Phase 2 Stakeholder Process
 - 24.4.10 Transmission Plan Approval Process
- 24.5 Transmission Planning Process Phase 3
 - 24.5.1 Project Submissions
 - 24.5.2 Project Selection
 - 24.5.3 Notice to Project Sponsors
- 24.6 Obligation to Construct Transmission Projects
 - 24.6.1 Not Used
 - 24.6.2 Not Used

24.6.3 Not Used

24.7 Documentation of Compliance with NERC Reliability Standards 24.8 Regional And Sub-Regional Planning Process

24.8.1 Information Provided by Participating TOs

- 24.8.2 Information Provided by Participating Generators
- 24.8.3 Information Requested from Load Serving Entities
- 24.8.4 Information from Planning Groups, BAAs and Regulators
- 24.8.5 Obligation to Provide Updated Information

24.9 Phase 2 Stakeholder Process

24.10 Operational Review

- 24.10.1 Not Used
 - 24.10.2 Not Used
 - 24.10.3 Not Used
- 24.10.4 Not Used
- 24.11 State and Local Approval and Property Rights
 - 24.11.1 PTO Requirement to Seek Necessary Approvals and Rights
 - 24.11.2 Consequences of PTO Inability to Obtain Approvals and Rights
 - 24.11.3 Conferral of Right to Build Facilities on Third Party
- 24.12 WECC and Regional Coordination

24.13 Regional and Sub-Regional Planning Process

- 24.13.1 Scope of Regional or Sub-Regional Planning Process.
- 24.13.2 Limitation on Regional Activities
- 24.14 Cost Responsibility for Transmission Additions or Upgrades
 - 24.14.1 Project Sponsor Commitment to Pay Full Cost
 - 24.14.2 Cost of Needed Addition or Upgrade to be Borne by PTO
 - 24.14.3 CRR Entitlement for Project Sponsors not Recovering Costs
 - 24.14.4 Treatment of New High Voltage Facilities Costs in HVAC
- 24.15 Ownership of and Charges for Expansion Facilities
 - 24.15.1 Transmission Additions and Upgrades Under TCA
 - 24.15.2 Access and Charges for Transmission Additions and Upgrades
- 24.16 Expansion by Local Furnishing Participating TOs

25. Interconnection Of Generating Units And Facilities

- 25.1 Applicability
 - 25.1.1 Interconnection Request And Generating Unit Requirements
 - 25.1.2 Affidavit Requirement
- 25.2 Interconnections To The Distribution System
- 25.3 Maintenance Of Encumbrances
- 25.4 Asynchronous Generating Facilities

26. Transmission Rates And Charges

- 26.1 Access Charges
 - 26.1.1 Publicly Owned Electric Utilities Access Charge
 - 26.1.2 High Voltage Access Charge And Transition Charge Settlement
 - 26.1.3 Disbursement Of HVAC And Transition Charge Revenues
 - 26.1.4 Wheeling
 - 26.1.5 Unbundled Retail Transmission Rates
- 26.2 Tracking Account
- 26.3 Addition Of New Facilities After CAISO Implementation
- 26.4 Effect On Tax-Exempt Status
- 26.5 Transition Mechanism
- 26.6 Location Constrained Resource Interconnection Facilities
 - 26.6.1 LCRIFs That Become Network Facilities

27. CAISO Markets And Processes

- 27.1 LMPs And Ancillary Services Marginal Prices
 - 27.1.1 Locational Marginal Prices For Energy

- 27.1.2 Ancillary Service Prices
- 27.2 Load Aggregation Points (LAP)
 - 27.2.1 Metered Subsystems
 - 27.2.2 Determination Of LAP Prices
- 27.3 Trading Hubs
- 27.4 Optimization In The CAISO Markets Processes
 - 27.4.1 Security Constrained Unit Commitment
 - 27.4.2 Security Constrained Economic Dispatch
 - 27.4.3 CAISO Markets Scheduling And Pricing Parameters
- 27.5 Full Network Model
 - 27.5.1 Network Models used in CAISO Markets
 - 27.5.2 Metered Subsystems
 - 27.5.3 Integrated Balancing Authority Areas
 - 27.5.4 Accounting For Changes In Topology In FNM
 - 27.5.5 Load Distribution Factors
 - 27.5.6 Management & Enforcement of Constraints in the CAISO Markets
- 27.6 State Estimator
- 27.7 Constrained Output Generators
 - 27.7.1 Election Of Constrained Output Generator Status
 - 27.7.2 Election To Waive COG Status
 - 27.7.3 Constrained Output Generators In The IFM
 - 27.7.4 Constrained Output Generators In RUC
 - 27.7.5 Constrained Output Generators In The Real-Time Market
- 27.8 Multi-Stage Generating Resources

28. Inter-SC Trades

- 28.1 Inter-SC Trades Of Energy
 - 28.1.1 Purpose
 - 28.1.2 Availability Of Inter-SC Trades Of Energy
 - 28.1.3 Submission Of Inter-SC Trades Of Energy
 - 28.1.4 Information Requirements
 - 28.1.5 General Validation Rules For Inter-SC Trades
 - 28.1.6 Validation Procedures For Physical Trades
- 28.2 Inter-SC Trades Of Ancillary Services
 - 28.2.1 Information Requirements
 - 28.2.2 Validation
 - 28.2.3 Submission Of Inter-SC Trades Of Ancillary Services
- 28.3 Inter-SC Trades Of IFM Load Uplift Obligation
 - 28.3.1 Information Requirements
 - 28.3.2 Validation
 - 28.3.3 Submission Of Inter-SC Trades Of IFM Load Uplift Obligation

29. [Not Used]

30. Bid And Self-Schedule Submission For All CAISO Markets

- 30.1 Bids, Including Self-Schedules
 - 30.1.1 Day-Ahead Market
 - 30.1.2 HASP And Real-Time Market
- 30.2 Bid Types
- 30.3 [Not Used]
- 30.4 Election For Start-Up Costs And Minimum Load Costs
- 30.5 Bidding Rules
 - 30.5.1 General Bidding Rules
 - 30.5.2 Supply Bids
 - 30.5.3 Demand Bids

30.5.4 Wheeling Through Transactions

30.6 Bidding and Scheduling of Proxy Demand Resources

30.7 Bid Validation

30.7.1 Scheduling Coordinator Access

30.7.2 Timing Of CAISO Validation

30.7.3 DAM Validation

30.7.4 HASP And RTM Validation

30.7.5 Validation Of ETC Self-Schedules

30.7.6 Validation And Treatment Of Ancillary Services Bids

30.7.7 Format And Validation Of Operational Ramp Rates

30.7.8 Format And Validation Of Start-Up And Shut-Down Times

- 30.7.9 Format And Validation Of Start-Up Costs And Shut-Down Costs
- 30.7.10 Format And Validation Of Minimum Load Costs

30.8 Bids On Out-Of-Service Paths At Scheduling Points Prohibited

30.9 Virtual Bids

30.9.1 Virtual Bid Components

30.10 Use of AC Solution and Nodal Constraints

31. Day-Ahead Market

31.1 Bid Submission And Validation In The Day-Ahead Market

31.2 MPM-RRD

- 31.2.1 The Reliability And Market Power Mitigation Runs
- 31.2.2 Bid Mitigation
- 31.3 Integrated Forward Market
 - 31.3.1 Market Clearing And Price Determination
 - 31.3.2 Congestion And Transmission Losses Cost Determination
 - 31.3.3 Metered Subsystems
- 31.4 CAISO Market Adjustments To Non-Priced Quantities In The IFM
- 31.5 Residual Unit Commitment
 - 31.5.1 RUC Participation
 - 31.5.2 Metered Subsystem RUC Obligation
 - 31.5.3 RUC Procurement Target
 - 31.5.4 RUC Procurement Constraints
 - 31.5.5 Selection And Commitment Of RUC Capacity
 - 31.5.6 Eligibility For RUC Compensation
 - 31.5.7 Rescission Of Payments For RUC Capacity
- 31.6 Timing Of Day-Ahead Scheduling
 - 31.6.1 Criteria For Temporary Waiver Of Timing Requirements
 - 31.6.2 Information To Be Published On Secure Communication System
 - 31.6.3 Conditions Permitting CAISO To Abort Day-Ahead Market
 - 31.6.4 [Not Used]
- 31.7 Extremely Long-Start Commitment Process
- 31.8 Constraints at Scheduling Points for Interties

32. [Not Used]

33. Hour-Ahead Scheduling Process (HASP)

33.1 Submission Of Bids For The HASP And RTM

33.2 The HASP Optimization

33.3 Treatment Of Self-Schedules In HASP

33.4 MPM-RRD For The HASP And The RTM

33.5 [Not Used]

33.6 HASP Results

33.7 Ancillary Services in the HASP

- 33.8 HASP Prices For HASP Intertie Schedules
 - 33.8.1 Eligibility To Set The HASP Intertie LMP

33.9 Cessation Of The HASP

34. Real-Time Market

- 34.1 Inputs To The Real-Time Market
- 34.2 Real-Time Unit Commitment
 - 34.2.1 Commitment Of Fast Start And Short Start Units
 - 34.2.2 Real-Time Ancillary Services Procurement
- 34.3 Real-Time Dispatch
 - 34.3.1 Real-Time Economic Dispatch
 - 34.3.2 Real-Time Contingency Dispatch
 - 34.3.3 Real-Time Manual Dispatch
- 34.4 Short-Term Unit Commitment
- 34.5 General Dispatch Principles
- 34.6 Dispatch of Dispatch to Units, Participating Loads, and PDR
- 34.7 Utilization Of The Energy Bids
- 34.8 Dispatch Of Energy From Ancillary Services
- 34.9 Exceptional Dispatch
 - 34.9.1 System Reliability Exceptional Dispatches
 - 34.9.2 Other Exceptional Dispatch
 - 34.9.3 Transmission-Related Modeling Limitations
 - 34.9.4 Reporting Requirements
- 34.10 CAISO Market Adjustment To Non-Priced Quantities In The RTM
 - 34.10.1 Increasing Supply
 - 34.10.2 Decreasing Supply
- 34.11 Means Of Dispatch Communication
 - 34.11.1 Response Required By Resources To Dispatch Instructions
 - 34.11.2 Failure To Conform To Dispatch Instructions
- 34.12 Metered Subsystems
- 34.13 Treatment Of Resource Adequacy Capacity In The RTM
- 34.14 Real-Time Activities In The Hour Prior To Settlement Period
 - 34.14.1 Confirm Interchange Transaction Schedules (ITSs)
- 34.15 Rules For Real-Time Dispatch Of Imbalance Energy Resources
 - 34.15.1 Resource Constraints
 - 34.15.2 Calculation Of Dispatch Operating Points After Instructions
 - 34.15.3 [Not Used]
 - 34.15.4 Inter-Hour Dispatch Of Resources With Real-Time Energy Bids
 - 34.15.5 Inter-Hour Resources Dispatch Without Real-Time Energy Bids
 - 34.15.6 Intra-Hour Exceptional Dispatches
- 34.16 Ancillary Services In The Real-Time Market
 - 34.16.1 [Not Used]
 - 34.16.2 Dispatch Of Self-Provided Ancillary Services
 - 34.16.3 Ancillary Services Requirements For RTM Dispatch
- 34.17 Dispatch Information And Instructions
 - 34.17.1 Dispatch Information To Be Supplied By The CAISO
 - 34.17.2 Dispatch Information To Be Supplied By SC
 - 34.17.3 Dispatch Information To Be Supplied By UDCs
 - 34.17.4 Dispatch Information To Be Supplied By PTOs
 - 34.17.5 Dispatch Information To Be Supplied By Balancing Authorities
- 34.18 [Not Used]
- 34.19 Pricing Imbalance Energy
 - 34.19.1 General Principles
 - 34.19.2 Determining Real-Time LMPs

35. Market Validation And Price Correction

- 35.1 Market Validation
- 35.2 Timing Of The Price Correction Process
- 35.3 Finality Of Prices Subject To The Price Correction Process
- 35.4 Scope Of Price Corrections

35.5 Price Correction Methodology 35.6 Weekly Price Correction Report

36. Congestion Revenue Rights

36.1 Overview Of CRRs And Procurement Of CRRs

36.2 Types Of CRR Instruments

36.2.1 CRR Obligations

36.2.2 CRR Options

36.2.3 Point-To-Point CRRs

36.2.4 Multi Point CRRs

36.2.5 Monthly CRRs

36.2.6 Seasonal CRRs

36.2.7 Long Term CRRs

36.2.8 Full Funding Of CRRs

36.3 CRR Specifications

36.3.1 Quantity

36.3.2 Term

36.3.3 On-Peak And Off-Peak Specifications

36.4 FNM For CRR Allocation And CRR Auction

36.4.1 Transmission Capacity For CRR Allocation And CRR Auction

36.4.2 Simultaneous Feasibility

36.4.3 Outages That May Affect CRR Revenue; Scheduling Requirements

36.5 Candidate CRR Holder And CRR Holder Requirements

36.5.1 Creditworthiness Requirements

36.5.2 Required Training

36.6 [Not Used]

36.7 Bilateral CRR Transactions

36.7.1 Transfer Of CRRs

36.7.2 Responsibility Of The CAISO

36.7.3 CRR Holder Reporting Requirement

36.8 CRR Allocation

36.8.1 Structure Of The CRR Allocation Process

36.8.2 Load Eligible For CRRs And Eligible CRR Sinks

36.8.3 CRR Allocation Process

36.8.4 Eligible Sources For CRR Allocation

36.8.5 Load Migration Between LSEs

36.8.6 Load Forecasts Used To Calculate CRR MW Eligibility

36.8.7 Reconfiguration of CRRs

36.9 CRR Allocation To OBAALSEs

36.9.1 Showing Of Legitimate Need

36.9.2 Prepayment Of Wheeling Access Charges

36.9.3 CRR Eligible Quantities

36.9.4 Eligible CRR Sources And Sinks

36.9.5 Priority Nomination Process

36.10 CRR Allocation To Metered Subsystems

36.11 CRR Allocation To Merchant Transmission Facilities

36.11.1 Eligibility For Merchant Transmission CRRs

36.11.2 Procedure For Allocating Merchant Transmission CRRs

36.11.3 CRRs Allocated To A Transmission Facility Project Sponsor

36.12 [Not Used]

36.13 CRR Auction

36.13.1 Scope Of The CRR Auctions

36.13.2 Responsibilities Of The CAISO Prior To Each CRR Auction

36.13.3 CRR Holder Creditworthiness

36.13.4 Bids In The CRR Auctions

36.13.5 Eligible Sources And Sinks For CRR Auction

36.13.6 Clearing Of The CRR Auction

36.13.7 Announcement Of CRR Auction Results

36.14 CRR Implications Of New IBAAs Or Modifying Existing IBAAs

- 36.14.1 Coordination Of IBAA Changes With Release Of CRRs
- 36.14.2 Modifications To CRR Settlement To Reflect Ibaa Changes
- 36.14.3 IBAA Change Impact On Adequacy Of Previously-Released CRRs

36.15 [Not Used]

37. Rules Of Conduct

- 37.1 Objectives, Definitions, And Scope
 - 37.1.1 Purpose
 - 37.1.2 Objectives
 - 37.1.3 Application Of Other Remedies
 - 37.1.4 Not Used
 - 37.1.5 Administration
- 37.2 Comply With Operating Orders
 - 37.2.1 Compliance With Orders Generally
 - 37.2.2 Failure To Curtail Load
 - 37.2.3 Operations & Maintenance Practices
 - 37.2.4 Resource Adequacy Availability
 - 37.2.5 Not Used
 - 37.2.6 Not Used
- 37.3 Submit Feasible Bids And Submissions To Self-Provide
 - 37.3.1 Bidding Generally
 - 37.3.2 Exceptions
- 37.4 Comply With Availability Reporting Requirements
 - 37.4.1 Reporting Availability
 - 37.4.2 Scheduling And Final Approval Of Outages
 - 37.4.3 Explanation Of Forced Outages
 - 37.4.4 Enhancements And Exceptions
- 37.5 Provide Factually Accurate Information
 - 37.5.1 Not Used
 - 37.5.2 Inaccurate Meter Data
- 37.6 Provide Information Required By CAISO Tariff
 - 37.6.1 Required Information Generally
 - 37.6.2 Investigation Information
 - 37.6.3 Audit Materials
 - 37.6.4 Review By FERC
- 37.7 Not Used
- 37.8 Process For Investigation And Enforcement
 - 37.8.1 Purpose; Scope
 - 37.8.2 Referrals To FERC
 - 37.8.3 Investigation
 - 37.8.4 Notice
 - 37.8.5 Opportunity To Present Evidence
 - 37.8.6 Results Of Investigation
 - 37.8.7 Statement Of Findings And Conclusions
 - 37.8.8 Officer Representative
 - 37.8.9 Record Of Investigation
 - 37.8.10 Review Of Determination
- 37.9 Administration Of Sanctions
 - 37.9.1 Assessment; Waivers And Adjustments
 - 37.9.2 Not Used
 - 37.9.3 Settlement
 - 37.9.4 Disposition Of Proceeds
- 37.10 Miscellaneous

37.10.1 Time Limitation

37.10.2 No Limitation On Other Rights

37.11 Method For Calculating Penalties

37.11.1 Method For Calculating Inaccurate Meter Data Penalty

38. Market Monitoring

39. Market Power Mitigation Procedures

39.1 Intent Of CAISO Mitigation Measures; Additional FERC Filings 39.2 Conditions For The Imposition Of Mitigation Measures 39.2.1 Conduct Inconsistent With Competitive Conduct 39.3 Categories Of Conduct That May Warrant Mitigation 39.3.1 Conduct Regarding Bidding, Scheduling Or Facility Operation 39.3.2 Market Effects Of Rules, Standards, Procedures, Other Items 39.3.3 Using Different Prices In Other Markets Not Uncompetitive 39.3.4 Foregoing Category List Subject To Amendment As Appropriate 39.4 Sanctions For Physical Withholding 39.5 FERC-Ordered Measures 39.6 Rules Limiting Certain Energy, AS, And RUC Bids 39.6.1 Maximum Bid Prices 39.7 Local Market Power Mitigation For Energy Bids 39.7.1 Calculation Of Default Energy Bids 39.7.2 Competitive Path Designation 39.8 Eligibility For Bid Adder 39.8.1 Bid Adder Eligibility Criteria 39.8.2 New Generating Units 39.8.3 Bid Adder Values 39.9 CRR Monitoring And Affiliate Disclosure Requirements 39.10 Mitigation Of Exceptional Dispatches Of Resources 39.10.1 Measures For Resources Eligible For Supplemental Revenues 39.10.2 Resources Not Eligible For Supplemental Revenues 39.10.3 Eligibility For Supplemental Revenues 39.10.4 Limitation On Supplemental Revenues 39.10.5 Calculation Of Exceptional Dispatch Supplemental Revenues 39.11 Market Power Mitigation Applicable to Virtual Bidding 39.11.1 Affiliate Disclosure Requirements 39.11.2 Monitoring of Virtual Bidding Activity 40. Resource Adequacy Demonstration For All SCs In The CAISO BAA 40.1 Applicability 40.1.1 Election Of Load Serving Entity Status 40.2 Information Requirements For Resource Adequacy Programs 40.2.1 Reserve Sharing LSEs 40.2.2 Non-CPUC LSEs Electing Reserve Sharing LSE Status 40.2.3 Modified Reserve Sharing LSEs 40.2.4 Load Following MSS 40.3 Local Capacity Area Resource Requirements For SCs For LSEs

40.3.1 Local Capacity Technical Study

40.3.2 Allocation Of Local Capacity Area Resource Obligations

40.3.3 Procurement Of Local Capacity Area Resources By LSEs

40.3.4 [Not Used]

40.4 General Requirements On Resource Adequacy Resources

40.4.1 Eligible Resources And Determination Of Qualifying Capacity

40.4.2 Net Qualifying Capacity Report

40.4.3 General Qualifications For Supplying Net Qualifying Capacity

40.4.4 Reductions For Testing

40.4.5 Reductions For Performance Criteria

40.4.6 Reductions For Deliverability

40.4.7 Submission Of Supply Plans

40.5 Requirements Applying To Modified Reserve Sharing LSEs Only

40.5.1 Day Ahead Scheduling And Bidding Requirements

40.5.2 Demand Forecast Accuracy

40.5.3 Requirement To Make Resources Available In System Emergency

40.5.4 Consequence Of Failure To Meet Scheduling Obligation

40.5.5 Substitution Of Resources

40.6 Requirements For SCs And Resources For Reserve Sharing LSEs

40.6.1 Day-Ahead Availability

40.6.2 Real-Time Availability

40.6.3 Additional Availability Requirements For Short Start Units

40.6.4 Use-Limited Resources Additional Availability Requirements

40.6.5 Additional Availability Requirements For System Resources

40.6.6 Requirements For Partial Resource Adequacy Resources

40.6.7 Release Of Long Start Units

40.6.8 Use Of Generated Bids

40.6.9 Grandfathered Firm Liquidated Damages Contracts Requirements

40.6.10 Exports Of Energy From Resource Adequacy Capacity

40.6.11 Curtailment Of Exports In Emergency Situations

40.6.12 Participating Loads and Proxy Demand Resources

40.7 Compliance

40.7.1 Other Compliance Issues

40.7.2 Penalties For Non-Compliance

40.8 CAISO Default Qualifying Capacity Criteria

40.8.1 Applicability

40.9. Availability Standards And Payment; Non-Availability Charges

40.9.1 General

40.9.2 Exemptions

40.9.3 Availability Assessment Hours

40.9.4 Availability Determinations

40.9.5 Outage Reporting

40.9.6 Non-Availability Charges And Availability Incentive Payments

40.9.7 Assessment For Non Resource-Specific System Resources

40.9.8 Reporting

41. Procurement Of RMR Generation

41.1 Procurement Of Reliability Must-Run Generation By The CAISO

41.2 Designation Of Generating Unit As Reliability Must-Run Unit

41.3 Reliability Studies And Determination Of RMR Unit Status

41.4 Reliability Must-Run Contracts

41.5 RMR Dispatch

41.5.1 Day-Ahead And HASP RMR Dispatch

41.5.2 RMR Payments

41.5.3 RMR Units And Ancillary Services Requirements

41.6 Reliability Must-Run Charge

41.6.1 No Offsets To Responsible Utility's CAISO Invoice Payments

41.6.2 Refunds Of Disputed Amounts On RMR Invoices

41.6.3 Time-Frame For Responsible Utility To Dispute RMR Invoices

41.6.4 Disputes After Operational Compliance Review

41.6.5 Invoice Disputes Subject To RMR Contract Resolution Process

41.6.6 RMR Owner's Rights As A Third Party Beneficiary

41.7 Responsibility For Reliability Must-Run Charge

41.8 Responsibility For RMR Charges Associated With SONGS

41.9 Exceptional Dispatch Of Condition 2 RMR Units

41.9.1 Notification Required Before Condition 2 RMR Unit Dispatch

42. Adequacy Of Facilities To Meet Operating & Planning Reserve

42.1 Generation Planning Reserve Criteria

42.1.1

42.1.2 Applicable Reliability Criteria Met In Peak Demand

42.1.3 Applicable Reliability Criteria Not Met In Peak Demand

42.1.4 Lowest Cost Bids Satisfying Applicable Reliability Criteria

42.1.5 CAISO To Take Necessary Steps To Ensure Criteria Compliance

42.1.6 Long Term Forecast For Information Purposes

42.1.7 Reliance On Market Forces To Maximum Possible Extent

42.1.8 Allocation Of Costs Incurred By CAISO In Trading Hour To SCs

42.1.9 Costs For Difference In Schedules And Real-Time Deviations

43. Capacity Procurement Mechanism

43.1 Interim Capacity Procurement Mechanism

43.2 Capacity Procurement Mechanism Designation

43.3 Terms of CPM Designation

43.4 Selection of Eligible Capacity Under The CPM

43.5 Obligations of a Resource Designated Under The CPM

43.6 Reports

43.7 Payments To Resources Designated Under The CPM

43.8 Allocation Of CPM Capacity Payment Costs

43.9 Crediting Of CPM Capacity

44. [Not Used]

44.1 [Not Used] 44.2 [Not Used] 44.3 [Not Used]

Appendix A Definitions

Appendix B Pro Forma Agreements

Appendix B.1 Scheduling Coordinator Agreement Appendix B.2 Participating Generator Agreement Appendix B.3 QF Participating Generator Agreement Appendix B.4 Participating Load Agreement Appendix B.5 Dynamic Scheduling Agreement For SCs Appendix B.6 MSA For Metered Entities (MSA CAISOME) Appendix B.7 Meter Service Agreement For SCs (MSA SC) Appendix B.8 Utility Distribution Company OA (UDCOA) Appendix B.9 DSHBA Operating Agreement (DSHBAOA) Appendix B.10 Small Utility Distribution Co. OA (SUDCOA) Appendix B.11 Pro Forma CRR Entity Agreement Appendix B.12 MSS Aggregator CRR Entity Agreement Appendix B.13 Resource-Specific System Resource Agreement Appendix B.14 Proxy Demand Resource Agreement Appendix B.15 Convergence Bidding Entity Agreement

Appendix C Locational Marginal Price

Appendix D Black Start Generating Units

Appendix E Submitted Ancillary Services Data Verification

- Appendix F Rate Schedules
- Appendix G Pro Forma Reliability Must-Run Contract
- Appendix H Grandfathered Metering & Settlement Provisions
- Appendix I Station Power Protocol
- Appendix J [Not Used]
- Appendix K Ancillary Service Requirements Protocol (ASRP)
- Appendix L Method To Assess Available Transfer Capability
- Appendix M Procedures For Addressing Parallel Flows
- Appendix N [Not Used]
- Appendix O CAISO Market Surveillance Committee
- Appendix P CAISO Department Of Market Monitoring
- Appendix Q Eligible Intermittent Resources Protocol (EIRP)
- Appendix R UDP Aggregation Protocol
- Appendix S Small Generator Interconnection Procedures
- Appendix T Small Generator Interconnection Agreement
- **Appendix U Large Generator Interconnection Procedures**
- Appendix V Large Generator Interconnection Agreement
- Appendix W Amendment 39 Interconnection Procedures
- Appendix X Dynamic Scheduling Protocol (DSP)
- Appendix Y GIP For Interconnection Requests
- Appendix Z LGIA For Interconnection Requests Process Under the GIP
- Appendix AA Transition Plan for Multi-Stage Generating Resources
- Appendix BB Standard Large Generator Interconnection Agreement for Interconnection Requests in a Serial Study Group
- Appendix CC Large Generator Interconnection Agreement for Interconnection Requests in a Queue Cluster Window