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**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

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- 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]

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- 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

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- 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 Additional Planning Information
  - 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 Participating TO Study Obligation
- 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 Participation
  - 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

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- 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
  - 27.1.3 Regulation Mileage Clearing Price
- 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 and 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
- 27.9 [Not Used]
- 27.10 Flexible Ramping Constraint

**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

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- 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
  - 30.5.5 Scheduling Sourcing/Sinking in Same Balancing Authority Area
- 30.6 Bidding and Scheduling of Proxy Demand Resources
  - 30.6.1 Bidding and Scheduling Generally
  - 30.6.2 [Not Used]
  - 30.6.3 Net Benefits Test For Scheduling of PDRs
- 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 Day-Ahead MPM Process
  - 31.2.1 The Market Power Mitigation Process
  - 31.2.2 Bid Mitigation for RMR Units
  - 31.2.3 Bid Mitigation for Non-RMR Units
- 31.3 Integrated Forward Market
  - 31.3.1 Market Clearing And Price Determination
  - 31.3.2 Congestion And Transmission Losses Cost Determination

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- 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
    - 34.2.3 MPM For The Real-Time Market
  - 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



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- 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 (ITs)
- 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

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- 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 IBAA's Or Modifying Existing IBAA's
  - 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

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- 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 or Late Actual SQMD
- 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 Inaccurate or Late Actual SQMD Penalty
  - 37.11.2 Inaccurate Actual SQMD Penalty Without Recal. Sett. Stmt.

**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

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- 39.7.2 Competitive Path Designation
- 39.7.3 Default Competitive Path Designations
- 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
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    - 40.6.3 Additional Availability Requirements For Short Start Units
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- 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
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- 41.5 RMR Dispatch
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  - 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
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- 42.1 Generation Planning Reserve Criteria
  - 42.1.1
  - 42.1.2 Applicable Reliability Criteria Met In Peak Demand
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  - 42.1.4 Lowest Cost Bids Satisfying Applicable Reliability Criteria
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  - 42.1.6 Long Term Forecast For Information Purposes
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  - 42.1.8 Allocation Of Costs Incurred By CAISO In Trading Hour To SCs
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**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

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- 43.7 Payments To Resources Designated Under The CPM
- 43.8 Allocation Of CPM Capacity Payment Costs
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**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 Net Scheduled 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 Agent Agreement
- Appendix B.13 Resource-Specific System Resource Agreement
- Appendix B.14 Proxy Demand Resource Agreement
- Appendix B.15 Convergence Bidding Entity Agreement
- Appendix B.16 Pseudo-Tie Participating Generator 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 Grandfathered Metering and Settlement Provisions for Trading Days Prior to October 1, 2011**

**Appendix K Ancillary Service Requirements Protocol (ASRP)**

**Appendix L Method To Assess Available Transfer Capability**

**Appendix M Dynamic Scheduling Protocol (DSP)**

**Appendix N Pseudo-Tie Protocol**

**Appendix O CAISO Market Surveillance Committee**

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<b>Appendix P</b>	<b>CAISO Department Of Market Monitoring</b>
<b>Appendix Q</b>	<b>Eligible Intermittent Resources Protocol (EIRP)</b>
<b>Appendix R</b>	<b>UDP Aggregation Protocol</b>
<b>Appendix S</b>	<b>Small Generator Interconnection Procedures</b>
<b>Appendix T</b>	<b>Small Generator Interconnection Agreement</b>
<b>Appendix U</b>	<b>Large Generator Interconnection Procedures</b>
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<b>Appendix W</b>	<b>Amendment 39 Interconnection Procedures</b>
<b>Appendix X</b>	<b>[Not Used]</b>
<b>Appendix Y</b>	<b>GIP For Interconnection Requests</b>
<b>Appendix Z</b>	<b>LGIA For Interconnection Requests Process Under the GIP</b>
<b>Appendix AA</b>	<b>Transition Plan for Multi-Stage Generating Resources</b>
<b>Appendix BB</b>	<b>Standard Large Generator Interconnection Agreement for Interconnection Requests in a Serial Study Group</b>
<b>Appendix CC</b>	<b>Large Generator Interconnection Agreement for Interconnection Requests in a Queue Cluster Window</b>
<b>Appendix DD</b>	<b>Generator Interconnection and Deliverability Allocation Procedures (GIDAP)</b>
<b>Appendix EE</b>	<b>Large Generator Interconnection Agreement for Interconnection Requests Processed under the Generator Interconnection and Deliverability Allocation Procedures</b>
<b>Appendix FF</b>	<b>Small Generator Interconnection Agreement for Interconnection Requests Processed Under the Generator Interconnection and Deliverability Allocation Procedures</b>
<b>Appendix GG</b>	<b>One-Time Interconnecting Generator Downsizing Opportunity</b>
<b>Appendix HH</b>	<b>Generation Interconnection Agreement Amendment Re: Generator Downsizing</b>
<b>Appendix II</b>	<b>Market-Based Rate Authority Suspension</b>