

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 Requirements for Certain Participating Generators
 - 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
 - 4.6.10 RMTMax for CHP Resources
- 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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
- 4.15 Relationship between CAISO and Pseudo-Ties to CAISO
- 4.16 Relationship between CAISO and Pseudo-Ties Out

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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

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

6.5.9 Transmission Flowgate Constraint Information

6.5.10 Protected Communications with Market Participants

6.5.11 Aggregate Generation Outage Data

6.5.12 Wind and Solar Forecast and Output

6.5.13 Suspension of Publication

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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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 Generation 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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+12B
- 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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 Not Used
- 11.18 Emissions Costs
 - 11.18.1 Obligation To Pay Emissions Cost Charges

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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 Recovered Through The Grid Management Charge
 - 11.22.3 Not Used
 - 11.22.4 TOR Charges
 - 11.22.5 Bid Segment Fee
 - 11.22.6 CRR Transaction Fee
 - 11.22.7 Inter-Scheduling Coordinator Trade Transaction Fee
 - 11.22.8 Scheduling Coordinator ID Charge
- 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 Flexible Ramping Constraint Compensation
 - 11.25.1 Compensation
 - 11.25.2 Rescission of Payment for Non-Performance
 - 11.25.3 Allocation of Costs
- 11.26 [Not Used]
- 11.27 Voltage Support And Black Start Charges
- 11.28 Calculating, Charging And Disbursing Default Interest
- 11.29 CAISO as Counterparty; Billing and Payment;
 - 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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 [Not Used]
- 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
- 11.33 Settling Revenue from Schedule Sourcing/Sinking in Same BAA
- 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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, Indemnity, Liabilities, and Penalties

- 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
- 14.7 Allocation of Reliability-Related Penalty Costs
 - 14.7.1 Overview of Process
 - 14.7.2 Direct Allocation of Reliability Standards Penalties
 - 14.7.3 Indirect Allocation of Reliability-Related Penalty Costs

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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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]

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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 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
 - 28.1.3 Submission Of Inter-SC Trades Of Energy
 - 28.1.4 Information Requirements

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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
- 30.7 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
 - 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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
 - 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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
 - 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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 NRS-RA 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]

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

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

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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

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 [Not Used]

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

Appendix DD Generator Interconnection and Deliverability Allocation Procedures (GIDAP)

Appendix EE Large Generator Interconnection Agreement for Interconnection Requests Processed under the Generator Interconnection and Deliverability Allocation Procedures

Appendix FF Small Generator Interconnection Agreement for Interconnection Requests Processed Under the Generator Interconnection and Deliverability Allocation Procedures

Appendix GG One-Time Interconnecting Generator Downsizing Opportunity

Appendix HH Generation Interconnection Agreement Amendment Re: Generator Downsizing