

ANCILLARY SERVICES REQUIREMENTS PROTOCOL

APPENDICES A-F

APPENDIX A

Certification for Regulation

- A 1** A Generator wishing to provide Regulation as an Ancillary Service from a Generating Unit whether pursuant to the ISO's auction or as part of a self-provision arrangement must meet the following operating characteristics and technical requirements in order to be certified by the ISO to provide Regulation service unless granted a temporary exemption by the ISO in accordance with criteria which the ISO shall publish on the ISO's internet "Home Page;"
- A 1.1** **Operating Characteristics**
- A 1.1.1** the rated capacity of the Generating Unit must be 1 MW or greater unless the Generating Unit is participating in an aggregation arrangement approved by the ISO;
- A 1.1.2** the maximum amount of Regulation to be offered must be reached within a period that may range from a minimum of 10 minutes to a maximum of 30 minutes, as such period may be specified by the ISO and published on the ISO's internet "Home Page;"
- A 1.2** **Technical Requirements**
- A 1.2.1** **Control**
- A 1.2.1.1** a direct, digital, unfiltered control signal generated from the ISO EMS through a standard ISO direct communication and direct control system, must meet the minimum performance standards for communications and control which will be developed and posted by the ISO on its internet "Home Page;"
- A 1.2.1.2** the Generating Unit power output response (in MW) to a control signal must meet the minimum performance standards for control and unit response which will be developed and posted by the ISO on its internet "Home Page." As indicated by the Generating Unit power output (in MW), the Generating Unit must respond immediately, without manual Generating Unit operator intervention, to control signals and must sustain its specified ramp rate, within specified Regulation limits, for each minute of control response (MW/minute);
- A 1.2.2** **Monitoring:**
- the Generating Unit must have a standard ISO direct communication and direct control system to send signals to the ISO EMS to dynamically monitor, at a minimum the following:
- A 1.2.2.1** actual power output (MW);
- A 1.2.2.2** high limit, low limit and rate limit values as selected by the Generating Unit operator; and
- A 1.2.2.3** in-service status indication confirming availability of Regulation service.

A 1.2.3 Voice Communications:

ISO approved primary and back-up voice communication must be in place between the ISO Control Center and the operator controlling the Generating Unit at the generating site and between the Scheduling

- Coordinator and the operator. The primary dedicated voice communication between the ISO Control Center and the operator controlling the Generating Unit at the generating site must be digital voice communication, as provided by a standard ISO direct communication and direct control system; and
- A 1.3** the communication and control system and the Generating Unit must pass a qualification test to demonstrate the overall ability to provide Regulation meeting the performance requirements of the ASRP for Regulation.
- A 2** A Generator wishing to be considered for certification for Regulation service by the ISO must make a written request to the ISO, giving details of the technical capability of the Generating Units concerned and identifying the Scheduling Coordinator through whom the Generator intends to offer Regulation service. The Generator shall at the same time send a copy of its request to that Scheduling Coordinator. Technical review request forms will be available from the ISO.
- A 3** No later than one week after receipt of the Generator's request, the ISO shall provide the Generator with a listing of required interface equipment for Regulation, including a standard ISO direct communication and direct control system. The ISO shall send a copy of the listing to the Generator's Scheduling Coordinator.
- A 4** The Generator may propose alternatives that the Generator believes may provide an equivalent level of communication and control for consideration by the ISO. Such proposals shall be in writing and contain sufficient detail for the ISO to make a determination of suitability. The ISO may request additional information, if required, to assist in its evaluation of the proposal.
- A 5** The ISO shall respond by accepting the alternative proposal, rejecting the alternative proposal, or suggesting modifications to the alternative proposal. Such acceptance, rejection, or suggested revision must be provided not later than six weeks after the proposal is received by the ISO. The Generator and the ISO shall keep the Scheduling Coordinator informed of this process by each sending to the Scheduling Coordinator a copy of any written communication which it sends to the other.
- A 6** Upon agreement as to any alternative method of communication and control to be used by the Generator, the ISO shall provisionally approve the proposal in writing providing a copy to the Generator's Scheduling Coordinator at the same time. If agreed by the ISO, the Generator may then proceed to procure and install the equipment and make arrangements for the required communication and control.
- A 7** Design, acquisition, and installation of the ISO-approved communication and control equipment shall be under the control of the ISO. The ISO shall bear no cost responsibility or functional

responsibility for such equipment, except that the ISO shall arrange for and monitor the maintenance of the communication and control system at the Generator's expense, unless otherwise agreed by the ISO and the Generator. The ISO shall be responsible for the design, acquisition and installation of any necessary modifications to the ISO EMS at its own cost.

- A 8** The ISO, in cooperation with the Generator shall perform testing of the communication and control equipment to ensure that the communication and control system performs to meet the ISO requirements.
- A 9** When the ISO is satisfied that the communication and control systems meet the ISO's requirements, the Generator shall request in writing that the ISO conduct a certification test with a suggested primary date and time and at least two alternative dates and times. The ISO shall, within two Business Days of receipt of the Generator's request, accept a proposed time if possible or suggest at least three alternatives to the Generator. If the ISO responds by suggesting alternatives, the Generator shall, within two Business Days of receipt of the ISO's response, respond in turn by accepting a proposed alternative if possible or suggesting at least three alternatives, and this procedure shall continue until agreement is reached on the date and time of the test. The Generator shall inform its Scheduling Coordinator of the agreed date and time of the test.
- A 10** Testing shall be performed by the ISO, with the cooperation of the Generator. Such tests shall include, but not be limited to, the following:
- A 10.1** confirmation of control communication path performance;
- A 10.2** confirmation of primary and secondary voice circuits for receipt of Dispatch instructions;
- A 10.3** confirmation of the Generating Unit control performance; and
- A 10.4** confirmation of the ISO EMS control to include changing the Generating Unit output over the range of Regulation proposed at different Set Points, from minimum to maximum output, and at different rates of change from the minimum to the maximum permitted by the design of the Generating Unit.
- A 11** Upon successful completion of the test, the ISO shall certify the Generating Unit as being permitted to provide Regulation as an Ancillary Service and shall provide a copy of the certificate to the Scheduling Coordinator at the same time. The ISO shall change its Generating Unit data base to reflect the permission for the Generating Unit to provide Regulation service.
- A 12** The Scheduling Coordinator may bid Regulation service from the certified Generating Unit into the Markets starting with the Day-Ahead Market for the hour ending 0100 on the second Trading Day after the ISO issues the certificate.

- A 13** The certification to provide Regulation shall remain in force until:
- (a) withdrawn by the Scheduling Coordinator or the Generator by written notice to the ISO to take effect at the time notified in the notice, which must be the end of a Trading Day; or
 - (b) if the Generating Unit obtained ISO certification on the basis of a prior communication and control technology, until revoked by the ISO for failure to comply with the requirement set forth in A 13.1 that the Generating Unit install an ISO-specified standard ISO direct communication and direct control system (unless exempted by the ISO).
- A 13.1** Unless exempted by the ISO, if the Generating Unit obtained ISO certification on the basis of a prior communication and control technology, the ISO shall provide written notice to the Generator of the Generator's obligation to install an ISO-specified standard direct communication and direct control system along with a required date for said work to be completed as mutually agreed upon by the ISO and the Generator. Failure to meet the completion date shall be grounds for the revocation of certification, provided that the ISO must provide the Generator with at least ninety (90) days advance notice of the proposed revocation.
- A 14** The certification may be revoked by the ISO only under provisions of the ASRP or the ISO Tariff.

APPENDIX B

Certification for Spinning Reserve

- B 1** A Generator wishing to provide Spinning Reserve as an Ancillary Service from a Generating Unit or System Resource whether pursuant to the ISO's auction or as part of a self-provision arrangement must meet the following requirements in order to be certified by the ISO to provide Spinning Reserve service:
- B 1.1** the rated capacity of the Generating Unit must be 1 MW or greater unless the Generating Unit is participating in an aggregation arrangement approved by the ISO;
- B 1.2** the minimum governor performance of the Generating Unit or System Resource shall be as follows:
- B 1.2.1** 5% drop;
- B 1.2.2** governor deadband must be plus or minus 0.036Hz; and
- B 1.2.3** the power output must change within one second for any frequency deviation outside the governor deadband.
- B 1.3** the operator of the Generating Unit or System Resource must have a means of receiving Dispatch instructions to initiate an increase in real power output (MW) within one minute of the ISO Control Center determination that Energy from Spinning Reserve capacity must be Dispatched;
- B 1.4** the Generating Unit or System Resource must be able to increase its real power output (MW) by the maximum amount of Spinning Reserve to be offered within ten minutes;
- B 1.5** ISO approved voice communications services must be in place to provide both primary and alternate voice communication between the ISO Control Center and the operator controlling the Generating Unit or System Resource; and
- B 1.6** The communication system and the Generating Unit or System Resource must pass a qualification test to demonstrate the overall ability to meet the performance requirements of the ASRP for Spinning Reserve.
- B 2** A Generator or System Unit wishing to be considered for certification for Spinning Reserve service by the ISO must make a written request to the ISO, giving details of the technical capability of the Generating Units or System Resources concerned and identifying the Scheduling Coordinator through whom the Generator or System Unit intends to offer Spinning Reserve service. The Generator or System Unit shall at the same time send a copy of its request to that Scheduling Coordinator. Technical review request forms will be available from the ISO.

- B 3** No later than one week after receipt of the request, the ISO shall provide the Generator or System Unit with a listing of acceptable communication options and interface equipment options for Spinning Reserve. The ISO shall send a copy of the listing to the Generator's or System Unit's Scheduling Coordinator.

- B 4** The Generator or System Unit may elect to implement any of the approved options defined by the ISO, and, if it wishes to proceed with its request for certification, shall give written notice to the ISO of its selected communication option, with a copy to its Scheduling Coordinator.
- B 5** When it receives the Generator's or System Unit's notice, the ISO shall notify the Generator or System Unit and the Scheduling Coordinator in writing no later than two weeks after receipt of the notice confirming receipt of the notice and issuing provisional approval of the selected options. Upon receipt of the ISO acknowledgment, the Generator or System Unit may proceed as indicated below to secure the necessary facilities and capabilities required.
- B 6** The Generator or System Unit may also propose alternatives that it believes may provide an equivalent level of control for consideration by the ISO. Such proposals shall be in writing and contain sufficient detail for the ISO to make a determination of suitability. The ISO may request additional information, if required, to assist in its evaluation of the proposal.
- B 7** The ISO shall respond by accepting the alternative proposal, rejecting the alternative proposal, or suggesting modifications to the alternative proposal. Such acceptance, rejection, or suggested revision must be provided not later than six weeks after the proposal is received by the ISO. The Generator or the System Unit and the ISO shall keep the Scheduling Coordinator informed of this process by each sending to the Scheduling Coordinator a copy of any written communication which it sends to the other.
- B 8** Upon agreement as to the method of communication and control to be used by the Generator or System Resource, the ISO shall provisionally approve the Generator's proposal or the System Resource's proposal in writing providing a copy to the Generator's or System Resource's Scheduling Coordinator at the same time. The Generator or System Resource may then proceed to procure and install the equipment and make arrangements for the required communication.
- B 9** Design, acquisition, and installation of the Generator's equipment or the System Resource's equipment shall be under the control of the respective Generator or System Resource. The ISO shall bear no cost responsibility or functional responsibility for such equipment. The ISO shall be responsible for the design, acquisition and installation of any necessary modifications to its own equipment at its own cost.
- B 10** The Generator or System Resource shall perform its own testing of its equipment to ensure that the control system performs to meet the ISO requirements.

- B 11** When it is satisfied that its plant, equipment and communication systems meet the ISO's requirements, the Generator or System Resource shall request in writing that the ISO conduct a certification test with a suggested primary date and time and at least two alternative dates and times. The ISO shall, within two Business Days of receipt of the request, accept a proposed time if possible or suggest at least three alternatives to the Generator or System Resource. If the ISO responds by suggesting alternatives, the Generator or System Resource shall, within two Business Days of receipt of the ISO's response, respond in turn by accepting a proposed alternative if possible or suggesting at least three alternatives, and this procedure shall continue until agreement is reached on the date and time of the test. The Generator or System Resource shall inform its Scheduling Coordinator of the agreed date and time of the test.
- B 12** Testing shall be performed under the direction of the ISO. Such tests shall include, but not be limited to, the following:
- B 12.1** confirmation of control communication path performance for Dispatch instruction;
- B 12.2** confirmation of primary and secondary voice circuits for receipt of Dispatch instructions;
- B 12.3** confirmation of the Generating Unit or System Resource performance to include changing the Generating Unit or System Resource output over the range of Spinning Reserve proposed from minimum to maximum output, and at different rates of change from the minimum to the maximum permitted by the design of the Generating Unit or System Resource; and
- B 12.4** testing the drop characteristic of the Generating Unit or System Resource by simulating frequency excursions outside the allowed deadband and measuring the response of the Generating Unit or System Resource.
- B 13** Upon successful completion of the test the ISO shall certify the Generating Unit or System Resource as being permitted to provide Spinning Reserve as an Ancillary Service and shall provide a copy of the certificate to the Scheduling Coordinator at the same time. The ISO shall change the Generating Unit or System Resource data base to reflect the ability of the Generating Unit to provide Spinning Reserve.
- B 14** The Scheduling Coordinator may bid Spinning Reserve from the certified Generating Unit or System Resource into the Markets starting with the Day-Ahead Market for the hour ending 0100 on the Second Trading Day after the ISO issues the certificate.
- B 15** The certification to provide Spinning Reserve shall remain in force until withdrawn by the Scheduling Coordinator or the Generator or System Resource by written notice to the ISO to take effect at the time notified in the notice, which must be the end of a Trading Day.
- B 16** **The certification may be revoked by the ISO only under provisions of the ASRP or the ISO Tariff.**

APPENDIX C

Certification for Non-Spinning Reserve

- C 1** An Ancillary Service Provider wishing to provide Non-Spinning Reserve as an Ancillary Service from a Generating Unit or System Resource whether pursuant to the ISO's auction or as part of a self-provision arrangement must meet the following requirements in order to be certified by the ISO to provide Non-Spinning Reserve service:
- C 1.1** the rated capacity of the Generating Unit or System Resource must be 1 MW or greater unless the Generating Unit is participating in an aggregation arrangement approved by the ISO;
- C 1.2** the Generating Unit must be able to increase output as soon as possible to the value indicated in a Dispatch instruction, reaching the indicated value within ten minutes after issue of the instruction and be capable of maintaining output for 2 hours.
- C 2** An Ancillary Service Provider wishing to provide Non-Spinning Reserve as an Ancillary Service from Curtailable Demand whether pursuant to the ISO's auction or as part of a self-provision arrangement must meet the following requirements in order to be certified by the ISO to provide Non-Spinning Reserve service:
- C 2.1** the operator must be able to completely disconnect the required Load pursuant to a Dispatch instruction within ten minutes after issue of the instruction;
- C 2.2** the minimum change in the electrical consumption of the Load must be at least 1 MW; and
- C 2.3** the Load must be capable of being interrupted for at least two hours.
- C 3** An Ancillary Service Provider wishing to provide Non-Spinning Reserve as an Ancillary Service, whether pursuant to the ISO's auction or as part of a self-provision arrangement, must also meet the following requirements in order to be certified by the ISO to provide Non-Spinning Reserve service:
- C 3.1** the operator of the Generating Unit, System Resource or the Curtailable Demand must have a means of receiving a Dispatch instruction to initiate an increase in real power output or a reduction in Demand (MW) within one minute of the ISO Control Center's determination that Non-Spinning Reserve capacity must be Dispatched; and
- C 3.2** the communication system and the Generating Unit, System Resource or Load must pass a qualification test to demonstrate the overall ability to meet the performance requirements of the ASRP for Non-Spinning Reserve.

- C 4** An Ancillary Service Provider wishing to be considered for certification for Non-Spinning Reserve service must make a written request to the ISO, giving details of the technical capability of the Generating Unit, System Resource or Load concerned and identifying the Scheduling Coordinator through whom the Ancillary Service Provider intends to offer Non-Spinning Reserve. The Ancillary Service Provider shall at the

same time send a copy of the request to that Scheduling Coordinator. Technical Review request forms will be available from the ISO.

- C 5** No later than one week after receipt of the Ancillary Service Provider's request, the ISO shall provide the Ancillary Service Provider with a listing of acceptable communication options and interface equipment options for Non-Spinning Reserve. The ISO shall send a copy of the listing to the Ancillary Service Provider's Scheduling Coordinator.
- C 6** The Ancillary Service Provider may elect to implement any of the certification, the Ancillary Service Provider shall give written notice to the ISO of its selected communication option and interface equipment option, with a copy to its Scheduling Coordinator.
- C 7** When it receives the Ancillary Service Provider's notice, the ISO shall notify the Ancillary Service Provider and the Scheduling Coordinator in writing no later than two weeks after receipt of the notice confirming receipt of the notice and issuing provisional approval of the selected options. Upon receipt of the ISO acknowledgment the Ancillary Service Provider may proceed as indicated below to secure the necessary facilities and capabilities required.
- C 8** The Ancillary Service Provider may also propose alternatives that it believes may provide an equivalent level of control for consideration by the ISO. Such proposals shall be in writing and contain sufficient detail for the ISO to make a determination of suitability. The ISO may request additional information, if required, to assist in its evaluation of the proposal.
- C 9** The ISO shall respond by accepting the alternative proposal, rejecting the alternative proposal, or suggesting modifications to the alternative proposal. Such acceptance, rejection, or suggested revision must be provided not later than six weeks after the proposal is received by the ISO. The Ancillary Service Provider and the ISO shall keep the Scheduling Coordinator informed of this process by each sending to the Scheduling Coordinator a copy of any written communication which it sends to the other.
- C 10** Upon agreement as to the method of communication and control to be used by the Ancillary Service Provider, the ISO shall provisionally approve the proposal in writing providing a copy to the Ancillary Service Provider's Scheduling Coordinator at the same time. The Ancillary Service Provider may then proceed to procure and install the equipment and make arrangements for the required communication.
- C 11** Design, acquisition, and installation of the Ancillary Service Provider's equipment shall be under the control of the Ancillary Service Provider. The ISO shall bear no cost responsibility or functional responsibility for such equipment. The ISO shall be responsible for the design, acquisition and installation of any necessary modifications to the ISO's equipment at its own cost.

- C 12** The Ancillary Service Provider shall perform its own testing of its equipment to ensure that the control system performs to meet the ISO requirements.
- C 13** When it is satisfied that its plant, equipment and communication systems meet the ISO's requirements, the Ancillary Service Provider shall request in writing that the ISO conduct a certification test with a suggested primary date and time and at least two alternative dates and times. The ISO shall, within two Business Days of receipt of the Ancillary Service Provider's request, accept a proposed time if possible or suggest at least three alternatives. If the ISO responds by suggesting alternatives, the Ancillary Service Provider shall, within two Business Days of receipt of the ISO's response, respond in turn by accepting a proposed alternative if possible or suggesting at least three alternatives, and this procedure shall continue until agreement is reached on the date and time of the test. The Ancillary Service Provider shall inform its Scheduling Coordinator of the agreed date and time of the test.
- C 14** Testing shall be performed under the direction of the ISO. Such tests shall include, but not be limited to, the following:
- C 14.1** confirmation of control communication path performance;
- C 14.2** confirmation of primary and secondary voice circuits for receipt of Dispatch instructions;
- C 14.3** confirmation of the Generating Unit, System Resource or Load control performance; and
- C 14.4** confirmation of the range of Generating Unit or System Resource control to include changing the output over the range of Non-Spinning Reserve proposed.
- C 15** Upon successful completion of the test, the ISO shall certify the Generating Unit, System Resource or Load as being permitted to provide Non-Spinning Reserve as an Ancillary Service and shall provide a copy of the certificate to the Scheduling Coordinator at the same time. The ISO shall change its data base to reflect the permission for the Generating Unit or Load to provide Non-Spinning Reserve service.
- C 16** The Scheduling Coordinator may bid Non-Spinning Reserve service from the certified Generating Unit or Load into the Markets starting with the Day-Ahead Market for the hour ending 0100 on the second Trading Day after the ISO issues the certificate.
- C 17** The certification to provide Non-Spinning Reserve shall remain in force until withdrawn by the Scheduling Coordinator or the Ancillary Service Provider by written notice to the ISO to take effect at the time notified in the notice, which must be the end of a Trading Day.
- C 18** The certification may be revoked by the ISO only under provisions of the ASRP or the ISO Tariff.

APPENDIX D

Certification for Replacement Reserve

- D 1** An Ancillary Service Provider wishing to provide Replacement Reserve as an Ancillary Service from a Generating Unit or System Resource whether pursuant to the ISO's auction or as part of a self-provision arrangement must meet the following requirements in order to be certified by the ISO to provide Replacement Reserve service:
- D 1.1** the rated capacity of the Generating Unit or System Resource must be 1 MW or greater unless the Generating Unit is participating in an aggregation arrangement approved by the ISO;
- D 1.2** the operator of the Generating Unit must be able to increase output as quickly as possible to a value indicated in a Dispatch instruction, reaching the indicated value in sixty minutes or less after issue of the instruction.
- D 2** An Ancillary Service Provider wishing to provide Replacement Reserve as an Ancillary Service from Curtailable Demand whether pursuant to the ISO's auction or as part of a self-provision arrangement must meet the following requirements in order to be certified by the ISO to provide Replacement Reserve service:
- D 2.1** the operator must be able to completely disconnect the required Load pursuant to a Dispatch instruction within sixty minutes after issue of the instruction;
- D 2.2** the minimum change in the electrical consumption of the Load must be at least 1 MW; and
- D 2.3** the Load must be capable of being interrupted for at least two hours.
- D 3** An Ancillary Service Provider wishing to provide Replacement Reserve as an Ancillary Service, whether pursuant to the ISO's auction or as part of a self-provision arrangement, must also meet the following requirements in order to be certified by the ISO to provide Replacement Reserve service:
- D 3.1** the operator of the Generating Unit, System Resource or the Curtailable Demand must have a means of receiving a Dispatch instruction to initiate an increase in real power output or a reduction in Demand (MW) within one minute of the ISO Control Center's determination that Replacement Reserve capacity must be Dispatched; and
- D 3.2** the communication system and the Generating Unit or Load must pass a qualification test to demonstrate the overall ability to meet the performance requirements of the ASRP for Replacement Reserve.
- D 4** An Ancillary Service Provider wishing to be considered for certification for Replacement Reserve service must make a written request to the ISO, giving details of the technical capability of the Generating Unit, System Resource or the Load concerned and identifying the Scheduling Coordinator through whom the Ancillary Service Provider intends to offer Replacement Reserve. The Ancillary Service Provider shall at the

same time send a copy of its request to that Scheduling Coordinator. Technical Review request forms will be available from the ISO.

- D 5** No later than one week after receipt of the Ancillary Service Provider's request, the ISO shall provide the Ancillary Service Provider with a listing of acceptable communication options and interface equipment options for Replacement Reserve. The ISO shall send a copy of the listing to the Ancillary Service Provider's Scheduling Coordinator.
- D 6** The Ancillary Service Provider may elect to implement any of the options defined by the ISO, and, if it wishes to proceed with its request for certification, the Ancillary Service Provider shall give written notice to the ISO of its selected communication option and interface equipment option, with a copy to its Scheduling Coordinator.
- D 7** When it receives the Ancillary Service Provider's notice, the ISO shall notify the Ancillary Service Provider and the Scheduling Coordinator in writing no later than two weeks after receipt of the notice confirming receipt of the notice and issuing provisional approval of the selected options. Upon receipt of the ISO acknowledgment the Ancillary Service Provider may proceed as indicated below to secure the necessary facilities and capabilities required.
- D 8** The Ancillary Service Provider may also propose alternatives that it believes may provide an equivalent level of control for consideration by the ISO. Such proposals shall be in writing and contain sufficient detail for the ISO to make a determination of suitability. The ISO may request additional information, if required, to assist in its evaluation of the proposal.
- D 9** The ISO shall respond by accepting the alternative proposal, rejecting the alternative proposal, or suggesting modifications to the alternative proposal. Such acceptance, rejection, or suggested revision shall be provided not later than six weeks after the proposal is received by the ISO. The Ancillary Service Provider and the ISO shall keep the Scheduling Coordinator informed of this process by each sending to the Scheduling Coordinator a copy of any written communication which it sends to the other.
- D 10** Upon agreement as to the method of communication and control to be used by the Ancillary Service Provider, the ISO shall provisionally approve the proposal in writing providing a copy to the Ancillary Service Provider's Scheduling Coordinator at the same time. The Ancillary Service Provider may then proceed to procure and install the equipment and make arrangements for the required communication.
- D 11** Design, acquisition, and installation of the Ancillary Service Provider's equipment shall be under the control of the Ancillary Service Provider. The ISO shall bear no cost responsibility or functional responsibility for such equipment. The ISO shall be responsible for the design, acquisition and installation of any necessary modifications to the ISO's equipment at its own cost.

- D 12** The Ancillary Service Provider shall perform its own testing of its equipment to ensure that the control system performs to meet the ISO requirements.
- D 13** When it is satisfied that its plant, equipment and communication systems meet the ISO's requirements, the Ancillary Service Provider shall request in writing that the ISO conduct a certification test with a suggested primary date and time and at least two alternative dates and times. The ISO shall, within two Business Days of receipt of the Ancillary Service Provider's request, accept a proposed time if possible or suggest at least three alternatives. If the ISO responds by suggesting alternatives, the Ancillary Service Provider shall, within two Business Days of receipt of the ISO's response, respond in turn by accepting a proposed alternative if possible or suggesting at least three alternatives, and this procedure shall continue until agreement is reached on the date and time of the test. The Ancillary Service Provider shall inform its Scheduling Coordinator of the agreed date and time of the test.
- D 14** Testing shall be performed under the direction of the ISO. Such tests shall include, but not be limited to, the following:
- D 14.1** confirmation of control communication path performance;
- D 14.2** confirmation of primary and secondary voice circuits for receipt of Dispatch instructions;
- D 14.3** confirmation of the Generating Unit, System Resource or Load control performance; and
- D 14.4** confirmation of the range of Generating Unit or System Resource control to include changing the Generating Unit output over the range of Replacement Reserve proposed.
- D 15** Upon successful completion of the test the ISO shall certify the Generating Unit, System Resource or Load as being permitted to provide Replacement Reserve as an Ancillary Service and shall provide a copy of the certificate to the Scheduling Coordinator at the same time. The ISO shall change its data base to reflect the permission for the Generating Unit or Load to provide Replacement Reserve service.
- D 16** The Scheduling Coordinator may bid Replacement Reserve service from the certified Generating Unit or Load into the Markets starting with the Day-Ahead Market for the hour ending 0100 on the second Trading Day after the ISO issues the certificate.
- D 17** The certification to provide Replacement Reserve shall remain in force until withdrawn by the Scheduling Coordinator or the Ancillary Service Provider by written notice to the ISO to take effect at the time notified in the notice, which must be the end of a Trading Day.
- D 18** **The certification may be revoked by the ISO only under provisions of the ASRP or the ISO Tariff.**

APPENDIX E

Certification for Voltage Support

- E 1** A Generator wishing to provide Voltage Support as an Ancillary Service from a Generating Unit must meet the following requirements in order to be certified by the ISO to provide Voltage Support service:
- E 1.1** the rated capacity of the Generating Unit must be 1 MW or greater unless the Generating Unit is participating in an aggregation arrangement approved by the ISO;
- E 1.2** the Generating Unit must be able to produce VARs at lagging power factors less than 0.90 and absorb VARs at leading power factors more than 0.95 within the safe operating parameters for the Generating Unit;
- E 1.3** the Generating Unit must be able to produce or absorb VARs outside the 0.90 lag to 0.95 lead bandwidth over a range of real power outputs which the Generator expects to produce when offering Voltage Support;
- E 1.4** the Generating Unit must be able to produce or absorb VARs at the boundary of the Generating Unit's capability curve by reducing real power output to either absorb or produce additional VARs within the **safe** operating parameters for the Generating Unit; and
- E 1.5** metering and SCADA equipment must be in place to provide both real and reactive power data from the Generating Unit providing Voltage Support to the ISO Control Center.
- E 2** A Generator wishing to be considered for certification for Voltage Support service by the ISO must make a written request to the ISO, giving details of the technical capability of the Generating Unit concerned and identifying the Scheduling Coordinator through whom the Generator intends to offer Voltage Support service. The Generator shall at the same time send a copy of its request to that Scheduling Coordinator. The details of the Generating Unit's technical capability must include the Generating Unit name plate data, performance limits, and capability curve. The Generator must also define the operating limitations in both real and reactive power (lead and lag) to be observed when Voltage Support is being provided to the ISO for both normal and reduced real power output conditions. Technical Review request forms will be available from the ISO.
- E 3** No later than one week after receipt of the Generator's request, the ISO shall provide the Generator with a listing of acceptable communication options and interface equipment options for Voltage Support. The ISO shall send a copy of the listing to the Generator's Scheduling Coordinator.
- E 4** The Generator may elect to implement any of the approved options defined by the ISO, and, if it wishes to proceed with its request for certification, the Generator shall give written notice to the ISO of its selected communication option and interface equipment option, with a copy to its Scheduling Coordinator.

- E 5** When it receives the Generator's notice the ISO shall notify the Generator and the Scheduling Coordinator in writing no later than two weeks after receipt of the notice confirming receipt of the notice and

issuing provisional approval of the selected options. Upon receipt of the ISO acknowledgment the Generator may proceed as indicated below to secure the necessary facilities and capabilities required.

- E 6** The Generator may also propose alternatives that the Generator believes may provide an equivalent level of control for consideration by the ISO. Such proposals shall be in writing no later than two weeks after receipt of the notice and contain sufficient detail for the ISO to make a determination of suitability. The ISO may request additional information, if required, to assist in its evaluation of the proposal.
- E 7** The ISO shall respond by accepting the alternative proposal, rejecting the alternative proposal, or suggesting modifications to the alternative proposal. Such acceptance, rejection, or suggested revision shall be provided not later than six weeks after the proposal is received by the ISO. The Generator and the ISO shall keep the Scheduling Coordinator informed of this process by each sending to the Scheduling Coordinator a copy of any written communication which it sends to the other.
- E 8** Upon agreement as to the method of communication and control to be used by the Generator, the ISO shall provisionally approve the proposal in writing providing a copy to the Generator's Scheduling Coordinator at the same time. The Generator may then proceed to procure and install the equipment and make arrangements for the required communication.
- E 9** Design, acquisition, and installation of the Generator's equipment are under the control of the Generator. The ISO shall bear no cost responsibility or functional responsibility for such equipment.
- E 10** The ISO shall be responsible for the design, acquisition and installation of any necessary modifications to the ISO's equipment at its own cost.
- E 11** The Generator shall perform its own testing of its equipment to ensure that the control system performs to meet the ISO requirements.
- E 12** When it is satisfied that its plant, equipment and communication systems meet the ISO's requirements, the Generator shall request in writing that the ISO conduct a certification test with a suggested primary date and time and at least two alternative dates and times. The ISO shall, within two Business Days of receipt of the Generator's request, accept a proposed time if possible or suggest at least three alternatives to the Generator. If the ISO responds by suggesting alternatives, the Generator shall, within two Business Days of receipt of the ISO's response, respond in turn by accepting a proposed alternative if possible or suggesting at least three alternatives, and this procedure shall continue until agreement is reached on the date and time of the test. The Generator shall inform its Scheduling Coordinator of the agreed date and time of the test.

- E 13** Testing shall be performed under the direction of the ISO. Such tests shall include, but not be limited to, the following:
- E 13.1** confirmation of control communication path performance;
- E 13.2** confirmation of primary and secondary voice circuits for receipt of Dispatch instructions;
- E 13.3** confirmation of the Generating Unit automatic voltage regulator performance; and
- E 13.4** confirmation of the range of Voltage Support service over a range of Generating Unit real power outputs to verify the ability to both produce and absorb reactive power at different operating levels including minimum and maximum real power output.
- E 14** Upon successful completion of the test, the ISO shall certify the Generating Unit as being permitted to provide Voltage Support as an Ancillary Service and shall provide a copy of the certificate to the Scheduling Coordinator at the same time. The ISO shall change the Generating Unit data base to reflect the permission for the Generating Unit to provide Voltage Support.
- E 15** The Scheduling Coordinator may bid Supplemental Energy for Voltage Support from the certified Generating Unit into the market starting with the market for the hour ending 0100 on the first Trading Day after the ISO issues the certificate.
- E 16** The certification to provide Voltage Support shall remain in force until withdrawn by the Scheduling Coordinator or the Generator by written notice to the ISO to take effect at the time notified in the notice, which must be the end of a Trading Day.
- E 17** The certification may be revoked by the ISO only under provisions of the ASRP or the ISO Tariff.

APPENDIX F

Certification for Black Start

- F 1** A Generator wishing to provide Black Start capacity from a Generating Unit as an Ancillary Service must meet the requirements stated in Appendix D of the ISO Tariff in order to be certified by the ISO to provide Black Start capacity. In addition, the Generating Unit must have a rated capacity 1 MW or greater unless the Generating Unit is participating in an aggregation arrangement approved by the ISO.
- F 2** A Generator wishing to be considered for certification for Black Start service by the ISO must make a written request to the ISO. Such request must clearly identify the facilities related to the Generating Unit from which the Generator wishes to provide Black Start and shall identify the Scheduling Coordinator through whom the Generator wishes to offer Black Start service. The Generator shall send a copy of its request to its Scheduling Coordinator at the same time as it sends it to the ISO. The Generator's written request must include at least the following:
- F 2.1** identification of the Generating Unit including Location Code;
- F 2.2** a single-line electrical diagram of the Generating Unit connections including auxiliary power busses and the connection to the station switchyard;
- F 2.3** a description of the fuel supply used for Black Start including on-site storage and resupply requirements;
- F 2.4** a single-line electrical diagram showing the transmission connection from the Generating Unit station switchyard to a connection point on the ISO Controlled Grid;
- F 2.5** a description of the Generating Unit capability to provide both real and reactive power, any start-up and shut-down requirements, any staffing limitations; and
- F 2.6** a description of the primary, alternate and emergency back-up communications systems currently available to the Generator for communications to the ISO Control Center.
- F 3** Upon receipt of the Generator's written request the ISO shall review the information provided and respond in writing within two weeks of receipt of the request, providing a copy of its response to the Generator's Scheduling Coordinator. The ISO response may be any of the following:
- F 3.1** acceptance of the proposal as presented;
- F 3.2** rejection of the proposal as presented with a rationale for such rejection; or

- F 3.3** a request for additional information needed by the ISO to properly evaluate the request.
- F 4** A Generator receiving a rejection may submit a written request for reconsideration by the ISO within 60 days of the date of the rejection

notice. A request for reconsideration must address the rationale provided by the ISO. The ISO shall respond to a request for reconsideration within 60 days of the date of that request.

- F 5** A Generator receiving a request for additional information shall provide such information within 60 days of such request providing a copy at the same time to its Scheduling Coordinator. The ISO shall review the information and respond within 120 days of the date of the ISO's request for additional information providing a copy at the same time to the Generator's Scheduling Coordinator.
- F 6** Upon acceptance by the ISO of the Generator's request and agreement as to the method of communication and control to be used by the Generator, the ISO shall provisionally approve the proposal in writing providing a copy at the same time to the Generator's Scheduling Coordinator. The Generator may then proceed to procure and install the equipment and make arrangements for the required communication.
- F 7** Design, acquisition, and installation of the Generator's equipment shall be under the control of the Generator. The ISO shall bear no cost responsibility or functional responsibility for such equipment. The ISO shall be responsible for the design, acquisition and installation of any necessary modifications to its own equipment at its own cost.
- F 8** The Generator shall perform its own testing of its equipment to ensure that the Black Start system performs to meet the ISO requirements.
- F 9** When it is satisfied that its plant, equipment and communication systems meet the ISO's requirements, the Generator shall request in writing that the ISO conduct a certification test with a suggested primary date and time and at least two alternative dates and times. The ISO shall, within two Business Days of receipt of the Generator's request, accept a proposed time if possible or suggest at least three alternatives to the Generator. If the ISO responds by suggesting alternatives, the Generator shall, within two Business Days of receipt of the ISO's response, respond in turn by accepting a proposed alternative if possible or suggesting at least three alternatives, and this procedure shall continue until agreement is reached on the date and time of the test. The Generator shall inform its Scheduling Coordinator of the agreed date and time of the test.
- F 10** Testing shall be performed under the direction of the ISO. Such tests shall include, but not be limited to, the following:
- F 10.1** confirmation of control communication path performance;
- F 10.2** confirmation of primary, secondary, and emergency voice circuits for receipt of Dispatch instructions;
- F 10.3** confirmation of the Generating Unit performance; and
- F 10.4** simulation of a Black Start event.

- F 11** Upon successful completion of the test, the ISO shall certify the Generating Unit as being permitted to provide Black Start capacity as an Ancillary Service and shall provide a copy of the certificate to the Scheduling Coordinator at the same time. The ISO shall change its Generating Unit data base to reflect the permission for the Generating Unit to provide Black Start service.
- F 12** The certification to provide Black Start shall remain in force until withdrawn by the Scheduling Coordinator or the Generator by written notice to the ISO to take effect at the time noticed in the notice, which must be the end of a Trading Day.
- F 13** The certification may be revoked by the ISO only under provisions of the ASRP or the ISO Tariff.