

# **California Independent System Operator Corporation**

**Management Assertion Relating to Automated Processes within the  
Settlements System**

**Report of Independent Accountants**

**January 9, 2015**



## Report of Independent Accountants

To the Board of Governors of the  
California Independent System Operator Corporation:

We have examined management's assertion related to the conformity of selected automated processes within the ISO's Settlements System in calculating quantities and prices in compliance with the specific elements of the ISO's tariff, related Federal Energy Regulatory Commission (FERC) orders, and the List of Charge Codes Relating to Management's Assertion (and relevant additional clarifying language) located at Exhibit I related to market changes associated with the FERC Electric Tariff, Fifth Replacement, as filed with and accepted by the Federal Energy Regulatory Commission (FERC), effective December 19, 2014.

Management is responsible for the automated processes addressing the ISO's tariff, related FERC orders, and the List of Charge Codes Relating to Management's Assertion (and relevant additional clarifying language) at Exhibit I. Our responsibility is to express an opinion on the Management Assertion based on our examination.

Our examination was conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants and, accordingly, included examining, on a test basis, evidence supporting Management's Assertion and performing such other procedures as we considered necessary in the circumstances. We believe that our examination provides a reasonable basis for our opinion.

In our opinion, the Management Assertion related to the conformity of ISO's automated processes within the Settlements System for calculating quantities and prices in accordance with the ISO's tariff, related FERC orders, and the List of Charge Codes Relating to Management's Assertion (and relevant additional clarifying language) at Exhibit I, is fairly stated, in all material respects.

This report is intended solely for the information and use of the Board of Governors and Management of the ISO and its market participants.

*PRICEWATERHOUSE COOPERS LLP*

PricewaterhouseCoopers LLP  
January 9, 2015

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## **Management Assertion Relating to Automated Processes within the Settlements System**

January 5, 2015

To the Board of Governors of the  
California Independent System Operator Corporation and  
Market Participants

### **Background**

The California Independent System Operator Corporation (ISO) is a not-for-profit public benefit corporation responsible for the operation of the long-distance, high-voltage power lines that deliver electricity throughout most of California (the California Grid) and between the California Grid and neighboring states, Canada and Mexico. The ISO's principal objective is to provide for the reliability of the California Grid, while fostering a low-cost wholesale marketplace for electrical generation and related services in California. As of December 19, 2014, the ISO operates pursuant to the California Independent System Operator Corporation, FERC Electric Tariff, Fifth Replacement, as filed with and accepted by the Federal Energy Regulatory Commission (FERC), effective December 19, 2014 (*Fifth Replacement ISO Tariff*).

In 2014 through the date of this report, the ISO implemented three significant sets of market changes in the Spring and Fall of 2014 listed below.

1. FERC Order No. 764, market rules for the integration of renewable resources, and bid cost recovery rule changes – The FERC Order No. 764 related market rules changes the increment in which the ISO manages interchange schedules from 60 minutes to 15 minutes. Along with this change the ISO modified most settlements increments from 10 minutes to 5 minutes to more closely align its market clearing framework between real time and other ISO market periods. At the same time, the ISO implemented rules for integration of renewables, which included the separation bid cost recovery accounting between day-ahead and real-time markets. In addition, the ISO adopted additional mitigation of bid cost recovery based on persistent output deviations to incent proper market behavior in the context of separated bid cost recovery rules.
2. Enhanced Modeling – The ISO expanded its modeling of external flows in the day-ahead and real-time market on October 15, 2014. These changes impacted the settlement charge codes because of changes to the definition of settlement locations at the interties.
3. Energy Imbalance Market (EIM) – this market change facilitates a regional real-time EIM to include PacifiCorp following agreement between PacifiCorp and the ISO to expand the ISO's EIM effective November 1, 2014.

Exhibit I “List of Charge Codes Relating to Management’s Assertion (and relevant additional clarifying language)” sets forth all of the charge codes and pre-calculations impacted by these changes. There are 100 charge codes and pre-calculations impacted (82 existing and 18 new). In connection with these changes, 9 codes were terminated and as such are not included within the scope of this Management Assertion.

Exhibit II “Other Supplementary Information Provided by the ISO” sets forth all the FERC filings and associated orders in support of the changes implemented in the Spring and Fall of 2014.

## **Scope of Management Assertion**

The accuracy of the calculations of prices and quantities computed by the Settlements System ("Settlements") are dependent upon many factors including the quality and accuracy of the data input from various sources and computations performed in other ISO systems that transfer data to Settlements. The scope of this Management Assertion is limited to the automated processing within Settlements and does not incorporate those external inputs. Additionally, this Management Assertion does not incorporate the interface processes that are designed to transfer data completely and accurately between the systems generating the external inputs and Settlements.

## **Management's Clarifications of the Tariff**

The *Fifth Replacement ISO Tariff* sets forth the settlements principles and provides specific guidelines for the computations of each charge type. Most of the descriptions of settlements are contained within Section 11 of the *Fifth Replacement ISO Tariff*.

Some clarifications of Section 11 *Fifth Replacement ISO Tariff* language have been stipulated by management in order to correlate specific guidelines in the *Fifth Replacement ISO Tariff* to the settlements computations. These clarifications are provided in Exhibit I. Management believes the clarifications presented in Exhibit I are consistent with the *Fifth Replacement ISO Tariff*.

The management of the ISO is responsible for the compliance of Settlements with *its Fifth Replacement ISO Tariff* and related FERC orders, as described by Management in Exhibit I. Management represents that Settlements has been configured to be consistent with the *Fifth Replacement ISO Tariff* as filed and accepted as of December 19, 2014 as more fully described in Exhibit I.

## **Primary Assertion**

The selected automated processes within Settlements, described in this Management Assertion, calculate quantities and prices, in all material respects, in accordance with the ISO's Tariff and related FERC orders, as stipulated by the clarifications in Exhibit I. The scope of this Management Assertion and the related examination performed by PricewaterhouseCoopers LLP is limited to the selected automated processing within Settlements as described herein and does not extend to any other systems or procedures of the ISO including the inputs to Settlements.

Charge Code Number	Charge Code Name	Additional Clarifying Information
<b>Ancillary Services</b>		
1001	Black Start Energy Payment	None
1303	Supplemental Reactive Energy Allocation	None
3303	Supplemental Reactive Energy Settlement	None
6090	Ancillary Service Upward Neutrality Allocation	None
6124	No Pay Spinning Reserve Settlement	None
6194	Spinning Reserve Obligation Settlement	None
6224	No Pay Non-Spinning Reserve Settlement	None
6294	Non-Spinning Reserve Obligation Settlement	None
6594	Regulation Up Obligation Settlement	None
7024	Flexible Ramp Up No Pay Capacity Charge	None
7056	Flexible Ramp Cost Allocation	None
<b>Bid Cost Recovery</b>		
6620	RUC and RTM Bid Cost Recovery Settlement	None
6630	IFM Bid Cost Recovery Settlement	None
6636	IFM Bid Cost Recovery Tier1 Allocation	None

Management Assertion Relating to Automated Processes within the Settlements System

List of Charge Codes Relating to Management's Assertion  
(and relevant additional clarifying information)

Exhibit I

6678	Real Time Bid Cost Recovery Allocation	None
6800	Day Ahead Residual Unit Commitment (RUC) Availability Settlement	None
6806	Day Ahead Residual Unit Commitment (RUC) Tier 1 Allocation	None
6824	No Pay Residual Unit Commitment (RUC) Settlement	None
66200	RTM Bid Cost Recovery EIM Settlement	None
66780	Real Time Bid Cost Recovery EIM Allocation	None
<b>Congestion</b>		
6700	CRR Hourly Settlement	None
6710	Day Ahead Congestion - AS Spinning Reserve Import Settlement	None
6715	Real Time Congestion - AS Spinning Reserve Import Settlement	None
6720	Day Ahead Congestion - AS Non-Spinning Reserve Import Settlement	None
6725	Real Time Congestion - AS Non-Spinning Reserve Import Settlement	None
6750	Day Ahead Congestion - AS Regulation Up Import Settlement	None
6755	Real Time Congestion - AS Regulation Up Import Settlement	None
6760	Day Ahead Congestion - AS Regulation Down Import Settlement	None

6765	Real Time Congestion - AS Regulation Down Import Settlement	None
6774	Real Time Congestion Offset	None
6788	Real Time Market Congestion Credit Settlement	None
67740	Real Time Congestion Offset EIM	None
<b>Exceptional Dispatch</b>		
6488	Exceptional Dispatch Uplift Settlement	Tariff Section 11.5.6.2.3, Settlement of Excess Cost Payments for Exceptional Dispatches used for Transmission-Related Modeling Limitations, addresses the Excess Cost Payment for Exceptional Dispatches used for Transmission-Related Modeling Limitations described in Section 34.11.3. This Tariff Section directs calculations for each resource for each Settlement Interval to be established pursuant to the cost difference using Tariff Sections 11.5.6.2.1 or 11.5.6.2.2 at the FMM or RTD LMP and one of the following three costs: (1) the resource's Energy Bid Cost, 2) the Default Energy Bid cost, or 3) the Energy cost at the negotiated price, as applicable for System Resources, for the relevant Exceptional Dispatch. Tariff Sections 11.5.6.2.1 or 11.5.6.2.2 have not existed. The ISO interpretation is that this is covered by Tariff Section 11.5.6.2, Settlement of Instructed Imbalance Energy (IIE) from Exceptional Dispatches Caused by Modeling Limitations, which describes the Exceptional Dispatch Settlement price for IIE that is consumed or delivered as a result of an Exceptional Dispatch to mitigate or resolve Congestion as a result of a transmission-related modeling limitation in the Full Network Model as described in Section 34.11.3 as the basis for calculating the cost difference under Tariff Section 11.5.6.2.3.
6489	Exceptional Dispatch Uplift Allocation	None
<b>Excess Cost</b>		
6480	Excess Cost Neutrality Allocation	None
6482	Real Time Excess Cost for Instructed Energy Settlement	None
6486	Real Time Excess Cost for Instructed Energy Allocation	Tariff Section 11.5.6.2.5.2, Allocation of Exceptional Dispatch Costs to Scheduling Coordinators, describes the allocation settlement method for Real Time Excess Cost for Instructed Energy Allocation. The ISO interpretation is that the allocation of costs paid to Scheduling Coordinators in the Real Time Excess Cost for Instructed Energy Settlement is comprised of costs collected in charge code 6486, Real Time Excess Cost for Instructed Energy Allocation. This charge code collects the total costs associated with charge code 6482, Real-Time Excess Cost for Instructed Energy Settlement, to the extent that the total Energy procured with a price above the Settlement Interval LMP (locational marginal price) is less than or equal to total Net Negative Uninstructed Imbalance Energy quantity in the corresponding interval. If the total quantity of energy procured in charge code 6482 is greater than the quantity of Net Negative Uninstructed Imbalance Energy, only the portion of excess cost up to the Net Negative Uninstructed Imbalance Energy is allocated in charge code 6486, the remaining amount is recovered in charge code 6480, Excess Cost Neutrality Allocation.

<b>GMC</b>		
4512	Inter-Scheduling Coordinator Trade Transaction Fee	None
4515	GMC Bid Transaction Fee	None
4560	GMC Market Services Charge	None
4561	GMC System Operations Charge	None
4562	GMC CRR Services Charge	None
4563	GMC Transmission Ownership Rights Charge	None
4564	GMC EIM Transaction Charge	None
<b>Inter-SC Trades</b>		
6371	FMM Inter SC Trades Settlement	None
6455	Intertie Schedules Decline Charges	None
<b>MSS Deviation Penalty</b>		
1407	MSS Positive Deviation Penalty	None
2407	MSS Negative Deviation Penalty	None
<b>PIRP</b>		
701	Forecasting Service Fee	None
711	Intermittent Resources Net Deviation Settlement	None

721	Intermittent Resources Net Deviation Allocation	<p>Tariff Section 11.12.2, Allocation Of PIRP Protective Measures Costs/Revenues, addresses the allocation of any monthly costs or revenue received by the ISO in the administration of PIRP protective measures provided to Scheduling Coordinators for resources that have elected to and qualify for monthly imbalance energy settlement. The ISO interpretation is that for each settlement month to the extent that a resource has been certified receives PIRP Protective Measures then the resource is eligible for the Protective Measures Monthly Adjustment which is a make whole payment for Net Negative Uninstructed Deviations. If the Scheduling Coordinator for a resource that receives PIRP Protective Measure submits an Economic Bid (i.e., a bid with a specified dollar per MWh or MW price), the resource is disqualified from PIRP Protective Measures from the trading day in which the bid is submitted forward. If, for example, the trading day is in the middle of the month, the PIRP Protective Measures settlement is only provided for the days prior to the date the Scheduling Coordinator submitted the Economic Bid.</p> <p>The Net Negative Uninstructed Deviation is defined in Appendix A of the ISO tariff as "The real-time change in Generation or Demand associated with under scheduled Demand (i.e., Demand that appears unscheduled in Real-Time) and overscheduled Generation (i.e., Generation that is scheduled in the DAM and does not appear in Real-Time), which are netted for each Settlement Interval, apply to a Scheduling Coordinator's entire portfolio, and include Demand, Generation, imports and exports." Under charge code 722 and consistent with Tariff Section 11.12.1.2. if a Scheduling Coordinator submits an Economic Bid or Self-Schedule to the Real-Time Market, the resource will be disqualified from PIRP Protective Measures for the remaining term that the PIRP Protective Measures are otherwise intended to apply. The disqualification will be in effect as of the Trading Day for which the Scheduling Coordinators submitted the Economic Bid. The ISO will take the necessary steps to implement that disqualification and will make any necessary Settlement adjustments consistent with the change in status.</p>
722	Intermittent Resources Net Deviation Reversal	None
751	Monthly Participating Intermittent Resource Export Energy Settlement	None
<b>Transmission Loss</b>		
6976	Transmission Loss Obligation Charge for Real Time Schedules Under Control Agreements	<p>Tariff Section 27.1.1.2, Marginal Cost of Losses, provides for adjustments to the losses assessment in Locational Marginal Prices based on the Base Market Model parameters used for agreements between Balancing Authority Areas for transmission facilities that are within the ISO controlled grid but not in the ISO balancing authority area. The ISO interpretation is that the underlying Transmission Control Agreements are used as the basis for the calculation under this charge code. Energy schedules in real time and at some interties are subject to supplemental Transmission Loss charges associated with the use of the intertie's transmission line and facilities based on contractual obligations (Transmission Control Agreements). The ISO calculates these charges and then applies these supplemental Transmission Loss charges to the schedules at the interties according to the underlying agreements between the ISO and the transmission line operator. The supplemental Transmission Loss quantities result in corresponding Transmission Loss obligation amounts being charged to Scheduling Coordinators whose schedules are associated with the losses. The ISO administers the settlement of these supplemental Transmission Loss charges based on the supplemental loss quantity data provided by the transmission line operator for each transmission agreement by applying the supplemental Transmission Loss charges to each intertie schedule that contributes to the supplemental losses. The supplemental Transmission Loss quantities are calculated in this charge code for each settlement interval.</p>

6977	Allocation of Transmission Loss Obligation Charge for Real Time Schedules Under Control Agreements	Tariff Section 27.1.1.2, Marginal Cost of Losses, provides for adjustments to the losses assessment in Locational Marginal Prices based on the Base Market Model parameter used for agreements between Balancing Authority Areas for transmission facilities that are within the ISO controlled grid but not in the ISO balancing authority area. The ISO interpretation is that the underlying Transmission Control Agreements are used as the basis for the allocation calculation under this charge code after the supplemental Transmission Loss quantities are calculated under charge code 6976 for each settlement interval. The Allocation of Transmission Loss Obligation Charge under charge code 6977 allocates the settlement interval supplemental Transmission Loss charges based on a Scheduling Coordinator's percentage of the Control Area Measured Demand (excluding losses).
<b>NERC WECC</b>		
6490	NERC WECC Charge	None
<b>Pre-Calculations</b>		
PC - System Resource Deemed Delivered Energy Quantity	System Resource Deemed Delivered Energy Quantity	None
PC - Allocation of Transmission Losses under Control Agreements	Allocation of Transmission Losses Under Control Agreements	A tariff section that explicitly describes in detail the Allocation of Transmission Losses Under Control Agreements does not exist. The ISO interpretation is that the underlying Transmission Control Agreements are used as the basis for the calculation under this pre-calculation. Energy schedules in real time and at some interties are subject to supplemental Transmission Loss charges associated with the use of the intertie's transmission line and facilities based on contractual obligations (Transmission Control Agreements). The ISO calculates these charges and then applies these supplemental Transmission Loss charges to the schedules at the interties according to the underlying agreements between the ISO and the transmission line operator. The supplemental Transmission Loss quantities are calculated in charge code 6976 for each settlement interval and then allocated according to charge code 6977 based on a Scheduling Coordinator's percentage of the Control Area Measured Demand (excluding losses). This pre-calculation allocates the supplemental losses to the various real time intertie schedules responsible for the losses used in Charge Code 6976 Transmission Loss Obligation Charge for Real Time Schedules Under Control Agreements.

PC - Measured Demand Over Control Area Excl Transmission Loss Adjustment	Measured Demand Over Control Area Excluding Transmission Loss Adjustment	A tariff section that explicitly describes the settlement methodology for Measured Demand Over Control Area Excluding Transmission Loss Adjustment does not exist. The ISO interpretation is that the underlying Transmission Control Agreements are used as the basis for the calculation under this pre-calculation. The ISO allocates various payments and charges to Business Associates in proportion to their relative contribution to the overall Measured Demand quantity. An allocation of a payment or charge requires that two Measured Demand calculations are made for the particular time period over which the allocation is performed. To provide the Measured Demand quantities that are used in multiple charge code calculations that allocate various payments or charges, the ISO implements a set of pre-calculation processes, referred to as Measured Demand pre-calculations, to calculate particular Measured Demand quantities. There are five Measured Demand pre-calculation configurations in which an overall Measured Demand quantity is calculated. The five pre-calculations differ by the composition of the Demand resources and exports that are included in their Measured Demand outputs. The ISO excludes contractual Transmission Loss adjustments under pre-calculation Measured Demand Over Control Area Excluding Transmission Loss Adjustment for the Measured Demand and Net MSS Measured Demand compositions. Contractual Transmission Loss Adjustment is captured under charge codes 6976, 6977 and pre-calculation Allocation of Transmission Losses Under Control Agreements.
PC - Measured Demand Over Control Area Excl MSS Energy	Measured Demand Over Control Area Excluding MSS Energy	None
PC - Wheel Export Quantity	Wheel Export Quantity	None
PC - Ancillary Services	Ancillary Services	None
PC - Bid Cost Recovery Sequential Netting	Bid Cost Recovery Sequential Netting	None
PC - ETC/TOR/CVR Quantity Pre-calculation	ETC/TOR/CVR Quantity Pre-calculation	None
PC - HVAC Metered Load	HVAC Metered Load	None

Management Assertion Relating to Automated Processes within the Settlements System

List of Charge Codes Relating to Management's Assertion  
(and relevant additional clarifying information)

Exhibit I

PC - IFM Net Amount	IFM Net Amount	None
PC - Measured Demand Over Control Area	Measured Demand Over Control Area	None
PC - Metered Energy Adjustment Factor	Metered Energy Adjustment Factor	None
PC - MSS Deviation Penalty Quantity	MSS Deviation Penalty Quantity	None
PC - MSS Netting	MSS Netting	None
PC - Spin Non-Spin No Pay Quantity	Spin Non-Spin No Pay Quantity	None
PC - Real Time Energy Quantity	Real Time Energy Quantity	None
PC - Real Time Price	Real Time Price	None
PC - RTM Net Amount	RTM Net Amount	None
PC - RUC Net Amount	RUC Net Amount	None

PC - RUC No Pay	RUC No Pay	None
PC - Standard Capacity Product	Standard Capacity Product	None
PC - Start-Up and Minimum Load Cost	Start-Up and Minimum Load Cost	None
PC - Real Time Congestion	Real Time Congestion	None
<b>Convergence Bidding</b>		
6013	Convergence Bidding DA Energy, Congestion, Loss Settlement	None
6473	Convergence Bidding Real Time Energy Congestion and Loss Settlement	None
<b>Imbalance Energy</b>		
6460	FMM Instructed Imbalance Energy Settlement	None
6470	Real Time Instructed Imbalance Energy Settlement	None
6474	Real-Time Unaccounted for Energy Settlement	None
6475	Real Time Uninstructed Imbalance Energy Settlement	None

Management Assertion Relating to Automated Processes within the Settlements System

List of Charge Codes Relating to Management's Assertion (and relevant additional clarifying information)

Exhibit I

6477	Real Time Imbalance Energy Offset	None
6478	Real Time System Imbalance Energy Offset	None
6984	RTM Net Marginal Loss Assessment per CAISO Agreement	None
6985	Real Time Marginal Losses Offset	None
64600	FMM Instructed Imbalance Energy EIM Settlement	None
64700	Real Time Instructed Imbalance Energy EIM Settlement	None
64740	Real Time Unaccounted for Energy EIM Settlement	None
64750	Real Time Uninstructed Imbalance Energy EIM Settlement	None
64770	Real Time Imbalance Energy Offset EIM	None
69850	Real Time Marginal Losses Offset EIM	None
<b>Rounding</b>		
4989	Daily Rounding Adjustment Allocation	None

<b>Cost Recovery</b>		
491	Greenhouse Gas Emission Cost Revenue	None
6045	Over and Under Scheduling EIM Settlement	None
6046	Over and Under Scheduling EIM Allocation	None
<b>DA Energy</b>		
6011	Day Ahead Energy, Congestion, Loss Settlement	None

The Exhibit provides a chronology of tariff amendments filed at FERC and corresponding orders that amended the California Independent System Operator, FERC Electric Tariff, for purpose of the spring and fall 2014 release of market enhancements that affected the settlements provisions of the tariff.

**Spring 2014 Release:**

1. Docket No. ER13-2063-000, ER14-1004-000 - Amendment to California ISO FERC Electric Tariff to Require Registration of Multi-Stage Generation Resources and Modify the Minimum Load Costs Tolerance Band Test for Bid Cost Recovery, filed on July 30, 2013. [http://www.aiso.com/Documents/July30\\_2013\\_TariffAmendment\\_Post-EmergencyBidCostRecovery\\_ER13-2063-000.pdf](http://www.aiso.com/Documents/July30_2013_TariffAmendment_Post-EmergencyBidCostRecovery_ER13-2063-000.pdf).
  - a. Revised Tariff Amendment: ([http://www.aiso.com/Documents/Oct17\\_2013\\_RevisedTariffAmendment-PostEmergencyBidCostRecoveryER13-2063-001.pdf](http://www.aiso.com/Documents/Oct17_2013_RevisedTariffAmendment-PostEmergencyBidCostRecoveryER13-2063-001.pdf))
  - b. Deficiency Letter: ([http://www.aiso.com/Documents/Oct22\\_2013\\_DeficiencyLetter-Post-EmergencyBidCostRecoveryER13-2063-000.pdf](http://www.aiso.com/Documents/Oct22_2013_DeficiencyLetter-Post-EmergencyBidCostRecoveryER13-2063-000.pdf))
  - c. Response to Deficiency Letter: ([http://www.aiso.com/Documents/Jan15\\_2014\\_Response-DeficiencyLetter-MandatoryMulti-StageGenerationER13-2063\\_ER14-1004.pdf](http://www.aiso.com/Documents/Jan15_2014_Response-DeficiencyLetter-MandatoryMulti-StageGenerationER13-2063_ER14-1004.pdf))
  - d. Order accepting tariff revisions: ([http://www.aiso.com/Documents/Mar20\\_2014\\_OrderAcceptingTariffRevisions-MandatoryMulti-StageRegistration\\_ER13-2063\\_ER14-1004.pdf](http://www.aiso.com/Documents/Mar20_2014_OrderAcceptingTariffRevisions-MandatoryMulti-StageRegistration_ER13-2063_ER14-1004.pdf))
2. Docket No. ER13-2452-000 Tariff Amendment - Bid Cost Recovery Mitigation Measures, filed September 25, 2013. ([http://www.aiso.com/Documents/Sep25\\_2013\\_TariffAmendment-BidCostRecoveryMitigationMeasuresER13-2452-000.pdf](http://www.aiso.com/Documents/Sep25_2013_TariffAmendment-BidCostRecoveryMitigationMeasuresER13-2452-000.pdf))
  - a. Order approving amendment subject to compliance: ([http://www.aiso.com/Documents/Dec19\\_2013\\_OrderConditionallyAcceptingTariffRevisions\\_RIMPR1\\_ER13-2452.pdf](http://www.aiso.com/Documents/Dec19_2013_OrderConditionallyAcceptingTariffRevisions_RIMPR1_ER13-2452.pdf))
  - b. Compliance filing filed: ([http://www.aiso.com/Documents/Jan22\\_2014\\_ComplianceFiling-RenewableIntegrationMarketProductReviewPhase1\\_ER13-2452-001.pdf](http://www.aiso.com/Documents/Jan22_2014_ComplianceFiling-RenewableIntegrationMarketProductReviewPhase1_ER13-2452-001.pdf))
  - c. Order accepting compliance filing: ([http://www.aiso.com/Documents/Jan19\\_2014\\_OrderAcceptingCompliance\\_BidCostRecovery\\_ER13-2452-001.pdf](http://www.aiso.com/Documents/Jan19_2014_OrderAcceptingCompliance_BidCostRecovery_ER13-2452-001.pdf))
3. Docket No. ER14-480-000 Tariff Amendment to Implement Real-Time Market Design Enhancements Related to Order No. 764, filed November 26, 2013 ([http://www.aiso.com/Documents/Nov26\\_2013\\_TariffAmendment-Real-TimeMarketDesignEnhancementsRelated-Order764\\_ER14-480.pdf](http://www.aiso.com/Documents/Nov26_2013_TariffAmendment-Real-TimeMarketDesignEnhancementsRelated-Order764_ER14-480.pdf))

- a. Order approving amendment subject to compliance:  
([http://www.caiso.com/Documents/Mar20\\_2014\\_OrderConditionallyAcceptingTariffAmendment-Order764\\_ER14-480.pdf](http://www.caiso.com/Documents/Mar20_2014_OrderConditionallyAcceptingTariffAmendment-Order764_ER14-480.pdf))
  - b. Compliance filing filed: ([http://www.caiso.com/Documents/Apr21\\_2014\\_ComplianceFiling-Order764\\_ER14-480-001.pdf](http://www.caiso.com/Documents/Apr21_2014_ComplianceFiling-Order764_ER14-480-001.pdf))
  - c. Order accepting compliance filing:  
([http://www.caiso.com/Documents/Jul17\\_2014\\_OrderAcceptingComplianceFiling\\_Order764\\_ER14-480-001.pdf](http://www.caiso.com/Documents/Jul17_2014_OrderAcceptingComplianceFiling_Order764_ER14-480-001.pdf))
  - d. Second compliance filing:  
([http://www.caiso.com/Documents/Aug18\\_2014\\_SecondCompliance\\_Order764MarketChanges\\_ER14-480-002.pdf](http://www.caiso.com/Documents/Aug18_2014_SecondCompliance_Order764MarketChanges_ER14-480-002.pdf))
4. Docket No. ER14-495-000 Tariff Amendment to Comply with FERC Order No. 764, filed November 27, 2013  
([http://www.caiso.com/Documents/Nov27\\_2013\\_TariffAmendment-ComplianceFERCOrder764\\_ER14-495.pdf](http://www.caiso.com/Documents/Nov27_2013_TariffAmendment-ComplianceFERCOrder764_ER14-495.pdf))
    - a. Order approving compliance filing subject to further compliance:  
([http://www.caiso.com/Documents/Mar20\\_2014\\_OrderConditionallyAcceptingTariffAmendment-Order764Compliance\\_ER14-495.pdf](http://www.caiso.com/Documents/Mar20_2014_OrderConditionallyAcceptingTariffAmendment-Order764Compliance_ER14-495.pdf))
    - b. Compliance filing filed: ([http://www.caiso.com/Documents/Apr21\\_2014\\_ComplianceFiling\\_Order764\\_ER14-495-001.pdf](http://www.caiso.com/Documents/Apr21_2014_ComplianceFiling_Order764_ER14-495-001.pdf))
    - c. Order accepting compliance filing:  
([http://www.caiso.com/Documents/Jul31\\_2014\\_LetterOrderAcceptingOrder764SecondCompliance\\_ER14-495-001.pdf](http://www.caiso.com/Documents/Jul31_2014_LetterOrderAcceptingOrder764SecondCompliance_ER14-495-001.pdf))
5. Docket No. ER14-1216-000 Tariff Amendment to Revise Price Correction Procedures, filed January 30, 2014  
([http://www.caiso.com/Documents/Jan30\\_2014\\_TariffAmendment\\_RevisionsToPriceCorrections\\_ER14-1216-000.pdf](http://www.caiso.com/Documents/Jan30_2014_TariffAmendment_RevisionsToPriceCorrections_ER14-1216-000.pdf))
    - a. Order approving amendment:  
([http://www.caiso.com/Documents/Mar27\\_2014\\_LetterOrderAcceptingRevisionsPriceCorrections\\_ER14-1216.pdf](http://www.caiso.com/Documents/Mar27_2014_LetterOrderAcceptingRevisionsPriceCorrections_ER14-1216.pdf))

**Fall 2014 Release:**

1. Docket No. ER14-1386-000 Tariff Amendment to Implement an Energy Imbalance Market, filed February 28, 2014  
([http://www.caiso.com/Documents/Feb28\\_2014\\_TariffAmendment\\_EnergyImbalanceMarket\\_ER14-1386-000.pdf](http://www.caiso.com/Documents/Feb28_2014_TariffAmendment_EnergyImbalanceMarket_ER14-1386-000.pdf))
  - a. Order approving amendment subject to compliance:  
([http://www.caiso.com/Documents/Jan19\\_2014\\_OrderConditionallyAcceptingEIMTariffRevisions\\_ER14-1386.pdf](http://www.caiso.com/Documents/Jan19_2014_OrderConditionallyAcceptingEIMTariffRevisions_ER14-1386.pdf))

- b. Compliance filing filed:  
([http://www.caiso.com/Documents/Jul21\\_2014\\_ComplianceFiling\\_EnergyImbalanceMarket\\_ER14-1386-001.pdf](http://www.caiso.com/Documents/Jul21_2014_ComplianceFiling_EnergyImbalanceMarket_ER14-1386-001.pdf))
  - c. Order accepting compliance filing:  
([http://www.caiso.com/Documents/Oct20\\_2014\\_Order\\_Rehearing\\_Compliance\\_EIM\\_ER14-1386.pdf](http://www.caiso.com/Documents/Oct20_2014_Order_Rehearing_Compliance_EIM_ER14-1386.pdf))
  - d. Petition for Waiver: ([http://www.caiso.com/Documents/Nov13\\_2014\\_PetitionWaiver\\_EIM\\_ER15-402.pdf](http://www.caiso.com/Documents/Nov13_2014_PetitionWaiver_EIM_ER15-402.pdf))
  - e. Second compliance filing: ([http://www.caiso.com/Documents/Nov19\\_2014\\_EIM\\_SecondCompliance\\_ER14-1386-004.pdf](http://www.caiso.com/Documents/Nov19_2014_EIM_SecondCompliance_ER14-1386-004.pdf))
  - f. Order Granting Waiver:  
([http://www.caiso.com/Documents/Dec1\\_2014\\_OrderGrantingWaiver\\_EIM PricingParameters\\_ER15-402.pdf](http://www.caiso.com/Documents/Dec1_2014_OrderGrantingWaiver_EIM PricingParameters_ER15-402.pdf))
2. Docket No. ER14-2484-000 Tariff Amendment to Enhance the Energy Imbalance Market, filed July 23, 2014  
([http://www.caiso.com/Documents/Jul23\\_2014\\_TariffAmendment\\_EnergyImbalanceMarketEnhancements\\_ER14-2484.pdf](http://www.caiso.com/Documents/Jul23_2014_TariffAmendment_EnergyImbalanceMarketEnhancements_ER14-2484.pdf))
    - a. Order approving amendment: ([http://www.caiso.com/Documents/Sep22\\_2014\\_Order\\_EIMEnhancements\\_ER14-2484.pdf](http://www.caiso.com/Documents/Sep22_2014_Order_EIMEnhancements_ER14-2484.pdf))
  3. Docket No. ER14-2536-000 Tariff Amendment to Modify Allocation of Contingency Reserve Costs, filed July 30, 2014  
([http://www.caiso.com/Documents/Jul30\\_2014\\_TariffAmendment\\_ContingencyReserveCostAllocations\\_ER14-2536-000.pdf](http://www.caiso.com/Documents/Jul30_2014_TariffAmendment_ContingencyReserveCostAllocations_ER14-2536-000.pdf))
    - a. Order accepting amendment:  
([http://www.caiso.com/Documents/Sep29\\_2014\\_OrderAcceptingContingencyReserveCostAllocationAmendment\\_ER14-2536.pdf](http://www.caiso.com/Documents/Sep29_2014_OrderAcceptingContingencyReserveCostAllocationAmendment_ER14-2536.pdf))
  4. Docket No. ER14-2756-000 Tariff Amendment to Clarify Congestion Revenue Right Settlement Adjustment, filed September 2, 2014 ([http://www.caiso.com/Documents/Sep2\\_2014\\_TariffAmendment\\_ClarifyCRRSettlement\\_ER14-2756.pdf](http://www.caiso.com/Documents/Sep2_2014_TariffAmendment_ClarifyCRRSettlement_ER14-2756.pdf))
    - a. Order accepting amendment:  
([http://www.caiso.com/Documents/Oct31\\_2014\\_OrderAcceptingCRRSettlementsAdjustmentAmendment\\_ER14-2756.pdf](http://www.caiso.com/Documents/Oct31_2014_OrderAcceptingCRRSettlementsAdjustmentAmendment_ER14-2756.pdf))
  5. Docket No. ER 14-2834 Tariff Amendment to Correct Energy Imbalance Market Congestion Offsets, filed September 10, 2014  
([http://www.caiso.com/Documents/Sep10\\_2014\\_TariffAmendment\\_EIM\\_CongestionOffsetCorrection\\_ER14-2834.pdf](http://www.caiso.com/Documents/Sep10_2014_TariffAmendment_EIM_CongestionOffsetCorrection_ER14-2834.pdf))
    - a. Order approving amendment:  
([http://www.caiso.com/Documents/Oct22\\_2014\\_OrderAcceptingCongestionOffsetsAmendment\\_ER14-2834.pdf](http://www.caiso.com/Documents/Oct22_2014_OrderAcceptingCongestionOffsetsAmendment_ER14-2834.pdf))