

Table Of Contents

1. Definitions And Interpretation

- 1.1 General Provisions Of Article I Applicable To CAISO Tariff
- 1.2 Definitions
- 1.3 Rules Of Interpretation

2. Access To The CAISO Controlled Grid

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

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

4. Roles And Responsibilities

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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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
 - 6.3.3 Contents Of Dispatch Instructions

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 6.4 Communication Of Operating Orders
- 6.5 CAISO Communications
 - 6.5.1 Communication With Market And CRR Participants And Public
 - 6.5.2 Communications Prior To The Day-Ahead Market
 - 6.5.3 Day-Ahead Market Communications
 - 6.5.4 HASP Communications
 - 6.5.5 Real-Time Market Communications
 - 6.5.6 Market Bid Information
 - 6.5.7 Monthly Report on Conforming Transmission Constraints
 - 6.5.8 Virtual Award Information

7. System Operations Under Normal And Emergency Conditions

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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 7.9.2 Reasons for Suspension or Limitation
- 7.9.3 Procedures Regarding Suspension or Limitation

8. Ancillary Services

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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

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

9. Outages

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

10. Metering

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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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
 - 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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
 - 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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
- 11.26 [Not Used]
- 11.27 Voltage Support And Black Start Charges
- 11.28 Calculating, Charging And Disbursing Default Interest
- 11.29 Billing And Payment Process
 - 11.29.1 Billing And Payment Process Based On Settlement Statements
 - 11.29.2 Time-Frame For Payments Or Charges
 - 11.29.3 Prepayments
 - 11.29.4 System Failure
 - 11.29.5 General Principles For Production Of Settlement Statements
 - 11.29.6 Balancing Of Market Accounts In Absence Of Meter Data
 - 11.29.7 Settlements Cycle
 - 11.29.8 Confirmation And Validation
 - 11.29.9 Payment Procedures
 - 11.29.10 Billing And Payment
 - 11.29.11 Instructions For Payment
 - 11.29.12 CAISO'S Responsibilities
 - 11.29.13 Non-Payment By A Scheduling Coordinator Or CRR Holder
 - 11.29.14 Enforcement Actions for Late Payments
 - 11.29.15 [Not Used]
 - 11.29.16 Prohibition On Transfers
 - 11.29.17 Alternative Payment Procedures
 - 11.29.18 [Not Used]
 - 11.29.19 Payment Errors
 - 11.29.20 Defaults
 - 11.29.21 Proceedings To Recover Overdue Amounts

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 11.29.22 Data Gathering And Storage
- 11.29.23 Communications
- 11.29.24 CAISO Payments Calendar
- 11.30 Auditing
- 11.31 HASP Intertie Schedules Decline Charges
 - 11.31.1 Decline Monthly Charge – Imports
 - 11.31.2 Decline Monthly Charge – Exports
 - 11.31.3 Allocation Of Import/Export Decline Monthly Charges
- 11.32 Measures to Address Intertie Scheduling Practices
- 12. Creditworthiness**
 - 12.1 Credit and Minimum Participation Requirements
 - 12.1.1 Unsecured Credit Limit
 - 12.1.2 Financial Security And Financial Security Amount
 - 12.1.3 Estimated Aggregate Liability
 - 12.2 Review Of Creditworthiness
 - 12.3 Posting And Releases Of Financial Security
 - 12.3.1 Self-Supply Of UDC Demand
 - 12.4 Calculation Of Ongoing Financial Security Requirements
 - 12.4.1 Resolution Of A CAISO Request For Additional Security Amount
 - 12.4.2 Dispute Process For A Request For Additional Security Amount
 - 12.5 CAISO Enforcement Actions
 - 12.5.1 Under-Secured and Non-Compliant Market Participants
 - 12.5.2 Late Posting Of Financial Security
 - 12.6 Credit Obligations Applicable To CRRs
 - 12.6.1 Credit Requirements For CRR Allocations
 - 12.6.2 Credit Requirements For CRR Auctions
 - 12.6.3 Credit Requirements For The Holding Of CRRs
 - 12.6.4 Credit Requirements For Sales Of Allocated CRRs
 - 12.7 Credit Obligation Of New Responsible Utilities For RMR Costs
 - 12.8 Credit Requirements Applicable to Virtual Bids
 - 12.8.1 Credit Check in the Day-Ahead Market
 - 12.8.2 Virtual Bid Reference Prices
 - 12.8.3 Adjustment of EAL After Close of the DAM
 - 12.8.4 Adjustment of EAL After the Close of the RTM
- 13. Dispute Resolution**
 - 13.1 Applicability
 - 13.1.1 General Applicability
 - 13.1.2 Disputes Involving Government Agencies
 - 13.1.3 Injunctive And Declaratory Relief
 - 13.2 Negotiation And Mediation
 - 13.2.1 Negotiation
 - 13.2.2 Statement Of Claim
 - 13.2.3 Selection Of Mediator
 - 13.2.4 Mediation
 - 13.2.5 Demand For Arbitration
 - 13.3 Arbitration
 - 13.3.1 Selection Of Arbitrator
 - 13.3.2 Disclosures Required Of Arbitrators
 - 13.3.3 Arbitration Procedures
 - 13.3.4 Modification Of Arbitration Procedures
 - 13.3.5 Remedies
 - 13.3.6 Summary Disposition
 - 13.3.7 Discovery Procedures
 - 13.3.8 Evidentiary Hearing
 - 13.3.9 Confidentiality

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 13.3.10 Timetable
- 13.3.11 Decision
- 13.3.12 Compliance
- 13.3.13 Enforcement
- 13.3.14 Costs
- 13.4 Appeal Of Award
 - 13.4.1 Basis For Appeal
 - 13.4.2 Appellate Record
 - 13.4.3 Procedures For Appeals
 - 13.4.4 Award Implementation
 - 13.4.5 Judicial Review Of FERC Orders
- 13.5 Allocation Of Awards Payable By Or To The CAISO
 - 13.5.1 Allocation Of An Award
 - 13.5.2 Timing Of Adjustments
 - 13.5.3 Method Of Allocation

14. Force Majeure Indemnification And Limitations On Liability

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

- 14.6 Potomac Economics, Ltd. Limitation Of Liability

15. Regulatory Filings

16. Existing Contracts

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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 16.9 The HASP
 - 16.9.1 Scheduling Deadlines
- 16.10 The CAISO'S Real-Time Process
- 16.11 Inter-Balancing Authority Area ETC Self-Schedule Bid Changes
- 16.12 Intra-Balancing Authority Area ETC Self-Schedule Changes

17. Transmission Ownership Rights (TORs)

- 17.1 TRTC Instructions
 - 17.1.1 Responsibility To Create TRTC Instructions
 - 17.1.2 TOR Scheduling Coordinator Responsibilities
 - 17.1.3 Submission Of TRTC Instructions
 - 17.1.4 TRTC Instructions Content
 - 17.1.5 Changes And Updates To TRTC Instructions
 - 17.1.6 CAISO Role In Accepting TRTC Instructions
 - 17.1.7 Implementation Of TRTC Instructions
- 17.2 Treatment Of TORs
 - 17.2.1 System Emergency Exceptions
- 17.3 Valid TOR Self-Schedules
 - 17.3.1 Validation Of TOR Self-Schedules
 - 17.3.2 Treatment Of Invalid TOR Self-Schedules
 - 17.3.3 Settlement Treatment Of Valid TOR Self-Schedules
 - 17.3.4 Notification To SCs Of CAISO Determination
- 17.4 The HASP
 - 17.4.1 Scheduling Deadlines
- 17.5 The CAISO'S Real-Time Process
- 17.6 Inter-Balancing Authority Area TOR Self-Schedule Bid Changes
- 17.7 Intra-Balancing Authority Area TOR Self-Schedule Changes
- 17.8 Existing Contracts Re TORs For Non-Participating TOs
 - 17.8.1 Participating TO Obligation
 - 17.8.2 Right To Use And Ownership Of TORs
 - 17.8.3 Dispute Resolution For Existing Contracts Applicable To TORs
- 17.9 Conversion Of PTOs' Rights Under Existing Contracts Re TORs
- 17.10 TOR Operational Obligations

18. [Not Used]

19. [Not Used]

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

20. Confidentiality

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

21. [Not Used]

22. Miscellaneous

- 22.1 Audits
 - 22.1.1 Materials Subject To Audit
 - 22.1.2 CAISO Audit Committee

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

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

23. Categories Of Transmission Capacity

24. Comprehensive Transmission Planning Process

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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 24.5.1 Project Submissions
- 24.5.2 Project Selection
- 24.5.3 Notice to Project Sponsors
- 24.6 Obligation to Construct Transmission Projects
 - 24.6.1 Not Used
 - 24.6.2 Not Used
 - 24.6.3 Not Used
- 24.7 Documentation of Compliance with NERC Reliability Standards
- 24.8 Regional And Sub-Regional Planning Process
 - 24.8.1 Information Provided by Participating TOs
 - 24.8.2 Information Provided by Participating Generators
 - 24.8.3 Information Requested from Load Serving Entities
 - 24.8.4 Information from Planning Groups, BAAs and Regulators
 - 24.8.5 Obligation to Provide Updated Information
- 24.9 Phase 2 Stakeholder Process
- 24.10 Operational Review
 - 24.10.1 Not Used
 - 24.10.2 Not Used
 - 24.10.3 Not Used
 - 24.10.4 Not Used
- 24.11 State and Local Approval and Property Rights
 - 24.11.1 PTO Requirement to Seek Necessary Approvals and Rights
 - 24.11.2 Consequences of PTO Inability to Obtain Approvals and Rights
 - 24.11.3 Conferral of Right to Build Facilities on Third Party
- 24.12 WECC and Regional Coordination
- 24.13 Regional and Sub-Regional Planning Process
 - 24.13.1 Scope of Regional or Sub-Regional Planning Process.
 - 24.13.2 Limitation on Regional Activities
- 24.14 Cost Responsibility for Transmission Additions or Upgrades
 - 24.14.1 Project Sponsor Commitment to Pay Full Cost
 - 24.14.2 Cost of Needed Addition or Upgrade to be Borne by PTO
 - 24.14.3 CRR Entitlement for Project Sponsors not Recovering Costs
 - 24.14.4 Treatment of New High Voltage Facilities Costs in HVAC
- 24.15 Ownership of and Charges for Expansion Facilities
 - 24.15.1 Transmission Additions and Upgrades Under TCA
 - 24.15.2 Access and Charges for Transmission Additions and Upgrades
- 24.16 Expansion by Local Furnishing Participating TOs
- 25. Interconnection Of Generating Units And Facilities**
 - 25.1 Applicability
 - 25.1.1 Interconnection Request And Generating Unit Requirements
 - 25.1.2 Affidavit Requirement
 - 25.2 Interconnections To The Distribution System
 - 25.3 Maintenance Of Encumbrances
 - 25.4 Asynchronous Generating Facilities
- 26. Transmission Rates And Charges**
 - 26.1 Access Charges
 - 26.1.1 Publicly Owned Electric Utilities Access Charge
 - 26.1.2 High Voltage Access Charge And Transition Charge Settlement
 - 26.1.3 Disbursement Of HVAC And Transition Charge Revenues
 - 26.1.4 Wheeling
 - 26.1.5 Unbundled Retail Transmission Rates
 - 26.2 Tracking Account
 - 26.3 Addition Of New Facilities After CAISO Implementation
 - 26.4 Effect On Tax-Exempt Status
 - 26.5 Transition Mechanism

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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
 - 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 30.1.2 HASP And Real-Time Market
- 30.2 Bid Types
- 30.3 [Not Used]
- 30.4 Election For Start-Up Costs And Minimum Load Costs
- 30.5 Bidding Rules
 - 30.5.1 General Bidding Rules
 - 30.5.2 Supply Bids
 - 30.5.3 Demand Bids
 - 30.5.4 Wheeling Through Transactions
- 30.6 Bidding and Scheduling of Proxy Demand Resources
- 30.7 Bid Validation
 - 30.7.1 Scheduling Coordinator Access
 - 30.7.2 Timing Of CAISO Validation
 - 30.7.3 DAM Validation
 - 30.7.4 HASP And RTM Validation
 - 30.7.5 Validation Of ETC Self-Schedules
 - 30.7.6 Validation And Treatment Of Ancillary Services Bids
 - 30.7.7 Format And Validation Of Operational Ramp Rates
 - 30.7.8 Format And Validation Of Start-Up And Shut-Down Times
 - 30.7.9 Format And Validation Of Start-Up Costs And Shut-Down Costs
 - 30.7.10 Format And Validation Of Minimum Load Costs
- 30.8 Bids On Out-Of-Service Paths At Scheduling Points Prohibited
- 30.9 Virtual Bids
 - 30.9.1 Virtual Bid Components
- 30.10 Use of AC Solution and Nodal Constraints
- 31. Day-Ahead Market**
 - 31.1 Bid Submission And Validation In The Day-Ahead Market
 - 31.2 MPM-RRD
 - 31.2.1 The Reliability And Market Power Mitigation Runs
 - 31.2.2 Bid Mitigation
 - 31.3 Integrated Forward Market
 - 31.3.1 Market Clearing And Price Determination
 - 31.3.2 Congestion And Transmission Losses Cost Determination
 - 31.3.3 Metered Subsystems
 - 31.4 CAISO Market Adjustments To Non-Priced Quantities In The IFM
 - 31.5 Residual Unit Commitment
 - 31.5.1 RUC Participation
 - 31.5.2 Metered Subsystem RUC Obligation
 - 31.5.3 RUC Procurement Target
 - 31.5.4 RUC Procurement Constraints
 - 31.5.5 Selection And Commitment Of RUC Capacity
 - 31.5.6 Eligibility For RUC Compensation
 - 31.5.7 Rescission Of Payments For RUC Capacity
 - 31.6 Timing Of Day-Ahead Scheduling
 - 31.6.1 Criteria For Temporary Waiver Of Timing Requirements
 - 31.6.2 Information To Be Published On Secure Communication System
 - 31.6.3 Conditions Permitting CAISO To Abort Day-Ahead Market
 - 31.6.4 [Not Used]
 - 31.7 Extremely Long-Start Commitment Process
 - 31.8 Constraints at Scheduling Points for Interties
- 32. [Not Used]**
- 33. Hour-Ahead Scheduling Process (HASP)**
 - 33.1 Submission Of Bids For The HASP And RTM
 - 33.2 The HASP Optimization
 - 33.3 Treatment Of Self-Schedules In HASP

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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 (ITs)
- 34.15 Rules For Real-Time Dispatch Of Imbalance Energy Resources
 - 34.15.1 Resource Constraints
 - 34.15.2 Calculation Of Dispatch Operating Points After Instructions
 - 34.15.3 [Not Used]
 - 34.15.4 Inter-Hour Dispatch Of Resources With Real-Time Energy Bids
 - 34.15.5 Inter-Hour Resources Dispatch Without Real-Time Energy Bids
 - 34.15.6 Intra-Hour Exceptional Dispatches
- 34.16 Ancillary Services In The Real-Time Market
 - 34.16.1 [Not Used]
 - 34.16.2 Dispatch Of Self-Provided Ancillary Services
 - 34.16.3 Ancillary Services Requirements For RTM Dispatch
- 34.17 Dispatch Information And Instructions
 - 34.17.1 Dispatch Information To Be Supplied By The CAISO
 - 34.17.2 Dispatch Information To Be Supplied By SC
 - 34.17.3 Dispatch Information To Be Supplied By UDCs
 - 34.17.4 Dispatch Information To Be Supplied By PTOs
 - 34.17.5 Dispatch Information To Be Supplied By Balancing Authorities
- 34.18 [Not Used]
- 34.19 Pricing Imbalance Energy

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 34.19.1 General Principles
- 34.19.2 Determining Real-Time LMPs

35. Market Validation And Price Correction

- 35.1 Market Validation
- 35.2 Timing Of The Price Correction Process
- 35.3 Finality Of Prices Subject To The Price Correction Process
- 35.4 Scope Of Price Corrections
- 35.5 Price Correction Methodology
- 35.6 Weekly Price Correction Report

36. Congestion Revenue Rights

- 36.1 Overview Of CRRs And Procurement Of CRRs
- 36.2 Types Of CRR Instruments
 - 36.2.1 CRR Obligations
 - 36.2.2 CRR Options
 - 36.2.3 Point-To-Point CRRs
 - 36.2.4 Multi Point CRRs
 - 36.2.5 Monthly CRRs
 - 36.2.6 Seasonal CRRs
 - 36.2.7 Long Term CRRs
 - 36.2.8 Full Funding Of CRRs
- 36.3 CRR Specifications
 - 36.3.1 Quantity
 - 36.3.2 Term
 - 36.3.3 On-Peak And Off-Peak Specifications
- 36.4 FNM For CRR Allocation And CRR Auction
 - 36.4.1 Transmission Capacity For CRR Allocation And CRR Auction
 - 36.4.2 Simultaneous Feasibility
 - 36.4.3 Outages That May Affect CRR Revenue; Scheduling Requirements
- 36.5 Candidate CRR Holder And CRR Holder Requirements
 - 36.5.1 Creditworthiness Requirements
 - 36.5.2 Required Training
- 36.6 [Not Used]
- 36.7 Bilateral CRR Transactions
 - 36.7.1 Transfer Of CRRs
 - 36.7.2 Responsibility Of The CAISO
 - 36.7.3 CRR Holder Reporting Requirement
- 36.8 CRR Allocation
 - 36.8.1 Structure Of The CRR Allocation Process
 - 36.8.2 Load Eligible For CRRs And Eligible CRR Sinks
 - 36.8.3 CRR Allocation Process
 - 36.8.4 Eligible Sources For CRR Allocation
 - 36.8.5 Load Migration Between LSEs
 - 36.8.6 Load Forecasts Used To Calculate CRR MW Eligibility
 - 36.8.7 Reconfiguration of CRRs
- 36.9 CRR Allocation To OBAALSEs
 - 36.9.1 Showing Of Legitimate Need
 - 36.9.2 Prepayment Of Wheeling Access Charges
 - 36.9.3 CRR Eligible Quantities
 - 36.9.4 Eligible CRR Sources And Sinks
 - 36.9.5 Priority Nomination Process
- 36.10 CRR Allocation To Metered Subsystems
- 36.11 CRR Allocation To Merchant Transmission Facilities
 - 36.11.1 Eligibility For Merchant Transmission CRRs
 - 36.11.2 Procedure For Allocating Merchant Transmission CRRs

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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
- 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 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
 - 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 40.3.2 Allocation Of Local Capacity Area Resource Obligations
- 40.3.3 Procurement Of Local Capacity Area Resources By LSEs
- 40.3.4 [Not Used]
- 40.4 General Requirements On Resource Adequacy Resources
 - 40.4.1 Eligible Resources And Determination Of Qualifying Capacity
 - 40.4.2 Net Qualifying Capacity Report
 - 40.4.3 General Qualifications For Supplying Net Qualifying Capacity
 - 40.4.4 Reductions For Testing
 - 40.4.5 Reductions For Performance Criteria
 - 40.4.6 Reductions For Deliverability
 - 40.4.7 Submission Of Supply Plans
- 40.5 Requirements Applying To Modified Reserve Sharing LSEs Only
 - 40.5.1 Day Ahead Scheduling And Bidding Requirements
 - 40.5.2 Demand Forecast Accuracy
 - 40.5.3 Requirement To Make Resources Available In System Emergency
 - 40.5.4 Consequence Of Failure To Meet Scheduling Obligation
 - 40.5.5 Substitution Of Resources
- 40.6 Requirements For SCs And Resources For Reserve Sharing LSEs
 - 40.6.1 Day-Ahead Availability
 - 40.6.2 Real-Time Availability
 - 40.6.3 Additional Availability Requirements For Short Start Units
 - 40.6.4 Use-Limited Resources Additional Availability Requirements
 - 40.6.5 Additional Availability Requirements For System Resources
 - 40.6.6 Requirements For Partial Resource Adequacy Resources
 - 40.6.7 Release Of Long Start Units
 - 40.6.8 Use Of Generated Bids
 - 40.6.9 Grandfathered Firm Liquidated Damages Contracts Requirements
 - 40.6.10 Exports Of Energy From Resource Adequacy Capacity
 - 40.6.11 Curtailment Of Exports In Emergency Situations
 - 40.6.12 Participating Loads and Proxy Demand Resources
- 40.7 Compliance
 - 40.7.1 Other Compliance Issues
 - 40.7.2 Penalties For Non-Compliance
- 40.8 CAISO Default Qualifying Capacity Criteria
 - 40.8.1 Applicability
- 40.9. Availability Standards And Payment; Non-Availability Charges
 - 40.9.1 General
 - 40.9.2 Exemptions
 - 40.9.3 Availability Assessment Hours
 - 40.9.4 Availability Determinations
 - 40.9.5 Outage Reporting
 - 40.9.6 Non-Availability Charges And Availability Incentive Payments
 - 40.9.7 Assessment For 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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

- 41.6.2 Refunds Of Disputed Amounts On RMR Invoices
- 41.6.3 Time-Frame For Responsible Utility To Dispute RMR Invoices
- 41.6.4 Disputes After Operational Compliance Review
- 41.6.5 Invoice Disputes Subject To RMR Contract Resolution Process
- 41.6.6 RMR Owner's Rights As A Third Party Beneficiary
- 41.7 Responsibility For Reliability Must-Run Charge
- 41.8 Responsibility For RMR Charges Associated With SONGS
- 41.9 Exceptional Dispatch Of Condition 2 RMR Units
 - 41.9.1 Notification Required Before Condition 2 RMR Unit Dispatch

42. Adequacy Of Facilities To Meet Operating & Planning Reserve

- 42.1 Generation Planning Reserve Criteria
 - 42.1.1
 - 42.1.2 Applicable Reliability Criteria Met In Peak Demand
 - 42.1.3 Applicable Reliability Criteria Not Met In Peak Demand
 - 42.1.4 Lowest Cost Bids Satisfying Applicable Reliability Criteria
 - 42.1.5 CAISO To Take Necessary Steps To Ensure Criteria Compliance
 - 42.1.6 Long Term Forecast For Information Purposes
 - 42.1.7 Reliance On Market Forces To Maximum Possible Extent
 - 42.1.8 Allocation Of Costs Incurred By CAISO In Trading Hour To SCs
 - 42.1.9 Costs For Difference In Schedules And Real-Time Deviations

43. Capacity Procurement Mechanism

- 43.1 Interim Capacity Procurement Mechanism
- 43.2 Capacity Procurement Mechanism Designation
- 43.3 Terms of CPM Designation
- 43.4 Selection of Eligible Capacity Under The CPM
- 43.5 Obligations of a Resource Designated Under The CPM
- 43.6 Reports
- 43.7 Payments To Resources Designated Under The CPM
- 43.8 Allocation Of CPM Capacity Payment Costs
- 43.9 Crediting Of CPM Capacity

44. [Not Used]

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

Appendix A Definitions

Appendix B Pro Forma Agreements

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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

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

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

California Independent System Operator Corporation
Fifth Replacement FERC Electric Tariff

**Appendix CC Large Generator Interconnection Agreement for Interconnection Requests in
a Queue Cluster Window**

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