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|  <b>California ISO</b> | <b>Operating Procedure</b> | <b>Procedure No.</b> 3140                       |
|   |                            | <b>Version No.</b> 5.8                          |
|   |                            | <b>Effective Date</b> 4/02/26                   |
| <b>TOP-003 TOP - BA Data Request and Specification Guidelines</b>                                       |                            | <b>Distribution Restriction:</b><br><b>None</b> |

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## Purpose

Provides a documented specification to applicable **North American Electric Reliability Corporation (NERC)** functional entities of the data and information necessary for the California ISO (CAISO) to perform its Balancing Authority and Transmission Operator Planning Analyses, Real-time monitoring, and Real-time Assessments.<sup>1</sup> It is also data and information, which is necessary for Gridforce (GRID), LS Power Grid California (LSPGC), Lone Star (LST, TOP for Horizon West), Pacific Gas & Electric (PG&E), Southern California Edison (SCE), San Diego Gas & Electric (SDG&E), Trans Bay Cable (TBC) and Valley Electric (VEA) to perform Transmission Operator Planning Analyses, Real-time monitoring, and Real-time Assessments for their respective areas.


<sup>1</sup> TOP-003-6.1 R1, R1.1, R2, R2.1

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## 1. Responsibilities

|  |   |
|--|---|
| <b>CAISO</b>   | <p>As applicable, the CAISO may be responsible for requirements as a NERC Registered Balancing Authority (BA), Transmission Operator (TOP), Planning Authority (PA), or Transmission Service Provider (TSP).</p> <p>As designated in Operating Procedure Attachment 3140A, is responsible for fulfilling RC West data and information requests for IRO-010-5 R3 and TOP-003-6.1 R5.</p>   |
| <b>Adjacent BAs</b>  | <p>All neighboring BAs which have formed an Adjacent BA or Interconnected Control Area Operating Agreement with the CAISO and share critical data and information regarding adjacent and shared facilities – refer to publicly posted list:</p> <p><a href="https://www.caiso.com/documents/guide-interconnectedcontrolareaorinterconnectedbalancingauthorityareaoperatingagreements-icaoribaaoa.pdf">https://www.caiso.com/documents/guide-interconnectedcontrolareaorinterconnectedbalancingauthorityareaoperatingagreements-icaoribaaoa.pdf</a></p>  |
| <b>Adjacent TOPs</b>   | <p>All neighboring TOPs, which have formed interconnected operating agreements with GRID, LSPGC, LST, PGAE, SCE, SDG&amp;E, TBC or VEA, share critical data and information regarding adjacent and shared facilities.</p>   |
| <b>Participating Transmission Owners (PTOs)</b><br><b>GRID, LSPGC, LST, PGAE, SCE, SDG&amp;E, TBC, VEA</b> | <p>Participating Transmission Owners (PTOs) that are part of the Transmission Control Agreement (TCA), are NERC registered TOPs and are part of the Coordinated Functional Registration (CFR) Agreement with the CAISO – Gridforce, LS Power Grid California, Lone Star, Pacific Gas &amp; Electric, Southern California Edison, Trans Bay Cable, Valley Electric Association – refer to publicly posted CFR agreements:</p> <p><a href="http://www.caiso.com/rules/Pages/Compliance/Default.aspx">http://www.caiso.com/rules/Pages/Compliance/Default.aspx</a></p> <p>As designated in Operating Procedure Attachment 3140A, is responsible for fulfilling RC West data and information requests for IRO-010-5 R3 and TOP-003-6.1 R5.</p> <p><b>Note:</b> <i>In the CFR matrix, the PTO is also known as the Transmission Entity (TE).</i></p> |

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| <b>AEPCO, CDWR,<br/>HHWP, SVP</b>   | The registered TOs and TOPs within the CAISO BA footprint, which are not under the TCA or the CFR Agreements – Arizona Electric Power Cooperative (AEPCO) for MWD area, California Department of Water Resources (CDWR), Hetch Hetchy Water and Power, Silicon Valley Power, refer to WECC Functional Entity mapping.   |
| <b>Participating<br/>Generators</b> | All registered GOs and/or GOPs under any type of Participating Generator agreement with the CAISO, including Pseudo-ties and Dynamic Transfer resources – refer to WECC Functional Entity mapping and publicly posted Master Control Area Generating Capability List – posted on OASIS.   |
| <b>Distribution<br/>Providers</b>   | All registered DPs within the CAISO BA and/or TOP footprint – refer to WECC Functional Entity mapping. All DPs under a Utility Distribution Company or Metered Sub System Agreement with the CAISO, as designated, are responsible for fulfilling CAISO data and information requests and adhering to CAISO processes under the California ISO Tariff, Business Practice Manuals, and Operating Procedures. For a current list of UDC and MSS entities within CAISO BA, refer to publicly posted CAISO Operating Procedure <a href="#">4510A Load Shed Calculation Guideline – Public</a> . |
| <b>Scheduling<br/>Coordinators</b>  | As designated, are responsible for fulfilling CAISO data and information requests and adhering to CAISO processes under the California ISO Tariff, Business Practice Manuals and Operating Procedures.  |


## 2. Scope/Applicability

### 2.1 Background

In order to ensure that the Transmission Operator (TOP) and Balancing Authority (BA) have data and information needed to fulfill their operational and planning responsibilities, NERC Standard TOP-003-6.1 states that each Transmission Operator and Balancing Authority shall maintain a documented specification for the data and information necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.

The implementation details and responsible entities are listed in the Operating Procedure Attachment 3140A TOP-003 TOP - BA Data Request and Specifications for Data Provision.

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## 2.2 Scope


The scope of this document is consistent with the scope of CAISO’s TOP-003 Data Request and Specification. If an entity is providing data and information per the TOP-003 data request, the RC West IRO-010 specification is also fulfilled.

IRO-010-5 provides that TOPs and BAs may provide the operating data and information described in Operating Procedure Attachment [3140A TOP-003 TOP - BA Data Request and Specifications for Data Provision](#) to the RC on behalf of the responsible party to the extent they are authorized by those entities to do so. Accordingly, by providing any such data and information to the CAISO, under the California ISO Tariff, Business Practice Manuals and Operating Procedures, these entities give their consent that the CAISO may provide this data and information directly to the RC. If any such entity objects in writing to the CAISO supplying this data and information to the RC, or if any such entity does not provide any of the data and information listed in this document below to the CAISO, it is the responsibility of that entity to provide the data and information directly to the RC. The applicable TOP or BA will also notify the RC that such entity is responsible for supplying this data and information directly to the RC.

A detailed list of data and information needed by the BA or TOP is captured in Operating Procedure Attachment [3140A TOP-003 TOP - BA Data Request and Specifications for Data Provision](#). The data requested includes, but is not limited to, non-BES data and information, external network data and information, notification of current Protection System and Special Protection System status or degradation that impacts System reliability, notification of BES generating unit(s) during local forecasted cold weather, real-time facility data, schedule type data, facility outage information, and modeling data.<sup>2</sup> This data is necessary for the BA and the TOP to carry out its functions, as defined by the NERC Reliability Standards, including:

- Real-Time Situational Awareness
- System Alarms and Visualizations
- Advanced Applications and other Network Analysis Tools
- Future, Next Day and near Real-Time Engineering Study Analysis
- Analysis, Event Analysis, Trends, Forecasts, etc.

<sup>2</sup> TOP-003-6.1 R1.2, R1.3, R2.2, R2.3

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### 2.3 Applicability

This section identifies the entities responsible for responding to the specification as deemed necessary by the California ISO. This data request applies specifically to the Registered Entities listed below that are classified in the Responsible Party column of Operating Procedure Attachment 3140A TOP-003 TOP - BA Data Request and Specification according to the following legend:

- AF = Applicable to Adjacent Facilities
- SF = Applicable to Shared Facilities
- DT = Applicable to Dynamic Transfer Entities
- NE = Applicable to Neighboring Entities
- WB = Applicable to Within the Balancing Authority area
- WT = Applicable to Within the Transmission Operator area
- NA = Not Applicable – if California ISO does not need this data to be submitted by another entity:

| Registered Entity   | Responsible Party |
|---|-------------------|
| Adjacent BAs: APS, BANC, BPA, CENACE, IID, LADWP, NVE, PACE-PACW, SRP, TID, and WALC.<br><i>*Note: Only applicable for entities currently hosting Dynamic Transfer resources.</i> | DT, * NE          |
| Adjacent TOPs: APS, BPA, CENACE, HHWP, IID, LADWP, MID, NVE, PACE-PACW, SMUD, SRP, SVP, TID, WALC, and WASN.  | AF, SF            |
| Interconnected TOPs within CAISO BAA: AEPCO, HHWP, NVE (DSLK), and SVP.   | WB                |
| All registered TOPs under a Coordinated Functional Registration (CFR) Agreement with the CAISO: GRID, LSPGC, LST, PGAE, SCE, SDG&E, TBC, and VEA.                                 | WT                |
| All registered GOs and/or GOPs under a Participating Generator (or similar) Agreement with the CAISO or an interconnection agreement with PGAE, SCE, SDG&E, or VEA.               | WB, DT            |
| All registered TOs under the Transmission Control Agreement with the CAISO.   | WT                |
| All registered DPs within the CAISO BA and/or TOP footprint.  | WB, WT            |
| All load serving entities under a Utility Distribution Company or Metered Sub System Agreement with the CAISO.  | WB                |

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This specification documents the BA and TOP requirements<sup>3</sup> which will be maintained by CAISO and in accordance with the CFR Agreements between the CAISO and GRID, LSPGC, LST, PGAE, SCE, SDG&E, TBC, and VEA (for TOP-003-6.1 R1 and R3).

TOPs, which are not a party to the CFR Agreement with the CAISO, are responsible for maintaining their own TOP-003-6.1 Data Request and Specifications document.

### 3. Procedure Detail

#### 3.1 Specification Distribution

An electronic notification shall be distributed to the applicable entities that this data request and specification is in effect and available.<sup>4</sup> California ISO's primary methods for posting the specifications are 1) posting on the RC Portal at <https://rc.caiso.com> in the TOP-003 Reference Data library and 2) posting with Operating Procedures on [www.caiso.com](http://www.caiso.com).

Entities that subscribe to notifications via the RC Portal TOP-003 Reference Data library or to Notices on <http://www.caiso.com> will receive electronic notifications of any future revisions to this data request and specification.

Email notification will be sent to Operationally Affected Parties' **contact lists > Procedure Control and TOP-003 Data Specification Contact Types** listed in the RC Portal.

#### 3.2 Applicable Entity Obligations

Each applicable entity shall satisfy the obligations of the documented specifications in accordance and by using:<sup>5</sup>

- A mutually agreeable process for resolving data conflicts,<sup>6</sup>
- Method(s) for the applicable entity identified to provide data and information that includes but is not limited to:<sup>7</sup>
  - Specific deadlines or periodicity in which data and information is to be provided,<sup>8</sup>
  - Performance criteria for the availability and accuracy of data and information, as applicable,<sup>9</sup>

<sup>3</sup> TOP-003-6.1 R1, R2, R3, R4

<sup>4</sup> TOP-003-6.1 R3, R4


<sup>5</sup> TOP-003-6.1 R5

<sup>6</sup> TOP-003-6.1 R1.4, R2.4

<sup>7</sup> TOP-003-6.1 R1.5, R2.5

<sup>8</sup> TOP-003-6.1 R1.5.1, R2.5.1

<sup>9</sup> TOP-003-6.1 R1.5.2, R2.5.2

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- Provisions to update or correct data and information, as applicable or necessary,<sup>10</sup>
- A mutually agreeable format,<sup>11</sup> and
- A mutually agreeable method(s) for securely transferring data and information.<sup>12</sup>

Additional guidance provided within this document includes mutually agreeable process expectations.

### 3.3 Mutually Agreeable Process for Resolving Data Conflicts

Data conflicts shall be resolved collaboratively whenever possible. California ISO subject matter experts will collaborate with Operations Compliance and entities to reach resolution of any known data conflict.

Entities should notify California ISO via a CIDI ticket or an email to [operationscompliance@caiso.com](mailto:operationscompliance@caiso.com) immediately upon becoming aware of a data conflict. California ISO will collaborate with the entity to resolve the conflict in a mutually agreeable manner that maintains California ISO's ability to perform its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.

### 3.4 Specific Deadlines or Periodicity in which Data and Information is to be Provided

The periodicity for providing data and the deadline by which the respondent is to provide the indicated data are specified in Operating Procedure Attachment 3140A TOP-003 TOP - BA Data Request and Specification.

### 3.5 Performance Criteria for the Availability and Accuracy of Data and Information

There are no stated performance criteria for the availability and accuracy of data and information, as applicable, currently. If any data and information validated is not accurate, please resolve data conflicts as discussed in Section 3.3.


### 3.6 Provisions for Update or Correct Data and Information

If normally established data transfer methods are unavailable for any reason, the responsible entity will provide information/ data via alternate methods until issues are resolved. It is expected that California ISO and Responsible Parties will communicate and coordinate on which data is needed at particular times, as well as a periodicity for providing

<sup>10</sup> TOP-003-6.1 R1.5.3, R2.5.3

<sup>11</sup> TOP-003-6.1 R1.5.4, R2.5.4

<sup>12</sup> TOP-003-6.1 R1.5.5, R2.5.5

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updates until the normal data communication methods are back in place. The time sensitivity of the information or data will dictate the urgency of the communications.

### 3.7 Mutually Agreeable Format


Each applicable entity that is required to provide data to California ISO, GRID, LSPGC, LST, PGAE, SCE, SDG&E, TBC, and/or VEA shall appoint at least one contact who is responsible for working with TOP-003-6.1 implementation items in order to provide the requested data in the specified format. If applicable, contacts for each section are preferred. Please maintain contacts via the Data Exchange Working Group on the RC Portal or via the contacts list maintained with California ISO Customer Service.

#### **Request Details:**

Operating Procedure Attachment 3140A TOP-003 TOP - BA Data Request and Specification - contains the specific data and information California ISO and/or applicable PTO's (GRID, LSPGC, LST, PGAE, SCE, SDG&E, TBC, and/or VEA) requires from each Responsible Party and contains columns which denote the:

- Request Number (Req #) – Used for document coordination and communication purposes.
- Responsible Party – Applicable entity or entities responsible for ensuring their data is being provided to California ISO.
  - Adjacent/ Shared Facility (TOP) = Applicable to Adjacent and/or Shared Transmission Facilities
  - DT = Applicable to Dynamic Transfer Entities, including host and receiving BAs
  - NE (BA) = Applicable to Neighboring BA Entities
  - WB = Applicable to Within the Balancing Authority area
  - WT = Applicable to Within the Transmission Operator area
  - NA = Not Applicable - if California ISO does not need this data to be submitted by another entity
- Data Request Effective Date – Date by which specified data is to begin being provided to California ISO.
- Data Item – Specific data being requested.
- Data Transfer Method – Method by which data is provided to California ISO, and applicable PTOs.
  - Data Transfer Method to CAISO and its PTOs
  - Data Transfer Method to CAISO and its PTOs from entities within CAISO BA/ TOP area

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- Data Transfer Method to CAISO and its PTOs from entities within RC West area
- Data Transfer Method to CAISO and its PTOs from entities within Adjacent RC area
- Data Update Frequency – Periodicity for providing the specified data.
- Notes – Additional clarifying information.
- Responsible for Submission to RC – in accordance with the functional registration for the applicable entity or the CFR. If related to the CFR, will designate either Single CAISO, Single PTO, Each or Split.
- Supporting Entity & Tasks – as applicable PTO, DP, GO, GOP, and/or Scheduling Coordinators adhere to CAISO processes, which in turn will fulfill the RC’s data request.

The formats for the data to be delivered are as follows.

**Inter Control Center Protocol Data (ICCP):**

- Real-time Analog and Status point data as detailed in Operating Procedure Attachment [3140A TOP-003 TOP - BA Data Request and Specifications for Data Provision](#).
- The data provider must include data quality along with the data. This data quality shall follow the ICCP Data Quality Standards as described in the IEC ICCP User’s Guide (870-6-505).
- If real-time ICCP data transfer is unavailable for any reason, the responsible entity will provide critical real-time system data via phone to the TOP or BA’s real-time desk. Data or data points that are considered critical may change based on current system conditions. It is expected that the RC and Responsible Parties will communicate and coordinate on which data is needed at a particular time as well as a periodicity for providing updates until the normal data communication methods are back in place.
- California ISO’s and/or applicable PTO’s (GRID, LSPGC, LST, PGAE, SCE, SDG&E, TBC, and/or VEA) technical staff will work with each entity’s technical staff on ICCP implementation.
- The CAISO currently retrieves Real-Time Balancing Authority calculated data from neighboring entities via ICCP from the Western Data Sharing Pool (WDSP).

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**Outage Coordination Process:**


- WebOMS is the primary mechanism for required outage submittals to the CAISO. This central outage system has a Web front-end for easy data entry. Submissions can be automated via a Web Services API by working directly with the system vendor. WebOMS supporting documentation and training are posted publicly and/or available on secure sites for registered customers.
- Adjacent BAs and TOPs shall submit outages to their RC and communicate outages via email to California ISO's Operations Planning Engineers.
- Scheduled and unscheduled outages for CAISO's Participating Transmission Owners and Participating Generators shall continue to be submitted in accordance with the California ISO's technical specifications located at:
  - <http://www.caiso.com/market/Pages/OutageManagement/Default.aspx>, which are consistent with the CAISO's Business Practice Manual (BPM) for Outage Management posted at: <https://bpmcm.caiso.com/Pages/BPMDetails.aspx?BPM=Outage%20Management>, and are implemented according to the CAISO's 3200 series Operating Procedures posted at: <http://www.caiso.com/rules/Pages/OperatingProcedures/Default.aspx>
- Contacts are contained in the distribution restricted CAISO Operating Procedure [3210F CAISO Outage Coordination Contact Information](#) that is shared with the RC and NERC registered adjacent and interconnected BAs and TOPs.
- California ISO's technical staff will work with each entity's technical staff on WSDL, XSD, and XML implementation.
- Data Request 5.1 in 3140A includes operating limitations listed in IRO-010-5 R1.3.1.

**Topology Update Process for the Western Interconnection Model (WIM):**

- The CAISO retrieves Western Interconnection Model data from neighboring entities via the RC West EMS Model update process. Model update details are in the RC0120A and RC0120B attachments and are required per the Full Network Model schedule (additions, deletions, or changes in energized equipment). If there are no network changes, then there is no need to submit updates.
- Entities within the CAISO Balancing Authority and Transmission Operator areas must submit model updates per the instructions in Operating Procedure Attachment 3140A TOP-003 TOP - BA Data Request and Specification.

**Note:** *Western Energy Imbalance Market (WEIM) market participants are an exception. WEIM entities submit the CIMXML export of their entire model to the CAISO, along with description of incremental model changes implemented in that*

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*model. CAISO processes implement the incremental changes in the CAISO representation of the WEIM entity's model.*

- Adjacent BAs and TOPs shall continue to submit topology updates through the RC Model Update Process.
- Model updates for CAISO's Participating Transmission Owners and Participating Generators shall be submitted to RIMS for both transmission and generation projects in accordance with CAISO's Business Practice Manual (BPM) for Managing the Full Network Model:  
<https://bpmcm.caiso.com/Pages/BPMDetails.aspx?BPM=Managing%20Full%20Network%20Model>.
- California ISO needs full and complete data and information well in advance of the time that the Market Participant expects its new or modified facilities to connect to or disconnect from the grid. See the current Full Network Model Schedule posted on the public website at:  
<http://www.caiso.com/market/Pages/NetworkandResourceModeling/Default.aspx>.
- CAISO's Transmission Registry Business user documentation is located at the following link:  
<http://www.caiso.com/Pages/documentsbygroup.aspx?GroupID=6CB3BA36-B21A-47E6-BAA9-BF76090A087E>.


**Other Formats:**

Other data formats and submittal processes include, but are not limited to, the use of email, RC West's RC Portal <https://rc.caiso.com>, RC West's GMS messages, and phone calls to California ISO Operators. **Though it is preferred that each entity be responsible for updating their documentation to maintain the most accurate and current information.**

**3.8 Mutually Agreeable Methods for Securely Transferring Data and Information**

The specified formats and security protocols and protections include the requirements in the currently effective NERC Standard CIP-012 and have been previously recognized as mutually agreeable. For the NERC Standard CIP-012-1, Requirement R1.3, California ISO will protect Real-Time Assessment and Real-Time Monitoring data through either Transport Layer Security (TLS) encryption (for generation resource telemetry) or through network layer encryption applied at each California ISO Control Center connection to the Energy Communication Network (ECN). Each Generator Owner or Generator Operator will be responsible for maintaining digital certificates that provide for the TLS encryption of generation telemetry data exchange. Each California ISO customer will be responsible for applying network layer encryption at each of their Control Center connections to the ECN. In the event that a Generator Owner, Generator Operator or RC customer is unable to implement the aforementioned encryption practices, the parties may utilize other mutually

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|   |                            | <b>Version No.</b>                              | 5.8     |
|   |                            | <b>Effective Date</b>                           | 4/02/26 |
| <b>TOP-003 TOP - BA Data Request and Specification Guidelines</b>                                       |                            | <b>Distribution Restriction:</b><br><b>None</b> |         |

agreeable protections to the transmission of Real-time Assessment and Real-time Monitoring data between Control Centers that satisfy the requirements in NERC Standard CIP-012-1.

The appointed contact person shall notify California ISO via the email [operationscompliance@caiso.com](mailto:operationscompliance@caiso.com) of any instances where the specified formats or security protocols are not agreeable to the entity. California ISO will collaborate with the entities and involved PTOs (GRID, LSPGC, LST, PGAE, SCE, SDG&E, TBC, and/or VEA) to resolve data conflicts in a mutually agreed upon manner that ensures System reliability.

### 3.9 Questions and Comments


California ISO and the Participating Transmission Owners under the CFR Agreement with the CAISO currently receive the data necessary to perform their reliability functions. This request formalizes the documentation that these parties will utilize in the future to request and receive data.

California ISO and the applicable PTOs will work with each entity to address questions, requests for clarification or to address issues related to the technical nature of the data. Refer to CAISO's Data Exchange Working Group contacts maintained on RC West's RC Portal. All other specification inquiries should be sent to California ISO at [operationscompliance@caiso.com](mailto:operationscompliance@caiso.com), legal and broader compliance inquiries can be sent to [compliance@caiso.com](mailto:compliance@caiso.com).

## 4. Supporting Information

### Operationally Affected Parties

AEPCO, APS, BANC, BPA, CDWR, CENACE, GRID, HHWP, IID, LADWP, LSPGC, LST, MID, NVE, PACE-PACW, PGAE, SCE, SDG&E, SMUD, SRP, SVP, TBC, TID, VEA, WALC, and WASN; **P**ublic and RC West.

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**References**

Resources studied in the development of this procedure and that may influence some steps taken herein include but are not limited to:

|  |   |
|--|---|
| NERC Standards                                   | BAL-001-2, BAL-002-3, BAL-002-WECC-3<br>EOP-005-3, EOP-010-1, EOP-011-4<br>IRO-010-5, IRO-017-1<br>TOP-001-6, TOP-002-5, TOP-003-6.1              |
| Transmission Control Agreement (TCA)             | <a href="http://www.caiso.com/rules/Pages/ContractsAgreements/Default.aspx">http://www.caiso.com/rules/Pages/ContractsAgreements/Default.aspx</a> |
| Coordinated Functional Registration (CFR) Matrix | <a href="#">CFR Agreements</a> <sup>13</sup>  |

**Definitions**

Unless the context otherwise indicates, any word or expression defined in the Master Definitions Supplement to the CAISO Tariff shall have that meaning when capitalized in this Operating Procedure.

The following additional terms are capitalized in this Operating Procedure when used as defined below:


**None.**

**Version History**

| Version | Change   | Date     |
|---------|--|----------|
| 4.0     | Periodic Review: Minor format and grammar edits only.  | 11/02/20 |
| 5.0     | Annual Review: Merging content from 3130 for consolidation. Removed version from TOP-003 in procedure title. Updated instances of ISO to CAISO. Updated instances of NEV to NVE. Updated NERC Standards IRO-010 and TOP-003. Updated review frequency to annually. | 8/06/21  |
| 5.1     | Section 3.4 - added supporting language for implementation of NERC Standard CIP-012. References Section: Updated NERC Standards references.  | 10/14/21 |


<sup>13</sup> <http://www.caiso.com/Pages/documentsbygroup.aspx?GroupID=DA2130B0-ACA2-47BC-8C37-63EBC396D770>

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|   |                                | <b>Effective Date</b>                    | 4/02/26 |
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| Version | Change  | Date     |
|---------|---|----------|
| 5.2     | Annual Review:<br>Section 3.4 - added supporting language for implementation of NERC Standard CIP-012.<br>Updated to include additional WECC CDMS export for clarification when notifications are sent.   | 4/18/22  |
| 5.3     | Annual Review:<br>Section 3.4: Updated instances of EIM to WEIM and spelled out first instance.<br>Updated references to IRO-010-4, EOP-011-2, and TOP-003-5. Added to Outage Coordination Process for coverage of IRO-010-4 R1.3.1. Updated references to Operating Procedure 3140A.<br>Removed history prior to five years, minor formatting, and grammar edits.  | 4/01/23  |
| 5.4     | Annual Review: Updated NERC Standards references throughout.  | 4/01/24  |
| 5.5     | Updated the document for formatting and heading consistency to RC0120, to reorganize in alignment with the NERC standard, and for clarity. Added sections for mutually agreeable process to resolving data conflicts, document maintenance section. Moved the procedure detail introduction into the scope and made section for mutually agreeable methods for securely transferring data and information. Reorganized the document to align with the new TOP-003-6.1 but did not introduce any new data requirements. Added Gridforce (GRID) throughout document and to Operationally Affected Parties. Updated EOP-011 version in References section. Removed history prior to five years, minor formatting, and grammar edits. | 11/05/24 |
| 5.6     | Annual Review: Added LS Power Grid California (LSPGC) where applicable throughout, including under Operationally Affected Parties. Removed history prior to five years.   | 3/12/25  |
| 5.7     | Updated version numbers for NERC Standards IRO-010 and TOP-003. Minor formatting and grammar edits.   | 7/01/25  |
| 5.8     | Annual Review:<br>Section 3.1: Updated to include Operationally Affected Parties' Contact Types, "Procedure Control" and "TOP-003 Data Specification" Contact Types and removed the WECC database export portion since the database is no longer in use.<br>Section 3.7: Added additional language under "Other Formats."<br>Operationally Affected Parties: Removed reference of WECC Export.<br>References: Updated version of NERC TOP-002 reference.<br>Minor format and grammar/punctuation edits and removed history prior to five years.   | 4/02/26  |

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| <b>TOP-003 TOP - BA Data Request and Specification Guidelines</b>                                       |                            | <b>Distribution Restriction:</b><br>None |         |

## 5. Periodic Review Procedure

### Document Maintenance

The California ISO Operations Compliance team will maintain this document as well as 3140A. California ISO Subject Matter Experts (SMEs) are responsible for notifying and collaborating with the Operations Compliance team whenever:

- Revisions to 3140A are required, or
- Issues arise regarding format, data conflicts, or security protocol.

The Operations Compliance team will collaborate with SMEs to correspond with entities, document, and approve any issues related to mutually agreeable format, data conflict resolution, and security protocols.


This 3140-guidance document (both clean and redline versions) will be posted whenever changes occur. Minor changes and periodic reviews will be noted by decimal version changes. (I.e., correcting a spelling error would change the version from 12.2 to 12.3). Major changes will be noted by whole number version changes. (I.e., a new item would change the version from 12.2 to 13.0). 3140 and 3140A will each maintain a version history section.

Operations Compliance will collaborate with entities via the RC West Data Exchange Working Group (DEWG) when there are potential updates to the TOP-003-6.1 documentation. Updates will generally include a comment period. Major updates with potential impacts to processes, procedures and tools will start engagements with entities as early as possible to allow sufficient time to implement. The California ISO will work with DEWG and other forums to address urgent changes due to NERC Alerts or other requirements, which require rapid implementation.

### Review Criteria & Incorporation of Changes

This procedure will be reviewed based on current RC West Data Request requirements. Will publicly post drafts and provide notice to CAISO BA and TOP area customers for review and comment in advance of changes, which affect implementation of CAISO BA and TOP area customer business processes and systems. Otherwise, there are no additional specific review criteria identified for this procedure, follow instructions in CAISO Operating Procedure 5510.

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**Frequency**

3140 and 3140A will be reviewed at least once annually.

**Appendix**

3140A TOP-003 TOP - BA Data Request and Specifications for Data Provision