 California ISO	Operating Procedure	Procedure No. 5140
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Purpose


This procedure describes how the California ISO (CAISO) will process inquiries from Market Participants, including Scheduling Coordinators, Non-SC Transmission Owners, Convergence Bidders, and CRR Holders.

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1. Responsibilities

Congestion Revenue Right (CRR) Holder Convergence Bidders Market Participant Non-Participating Transmission Owner(s)	<p>Submit business and post-market questions to their assigned CAISO Client Representative.</p> <p>Contact the CAISO Service Desk for voice communication and system/technology issues.</p>
Scheduling Coordinator (SC)	<p>Submit limited scheduling and dispatch inquiries to the CAISO Transmission and Generation Dispatcher, respectively. Contact the CAISO Service Desk for voice communication and system/technology issues. Submit business and post-market questions to their assigned CAISO Client Representative.</p>
CAISO Transmission Dispatcher	<p>Answer Scheduling Coordinators' questions regarding tag-related issues, hourly checkout, market status, and congestion management.</p>
CAISO Generation Dispatcher	<p>Answer Scheduling Coordinators' questions regarding dispatch instructions, system reliability emergencies, performance constraints, and related safety issues.</p>
CAISO Service Desk	<p>Investigate and either resolve or escalate application/technology issues.</p>
CAISO 2nd Level Support	<p>Resolve technical and time-sensitive issues related to grid reliability and market operations. Restore down or inoperative voice communications and systems/applications as quickly as possible.</p>
CAISO Dispute Team	<p>Respond to dispute inquiries submitted by Scheduling Coordinators.</p>
CAISO Customer Experience	<p>Respond to business-related (bid to bill) inquiries from Scheduling Coordinators, Non-SC Transmission Owners, Convergence Bidders, Western Energy Imbalance Market (WEIM) Participants, and CRR Holders.</p>

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2. Scope/Applicability

2.1. Background

The CAISO assigns Client Representatives to Scheduling Coordinators, Non-SC Transmission Owners (TOs), Convergence Bidders, and CRR Holders. The respective Client Representative serves as the single point of contact for most inquiries. There are a few instances where the Scheduling Coordinators should contact other groups within the CAISO for support. Those instances are contacting the Transmission Dispatcher and Generation Dispatcher for concerns and questions impacting reliability, Service Desk for application access or system failures, and Dispute Team for settlement disputes. WEIM Entity works directly with the Market Operator (MO) as the first point of contact for many instances.

2.2. Scope/ Applicability

This procedure applies to:

- Scheduling Coordinator inquiries directed to CAISO Generation Dispatcher, CAISO Transmission Dispatcher, CAISO Service Desk personnel, and CAISO Dispute Team personnel.
- Scheduling Coordinator, Non-SC TO, Convergence Bidder and CRR Holder inquiries submitted to CAISO Customer Experience.


3. Procedure Detail

3.1. Scheduling Inquires

Scheduling Coordinator inquiries to CAISO Transmission Dispatcher will be processed as described below:

Scheduling Coordinator (SC)
<p>1. Limit direct communication with the Transmission Dispatcher to the following:</p> <ul style="list-style-type: none"> • Tag-related issues • Hourly checkout • Market status • Congestion management

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CAISO Transmission Dispatcher
<p>1. If a Scheduling Coordinator has a question related to post-market results or finances, ask them to:</p> <ul style="list-style-type: none"> • Transfer call to Customer Support Desk if available, if not, <ul style="list-style-type: none"> ○ Open an IMS case in CIDI and/or ○ Contact their Client Representative. ○ Transfer call to Service Desk for logging and appropriate routing.

CAISO 2nd Level Support
<ol style="list-style-type: none"> 1. Investigate the issue, 2. Contact the Market Participant or Scheduling Coordinator, as needed. 3. If possible, resolve the issue <u>and</u>, if necessary, <ul style="list-style-type: none"> • Follow up with the Scheduling Coordinator. 4. If the issue cannot be resolved, <ul style="list-style-type: none"> • Document the issue in CIDI <u>and</u> • Report to the Market Participant/Scheduling Coordinator with an approximate time of resolution.

3.2. Dispatch Inquires

Scheduling Coordinator inquiries to CAISO Generation Dispatchers will be processed as described below:

Scheduling Coordinator (SC)
<ol style="list-style-type: none"> 1. Limit direct communication with the CAISO Generation Dispatcher to the following: <ul style="list-style-type: none"> • Clarification of dispatch instructions • System reliability emergencies • Unit operating or performance constraints • Personal/system/unit safety issues associated with dispatch instructions

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CAISO Generation Dispatcher
<p>1. If a Scheduling Coordinator has a question related to post-market results or finances, ask them to:</p> <ul style="list-style-type: none"> • Transfer call to Customer Support Desk if available, if not: <ul style="list-style-type: none"> ○ Open an IMS case in CIDI <u>and/or</u> ○ Contact their client representative. ○ Transfer call to Service Desk for logging and appropriate routing.

CAISO 2nd Level Support
<ol style="list-style-type: none"> 1. Investigate the issue, 2. Contact the Market Participant or Scheduling Coordinator, as needed. 3. If possible, resolve the issue <u>and</u>, if necessary, <ul style="list-style-type: none"> • Follow up with the Scheduling Coordinator. 4. If the issue cannot be resolved, <ul style="list-style-type: none"> • Document the issue in CIDI <u>and</u> • Report to the Market Participant/Scheduling Coordinator with an approximate time of resolution.

3.3. Application Technology Inquires


This section describes how application/technologies inquiries from Market Participants and Scheduling Coordinators will be processed.

3.3.1. MP/SC Voice Communications

If voice communications for a Market Participant or Scheduling Coordinator are inoperative (either planned or unplanned), they should perform the following actions:

Market Participant, Scheduling Coordinator (SC)
<ol style="list-style-type: none"> 1. Using alternative communications, <ul style="list-style-type: none"> • Report the voice communications failure to the CAISO Service Desk. • Call 1-888-889-0450 <u>or</u> • Send email to ISOHelpDesk@caiso.com. 2. Give the CAISO Service Desk instructions on how to contact the Market Participant or Scheduling Coordinator until voice communications are restored.

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CAISO Service Desk
1. Call the CAISO Manager of BA Operations and relay the instructions on how to contact the Market Participant or Scheduling Coordinator.

Market Participant, Scheduling Coordinator (SC)
1. Once voice communications have been restored, notify the CAISO Service Desk.

3.3.2. CAISO Voice Communications

If a Market Participant or Scheduling Coordinator believes voice communications are inoperative at either of the control rooms, they should perform the following actions:

Market Participant, Scheduling Coordinator (SC)
1. Report the voice communications failure to the CAISO Service Desk. <ul style="list-style-type: none"> • Call 1-888-889-0450 or • Send email to ISOHelpDesk@caiso.com. 2. Follow any instructions provided by the CAISO Service Desk.


CAISO Real-Time Operations
1. If voice communications at either of the Control Centers are inoperative, <ul style="list-style-type: none"> • Send an ADS message, Grid Messaging System (GMS) message, Market Notice, and any additional email messages as necessary providing instructions on how to contact Real-Time Operations. 2. Once voice communications have been restored at the respective Control Center, <ul style="list-style-type: none"> • Send ADS message, GMS message, Market Notice, and any additional email messages to all external entities.

3.3.3. System Access/Availability Issue

If a Market Participant or Scheduling Coordinator cannot access a CAISO System (where previously they had authorized access), the issue will be processed as follows:

Market Participant, Scheduling Coordinator (SC)
1. Do any of the following: <ul style="list-style-type: none"> • Call the CAISO Service Desk at 1-888-889-0450.

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Market Participant, Scheduling Coordinator (SC)
<ul style="list-style-type: none"> • Send email to ISOHelpDesk@caiso.com.

CAISO Service Desk
<ol style="list-style-type: none"> 1. Create or review an SMC ticket (creating an SMC ticket for a Market Participant or Scheduling Coordinator automatically generates a CIDI Ticket): <ul style="list-style-type: none"> • Resolve the issue; otherwise, <ul style="list-style-type: none"> ○ Assign the SMC ticket to the appropriate 2nd-level support team. • If the issue is time-sensitive or critical, <ul style="list-style-type: none"> ○ Escalate the ticket to 2nd-Level support.

CAISO 2nd Level Support
<ol style="list-style-type: none"> 1. Investigate the issue, <ul style="list-style-type: none"> • Contact the Market Participant or Scheduling Coordinator, as needed, <u>and</u> • Do one of the following: <ul style="list-style-type: none"> ○ Resolve the issue, update the SMC ticket (the corresponding CIDI ticket will be updated), <u>and</u>, if necessary, follow up with the Market Participant or Scheduling Coordinator. ○ Document the status of the issue and the expected resolution time/date in the SMC ticket (the corresponding CIDI ticket will be updated). ○ Continue to work on the issue until it is resolved or assigned to another CAISO resource. ○ When the issue has been resolved, <ul style="list-style-type: none"> ▪ Follow up with the Market Participant or Scheduling Coordinator, if necessary.

CAISO Real-Time Operations
<ol style="list-style-type: none"> 1. If the Service Desk or 2nd-Level Support reports that a system is down or degraded, <ul style="list-style-type: none"> • Send a Market Notice stating the current system status and any actions to be performed by Market Participants/Scheduling Coordinators. 2. When the Service Desk or 2nd-Level Support reports that the system has been restored, <ul style="list-style-type: none"> • Send a Market Notice stating the system has been restored and to return to normal system operations.

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3.3.4. ADS Down or Degraded


If the CAISO Service Desk, 2nd-Level Support, or Real-Time Operations confirms ADS is down or degraded, Scheduling Coordinators should perform the following actions:

Scheduling Coordinator (SC)
<ol style="list-style-type: none"> 1. Maintain the most recent Dispatch Operating Target (DOT) received from CAISO Real-Time Operations. 2. Do not go to the Day-Ahead Schedule unless instructed to do so by the CAISO Generation Dispatcher. 3. Respond to any manual dispatch instructions issued by CAISO Real-Time Operations personnel. 4. Call the CAISO Generation Dispatcher to confirm any new ADS dispatches. 5. Watch for CAISO Market Notices regarding ADS status or possible required actions. 6. When the CAISO sends a Market Notice indicating that ADS has been restored, <ul style="list-style-type: none"> • Resume normal ADS operations.

3.3.5. EMS or RTN Down or Degraded

If the CAISO Service Desk, CAISO 2nd-Level Support, or CAISO Real-Time Operations confirms EMS or RTN is down or degraded, Scheduling Coordinators should perform the following actions:

Scheduling Coordinator (SC)
<ol style="list-style-type: none"> 1. Call the CAISO Generation Dispatcher <u>and inquire</u> about any dispatch instructions. 2. Do the following: <ul style="list-style-type: none"> • Respond to any manual dispatch instructions issued by CAISO Real-Time Operations personnel. • Watch for CAISO Market Notices regarding system status or possible required actions. 3. When the CAISO sends a Market Notice indicating EMS or RTN has been restored, <ul style="list-style-type: none"> • Resume normal operations.

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3.3.6. SIBR Down or Degraded

If the CAISO Service Desk, CAISO 2nd-Level Support, or CAISO Real-Time Operations Group confirms SIBR is down or degraded, Scheduling Coordinators should perform the following actions:

Scheduling Coordinator (SC)
<ol style="list-style-type: none"> 1. If SIBR is unavailable for the hourly market, <u>and</u> the hourly bids are <u>not</u> available, <ul style="list-style-type: none"> • Contact the Service Desk. • Follow the instructions posted on OASIS under System Operating Messages <u>and/or</u> • Contact the Transmission Dispatcher for reliability concerns. 2. If SIBR is down or inaccessible, <ul style="list-style-type: none"> • Contact the CAISO Service Desk <p><i>Note: CAISO Real-Time Operations may decide to hold the day-ahead schedule open until the issue is resolved and then give Schedule Coordinators time to submit their day-ahead schedules. (This would be communicated via market messages.)</i></p> 3. When CAISO Real-Time Operations sends a CAISO Market Notice indicating SIBR has been restored, <ul style="list-style-type: none"> • Resume normal operations.


3.4. Settlement Dispute Inquires

Scheduling Coordinators should contact the CAISO Dispute Team regarding market settlement disputes.

Scheduling Coordinator (SC)
<ol style="list-style-type: none"> 1. Open an SDS case in CIDI, describing the settlement dispute.

CAISO Dispute Team
<ol style="list-style-type: none"> 1. Investigate the dispute, <ul style="list-style-type: none"> • Contact the Scheduling Coordinator, as needed. • Document the dispute in CIDI <u>and</u> • Notify the Scheduling Coordinator of the estimated date for resolving the dispute.

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3.5. Business Inquiries


Scheduling Coordinators, Non-SC TOs, Convergence Bidders, and CRR Holders should contact their CAISO Customer Experience for all business-related inquiries (bid to bill), including (but not limited to) the following:

- Post-Market Bid Results
- Settlements (other than disputes)
- Meter Data
- Application Access
- Application Functionality
- Contracts
- Agreements
- Credit and Collateral
- SC Certification
- Training

Note: Business inquiries may include post-market questions about real-time dispatches related to market results or finances.

Market Participant, Scheduling Coordinator (SC)
1. If an issue is not related to critical or time-sensitive pre-market activities, <ul style="list-style-type: none"> • Open an IMS case in CIDI.

CAISO Customer Experience
1. Set Expectations by providing a follow up date to the client regarding when they can anticipate receiving an update on their issue. 2. Document the resolution and status in CIDI.

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4. Supporting Information

Operationally Affected Parties

Shared with the Public.

References

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


CAISO Tariff	
CAISO Operating Procedure	
NERC Requirements	
WECC Criterion	
Other References	

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:

CIDI	Customer Inquiry, Dispute, and Information system
IMS	Information Management System

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Version History

Version	Change	Date
4.1	Corrected procedure title in header.	10/24/19
4.2	Periodic Review: Sections 1, 2 & 3.4: Replaced Market Settlement Validation & Resolution Department with Dispute Team. Updated from ISO to CAISO throughout. Minor format and grammar updates. Removed history prior to five years. Updated review frequency to every three (3) years.	1/27/22
4.3	Updated title to reflect California ISO and purpose to reflect first instance as California ISO (CAISO). Updated From EIM to WEIM with first instance spelled out in Sections 1 and 2.	2/16/23
4.4	Section 3.3.1: Replaced Shift Manager with Manager of Real-Time Operations.	9/11/23
4.5	Periodic Review: Replaced Transmission and Generation "Desk" with "Dispatcher." Defined Transmission Owners and replaced Real-Time Market Operator (RTMO) with Market Operator (MO) in Section 2.1. Replaced Help Desk with Service Desk in Sections 3.1 and 3.2. Replaced Reliability messaging system with Grid Messaging System (GMS) in Section 3.3.2. Minor formatting and grammar edits.	1/23/25
4.6	Replaced Manager of Real-Time Operations with Manager of BA Operations. Minor formatting and grammar edits.	11/06/25

5. Periodic Review Procedure

Review Criteria & Incorporation of Changes

There are no specific criteria for reviewing or changing this document, follow instructions in CAISO Operating Procedure 5510.

Frequency

Every three (3) years.

Appendix

No references **currently**.

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