**Draft Business Practice Manual based on the pending**

**Resource Interconnection Standards**

aka

**Resource Interconnection Standards Interconnection Guide**

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# INTRODUCTION

Welcome to the ***Resource Interconnection Standards Interconnection Guide***. In this Introduction you will find the following information:

* The purpose of the RIS Interconnection Guide
* What you can expect from the RIS Interconnection Guide

## Purpose of the RIS Interconnection Guide

The RIS *Interconnection Guide* covers the rules, design, and operational elements of the CAISO Resource Interconnection Standards. The RIS Interconnection Guide is intended for those entities that expect to interconnect a generating facility to the CAISO controlled grid.

The provisions of the RIS Interconnection Guide are intended to be consistent with the CAISO Tariff Appendix KK Resource Interconnection Standards. If the provisions of the RIS Interconnection Guide nevertheless conflict with the CAISO Tariff, the CAISO is bound to operate in accordance with the CAISO Tariff. Any provision of the CAISO Tariff that may have been summarized or repeated in the RIS Interconnection Guide is only to aid understanding. Even though every effort will be made by the CAISO to update the information contained in the RIS Interconnection Guide, it is the responsibility of each Interconnection Customer to ensure that he or she is using the most recent version of the RIS Information Guide and to comply with all applicable provisions of the CAISO Tariff.

A reference in the RIS Interconnection Guide to the CAISO Tariff, a given agreement, any o BPM or instrument, is intended to refer to the CAISO Tariff, that agreement, BPM or instrument as modified, amended, supplemented or restated.

The captions and headings in the RIS Interconnection Guide are intended solely to facilitate reference and not to have any bearing on the meaning of any of the terms and conditions of the RIS Interconnection Guide.

## References

The definition of acronyms and words beginning with capitalized letters are given in Appendix A of the CAISO Tariff. .

# Objectives and Applicability

The objective of these Resource Interconnection Standards (RIS) is to implement the requirements for both Small and Large Generating Facility interconnections to the CAISO Controlled Grid and to provide a process for allocating Transmission Plan Deliverability for Interconnection Requests starting with Queue Cluster 15 and for subsequent Queue Clusters. The RIS applies to Interconnection Requests that are either assigned to Queue Cluster 15 and subsequent Queue Clusters, or submitted for the Fast Track Process after the RIS is effective. The exception to this rule of limited applicability is the annual reassessment process set forth in Section 7.4, which will apply to all CAISO Interconnection Customers in Queue Clusters.[[1]](#footnote-1)

The CAISO shall receive, process, and analyze Interconnection Requests in a timely manner as set forth in the RIS. The CAISO will process and analyze Interconnection Requests from all Interconnection Customers as set forth in the RIS, regardless of whether the Generating Facilities are owned by a PTO, its subsidiaries, or Affiliates or others.[[2]](#footnote-2)

2.1 Pre-Application

An Interconnection Customer with a proposed Small Generating Facility may submit a formal written request form along with a non-refundable fee of $300 to the CAISO for a pre-application report on a proposed project at a specific site. The CAISO shall provide the pre-application data described in Section 1.3.2 to the Interconnection Customer within twenty (20) Business Days of receipt of the completed request form and payment of the $300 fee. The CAISO shall coordinate with the PTO to complete the pre-application report. At the request of the CAISO, the PTO shall provide any readily available information necessary to complete the pre-application report. Readily available information shall mean information that the PTO currently has on hand. The PTO is not required to create new information but is required to compile, gather, and summarize information that it has on hand in a format that presents the information in a manner that informs the Interconnection Customer regarding issues related to its proposed Small Generating Facility. If providing any item in the pre-application report would require the PTO to perform a study or analysis beyond gathering and presenting existing information, then the information shall be deemed not readily available. The pre-application report produced by the CAISO is non-binding, does not confer any rights, and the Interconnection Customer must still successfully apply to interconnect to the CAISO’s system. The written pre-application report request form shall include the information in Sections 1.3.1.1 through 1.3.1.8 of the RIS to clearly and sufficiently identify the location of the proposed Point of Interconnection that is under CAISO operational control.[[3]](#footnote-3)

# Interconnection Service and Studies

3.1 No Applicability to Transmission Service

Nothing in the RIS shall constitute a request for transmission service or confer upon an Interconnection Customer any right to receive transmission service.[[4]](#footnote-4)

3.2 The Product

Interconnection Service allows the Interconnection Customer to connect the Generating Facility to the CAISO Controlled Grid and be eligible to deliver the Generating Facility’s output using the available capacity of the CAISO Controlled Grid. Interconnection Service does not in and of itself convey any right to deliver electricity to any specific customer or point of delivery or rights to any specific MW of available capacity on the CAISO Controlled Grid.[[5]](#footnote-5)

3.3 The Interconnection Studies

For Interconnection Requests in Queue Cluster 15 and subsequent Queue Clusters, the Interconnection Studies consist of a Cluster Study, an annual reassessment, and an Interconnection Facilities Study, and any updates to reflect the results of a reassessment conducted after the TP Deliverability allocation process for the Queue Cluster.[[6]](#footnote-6)

3.4 The Cluster Studies

The Cluster Studies for Queue Cluster Generating Facilities will include, but not be limited to, short circuit/fault duty, steady state (thermal and voltage) and stability analyses. The Cluster Studies will identify direct Interconnection Facilities and required Reliability Network Upgrades necessary to interconnect the Generating Facility, mitigate thermal overloads and voltage violations, and address short circuit, stability, and reliability issues associated with the requested Interconnection Service. The stability and steady state studies will identify necessary upgrades to allow full output of the proposed Generating Facility, except for Generating Facilities that include at least one electric storage resource that request to use operating assumptions, unless the CAISO and PTO determine that Good Utility Practice, including Applicable Reliability Standards, otherwise requires the use of different operating assumptions, and would also identify the maximum allowed output, at the time the study is performed, of the interconnecting Generating Facility without requiring additional Network Upgrades. The Cluster Studies will also identify LDNUs that have selected Full Capacity, Partial and Capacity Deliverability Status, as applicable. Such Network Upgrades shall be identified in accordance with the Deliverability Assessments. The Cluster Studies will also provide cost estimates for ADNUs. The Cluster Study report shall include cost estimates for RNUs, LDNUs, and ADNUs.[[7]](#footnote-7)

3.5 The Reassessment

Before each Cluster Study, the CAISO will conduct a reassessment, to conform the Base Case and Interconnection Base Case Data to account for later conditions since the CAISO performed the Cluster Study in the prior Interconnection Study Cycle.[[8]](#footnote-8)

3.6 The Interconnection Facilities Study

After the Cluster Study, the CAISO and PTO will conduct the Interconnection Facilities Study to determine a list of facilities (including the PTO’s Interconnection Facilities and Network Upgrades as identified in the Cluster Study), the cost of those facilities, and the time required to interconnect the Generating Facility with the CAISO Controlled Grid.[[9]](#footnote-9)

3.7 Update Following TP Deliverability Allocation Process

Following the completion of Interconnection Facilities Studies for the Queue Cluster and provision by the CAISO of the results to Interconnection Customers in the Queue Cluster, the CAISO will perform the allocation of TP Deliverability to eligible Generating Facilities in accordance with Section 8.9. Based on the results of the allocation process and the responses to those results as reported by affected Interconnection Customers to the CAISO, the CAISO will provide updates where needed to the Interconnection Study reports of affected Interconnection Customers.[[10]](#footnote-10)

# Interconnection Requests

4.1 General

A duly authorized officer or agent of the Interconnection Customer will submit to the CAISO (1) an Interconnection Request consistent with Appendix 1 of the RIS, including (2) an executed Cluster Study Agreement consistent with Appendix 3 of the RIS. All forms shall be submitted electronically as provided on the CAISO Website. The CAISO will forward a copy of the Interconnection Request to the applicable PTO within five (5) Business Days of notification to auction winners.

The Interconnection Customer shall submit a separate Interconnection Request for each site. Where multiple Generating Units share a site, the Interconnection Customer(s) may submit separate Interconnection Requests or a single Interconnection Request. An Interconnection Request to evaluate one site at two different voltage levels shall be treated as two Interconnection Requests.

The Interconnection Customer will select the definitive Point of Interconnection to be studied no later than ten (10) days after the close of the Cluster Application Window. For purposes of clustering Interconnection Requests, the CAISO and PTO may propose changes to the requested Point of Interconnection to facilitate efficient interconnection of Interconnection Customers at common Point(s) of Interconnection within the same Transmission Zone.

Interconnection Customers may request Interconnection Service Capacity below the Generating Facility Capacity. The CAISO will study these requests for Interconnection Service at the level of Interconnection Service Capacity requested for purposes of Interconnection Studies, Network Upgrades, and associated costs. If the Generating Facility Capacity requires additional Network Upgrades beyond the Interconnection Service Capacity, the CAISO will provide a detailed explanation of why the additional Network Upgrades are necessary. Any Interconnection Facility and/or Network Upgrade cost required for safety and reliability will be assigned to the Interconnection Customer and eligible for reimbursement consistent with the treatment of Interconnection Facilities and Network Upgrade provided in the RIS. Interconnection Customers may be subject to additional control technologies, as well as testing and validation of those technologies. The necessary control technologies and protection systems shall be established in Appendix C of that executed, or requested to be filed unexecuted, GIA.

The CAISO will study Generating Units that include at least one electric storage resource using operating assumptions (i.e., whether the interconnecting Generating Facility will or will not charge at peak load) that reflect the proposed charging behavior of the Generating Facility as requested by the Interconnection Customer, unless the CAISO and PTO determine that Good Utility Practice, including Applicable Reliability Standards, otherwise requires the use of different operating assumptions. If the CAISO and PTO find the Interconnection Customer’s requested operating assumptions conflict with Good Utility Practice, they must provide the Interconnection Customer an explanation in writing of why the submitted operating assumptions are insufficient or inappropriate by no later than thirty (30) calendar days before the end of the Customer Engagement Window and allow the Interconnection Customer to revise and resubmit requested operating assumptions one time at least ten (10) calendar days prior to the end of the Customer Engagement Window. The CAISO and PTO will study these requests for Interconnection Service, with the study costs borne by the Interconnection Customer, using the submitted operating assumptions for purposes of Interconnection Facilities, Network Upgrades, and associated costs. These requests for Interconnection Service also may be subject to other studies at the full Generating Facility Capacity to ensure safety and reliability of the system, with the study costs borne by the Interconnection Customer. The Interconnection Customer’s Generating Facility may be subject to additional control technologies as well as testing and validation of such additional control technologies consistent with Article 6 of the LGIA. The necessary control technologies and protection systems will be set forth in Appendix C of the Interconnection Customer’s LGIA.[[11]](#footnote-11)

4.2 Roles and Responsibilities

Each Interconnection Request will be subject to the direction and oversight of the CAISO. The CAISO will conduct or cause to be performed the required Interconnection Studies and any additional studies the CAISO determines to be reasonably necessary, and will direct the applicable PTO to perform portions of studies where the PTO has specific and non-transferable expertise or data and can conduct the studies more efficiently and cost effectively than the CAISO. The CAISO will coordinate with Affected System Operators in accordance with the RIS Section 3.7.[[12]](#footnote-12)

The CAISO will complete or cause to be completed all studies as required within the timelines provided in this. Any portion of the studies performed at the direction of the CAISO by the PTOs or by a third party shall also be completed within timelines provided in the RIS.[[13]](#footnote-13)

The CAISO has established a pro forma Roles and Responsibilities Agreement for execution by the CAISO and the applicable PTOs.[[14]](#footnote-14)

Each Interconnection Customer shall pay the actual costs of all Interconnection Studies, and any additional studies the CAISO determines to be reasonably necessary in response to the Interconnection Request. The CAISO shall reimburse the PTO for the actual cost of any portion of all Interconnection Studies that such PTO performs at the direction of the CAISO.[[15]](#footnote-15)

4.3 Timing for Submitting Interconnection Requests

Timing for Submitting Interconnection Requests for a Queue Cluster

Except for Interconnection Customers requesting processing under the Fast Track Process, Interconnection Requests must be submitted during a Cluster Application Window.

The Cluster Application Window will open on October 1 and close on October 15 of each year.[[16]](#footnote-16) The CAISO will issue a Market Notice approximately thirty (30) calendar days prior to the opening of the Cluster Application Window.

For Cluster 15 the CAISO will accept refreshed interconnection requests from October 1 through December 2, 2024. Thereafter, the CAISO will accept Interconnection Requests during a fifteen (15) day period (the Cluster Application Window). Beginning in 2026, the initial Cluster Application Window for Interconnection Requests will open annually on October 1 and close on October 15. If any date set forth in this section is not a Business Day, then the applicable date shall be the next Business Day.[[17]](#footnote-17)

* Timing for Submitting Interconnection Requests for Fast Track Process

Interconnection Customers may submit Interconnection Requests for processing under the Fast Track Process at any time during the year.[[18]](#footnote-18)

* Timing for Wholesale Distribution Transfers

After the Cluster Application Window, the CAISO will accept Interconnection Requests from Utility Distribution Companies that accepted interconnection requests for wholesale participation the Interconnection Customer reasonably believed were to the distribution grid based on available information, but should have been to the CAISO Controlled Grid. The CAISO will only accept those Interconnection Requests it can include in the Cluster Study without delaying that Queue Cluster. The CAISO will not accept any Interconnection Request transfers after the commencement of the Cluster Study.

After the Utility Distribution Company has transferred the Interconnection Request to the CAISO, the CAISO will notify the Interconnection Customer whether it can be included in the Cluster Study and request any data still required under the RIS Section 3.5.1.[[19]](#footnote-19)

# Selecting a Project Name

Dispatchers and operations personnel must be able to identify and easily communicate with each other regarding generators. Being forced to clarify “which Blythe?” or “is it GENX47H or GEN47XH?” could waste valuable time during a contingency event. As such, all project names provided in an Interconnection Request will be reviewed for compliance with the Project and Resource Naming Convention Guidelines provided below in section 5.2.1. These guidelines are intended to avoid naming issues early in the interconnection process. Projects may be required to change names at any time subject to CAISO discretion.

The Project and Resource Naming Convention Guidelines are utilized both by the CAISO for projects interconnecting to the CAISO controlled grid and by the PTOs for Wholesale Distribution Access Tariff (WDAT) projects interconnecting to the PTO distribution systems. Any project name in the Interconnection Request that does not meet the project naming convention guidelines will result in the Interconnection Customer being required to change the project name, including WDAT projects that are coming into the CAISO New Resource Implementation process prior to synchronization.

The CAISO will not accept duplicate names for projects. The Grid Unity application will not accept duplicate project names and will require a unique project name for the successful submittal of the Interconnection Request or project request. The Interconnection Customer may refer to the CAISO website for a list of previously utilized names that cannot be duplicated at the following: [Prohibited Project Names](https://www.caiso.com/documents/prohibitedprojectnames.xlsx). If a name is initially accepted by Grid Unity, and upon further review is found to be unacceptable according to the guidelines below in Section 5.2.1, the Interconnection Customer will be required to provide a proposed alternative name, or a list of proposed names, prior to the end of the customer engagement window. For those project requests that occur outside of the Interconnection Request process, the Interconnection Customer should work directly with their designated CAISO contact to determine an appropriate alternative name.

If the Interconnection Customer needs additional assistance with selecting a project name, they may send a name or list of possible project names to the CAISO to verify prior to submitting their Interconnection Request. However, project names are not reserved until the Interconnection Request is submitted in Grid Unity. As part of the Interconnection Request review and validation process, the CAISO will verify if each name complies with the Project and Resource Naming Convention Guidelines, has not already been utilized, and is not similar to a currently used name. The CAISO may provide the Interconnection Customer with a recommendation if the proposed name is unacceptable. Requests for review of a proposed project name may be sent to [IRinfo@caiso.com](mailto:IRinfo@caiso.com) with “Request for Name Review” in the subject line.

5.1 Project and Resource Naming Convention Guidelines:

In general project names can be a maximum of 30 characters (including spaces) and cannot contain the following: cities, substations, towns, company names, the words: expansion (unless increasing MW to an existing facility), farm, facilities, generation, hybrid, phase, project, station; acronyms, abbreviations, any number more than two digits, cluster number, configurations, license plate configurations, MW values, similar sounding names, and special characters.

|  |  |  |
| --- | --- | --- |
| Unacceptable Naming Configurations: | Examples of Unacceptable Names: | Examples Acceptable Names: |
| Maximum use of 30 (thirty) characters, including spaces |  |  |
| No company types (i.e., LLC, Inc.) | Jefferson Corporation Solar; Jefferson Inc. Solar | Jefferson Solar |
| Repeated names with different unit numbers for a series of units is allowed, but only for a single entity at the same location (e.g. Blythe 1, Blythe 2, and so on). | No Blythe 1 and Blythe 2 owned by one entity at one location and Blythe 3 and Blythe 4 owned by a different entity or at another location. | If owned by a single entity Blythe 1, Blythe 2, Blythe 3, etc. is allowed. |
| No duplications of one or more words over four iterations, even at the same location and owned by the same entity. |  | Blythe Gas Unit, Blythe Solar, Blythe Wind, Blythe South are allowed.   * Note: In this example “Blythe” in any new project name constituting a fifth similar name would not be allowed. |
| No re-use of project names once in CAISO systems (once used by another project) | Any single name or similar pronounced name can only be used once. (e.g. Right cannot be used if Wright is already used) | Each name must be unique and distinguishable from each other when spoken by operators. |
| No use of the words *“****Project****”, “****Generating****”, “****Facility****”,* ***“\*Phase”, “\*\*Expansion”, “Farm”, “Station”*** | Canal Creek Power Plant Project | Canal Creek Power Plant |
| \*No use of the word “***Phase***” (numbers only); however, when numbers are used for units it must be for the same project / owner | Canal Creek Power Plant Phase 1 | Canal Creek Power Plant 1 |
| \*\*No use of the word “***Expansion***” unless used in an incoming Interconnection Request for the purpose of increasing MW to an existing resource | Canal Creek Power Plant Expansion | Canal Creek Power Plant 2 |
| No acronyms unless identifying technology (i.e., PV) | FRV Windwood Solar | Windwood Solar |
| No special characters | Canal Creek Power Plant #1 | Canal Creek Power Plant 1 |
| No abbreviations similar to those used by CAISO (subject to CAISO discretion) | Canal Creek NQC  California PTO Solar |  |
| No conjoined words or words and numbers without spacing. | CanalCreekPowerPlant1  or  Canal Creek Power Plant1 | Canal Creek Power Plant 1 |
| Names cannot begin with numbers | 3 Solar | Solar 3 |
| Numbers cannot be spelled out | Canyon Solar Three | Canyon Solar 3 |
| No Roman numerals | Canal Creek Power Plant I; Canal Creek Power Plant II | Canal Creek Power Plant 1; Canal Creek Power Plant 2 |
| The use of no more than two digits for any number, regardless of the reason for the number. | California Solar 100 | California Solar 90 |
| No megawatt values (MW) | Canal Creek Power Plant 20MW | Canal Creek Power Plant |
| No use of “Cluster number; C1” | Canal Creek Power Plant C3; Canal Creek Power Plant Cluster 3 | Canal Creek Power Plant |
| No “license plate” configurations | HJK23RJ | Combinations of complete words and numbers of 2 digits or less. |

# Cluster Application Window

6.1 Initiating an Interconnection Request

An Interconnection Customer seeking to join a Queue Cluster will submit its Interconnection Request to the CAISO within, and no later than the close of, the Cluster Application Window. Interconnection Requests submitted outside of the Cluster Application Window will not be considered. To initiate an Interconnection Request and have the Interconnection Request considered for validation the Interconnection Customer must submit all of the following during the Cluster Application Window:

* + 1. Applicable Interconnection Study Deposit amount, pursuant to Section 3.5.1.1 of the RIS and listed below
       1. Application Fee, separate for each Interconnection Request and labeled with project name;
       2. Study Deposit, separate for each Interconnection Request and labeled with project name;
    2. A completed application via the Grid Resource Interconnection Portal (GRIP), including requested Deliverability statuses, preferred Point of Interconnection and voltage level, and all other required technical data. If the CAISO redefines zone boundaries such that an IC’s previously selected zone changes; the IC will have the option to modify their POI (during the allowable timeframe) to remain in the current, redefined zone or choose a POI in their originally requested zone
    3. Demonstration of no less than ninety percent (90%) Site Control; or (1) a signed affidavit from an officer of the company indicating that Site Control is unobtainable due to regulatory limitations as defined in the Business Practice Manuals; (2) documentation sufficiently describing and explaining the source and effects of such regulatory limitations, including a description of any conditions that must be met to satisfy the regulatory limitations and the anticipated time by which the Interconnection Customer expects to satisfy the regulatory requirements; and (3) a deposit in lieu of Site Control of $10,000 per MW, subject to a minimum of $500,000 and a maximum of $2,000,000. Interconnection Requests from multiple Interconnection Customers for multiple Generating Facilities that share a site must include a contract or other agreement that allows for shared land use.
    4. A load flow model.
    5. A dynamic data file.
    6. A reactive power capability document.
    7. A site drawing.
    8. A single-line diagram.
    9. A flat run plot, bump test plot, voltage reference step change test plot, frequency reference step change test, and a voltage ride-through test plot from the positive sequence transient stability simulation application.
    10. A plot showing the requested MW at the Point of Interconnection from the positive sequence load flow application.
    11. A Commercial Readiness Deposit to be, submitted directly to the PTO, equal to two times the study deposit described in Section 3.5.1.1 of the RIS in the form of an irrevocable letter of credit, cash, a surety bond, or other form of security that is reasonably acceptable to the PTO under Section 11.1 of the RIS. Each PTO will have its own acceptable forms of security. This information is on the CAISO website. This Commercial Readiness Deposit is refunded to Interconnection Customer according to Section 3.8 of the RIS.
    12. If applicable, (a) the requested operating assumptions (i.e., whether the interconnecting Generating Facility will or will not charge at peak load) to be used by the CAISO and PTO that reflect the proposed charging behavior of the Generating Facility that includes at least one electric storage resource, and (2) a description of any control technologies (software and/or hardware) that will limit the operation of the Generating Facility to the operating assumptions submitted by the Interconnection Customer.
    13. All supporting documentation required for the Interconnection Customer’s selections on Appendix 2, as required by Section 4 of the RIS.

1. Commercial Interest
2. Project Viability Engineering Plan:
   1. The engineering design plan will be demonstrated by completing the Engineering Design Plan Affidavit on the CAISO website. The affidavit must include a professional engineer seal/stamp or equivalent proof that the professional engineer asserts that the claims on the affidavit are accurate.
   2. Engineering Design Plan Requirements

All plans, specifications, engineering calculations (including mechanical, electrical and structural), working drawings, diagrams, details, and other relevant data for the equipment procurement, installation, and completion of the Generating Facility within a defined area. This includes maps, profiles, plans, and other necessary data to detail the location, nature of the work, and property that may be affected.

1. Project Viability Expansion:
2. System Need:

Additionally, an executed Cluster Study Agreement (CSA) for Queue Clusters, and the Secretary of State Certification for the Interconnection Customer and proof that the signatory is an authorized representative of the Interconnection Customer.

6.2 Determining a Complete Interconnection Request

If any of the above items are not provided in the package submitted with the Interconnection Request by the close of the Cluster Application Window on October 15th (or the following Business Day if October 15th falls on a non-Business Day) for a cluster study, the Interconnection Request will be deemed incomplete and will not be in included in that year’s Queue Cluster. Interconnection Requests under the Fast Track Processes must submit the same package of items above to be eligible for review. As noted below, it is highly encouraged that Interconnection Customers submit their entire Interconnection Request packages complete in all respects at least five (5) Business Days before the close of the Cluster Application Window and not wait until the last day.

The Point of Interconnection must be to an existing facility on the CAISO Controlled Grid or to a facility approved in the CAISO’s Transmission Plan. However, Interconnection Customers may not submit interconnection requests with a Point of Interconnection to facilities approved in the CAISO’s Transmission Plan that require a competitive solicitation until the Approved Project Sponsor has been selected. Without an Approved Project Sponsor, there is no equivalent to a transmission owner, and thus no one to conduct reliability studies.

The CAISO requires the foregoing information to be complete and specific to the Interconnection Request. The CAISO will first determine whether a submitted Interconnection Request is complete. The CAISO will not initiate any review of an Interconnection Request for completeness until the Interconnection Study Deposit is received by the CAISO. The CAISO will review each Interconnection Request and notify the Interconnection Customer whether it is complete or contains omissions within five (5) Business Days of submission. For Cluster 15, any Interconnection Customer that has not submitted a complete Interconnection Request by December 1 (or the next Business Day if December 1 is not a Business Day) will be deemed incomplete with not opportunity to cure of otherwise be included in Cluster 15. Any Interconnection Customer that has not submitted a complete Interconnection Request by October 15 (or the next Business Day if October 15 is not a Business Day) will be deemed incomplete with no opportunity to cure or otherwise be included in that year’s Queue Cluster.

The CAISO requires Interconnection Study Deposits to review and validate the Interconnection Request. The CAISO will not review, process, or validate an Interconnection Request absent the Interconnection Study Deposit. For Cluster 15, any Interconnection Customer that has not submitted a complete Interconnection Study Deposit by December 1 (or the next Business Day if December 1 is not a Business Day) will be deemed invalid with no opportunity to cure or otherwise be included in Cluster 15. Any interconnection Customer that has not submitted a complete Interconnection Study Deposit by October 15 (or the next Business Day if October 15 is not a Business Day) will be deemed invalid with no opportunity to cure or otherwise be included in that year’s Queue Cluster.[[20]](#footnote-20)

**6.3 Examples of Incomplete Interconnection Requests**

Examples where an Interconnection Request will be deemed incomplete and not accepted by the CAISO, without an opportunity to cure, include but are not limited to the following:

* The Interconnection Customer attempts to tender funds for the Application Fee, Commercial Readiness Deposit, Interconnection Study Deposit or Site Control Deposit for CAISO receipt after the close of the Cluster Application Window;
* The Interconnection Customer tenders funds for the Commercial Readiness Deposit to the CAISO or incorrect PTO;
* The Interconnection Customer tenders a financial instrument during the Cluster Application Window which is rejected for insufficient funds when the CAISO attempts to cash it, or the Interconnection Customer tenders deposit amounts that are less than the actual amounts due;
* The Interconnection Customer submits an incomplete application by omitting some portion of the required technical data; and

An Interconnection Customer submits documents that do not match the Generating Facility described on the Interconnection Request form.

**6.4 Interconnection Study Deposit**

The Interconnection Customer will submit to the CAISO, during a Cluster Application Window, an Interconnection Request in the form of Appendix 1 to the RIS, a non-refundable application fee of $5,000, and a refundable study deposit:

a. $35,000 plus $1,000 per MW for Interconnection Requests < 80 MW, or;

b. $150,000 for Interconnection Requests ≥ 80 MW < 200 MW; or

c. $250,000 for Interconnection Requests ≥ 200 MW.

The CAISO will apply the study deposit toward the cost of the Cluster Study Process.

The CAISO shall deposit all Interconnection Study Deposits in an interest bearing account at a bank or financial institution designated by the CAISO. The Interconnection Study Deposit shall be applied to pay for prudent costs incurred by the CAISO, the PTOs, or third parties at the direction of the CAISO or PTOs, as applicable, to perform and administer the Interconnection Studies and to meet and otherwise communicate with Interconnection Customers with respect to their Interconnection Requests.[[21]](#footnote-21)

**6.5 Obligation for Study Costs**

In the event an Interconnection Customer withdraws its Interconnection Request prior to the commencement of the Cluster Study, Interconnection Customer must pay the CAISO the actual costs of processing its Interconnection Request.

In the event an Interconnection Customer withdraws after the commencement of the Cluster Study, the CAISO shall charge and the Interconnection Customer(s) shall pay the actual costs of the Interconnection Studies. The costs of any Interconnection Study conducted on a clustered basis will be allocated among each Interconnection Customer within the Cluster as follows:

Fifty percent (50%) of the study costs will be allocated to each Interconnection Request in a cluster on a per capita basis.

Fifty percent (50%) of the study costs will be allocated to each Interconnection Request in a cluster on a pro rata basis.

Following offsets from Withdrawal Penalties assessed, the actual costs of each reassessment will be allocated among each Interconnection Custer in the same manner as above.

Any difference between the study deposit and the actual cost of the Interconnection Studies will be paid by or refunded, except as otherwise provided herein, to Interconnection Customers. Any invoices for Interconnection Studies will include a detailed and itemized accounting of the cost of each Interconnection Study. Interconnection Customers will pay any such undisputed costs within thirty (30) days of receipt of an invoice therefor. If an Interconnection Customer fails to pay such undisputed costs within the time allotted, its Interconnection Request will be deemed withdrawn from the Cluster Study Process and will be subject to Withdrawal Penalties pursuant to Section 3.8 of the RIS.

The PTO and any third parties performing work on the Interconnection Customer’s behalf shall invoice the CAISO for such work, and the CAISO shall issue invoices for Interconnection Studies that shall include a detailed and itemized accounting of the cost of each Interconnection Study. The CAISO shall draw from the Study Deposit any undisputed costs within thirty (30) calendar days of issuance of an invoice. Whenever the actual cost of performing the Interconnection Studies exceeds the Interconnection Study Deposit, the Interconnection Customer shall pay the undisputed difference in accordance with the CAISO issued invoice within thirty (30) calendar days. The CAISO shall not be obligated to continue to have any studies conducted unless the Interconnection Customer has paid all undisputed amounts in compliance herewith. In the event an Interconnection Study, or portions thereof, is performed by the CAISO, the Interconnection Customer shall pay only the costs of those activities performed by the PTO to adequately review or validate that Interconnection Study or portions thereof.[[22]](#footnote-22)

**6.6 Site Control and Site Control Deposit**

Interconnection Customer shall promptly inform the CAISO of any material change to Interconnection Customer’s demonstration of Site Control under Section 3.5.1(iii) of the RIS. If the CAISO determines, based on the Interconnection Customer’s information, that the Interconnection Customer no longer satisfies the Site Control requirement, the CAISO shall give the Interconnection Customer ten (10) Business Days to demonstrate satisfaction with the applicable requirement subject to the CAISO’s approval. Absent such, the CAISO shall deem the Interconnection Request withdrawn.

An Interconnection Customer that submits a deposit in lieu of Site Control due to demonstrated regulatory limitations must demonstrate that it is taking identifiable steps to secure the necessary regulatory approvals from the applicable federal, state, and/or tribal entities before the end of the Customer Engagement Window. Such deposit will be held by the CAISO until the Interconnection Customer provides the required Site Control demonstration for its point in the Cluster Study Process. An Interconnection Customer facing qualifying regulatory limitations must demonstrate one-hundred percent (100%) Site Control within one hundred eighty (180) days of the effective date of the GIA.

The CAISO shall deposit all Site Control Deposits in an interest bearing account at a bank or financial institution designated by the CAISO. The Site Control Deposit and all interest shall be refundable to the Interconnection Customer at any time upon demonstration of Site Control.[[23]](#footnote-23)

**6.7 What qualifies as Site Control?**

1. Site Exclusivity is defined in CAISO Tariff Appendix A as:
2. The exclusive land right to develop, construct, operate, and maintain the Generating Facility over the term of expected operation of the Generating Facility. Site Control may be demonstrated by documentation establishing: (1) ownership of, a leasehold interest in, or a right to develop a site of sufficient size to construct and operate the Generating Facility; (2) an option to purchase or acquire a leasehold site of sufficient size to construct and operate the Generating Facility; or (3) any other documentation that clearly demonstrates the right of Interconnection Customer to exclusively occupy a site of sufficient size to construct and operate the Generating Facility. The CAISO will maintain acreage requirements for each Generating Facility type on its Website.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Acreage Reasonably Necessary\*\* | | | | | | | |
| Technology | Solar PV | Solar CSP | Wind | Biomass | BESS | Gas Turbine | Hydro |
| Minimum Acres/MW | 6 | 9 | 30 | 3 | 0.06 | 3 | 10 |

\*For a generation type not currently listed, provide documentation showing the project has acquired sufficient acreage.

\*\*Smaller land requirements will be considered with proper documentation of project configuration

1. For private sites, Ownership of, a leasehold interest in, or an option to purchase or acquire a leasehold interest in property upon which the Generating Facility will be located consisting of a minimum of 90% of the acreage reasonably necessary to accommodate the Generating Facility based on the table above.\*
2. For public sites, including that controlled or managed by any federal, state or local agency, a permit, license, lease, ROW, or other right prescribed by the relevant authority, to use the property for the purpose of generating electric power and in acreage reasonably necessary to accommodate the Generating Facility based on the table above.\*
   * The CAISO will require an affidavit that:
     1. Describes the regulatory limitation;
     2. Documents the project land rights process for the specific agency; and
     3. Demonstrates where the project is in the land rights process with supporting documentation

The CAISO seeks the assistance of Interconnection Customers to understand the land rights processes of the many agencies involved in siting on public lands.

**6.8 Site Control Deposit**

An Interconnection Customer may submit a deposit in lieu of Site Control due to demonstrated regulatory limitations. The IC must submit an affidavit describing the regulatory limitation and must demonstrate that it is taking identifiable steps to secure the necessary regulatory approvals from the applicable federal, state, and/or tribal entities before the end of the Customer Engagement Window. Such deposit will be held by the CAISO until the Interconnection Customer provides the required Site Control demonstration for its point in the Cluster Study Process. An Interconnection Customer facing qualifying regulatory limitations must demonstrate one-hundred percent (100%) Site Control within one hundred eighty (180) days of the effective date of the GIA.

Provide an affidavit of your design that:

* Describes the regulatory limitation;
* Documents the project siting process for the specific agency; and
* Demonstrates where the project is in the siting process with supporting documentation

The ISO is looking for IC support to help understand the processes of the many agencies involved in siting on public lands.

**6.9 Site Control Timing**

The time period for which the Interconnection Customer must demonstrate Site Control is, at a minimum, through the Commercial Operation Date of the Generating Facility.[[24]](#footnote-24) The CAISO has at times received documents wherein the Interconnection Customer has demonstrated a legal right to use the property for construction and operation of the Generating Facility, though not for the period through the Commercial Operation Date, but under documents permitting the Interconnection Customer to renew (such as a lease term renewal or option to extend an option to purchase or lease).

In such cases the CAISO has informed the Interconnection Customer that it has *presently* established Site Control, and that the Interconnection Customer must periodically update the information to show the CAISO that the Interconnection Customer has continued to *maintain* Site Control under the tendered documents. For example, it is acceptable to have an option period which may be extended. In such a case, the Interconnection Customer will need to show, as the current option period is reaching an end, that the Interconnection Customer has secured an extension of the option.

When the Interconnection Customer presents an option as a means to demonstrate Site Control as part of the application package, the Interconnection Customer does not have to secure the option through the Commercial Operation Date of the Generating Facility at the onset of the Interconnection Request. However, if the option period were to end before the Interconnection Customer purchased the property, then the Interconnection Customer would lose the Site Control demonstration, unless the Interconnection Customer showed that it has renewed the lease pursuant to the lease extension period or paid an additional option fee to hold open the option to purchase or lease the property, or that some replacement agreement or present legal right to the property has been put in place as a substitute.

Interconnection Customer shall promptly inform the CAISO of any material change to Interconnection Customer’s demonstration of Site Control under Section 3.5.1(iii) of the RIS. If the CAISO determines, based on the Interconnection Customer’s information, that the Interconnection Customer no longer satisfies the Site Control requirement, the CAISO shall give the Interconnection Customer ten (10) Business Days to demonstrate satisfaction with the applicable requirement subject to the CAISO’s approval. Absent such, the CAISO shall deem the Interconnection Request withdrawn pursuant to Section 3.8 of the RIS.

**6.10 Criteria for Multiple Projects Sharing a Common Site**

Projects that share a common site must provide a layout showing how the projects will utilize the project site. The thresholds for Generating Facilities outlined above must be met for each project.

**6.11 Proposed Commercial Operation Date**

In the initial Interconnection Request, the proposed Commercial Operation Date of the new Generating Facility or increase in capacity of the existing Generating Facility shall not exceed seven (7) years from the date the Interconnection Request is received by the CAISO, unless the Interconnection Customer demonstrates, and the applicable PTO(s) and the CAISO agree, such agreement not to be unreasonably withheld, that engineering, permitting and construction of the new Generating Facility or increase in capacity of the existing Generating Facility will take longer than the seven (7) year period.

Extensions of less than three (3) cumulative years in the Commercial Operation Date of the Generating Facility to which the Interconnection Request relates are not material and should be handled through construction sequencing. For purposes of this section, the Commercial Operation Date reflected in the initial Interconnection Request will be used to calculate the permissible extension prior to Interconnection Customer executing a GIA or requesting that the GIA be filed unexecuted. After a GIA is executed or requested to be filed unexecuted, the Commercial Operation Date reflected in the GIA will be used to calculate the permissible extension. Such cumulative extensions may not exceed three (3) years including both extensions requested after execution of the GIA by Interconnection Customer or the filing of an unexecuted GIA by the CAISO and those requested prior to execution of the GIA by Interconnection Customer or the filing of an unexecuted GIA by the CAISO.[[25]](#footnote-25)

**6.12 Third-party Interconnection Facilities**

Interconnection Customers proposing to use third-party Interconnection Facilities must provide documentation to the CAISO demonstrating they are negotiating or have secured rights on those Interconnection Facilities to be deemed. Within twenty (20) days after the Cluster Study Report Meeting, such Interconnection Customers must provide documentation to the CAISO demonstrating they have secured rights on those Interconnection Facilities through their Commercial Operation Date.[[26]](#footnote-26)

# Customer Engagement Window

**7.1 Scoping Meeting**

Upon the close of each Cluster Application Window, the CAISO will open a ninety (90) calendar day period (Customer Engagement Window). During the Customer Engagement Window, the CAISO will hold Scoping Meetings with all interested Interconnection Customers. Scoping Meetings will be segregated by Transmission Zone and Cluster Study criteria.[[27]](#footnote-27)

**7.2 List of Interconnection Requests In Cluster**

Notwithstanding the preceding requirements and upon written consent of all Interconnection Customers within the Cluster, the CAISO may shorten the Customer Engagement Window and begin the Cluster Study. Within ten (10) Business Days of the opening of the Customer Engagement Window, the CAISO will post on its Website a list of Interconnection Requests for that Cluster. The list will identify, for each anonymized Interconnection Request: (1) the requested amount of Interconnection Service; (2) the location by county and state; (3) the station or transmission line or lines where the interconnection will be made; (4) the projected In-Service Date; (5) the Deliverability Status requested; and (6) the type of Generating Facility or Facilities to be constructed, including fuel types, such as coal, natural gas, solar, or wind. The CAISO must ensure that project information is anonymized and does not reveal the identity or commercial information of interconnection customers with submitted requests. [[28]](#footnote-28)

The queue listing does not disclose the identity of an Interconnection Customer or interconnection component cost information – in general, this information is not public until the time that the Interconnection Customer signs a GIA, at which time it must be filed with or reported to FERC as a service agreement and thus becomes a public document.[[29]](#footnote-29) Non-conforming GIAs, and those filed unexecuted with FERC, can be located on the CAISO Website by following this sequence of tabs (Rules/Regulatory/Regulatory Filings and Orders/FERC – Filings [year]).

**7.3 Cluster Study Agreement**

During the Customer Engagement Window, the CAISO will provide to Interconnection Customer a non-binding updated good faith estimate of the cost and timeframe for completing the Cluster Study. Interconnection Customers can access and execute the Cluster Study Agreement through the CAISO Website. Interconnection Customers must execute the Cluster Study Agreement prior to the close of the Customer Engagement Window.

The Cluster Study Agreement (CSA) for Queue Clusters is now submitted with the IR package along with the Secretary of State Certification for the Interconnection Customer and proof that the signatory is an authorized representative of the Interconnection Customer. By marking the applicable checkbox, signing and dating the Interconnection Request the CSA is executed.

***Your electronic signature below indicates your agreement with the following statement: By typing my name in the following line and clicking on the submission box below, the Interconnection Customer identified above certifies that the information contained in this Interconnection Request and Cluster Study Agreement for Queue Clusters is true and correct to the best of your knowledge.***

**7.4 Validating Interconnection Requests**

At the end of the Customer Engagement Window, all Interconnection Requests (1) deemed valid, (2) that have executed a Cluster Study Agreement in the form of Appendix 3 to the RIS, and (3) that have satisfied the Cluster Study criteria in Section 4 of the RIS, will be included in the Cluster Study. Any Interconnection Requests not deemed valid at the close of the Customer Engagement Window will be deemed withdrawn (without the cure period provided under Section 3.8 of the RIS) by the CAISO, the application fee will be forfeited to the CAISO, and the CAISO will return the Interconnection Study Deposit and Commercial Readiness Deposit to the Interconnection Customer. Immediately following the Customer Engagement Window, the CAISO will initiate the Cluster Study described in Section 6 of the RIS.

For each Interconnection Request that is deemed complete, the CAISO and PTO will determine whether the Interconnection Request is valid. An Interconnection Request will be deemed valid if it does not contain deficiencies that would prevent its inclusion in the Cluster Study. Deficiencies include but are not limited to modeling errors, inaccurate data, and unusable files.

The Interconnection Customer will provide the CAISO the additional requested information needed to constitute a valid request within ten (10) Business Days after receipt of such notice but no later than the end of the Customer Engagement Window. At any time, if the CAISO finds that the technical data provided by Interconnection Customer is incomplete or contains errors, the Interconnection Customer, PTO, and the CAISO will work expeditiously and in good faith to remedy such issues. In the event that the Interconnection Customer fails to comply with this Section, the CAISO will deem the Interconnection Request withdrawn (without the cure period provided under Section 3.8 of the RIS), the application fee is forfeited to the CAISO, and the Interconnection Study and Commercial Readiness Deposit will be returned to the Interconnection Customer.[[30]](#footnote-30)

The CAISO will evaluate completeness of Interconnection Requests that satisfy the Cluster Study criteria in Section 4 of the RIS. The CAISO and PTO will notify the Interconnection Customer whether its Interconnection Request is complete or contains deficiencies within ten (10) Business Days of December 1 or when the Interconnection Request satisfies the Cluster Study criteria, whichever is later. All Interconnection Requests must be deemed valid by the end of the Customer Engagement Window to be included in Cluster 15.[[31]](#footnote-31)

**7.5 Interconnection Request Deficiencies**

If an Interconnection Request has deficiencies, the CAISO shall include in its notification to the Interconnection Customer that the Interconnection Request does not constitute a valid request and explain the deficiencies. The Interconnection Customer shall provide the CAISO the corrected requested information needed to constitute a valid request. Consistent with Section 3.5, whenever corrected requested information is provided by the Interconnection Customer, the CAISO shall notify the Interconnection Customer within five (5) Business Days of receipt of the corrected requested information whether the Interconnection Request is valid. If the Interconnection Request continues to provide deficient information, the CAISO shall include in its notification to the Interconnection Customer the reasons for such failure. If an Interconnection Request is not deemed valid, the Interconnection Customer must cure all deficiencies no later than the close of the Customer Engagement Window. Interconnection Requests with deficiencies after that date will be deemed invalid and will not be included in an Interconnection Study Cycle or otherwise studied.

Interconnection Requests deemed invalid under RIS Section 3.5.2.2 are not subject to RIS Section 3.8. Interconnection Customers with invalid Interconnection Request under RIS Section 3.5.2.2 may seek relief under RIS Section 15.5 by so notifying the CAISO within two (2) Business Days of the notice of invalidity.[[32]](#footnote-32)

**7.8 Day-for-day Extensions**

To the extent the CAISO and PTO cannot meet any deadline in the RIS Section 3.5.2, the Interconnection Customer will receive a day-for-day extension on all remaining deadlines requiring its response.[[33]](#footnote-33) However, these day-for-day extensions will only apply to CAISO/PTO responses to Interconnection Customer deficiency cures that are submitted on or before the end of the customer engagement window. For instance, if an Interconnection Customer does not respond to the initial deficiency notice until 30 days before the end of the customer engagement window, it will receive no extension beyond the end of the customer engagement window deadline for validation.

**7.9 Commercial Interest Points**

Pursuant to Section 4 of the RIS, the CAISO will score Interconnection Requests to determine their eligibility for the Cluster Study. The CAISO will provide Load Serving Entities with a list of Interconnection Requests after the close of the Cluster Application Window. Load Serving Entities submitting commercial interest points must do so no later than ten (10) days after the CAISO provides the list of Interconnection Requests.[[34]](#footnote-34)

# Study Criteria Data

By September 1 each year, the CAISO will publish the following information on the CAISO Website to inform the preparation of Interconnection Requests under the Cluster Study criteria in RIS Section 4:

1. Single-line diagrams of each Transmission Zone with the Local Regulatory Authority portfolio resources identified at the substations to which the Local Regulatory Authority has mapped resources in its busbar mapping process;
2. Any Area Deliverability Constraints in each Transmission Zone, the amount of any available Deliverability, ADNUs to increase Deliverability in Merchant Zones, and the estimated cost and time to construct identified ADNUs;
3. Single-line diagrams identifying the Points of Interconnection studied for each Area Deliverability Constraint;
4. A list of current substations within each Transmission Zone;
5. For each Area Deliverability Constraint, the Points of Interconnection for current Interconnection Customers;
6. The TP Deliverability already allocated for each Area Deliverability Constraint; and
7. The value of Local Capacity Area Resource Deficiencies in Transmission Zones and Local Capacity Areas.[[35]](#footnote-35)

# Coordination with Affected Systems

The CAISO will notify the Affected System Operators that are potentially affected by the Interconnection Customer’s Interconnection Request or Cluster Study within which the Interconnection Customer’s Interconnection Request will be studied. The CAISO will coordinate the conduct of any studies required to determine the impact of the Interconnection Request on Affected Systems with Affected System Operators, to the extent possible, and, if possible, the CAISO will include those results (if available) in its applicable Interconnection Study within the time frame specified in the RIS. The CAISO will include Affected System Operators in all meetings held with the Interconnection Customer as required by the RIS.

The Interconnection Customer will cooperate with the CAISO and Affected System Operator in all matters related to the conduct of studies and the determination of modifications to Affected Systems, including providing consent to CAISO’s identification of Interconnection Customer’s name, Generating Facility project name, and release of information that the Interconnection Customer provided as part of its Interconnection Request to the Affected System, and participating in any coordinating activities and communications undertaken by the Affected System or CAISO. If required by an Identified Affected System, the Interconnection Customer will sign separate study agreements with the Identified Affected System and pay for necessary studies. Identified Affected Systems will cooperate with the CAISO in all matters related to the Identified Affected System Operators’ determination of modifications to Identified Affected Systems.[[36]](#footnote-36)

**9.1 Timing for Identification of Identified Affected Systems**

The CAISO will provide notice to the Affected System Operators that are potentially affected by the Interconnection Customer’s Interconnection Request or Cluster Study within ten (10) Business Days after determining which projects in each study cluster have posted their additional Commercial Readiness Deposit to bring the total to five percent (5%) of the Interconnection Customer’s Network Upgrade cost, pursuant to Section 7.4 of the RIS.

The CAISO may later notify Affected Systems if (i) the CAISO failed to identify the Affected System initially; (ii) the Interconnection Customer modifies its project such that an electric system becomes a potentially Affected System; or (iii) the Interconnection Customer converts from a Wholesale Distribution Access Tariff to the CAISO Tariff and the same Affected Systems were not notified previously or the conversion was due to a system change. In such cases, the CAISO will coordinate with the Interconnection Customer and the potentially Affected System Operator to develop an expedited timeline to determine whether the Affected System is an Identified Affected System. The CAISO will then notify the Interconnection Customer as soon as practical of the new Identified Affected System.

Within sixty (60) calendar days of notification from the CAISO, the Affected System Operator will advise the CAISO in writing that either: (i) the CAISO should consider the electric system to be an Identified Affected System; or (ii) the electric system should not be considered an Identified Affected System. If the Affected System Operator fails to advise the CAISO within (60) calendar days of notification, the CAISO will assume that the electric system is not an Affected System.

If an electric system operator advises the CAISO that it is an Identified Affected System after the 60-day notification period, the CAISO will not delay the synchronization or Commercial Operation of the Generating Facility for mitigation required by the Affected System unless the Affected System identifies, and the CAISO confirms, a legitimate reliability issue. Where legitimate reliability issues are present, the CAISO will work with the Affected System and the Interconnection Customer to establish temporary mitigations, if possible, for the identified reliability issue. An Affected System’s mitigation remedies that may be available outside the CAISO Tariff are unaffected by these provisions.[[37]](#footnote-37)

**9.2 Special Provisions for Affected Systems, Other Affected PTOs**

The Interconnection Customer shall enter into an agreement with the owner of the Affected System and/or other affected PTO(s), as applicable. The agreement shall specify the terms governing payments to be made by the Interconnection Customer to the owner of the Affected System and/or other affected PTO(s). If the affected entity is another PTO, the initial form of agreement will be the GIA, as appropriately modified.[[38]](#footnote-38)

* + Cost Allocation, Commercial Readiness Deposit, GIA Deposit, and Reimbursement for Multiple PTOs

Interconnection Studies will list separate cost estimates for facilities and Network Upgrades required on the interconnecting PTO and affected PTO’s systems. These separate sums will produce a single, combined Maximum Cost Responsibility and a single, combined Maximum Cost Exposure for the Interconnection Customer. Current Cost Responsibilities for each PTO’s facilities and Network Upgrades may be adjusted up to the Interconnection Customer’s Maximum Cost Responsibility and Maximum Cost Exposure, as applicable.

The Interconnection Customer will post its Commercial Readiness Deposits and GIA Deposit to each PTO based on the separate Current Cost Responsibilities for facilities and Network Upgrades on their respective systems.

Each PTO will repay amounts received for Network Upgrades pursuant to the RIS. Reimbursement for Reliability Network Upgrades will be paid by each PTO but subject to a single, combined maximum based upon the Interconnection Customer’s generating capacity, as described in Section 14.3.2. If the amount funded for the Reliability Network Upgrades exceeds this maximum, each PTO will repay the Interconnection Customer proportional to its share of the Interconnection Customer’s Current Cost Responsibility for the Reliability Network Upgrades.[[39]](#footnote-39)

# Cluster Study Criteria

Only those Interconnection Requests that meet the criteria in RIS Section 4 will proceed to the Cluster Study. Any Interconnection Requests that do not meet the criteria or otherwise fail to comply with the RIS Section 4 will be deemed withdrawn without the cure period provided under Section 3.8 of the RIS by the CAISO, the application fee will be forfeited to the CAISO, and the CAISO will return the Interconnection Study Deposit and Commercial Readiness Deposit to the Interconnection Customer.

Each Interconnection Request can proceed to the Cluster Study based on one set of criteria only: the criteria for Deliverability in Deliverable Zones, Deliverability in Merchant Zones, Energy Only eligible for cash reimbursement, or Energy Only ineligible for cash reimbursement. Interconnection Requests seeking any Deliverability for any technology or Generating Unit at the Generating Facility will be subject to the criteria for Interconnection Requests for Deliverability. Interconnection Customers may not change their selected criteria after the Cluster Application Window.

Interconnection Requests that proceed to the Cluster Study based on the criteria for Energy Only Interconnection Requests may not obtain Deliverability for that Generating Facility and any associated Generating Units thereafter, including without limitation through transfers, modifications, or the TP Deliverability allocation process. Expansions to Energy Only Generating Facilities may receive Deliverability if their Interconnection Requests proceed to the Cluster Study based on the criteria for Interconnection Requests seeking Deliverability.

All scoresheets, documentation, and bids submitted will be Confidential Information consistent with Section 15.1 of the RIS. Notwithstanding, the CAISO may confirm any information as necessary with Load Serving Entities, counterparties, or Local Regulatory Authorities. The CAISO will notify the Interconnection Customer which screen was decisive to its Interconnection Request. The CAISO may publish composite data but will not publish or disclose which criteria or screen enabled individual Interconnection Requests to proceed to the Cluster Study. The CAISO will publish on the CAISO Website the number of bids and the clearing price of all winning bids for each Transmission Zone, but will not publish the names of any Interconnection Customers in the auctions or their corresponding bids.[[40]](#footnote-40)

# Criteria for Requests for Deliverability in Deliverable Zones

Interconnection Requests in Deliverable Zones seeking any Deliverability will proceed to the Cluster Study only where they pass the screens of this Section.

1. There must be Deliverability available at the Interconnection Customer’s Point of Interconnection.
2. If other Interconnection Customers in the Cluster are interconnecting in the same Deliverable Zone, and pass step one, only Interconnection Customers comprising one hundred fifty percent (150%) of the available Deliverability at their relevant Transmission Constraint may proceed to the Cluster Study. Interconnection Customers’ capacity relevant to the available Deliverability will be based on their requested amount of Deliverability.
3. If two or more Interconnection Customers would exceed the 150% limit, only the highest-scoring Interconnection Customers that reach the 150% limit proceed to the Cluster Study. The CAISO may exceed the 150% limit only for the capacity of the last Interconnection Request that qualifies to reach the limit but which also would exceed it.  
   To determine which Interconnection Customers proceed to the Cluster Study, the CAISO will score Interconnection Customers pursuant to Section 4.1.1 of the RIS.
4. If Interconnection Customers with the same scores would exceed the 150% limit, the CAISO will use those Interconnection Customers with the lowest distribution factors until it reaches the 150% limit. The distribution factor is the percentage of the Interconnection Customer’s incremental increase in output that flows on a particular transmission line or transformer when the displaced generation is spread proportionally across all dispatched resources in the Balancing Authority Area.
5. If Interconnection Customers with the same scores and same distribution factors would together exceed the 150% limit, the CAISO will auction the right for those Interconnection Customers to be studied pursuant to Section 4.1.2 of the RIS.[[41]](#footnote-41)

**11.1 Scoring Criteria**

Each Interconnection Customer’s score under RIS Section 4.1 will be the sum of its points based on three criteria: (1) commercial interest (up to 30 points), (2) project viability (up to 35 points), and (3) system need (up to 35 points). The Interconnection Customer will submit a scoresheet providing its points in its Interconnection Request consistent with RIS Section 3.5. Interconnection Customers will receive sub-points toward the points in the three criteria as follows:[[42]](#footnote-42)

* + Commercial Interest

1. An Interconnection Customer may receive up to 30 points for commercial interest based on its ratio of sub-points to 100. The Interconnection Customer’s sub-points may consist of (a) Load Serving Entity point allocations (up to 100 sub-points) or a Load Serving Entity full allocation (100 sub-points); and (b) an affidavit from a counterparty that is not a Load Serving Entity (up to 25 sub-points). Points from multiple Load Serving Entities may be combined to achieve up to 100 sub-points. Interconnection Customers may not combine affidavits from multiple counterparties that are not Load Serving Entities, but may combine point allocations from Load Serving Entities with an affidavit from a counterparty that is not a Load Serving Entity.
2. Load Serving Entities will provide the CAISO their point allocations consistent with Section 3.5. The Interconnection Customers will receive up to 100 sub-points in the commercial interest category based on the ratio of its requested Interconnection Service Capacity at the Point of Interconnection to the number of points allocated to it from the Load Serving Entity.
3. If a Load Serving Entity lacks sufficient points to match the capacity of one project, or otherwise elects, it may indicate a full allocation to a project in lieu of allocating any of its points in that Cluster Application Window. A Load Serving Entity exercising this option can select one Interconnection Request only per Cluster Application Window, and the Interconnection Customer’s Interconnection Service Capacity may not exceed one hundred fifty percent (150%) of that Load Serving Entity’s points allocation. Multiple Load Serving Entities may elect to exercise this option jointly for a single Interconnection Request less than one hundred fifty percent (150%) of their aggregate points. An Interconnection Request with a full allocation will receive 100 sub-points in the commercial interest category.
4. Affidavits from non-Load Serving Entities must be executed by an authorized representative. The affidavit must attest the counterparty is supporting the Interconnection Request in support of corporate policy goals on sustainability; the capacity of the Interconnection Request aligns with its individual needs; the counterparty and its holding company, if any, is not affiliated with the Interconnection Customer or its holding company; and that the counterparty and its holding company and affiliates support this Interconnection Request only, and no other Interconnection Requests in this Cluster Application Window.[[43]](#footnote-43)
   * Load Serving Entity Points

To allocate commercial interest points to Interconnection Customers, a Load Serving Entity must do the following at least two months prior to the Cluster Application Window’s opening:

1. Provide the CAISO written, electronic notice of intent to participate in the points allocation. The notice must include (a) the publicly accessible website used by the Load Serving Entity; and (b) the contact information for the person or department conducting the points allocation for the Load Serving Entity.
2. Publish on the publicly accessible website (a) the selection criteria or consideration factors for awarding points; and (b) the contact information for the person or department conducting the points allocation for the Load Serving Entity. Public websites requiring registration are permissible.

Within five (5) Business Days after the deadline for Load Serving Entities to provide their notices, the CAISO will publish on the CAISO Website the contact information, website, and points allocation for each participating Load Serving Entity. To determine available Deliverable Option commercial interest points for allocation, the CAISO will take the aggregate available MW of Deliverability in each Transmission Zone and multiply it by a scaling factor of 0.5. The CAISO will then allocate shares of points to each Load Serving Entity based upon on their relative load ratio shares in the most recent coincident peak demand forecast from the California Energy Commission. Load Serving Entities are not required to allocate all of their allocated points. The CAISO will not redistribute forgone or otherwise unused points to other Load Serving Entities.

For each Cluster Application Window, a Load Serving Entity may allocate points to the greater of three (3) Interconnection Requests from Affiliates, or no more than twenty-five percent (25%) of its points to Interconnection Requests from Affiliates based on their requested Interconnection Service Capacity.

* + Project Viability

An Interconnection Customer may receive up to 35 points for project viability based on its ratio of sub-points to 100. The Interconnection Customer’s sub-points may include up to 50 sub-points for an engineering design plan of the Generating Facility, and up to 50 sub-points for expanding a Generating Facility. The Interconnection Customers will receive up to 50 sub-points for an engineering design plan based on the percent the plan is complete, with each percentage complete comprising one sub-point, as represented in an affidavit attesting to the completeness by a professional engineer. An Interconnection Customer will receive 10 sub-points if it is an expansion of a Generating Facility that has executed a GIA and submitted its notice to proceed and commenced Construction Activities, as confirmed by the PTO. Alternatively, an Interconnection Customer will receive 20 sub-points if it is an expansion of an online Generating Facility. Alternatively, an Interconnection Customer will receive 50 sub-points if it is an expansion of a Generating Facility that has executed a GIA, submitted its notice to proceed, commenced Construction Activities, as confirmed by the PTO, or is online, and the Generating Facility’s generator tie line to the CAISO Controlled Grid has sufficient surplus capacity to accommodate the sum of the maximum capacities of the extant Generating Facility and the expansion. Interconnection Customers seeking expansion sub-points must submit documentation to describe and verify the expansion with their scoresheets.[[44]](#footnote-44)

* + System Need

An Interconnection Customer may receive up to 35 points for system need based on its ratio of sub-points to 100. The Interconnection Customer will receive 50 sub-points if the Generating Facility could be a Local Capacity Area Resource when the Interconnection Request is submitted, and the CAISO has projected a Local Capacity Area Resource Deficiency in that Local Capacity Area. The Interconnection Customer will receive 100 sub-points if the Generating Facility is designated by a Local Regulatory Authority as a long lead-time resource; meets the requirements of the Local Regulatory Authority resource portfolio; and corresponds to approved Network Upgrades in the Transmission Plan specifically designed to meet the long lead-time resource needs of the Local Regulatory Authority, or does not require additional transmission capacity. The CAISO will confirm eligibility for these sub-points with the applicable Local Regulatory Authority.[[45]](#footnote-45)

# Auction Process

After the points assessment and distribution factor analysis, the CAISO will notify any still tied Interconnection Customers required to win an auction to be included in the Cluster Study. Those Interconnection Customers may submit a single, sealed bid of a $/MW value of aggregate Generating Facility Capacity at the Point of Interconnection, or withdraw. The CAISO will consider bids based on the dollar per MW bid value only, and not the product of the dollar value and the Generating Facility capacity. The CAISO will accept the highest bid(s) for the Cluster Study until it reaches the one hundred fifty percent (150%) limit.

Interconnection Customers that win an auction and proceed to the Cluster Study must post an auction deposit by the end of the Cluster Engagement Window. The auction deposit may be in any form or combination of forms under Section 11.1. The value of the auction deposit is the product of the dollar value of the lowest winning bid in that Transmission Zone and the MW capacity of the Interconnection Customer’s own Generating Facility at the Point of Interconnection. The CAISO and PTO will release or refund with any interest the auction deposit when the Interconnection Customer achieves Commercial Operation. If an Interconnection Customer withdraws its Interconnection Request, or is deemed withdrawn, it will lose the following portion of the auction deposit:

1. Fifteen percent (15%) prior to the commencement of the Cluster Restudy, or if no Cluster Restudy for that Queue Cluster takes place, the Interconnection Facilities Study;
2. Thirty percent (30%) between commencement of the Cluster Restudy, or if no Cluster Restudy takes place then the end of the Cluster Study, and commencement of the Interconnection Facility Study;
3. Fifty percent (50%) between commencement of the Interconnection Facilities Study and execution or the filing of an unexecuted GIA for the Interconnection Customer;
4. One hundred percent (100%) after the Interconnection Customer executes a GIA or an unexecuted GIA is filed on its behalf.

The CAISO and PTO will process any non-refundable auction deposit funds pursuant to Section 7.6 of the RIS.[[46]](#footnote-46)

# Criteria for Requests for Deliverability in Merchant Zones

Interconnection Requests in Merchant Zones seeking any Deliverability proceed to the Cluster Study but are subject to the Merchant Option, and may not receive any cash reimbursement under the RIS or the GIA for any costs for Area Delivery Network Upgrades, and instead may receive Merchant Transmission CRRs pursuant to Section 36.11 of the CAISO Tariff. For all other Network Upgrades, the Interconnection Customer may receive reimbursement as provided in the RIS and its GIA.

An Interconnection Customer that submits an Interconnection Requests seeking Deliverability in a Merchant Zone must include an additional Merchant Option deposit of $10,000/MW of all requested deliverable Generating Facility capacity, but not less than $500,000 or more than $5,000,000. The deposit may be in any form or combination of forms under the RIS Section 11.1. The Merchant Option deposit is fully refundable prior to the close of the Customer Engagement Window. After the Customer Engagement Window, fifty percent (50%) is non-refundable. Before the Cluster Restudy commences or if no Cluster Restudy for that Queue Cluster occurs, the Interconnection Faculties Study, the Interconnection Customer must raise its Merchant Option deposit to fifty percent (50%) of its Current Cost Responsibility for its assigned Area Delivery Network Upgrades, without minimum or limit.

If the Merchant Option Interconnection Customer’s assigned Area Delivery Network Upgrade is approved in the CAISO’s Transmission Plan before any Interconnection Customer sharing the Area Delivery Network Upgrade executes its GIA, such that the Area Delivery Network Upgrade was not in the Base Case for that Transmission Plan, the Interconnection Customer may reduce its Merchant Option deposit to remove the costs for that Area Delivery Network Upgrade. To retain TP Deliverability from that Area Delivery Network Upgrade, the Interconnection Customer must meet the TP Deliverability allocation criteria under RIS Section 8.9.2 (A) or (B) no later than the affidavit submission deadline for the second TP Deliverability allocation process after the approved Transmission Plan publication. Failure to retain TP Deliverability under this rule will result in conversion to Energy Only.[[47]](#footnote-47)

# Criteria for Energy Only Requests Eligible for Cash Reimbursement

Energy Only Interconnection Requests seeking eligibility for cash reimbursement for Reliability Network Upgrades may proceed to the Cluster Study only where they meet the requirements of Section 4.3 of the RIS. Reimbursement will still be subject, without limitation, to Section 14.3.2 of the RIS. The Interconnection Request must be in a Transmission Zone where the Local Regulatory Authority has designated a specific MW quantity of Energy Only capacity for procurement.

The Interconnection Customer will submit all information for scoring required by Section 4.1 of the RIS. The CAISO will administer the same scoring and tiebreaking processes in Section 4.1 of the RIS with the following exceptions:

1. the CAISO will only consider the Energy Only Interconnection Requests subject to Section 4.3 of the RIS, excluding all other Interconnection Requests submitted in the Cluster Application Window;
2. the CAISO will solve for one hundred fifty percent (150%) of Local Regulatory Authority Energy Only MW procurement target in that Transmission Zone instead of one hundred fifty percent (150%) of the available Deliverability at their relevant Transmission Constraint;
3. Instead of the auction as final tiebreaker, the CAISO will include the remaining tied Interconnection Request(s) with the least Interconnection Service Capacity until it satisfies the one hundred fifty percent (150%) threshold; and
4. The CAISO will allocate points for Load Serving Entities to demonstrate commercial interest pursuant to Section 4.3.1 of the RIS.

Interconnection Requests exceeding the one hundred fifty percent (150%) limit and losing all applicable tiebreakers may elect to proceed to the Cluster Study subject to Section 4.4 of the RIS. Interconnection Customers must make this election within five (5) Business Days of being informed that the Interconnection Request is not eligible for study under Section 4.3 of the RIS.[[48]](#footnote-48)

* + Load Serving Entity Points

To allocate commercial interest points to Energy Only Interconnection Customers, Load Serving Entities must comply with all requirements in Section 4.1.1.1 of the RIS. To determine available commercial interest points for allocation, the CAISO will take the total aggregate MW of Energy Only capacity procurement in the most recent CAISO Transmission Plan, as informed by Local Regulatory Authorities. The CAISO will then allocate shares of points to each Load Serving Entity based upon on their relative load ratio shares in the most recent coincident peak demand forecast from the California Energy Commission. Load Serving Entities are not required to allocate all of their allocated points. The CAISO will not redistribute forgone or otherwise unused points to other Load Serving Entities.

For each Cluster Application Window, a Load Serving Entity may allocate points to the greater of three (3) Interconnection Requests from Affiliates, or no more than twenty-five percent (25%) of its points to Interconnection Requests from Affiliates based on their requested Interconnection Service Capacity.[[49]](#footnote-49)

# Criteria for Energy Only Requests Ineligible for Cash Reimbursement

In any Transmission Zone, Energy Only Interconnection Requests may proceed to the Cluster Study without meeting the requirements of Section 4.3 where they elect to forgo eligibility for cash reimbursement for Reliability Network Upgrades. Interconnection Customers electing to proceed to the Cluster Study under this option may receive Merchant Transmission CRRs pursuant to Section 36.11 of the CAISO Tariff.[[50]](#footnote-50)

# Cluster Study Process

**16.1 Scoping Meeting**

During the Customer Engagement Window, the CAISO will hold Scoping Meetings with all Interconnection Customers whose valid Interconnection Requests were received in that Cluster Application Window and satisfied the Cluster Study criteria in Section 4 of the RIS. Scoping Meetings will be segregated by Transmission Zone and Cluster Study criteria.

The purpose of the Cluster Study Scoping Meeting will be to discuss alternative interconnection options, to exchange information including any transmission data and earlier study evaluations that would reasonably be expected to impact such interconnection options, to discuss the Cluster Study materials posted to the CAISO Website pursuant to Section 3.5 and 3.6 of the RIS, if applicable, and to analyze such information. The CAISO and the Interconnection Customer(s) will bring to the meeting such technical data, including, but not limited to: (i) general facility loadings, (ii) general instability issues, (iii) general short circuit issues, (iv) general voltage issues, and (v) general reliability issues as may be reasonably required to accomplish the purpose of the meeting. The CAISO and the Interconnection Customer(s) also will bring to the meeting personnel and other resources as may be reasonably required to accomplish the purpose of the meeting in the time allocated for the meeting. The duration of the meeting will be sufficient to accomplish its purpose. All Interconnection Customers must execute the non-disclosure agreement under Section 2.3 of the RIS prior to a group Cluster Study Scoping Meeting, which provides for confidentiality of identifying information or commercially sensitive information pertaining to any other Interconnection Customers.

# Withdrawal

The Interconnection Customer may withdraw its Interconnection Request at any time by written notice of such withdrawal to the CAISO, and the CAISO will notify the applicable PTO(s) and Affected System Operators, if any, within three (3) Business Days of receipt of such a notice. In addition, after confirmation by the CAISO of a valid Interconnection Request under Section 3.5.2 of the RIS, if the Interconnection Customer fails to adhere to all requirements of the RIS, except as provided in Section 15.5 (Disputes), the CAISO shall deem the Interconnection Request to be withdrawn and shall provide written notice to the Interconnection Customer within five (5) Business Days of the deemed withdrawal and an explanation of the reasons for such deemed withdrawal. Upon receipt of such written notice, the Interconnection Customer shall have five (5) Business Days in which to respond with information or action that either cures the deficiency or supports its position that the deemed withdrawal was erroneous and notifies the CAISO of its intent to pursue Dispute Resolution.

Withdrawal shall result in the removal of the Interconnection Request from the Interconnection Study Cycle. If an Interconnection Customer disputes the withdrawal and removal from the Interconnection Study Cycle and has elected to pursue Dispute Resolution, the Interconnection Customer's Interconnection Request will not be considered in any ongoing Interconnection Study during the Dispute Resolution process.

If the Interconnection Customer withdraws its Interconnection Request or is deemed withdrawn by the CAISO under Section 3.8 of the RIS, the CAISO will (i) update the OASIS Queue Position posting; (ii) impose the Withdrawal Penalty described in Section 3.8.1 of the RIS; and (iii) refund to the Interconnection Customer any portion of the refundable portion of Interconnection Customer’s study deposit that exceeds the costs that the CAISO has incurred, including interest calculated in accordance with Section 35.19a(a)(2) of FERC's regulations. The CAISO will also refund any portion of the Commercial Readiness Deposit not applied to the Withdrawal Penalty and, if applicable, the deposit in lieu of site control.

In the event of such withdrawal, the CAISO, subject to the provisions of RIS Sections 15.1 and 3.5.1.1, shall provide, at the Interconnection Customer's request, all information that the CAISO developed for any completed study conducted up to the date of withdrawal of the Interconnection Request.[[51]](#footnote-51)

**17.1 Withdrawal Penalty**

The Interconnection Customer will be subject to a Withdrawal Penalty if it withdraws its Interconnection Request or is deemed withdrawn, or the Generating Facility does not otherwise reach Commercial Operation unless: (1) the withdrawal does not have a material impact on the cost or timing of any Interconnection Request in the same Cluster; (2) Interconnection Customer withdraws after receiving Interconnection Customer’s most recent Cluster Restudy Report and the Network Upgrade costs assigned to the Interconnection Request identified in that report have increased by more than twenty-five percent (25%) compared to costs identified in Interconnection Customer’s preceding Cluster Study Report or Cluster Restudy Report; or (3) Interconnection Customer withdraws after receiving Interconnection Customer’s Interconnection Facilities Study Report and the Network Upgrade costs assigned to the Interconnection Request identified in that report have increased by more than one hundred percent (100%) compared to costs identified in the Cluster Study Report or Cluster Restudy Report.[[52]](#footnote-52)

**17.2 Calculation of the Withdrawal Penalty**

If the Interconnection Customer withdraws its Interconnection Request or is deemed withdrawn prior to the commencement of the initial Cluster Study, Interconnection Customer will not be subject to a Withdrawal Penalty. If Interconnection Customer withdraws, is deemed withdrawn, or otherwise does not reach Commercial Operation at any point after the commencement of the initial Cluster Study, that Interconnection Customer’s Withdrawal Penalty will be the greater of: (1) the Interconnection Customer’s study deposit required under Section 3.5.1.1 of the RIS; or (2) as follows in 1 - 4:

1. If Interconnection Customer withdraws or is deemed withdrawn during the Cluster Study or after receipt of a Cluster Study Report, but prior to commencement of the Cluster Restudy or Interconnection Facilities Study if no Cluster Restudy is required, Interconnection Customer will be charged two (2) times its actual allocated cost of all studies performed for Interconnection Customers in the Cluster.
2. If Interconnection Customer withdraws or is deemed withdrawn during the Cluster Restudy or after receipt of any applicable restudy reports issued, but prior to commencement of the Interconnection Facilities Study, Interconnection Customer will be charged five percent (5%) of its estimated Network Upgrade costs.
3. If Interconnection Customer withdraws or is deemed withdrawn during the Interconnection Facilities Study, after receipt of the Interconnection Facilities Study Report issued, or after receipt of the draft GIA but before Interconnection Customer has executed a GIA or has requested that its GIA be filed unexecuted, and has satisfied the other requirements described in Section 13.3 of the RIS (i.e., Site Control demonstration, GIA Deposit, reasonable evidence of one or more milestones in the development of the Generating Facility), Interconnection Customer will be charged ten percent (10%) of its estimated Network Upgrade costs.
4. If Interconnection Customer has executed a GIA or has requested that its GIA be filed unexecuted and has satisfied the other requirements described in Section 13.3 of the RIS (i.e., Site Control demonstration, GIA Deposit, reasonable evidence of one or more milestones in the development of the Generating Facility) and subsequently withdraws its Interconnection Request or if Interconnection Customer’s Generating Facility otherwise does not reach Commercial Operation, that Interconnection Customer’s Withdrawal Penalty will be twenty percent (20%) of its estimated Network Upgrade costs.[[53]](#footnote-53)

**17.3 Notification to CAISO and Accounting by Applicable PTO(s)**

The applicable PTO(s) shall notify the CAISO within one (1) Business Day of liquidating any deposit. Within twenty (20) calendar days of any liquidating event, the applicable PTO(s) shall provide the CAISO and Interconnection Customer with an accounting of the disposition of the proceeds of the liquidated deposit and remit to the CAISO all proceeds not otherwise reimbursed to the Interconnection Customer or applied to costs incurred or irrevocably committed by the applicable PTO(s) on behalf of the Interconnection Customer in accordance with this Section.

All Withdrawal Penalties remitted to the CAISO in accordance with this Section, and funds that are received by the CAISO from a PTO pursuant to a requirement in the PTO’s wholesale distribution tariff for such funds to be distributed by the CAISO, shall be treated in accordance with Section 7.6 of the RIS.[[54]](#footnote-54)

# Transferability of Interconnection Request

An Interconnection Customer may transfer its Interconnection Request to another entity only if such entity acquires the specific Generating Facility identified in the Interconnection Request and the Point of Interconnection does not change.[[55]](#footnote-55)

# Application of Withdrawal Penalties and Non-Refundable Amounts

In conjunction with each reassessment, the CAISO will calculate and disburse withdrawal penalties and non-refundable deposits from Interconnection Requests subject to the RIS as follows:[[56]](#footnote-56)

**19.1 Withdrawal Period**

The CAISO shall calculate Withdrawal Penalties based on the period during which the interconnection customer withdrew its interconnection request or terminated its generator interconnection agreement, pursuant to Section 3.8.1 of the RIS.

For each withdrawal period, the CAISO shall calculate and disburse available Withdrawal Penalties in conjunction with the annual reassessment performed during the year that the withdrawal period ends.[[57]](#footnote-57)

**19.2 Disbursement of Withdrawal Penalties Assessed Prior to Cluster Study Results**

For any Withdrawal Penalties assessed pursuant to 3.8.1.1(a) and for an Interconnection Customer that withdraws or is deemed withdrawn during the Cluster Study but before the receipt of a Cluster Study Report, the CAISO will use such funds to offset the costs of the Cluster Restudy on an equal basis for all Interconnection Customers studied in the restudy.[[58]](#footnote-58)

**19.3 Calculation and Disbursement of Withdrawal Penalties for Still-Needed Network Upgrades at or Above $100,000 Threshold**

For each interconnection customer that withdrew its interconnection request or terminated its generator interconnection agreement after the Cluster Study results, the CAISO shall calculate the proportion of the Withdrawal Penalty that is attributable to Network Upgrades that the CAISO determines will still be needed by remaining Interconnection Customers. For each such still-needed Network Upgrade, the CAISO will divide the Interconnection Customer’s Current Cost Responsibility for the Network Upgrade by the Interconnection Customer’s total Current Cost Responsibility for all Network Upgrades and multiply this result by the Interconnection Customer’s total amount of Withdrawal Penalty.

If the amount of Withdrawal Penalty attributable to a still-needed Network Upgrade, for all Interconnection Customers that withdrew during the same withdrawal period, is equal to or greater than $100,000, then the portion of such amount held or received by the CAISO prior to the stage of the applicable annual reassessment in which the CAISO reallocates cost responsibility for remaining Network Upgrades shall: (a) be disbursed to the applicable PTO(s) as a contribution in aid of construction of the still-needed Network Upgrade, and (b) be reflected as a reduction in the cost of this Network Upgrade for purposes of reallocating the cost responsibility for this Network Upgrade. Any portions of such amounts that the CAISO receives after reallocating cost responsibility for remaining Network Upgrades during the applicable annual reassessment shall be disbursed by the CAISO in the same manner in a subsequent reassessment, based on the date of collection, unless the applicable Network Upgrade is no longer needed, in which case such amounts will be disbursed pursuant to Section 7.6(d) of the RIS.

If a Network Upgrade for which the CAISO disburses funds as a contribution in aid of construction under the Section 7.6(b) of the RIS is determined, in a subsequent reassessment, to be no longer needed, such funds will be promptly returned to the CAISO by the applicable PTO and re-disbursed by the CAISO.[[59]](#footnote-59)

**19.4 Calculation and Disbursement of Other Non-Refundable Security and Study Deposits**

For each Interconnection Customer that withdrew its Interconnection Request or terminated its Generator Interconnection Agreement during a withdrawal period, any Withdrawal Penalty, as well as any non-refundable deposit not disbursed pursuant to subsection (b) above, shall be applied to offset Regional Transmission Revenue Requirements, as recovered through the CAISO’s Transmission Access Charge, and to offset Local Transmission Revenue Requirements

This offset shall be performed by first allocating these Withdrawal Penalties and non-refundable deposit amounts to the following three categories in proportion to the Interconnection Customer’s most recent Current Cost Responsibility, prior to withdrawal or termination, for Network Upgrades whose costs would be recovered through each of the following categories: (1) a Regional Transmission Revenue Requirement, (2) the Local Transmission Revenue Requirement of the PTO to which the interconnection customer had proposed to interconnect, and (3) the Local Transmission Revenue Requirement of any other PTO on whose system the interconnection customer was responsible for funding Network Upgrades recovered through a Local Transmission Revenue Requirement.

Each year, prior to the cutoff date for including annual regional TRBA adjustments in Regional Transmission Revenue Requirements, the CAISO will disburse to each PTO’s Transmission Revenue Balancing Account: (a) a share of the total funds held or received by the CAISO from category (1) above in proportion to the ratio of each PTO’s most recent Regional Transmission Revenue Requirement to the total of all PTOs’ most recent Regional Transmission Revenue Requirements, and (b) all funds held or received by the CAISO in categories (2) and (3) applicable to that PTO.[[60]](#footnote-60)

**19.5 Disbursement of Funds by CAISO; PTO Responsibility for Collection**

The CAISO shall disburse, in accordance with the rules set forth in the RIS Section 7.6, only those amounts that it holds or has received. The applicable PTO shall have the exclusive obligation to administer the collection of any Withdrawal Penalty where the applicable PTO is a beneficiary. The applicable PTO has the responsibility to manage the financial security and to transmit to the CAISO the non-refundable amounts in cash or equivalent within 75 days of the CAISO’s submission to the PTO of the financial security liquidation form. This deadline can be modified by mutual agreement of the CAISO and applicable PTO.[[61]](#footnote-61)

# Additional Deliverability Assessment Options

**20.1 PTO Tariff Option for Full Capacity Deliverability Status**

To the extent that a PTO’s tariff provides the option for customers taking interconnection service under the PTO’s tariff to obtain Full Capacity Deliverability Status, the CAISO will, in coordination with the applicable PTO, perform the necessary Deliverability studies to determine the Deliverability of customers electing such option. The CAISO shall execute any necessary agreements for reimbursement of study costs it incurs and to assure cost attribution for any Network Upgrades relating to any Deliverability status conferred to such customers under the PTO’s tariff.[[62]](#footnote-62)

**20.2 Deliverability from Non-PTOs**

This process applies to Generating Facilities that interconnect to the transmission facilities of a Non-PTO located within the CAISO Balancing Authority Area that wish to obtain Full Capacity Deliverability Status or Partial Capacity Deliverability Status under the CAISO Tariff. Such Generating Facilities will be eligible to be studied by the CAISO for Full or Partial Capacity Deliverability Status pursuant to the following provisions:

1. The Generating Facility seeking Full or Partial Capacity Deliverability Status under the CAISO Tariff must submit a request to the CAISO to study it for such Status. Such study request will be in the form of the CAISO’s pro forma Interconnection Request, including Cluster Study criteria under Section 4 of the RIS. The Interconnection Request must be submitted during the Cluster Application Window and must include the Generating Facility’s intended Point of Delivery to the CAISO Controlled Grid, and must be submitted during a Cluster Application Window. The Generating Facility will be required to satisfy the same study deposit and Commercial Readiness Deposit posting requirements as an Interconnection Customer. The CAISO will determine the Transmission Zone eligibility and include the Generating Facility in the Cluster Study criteria process and Deliverability assessments based upon the Non-PTO’s interconnection to the CAISO Controlled Grid. The Generating Facility will be eligible for Deliverability and cash reimbursement for Delivery Network Upgrades where it satisfies the Cluster Study criteria in Section 4 of the RIS.
2. The Non-PTO that serves as the interconnection provider to the Generating Facility must treat the CAISO as an Affected System in the interconnection study process for the Generating Facility.
3. As part of the Non-PTO’s interconnection study process, the CAISO, in its sole discretion and on a case-by-case basis, will determine the adequacy of transmission on the Non-PTO’s system for the Generating Facility to be deemed fully deliverable to the elected Point of Delivery to the CAISO Controlled Grid. Only those proposed Generating Facilities (or proposed increases in Generating Facility capacity) for which the CAISO has determined there is adequate transmission capacity on the Non-PTO system to provide full Deliverability to the applicable Point of Delivery will be eligible to be assessed for Full or Partial Capacity Deliverability Status under the CAISO Tariff.
4. If the Generating Facility is eligible for study for Full or Partial Capacity Deliverability Status, the CAISO will include the Generating Facility in the Interconnection Study process for the Queue Cluster associated with the Cluster Application Window in which the Generating Facility has submitted its study request. The Point of Delivery with the CAISO will be treated as the Point of Interconnection for purposes of including the Generating Facility in a Cluster Study with any applicable CAISO Interconnection Customers in the relevant Queue Cluster. Pursuant to the Queue Cluster Interconnection Study process the Generating Facility will be allocated its cost responsibility share of any applicable LDNUs or ADNUs.
5. The CAISO, PTO, and Interconnection Customer will execute any necessary agreements for reimbursement of study costs incurred by it to assure cost attribution for any Network Upgrades relating to any Deliverability status conferred to each such interconnection customer under the Non-PTO’s tariff.
6. The Non-PTO’s interconnection customer will receive repayment of funds expended for the construction of the LDNUs , and, as applicable, ADNUs, on the CAISO Controlled Grid in the same manner as CAISO Interconnection Customers, as specified in Section 14.3.2 of the RIS.[[63]](#footnote-63)

# Cost Responsibility for Interconnection Customers

**21.1 Cost Responsibility for RNUs and LDNUs**

The Interconnection Studies will establish Interconnection Customers’ Current Cost Responsibility, Maximum Cost Responsibility, and Maximum Cost Exposure consistent with the cost allocations described in Section 8. The CAISO will adjust Interconnection Customers’ cost responsibilities as described in the RIS. Interconnection Customers will post Commercial Readiness Deposit and GIA Deposit based on their Current Cost Responsibility.[[64]](#footnote-64)

**21.2** **Cost Responsibility for ADNUs**

Interconnection Customers selecting the Deliverable Option do not include ADNUs in the Commercial Readiness Deposit and GIA Deposit. The Current Cost Responsibility provided in the Cluster Studies establishes the basis for the initial Commercial Readiness Deposit. For Interconnection Customers selecting the Merchant Option, the Interconnection Facilities Study and annual reassessment shall refresh the Current Cost Responsibility for ADNUs.

The ADNU cost estimates provided in any Interconnection Study report are estimates only and do not provide a maximum value for cost responsibility to an Interconnection Customer for ADNUs. However, subsequent to the Interconnection Customer’s receipt of its Interconnection Facilities Study report, an Interconnection Customer having selected the Merchant Option may have its ADNUs adjusted in the reassessment process undertaken under Section 7.4. Accordingly, for such Interconnection Customers, the most recent annual reassessment undertaken under Section 7.4 shall provide the most recent cost estimates for the Interconnection Customer’s ADNUs.[[65]](#footnote-65)

# Commercial Readiness Deposit and GIA Deposit

**22.1 Types of Commercial Readiness Deposit and GIA Deposit**

The Commercial Readiness Deposit and GIA Deposit posted by an Interconnection Customer may be any combination of the following types of Commercial Readiness Deposit or GIA Deposit:

1. an irrevocable and unconditional letter of credit issued by a bank or financial institution that has a credit rating of A or better by Standard and Poors or A2 or better by Moody’s;
2. an irrevocable and unconditional surety bond issued by an insurance company that has a credit rating of A or better by Standard and Poors or A2 or better by Moody’s;
3. an unconditional and irrevocable guaranty issued by a company has a credit rating of A or better by Standard and Poors or A2 or better by Moody’s;
4. a cash deposit standing to the credit of the applicable PTO(s) in an interest-bearing escrow account maintained at a bank or financial institution that is reasonably acceptable to the applicable PTO(s);
5. a certificate of deposit in the name of the applicable PTO(s) issued by a bank or financial institution that has a credit rating of A or better by Standard and Poors or A2 or better by Moody’s; or
6. a payment bond certificate in the name of the applicable PTO(s) issued by a bank or financial institution that has a credit rating of A or better by Standard and Poors or A2 or better by Moody’s.

Commercial Readiness Deposit and GIA Deposit instruments as listed above shall be in such form as the CAISO and applicable PTO(s) may reasonably require from time to time by notice to Interconnection Customers or in such other form as has been evaluated and approved as reasonably acceptable by the CAISO and applicable PTO(s).

The CAISO shall publish and maintain standardized forms related to the types of deposits listed above which shall be accessible on the CAISO Website. The CAISO shall require the use of standardized forms of Commercial Readiness Deposit and GIA Deposit to the greatest extent possible. If at any time the guarantor of the Commercial Readiness Deposit or GIA Deposit fails to maintain the credit rating required by this Section, the Interconnection Customer shall provide to the applicable PTO(s) replacement Commercial Readiness Deposit or GIA Deposit meeting the requirements of this Section within five (5) Business Days of the change in credit rating.

The CAISO shall, upon receipt, deposit all Commercial Readiness Deposit, GIA Deposit, and other deposit amounts in an interest-bearing account at a bank or financial institution designated by the CAISO. Interest on a cash deposit standing to the credit of the applicable PTO(s) in an interest-bearing escrow account under subpart (d) of this Section will accrue to the Interconnection Customer’s benefit and will be added to the Interconnection Customer’s account on a monthly basis. Any interest earned on such amounts, based on the actual rate of the account, shall be allocated and disbursed in the same manner as the principal, in accordance with the methodology set forth in the RIS Section 7.6[[66]](#footnote-66)

# CAISO as an Affected System

The CAISO and PTOs whose system may be impacted by a proposed interconnection on another transmission provider’s transmission system will cooperate with the transmission provider with whom interconnection has been requested in all matters related to the conduct of studies and the determination of modifications to the CAISO Controlled Grid.[[67]](#footnote-67)

**23.1 Applicability**

This Section 14.5 outlines the duties of the CAISO and affected PTO when the CAISO receives notification that an Affected System Interconnection Customer’s proposed interconnection to its host transmission provider may impact the CAISO Controlled Grid. The interconnection customer will be eligible for repayment of amounts advanced for Network Upgrades consistent with Section 14.3.2.1.[[68]](#footnote-68)

**23.2 Response to Notifications**

When the CAISO receives notification that an Affected System Interconnection Customer’s proposed interconnection to its host transmission provider may impact the CAISO Controlled Grid, the CAISO must respond in writing within twenty (20) Business Days whether the PTO intends to conduct an Affected System Study.

By fifteen (15) Business Days after the CAISO responds with its affirmative intent to conduct an Affected System Study, the PTO will share with Affected System Interconnection Customer(s) and the Affected System Interconnection Customer’s host transmission provider a non-binding good faith estimate of the cost and the schedule to complete the Affected System Study.

Within five (5) Business Days of receipt of notification of Cluster Restudy, the PTO will send written notification to Affected System Interconnection Customer(s) involved in the Cluster Restudy and the host transmission provider that the PTO intends to delay a planned or in-progress Affected System Study until after completion of the Cluster Restudy. If the PTO decides to delay the Affected System Study, it is not required to meet its obligations under Section 14 of the RIS until the time that it receives notification from the host transmission provider that the Cluster Restudy is complete. If the PTO decides to move forward with its Affected System Study despite the Cluster Restudy, then it must meet all requirements under Section 14.5 of the RIS.[[69]](#footnote-69)

**23.3 Affected System Queue Position**

The CAISO must assign an Affected System Queue Position to Affected System Interconnection Customer(s) that require(s) an Affected System Study. Such Affected System Queue Position will be assigned based upon the date of execution of the Affected System Study Agreement. Relative to the CAISO’s Interconnection Customers, this Affected System Queue Position will be higher-queued than any Cluster that has not yet received its Cluster Study Report and will be lower-queued than any Cluster that has already received its Cluster Study Report. Consistent with Section 14.5.7 of the RIS, the CAISO and PTO(s) will study the Affected System Interconnection Customer(s) via Clustering, and all Affected System Interconnection Customers studied in the same Cluster under Section 14.5.7 of the RIS will be equally queued. For Affected System Interconnection Customers that are equally queued, the Affected System Queue Position will have no bearing on the assignment of Affected System Network Upgrades identified in the applicable Affected System Study. The costs of the Affected System Network Upgrades will be allocated among the Affected System Interconnection Customers in accordance with Section14.5.9 of the RIS.[[70]](#footnote-70)

**23.4 Affected System Study Agreement/Multiparty Affected System Study Agreement**

Unless otherwise agreed, the PTO will provide to Affected System Interconnection Customer(s) an Affected System Study Agreement/Multiparty Affected System Study Agreement, in the form of Appendix 11 or Appendix 12 to the RIS, as applicable, within ten (10) Business Days of the PTO sharing the schedule for the Affected System Study per Section 14.5.2 of the RIS.

Upon Affected System Interconnection Customer(s)’ receipt of the Affected System Study Report, Affected System Interconnection Customer(s) will compensate the PTO for the actual cost of the Affected System Study. Any difference between the study deposit and the actual cost of the Affected System Study will be paid by or refunded to the Affected System Interconnection Customer(s). Any invoices for the Affected System Study will include a detailed and itemized accounting of the cost of the study. Affected System Interconnection Customer(s) will pay any excess costs beyond the already-paid Affected System Study deposit or be reimbursed for any costs collected over the actual cost of the Affected System Study within thirty (30) calendar days of receipt of an invoice thereof. If Affected System Interconnection Customer(s) fail to pay such undisputed costs within the time allotted, it will lose its Affected System Queue Position. The PTO will notify the CAISO and the Affected System Interconnection Customer’s host transmission provider of such failure to pay.[[71]](#footnote-71)

**23.5 Execution of Affected System Study Agreement/Multiparty Affected System Study Agreement**

The Affected System Interconnection Customer(s) will execute the Affected System Study Agreement/Multiparty Affected System Study Agreement, deliver the executed Affected System Study Agreement/Multiparty Affected System Study Agreement to the PTO, and provide the Affected System Study deposit within ten (10) Business Days of receipt. If the PTO notifies Affected System Interconnection Customer(s) that it will delay the Affected System Study pursuant to Section 14.5.2 of the RIS, Affected System Interconnection Customer(s) are neither required to execute and return the previously tendered Affected System Study/Multiparty Affected System Study Agreement nor provide the Affected System Study deposit for the previously tendered Affected System Study/Multiparty Affected System Study Agreement.

If the Affected System Interconnection Customer does not provide all required technical data when it delivers the Affected System Study Agreement/Multiparty Affected System Study Agreement, the PTO will notify the deficient Affected System Interconnection Customer, the CAISO, and the host transmission provider with which Affected System Interconnection Customer seeks to interconnect, of the technical data deficiency within five (5) Business Days of the receipt of the executed Affected System Study Agreement/Multiparty Affected System Study Agreement and the deficient Affected System Interconnection Customer will cure the technical deficiency within ten (10) Business Days of receipt of the notice: provided, however, that such deficiency does not include failure to deliver the executed Affected System Study Agreement/Multiparty Affected System Study Agreement or deposit for the Affected System Study Agreement/Multiparty Affected System Study Agreement. If Affected System Interconnection Customer does not cure the technical data deficiency within the cure period or fails to execute the Affected System Study Agreement/Multiparty Affected System Study Agreement or provide the deposit, the Affected System Interconnection Customer will lose its Affected System Queue Position.[[72]](#footnote-72)

**23.6 Scope of Affected System Study**

The Affected System Study will evaluate the impact that any Affected System Interconnection Customer’s proposed interconnection to another transmission provider’s transmission system will have on the reliability of the CAISO Controlled Grid. The Affected System Study will consider the Base Case as well as all Generating Facilities (and with respect to (iii) below, any identified Affected System Network Upgrades associated with such higher-queued Interconnection Request) that, on the date the Affected System Study is commenced: (i) are directly interconnected to the CAISO Controlled Grid; (ii) are directly interconnected to another transmission provider’s transmission system and may have an impact on Affected System Interconnection Customer’s interconnection request; (iii) have a pending higher-queued Interconnection Request to interconnect to the CAISO Controlled Grid; and (iv) have no queue position but have executed a GIA or requested that an unexecuted GIA be filed with FERC. The CAISO and PTO have no obligation to study impacts of Affected System Interconnection Customers of which they are not notified.

The Affected System Study will consist of a power flow, stability, and short circuit analysis. The Affected System Study Report will: state the assumptions upon which it is based; state the results of the analyses; and provide the potential impediments to Affected System Interconnection Customer’s receipt of interconnection service on its host transmission provider’s transmission system, including a preliminary indication of the cost and length of time that would be necessary to correct any problems identified in those analyses and implement the interconnection. For purposes of determining necessary Affected System Network Upgrades, the Affected System Study will consider the level of interconnection service requested in megawatts by Affected System Interconnection Customer, unless otherwise required to study the full generating facility capacity due to safety or reliability concerns. The Affected System Study Report will provide a list of facilities that are required as a result of Affected System Interconnection Customer’s proposed interconnection to another transmission provider’s system, a non-binding good faith estimate of cost responsibility, and a non-binding good faith estimated time to construct. The Affected System Study may consist of a system impact study, a facilities study, or some combination thereof.[[73]](#footnote-73)

**23.7 Affected System Study Procedures**

The CAISO and PTOs will use Clustering in conducting the Affected System Study and will use existing studies to the extent practicable, when multiple Affected System Interconnection Customers that are part of a single Cluster may cause the need for Affected System Network Upgrades. The PTO will complete the Affected System Study and provide the Affected System Study Report to Affected System Interconnection Customer(s), the CAISO, and the host transmission provider with whom interconnection has been requested within one hundred fifty (150) calendar days after the receipt of the Affected System Study Agreement and deposit.

At the request of Affected System Interconnection Customer, the PTO will notify Affected System Interconnection Customer as to the status of the Affected System Study. If the PTO is unable to complete the Affected System Study within the requisite time period, it will notify Affected System Interconnection Customer(s), as well as the transmission provider with which Affected System Interconnection Customer seeks to interconnect, and will provide an estimated completion date with an explanation of the reasons why additional time is required. If the PTO does not meet the deadlines in this Section, the PTO will be subject to the financial penalties as described in Section 3.11 of the RIS. Upon request, the PTO will provide Affected System Interconnection Customer(s) with all supporting documentation, work papers and relevant power flow, short circuit and stability databases for the Affected System Study, subject to confidentiality arrangements consistent with Section 15.1 of the RIS.

The PTO must study an Affected System Interconnection Customer as Energy Only, regardless of the level of interconnection service that the Affected System Interconnection Customer is seeking from the host transmission provider with whom it seeks to interconnect.[[74]](#footnote-74)

**23.8 Meeting with the CAISO and PTO**

Within ten (10) Business Days of providing the Affected System Study Report to Affected System Interconnection Customer(s), the PTO, the CAISO, and the Affected System Interconnection Customer(s) will meet to discuss the results of the Affected System Study.[[75]](#footnote-75)

**23.9 Affected System Cost Allocation**

The PTO will allocate Affected System Network Upgrade costs identified during the Affected System Study to Affected System Interconnection Customer(s) using a proportional impact method, consistent with Section 6.3.1 of the RIS.[[76]](#footnote-76)

**23.10 Tender of Affected Systems Facilities Construction Agreement/Multiparty Affected System Facilities Construction Agreement**

The PTO will tender to Affected System Interconnection Customer(s) an Affected System Facilities Construction Agreement/Multiparty Affected System Facilities Construction Agreement, as applicable, in the form of Appendix 13 or 14 to the RIS, within thirty (30) calendar days of providing the Affected System Study Report. Within ten (10) Business Days of the receipt of the Affected System Facilities Construction Agreement/Multiparty Affected System Facilities Construction Agreement, the Affected System Interconnection Customer(s) must execute the agreement or request the agreement to be filed unexecuted with FERC. The PTO will execute the agreement or file the agreement unexecuted within five (5) Business Days after receiving direction from Affected System Interconnection Customer(s). The Affected System Interconnection Customer’s failure to execute the Affected System Facilities Construction Agreement/Multiparty Affected System Facilities Construction Agreement, or failure to request the agreement to be filed unexecuted with FERC, will result in the loss of its Affected System Queue Position.[[77]](#footnote-77)

**23.11 Restudy**

If restudy of the Affected System Study is required, the PTO will notify Affected System Interconnection Customer(s) and the CAISO in writing within thirty (30) calendar days of discovery of the need for restudy. Such restudy will take no longer than sixty (60) calendar days from the date of notice. Any cost of restudy will be borne by the Affected System Interconnection Customer(s) being restudied.[[78]](#footnote-78)

1. RIS Section 1.1, 2.1, 2.4.1, 2.4.2 [↑](#footnote-ref-1)
2. RIS Section 2.2 [↑](#footnote-ref-2)
3. RIS Section 1.3 [↑](#footnote-ref-3)
4. RIS Section 2.4.1 [↑](#footnote-ref-4)
5. RIS Section 2.4.2 [↑](#footnote-ref-5)
6. RIS Section 2.4.3 [↑](#footnote-ref-6)
7. RIS Section 2.4.3.1 [↑](#footnote-ref-7)
8. RIS Section 2.4.3.2 [↑](#footnote-ref-8)
9. RIS Section 2.4.3.3 [↑](#footnote-ref-9)
10. RIS Section 2.4.3.4 [↑](#footnote-ref-10)
11. RIS Section 3.1 [↑](#footnote-ref-11)
12. RIS Section 3.2 (a) [↑](#footnote-ref-12)
13. RIS Section 3.2 (b) [↑](#footnote-ref-13)
14. RIS Section 3.2 (c) [↑](#footnote-ref-14)
15. RIS Section 3.2 (d) [↑](#footnote-ref-15)
16. RIS Section 3.3.1. [↑](#footnote-ref-16)
17. RIS Section 3.3.1 [↑](#footnote-ref-17)
18. RIS Section 3.3.2 [↑](#footnote-ref-18)
19. RIS Section 3.3.3 [↑](#footnote-ref-19)
20. RIS Section 3.5.1 [↑](#footnote-ref-20)
21. RIS Section 3.5.1.1 [↑](#footnote-ref-21)
22. RIS Section 3.5.1.2 [↑](#footnote-ref-22)
23. RIS Section 3.5.1.3 [↑](#footnote-ref-23)
24. [↑](#footnote-ref-24)
25. RIS Section 3.5.1.4 [↑](#footnote-ref-25)
26. RIS Section 3.5.1.5 [↑](#footnote-ref-26)
27. RIS Section 3.5.2 [↑](#footnote-ref-27)
28. RIS Section 3.5.2 [↑](#footnote-ref-28)
29. RIS Section 3.6 states that “[e]xcept in the case of an Affiliate, the list will not disclose the identity of the Interconnection Customer until the Interconnection Customer executes a GIA or requests that the applicable PTO(s) and the CAISO file an unexecuted GIA with FERC.” [↑](#footnote-ref-29)
30. RIS Section 3.5.2 [↑](#footnote-ref-30)
31. RIS Section 3.5.2.1 [↑](#footnote-ref-31)
32. RIS Section 3.5.2.2 [↑](#footnote-ref-32)
33. RIS Section 3.5.3 [↑](#footnote-ref-33)
34. RIS Section 3.5.4 [↑](#footnote-ref-34)
35. RIS Section 3.6.4 [↑](#footnote-ref-35)
36. RIS Section 3.7 [↑](#footnote-ref-36)
37. RIS Section 3.7.1 [↑](#footnote-ref-37)
38. RIS Section 14.4 [↑](#footnote-ref-38)
39. RIS Section 14.4.1 [↑](#footnote-ref-39)
40. RIS Section 4 [↑](#footnote-ref-40)
41. RIS Section 4.1 [↑](#footnote-ref-41)
42. RIS Section 4.1.1 [↑](#footnote-ref-42)
43. RIS Section 4.1.1 1) [↑](#footnote-ref-43)
44. RIS Section 4.1.1 2) [↑](#footnote-ref-44)
45. RIS Section 4.1.1 3) [↑](#footnote-ref-45)
46. RIS Section 4.1.2 [↑](#footnote-ref-46)
47. RIS Section 4.2 [↑](#footnote-ref-47)
48. RIS Section 4.3 [↑](#footnote-ref-48)
49. RIS Section 4.3.1 [↑](#footnote-ref-49)
50. RIS Section 4.4 [↑](#footnote-ref-50)
51. RIS Section 3.8 [↑](#footnote-ref-51)
52. RIS Section 3.8.1 [↑](#footnote-ref-52)
53. RIS Section 3.8.1.1 [↑](#footnote-ref-53)
54. RIS Section 3.8.2 [↑](#footnote-ref-54)
55. RIS Section 3.9 [↑](#footnote-ref-55)
56. RIS Section 7.6 [↑](#footnote-ref-56)
57. RIS Section 7.6 (a) [↑](#footnote-ref-57)
58. RIS Section 7.6 (b) [↑](#footnote-ref-58)
59. RIS Section 7.6 (c) [↑](#footnote-ref-59)
60. RIS Section 7.6 (d) [↑](#footnote-ref-60)
61. RIS Section 7.6 (e) [↑](#footnote-ref-61)
62. RIS Section 9.3 [↑](#footnote-ref-62)
63. RIS Section 9.4 [↑](#footnote-ref-63)
64. RIS Section 10.1 (a) [↑](#footnote-ref-64)
65. RIS Section 10.1 (b) [↑](#footnote-ref-65)
66. RIS Section 11.1 [↑](#footnote-ref-66)
67. RIS Section 14.5 [↑](#footnote-ref-67)
68. RIS Section 14.5.1 [↑](#footnote-ref-68)
69. RIS Section 14.5.2 [↑](#footnote-ref-69)
70. RIS Section 14.5.3 [↑](#footnote-ref-70)
71. RIS Section 14.5.4 [↑](#footnote-ref-71)
72. RIS Section 14.5.5 [↑](#footnote-ref-72)
73. RIS Section 14.5.6 [↑](#footnote-ref-73)
74. RIS Section 14.5.7 [↑](#footnote-ref-74)
75. RIS Section 14.5.8 [↑](#footnote-ref-75)
76. RIS Section 14.5.9 [↑](#footnote-ref-76)
77. RIS Section 14.5.10 [↑](#footnote-ref-77)
78. RIS Section 14.5.11 [↑](#footnote-ref-78)