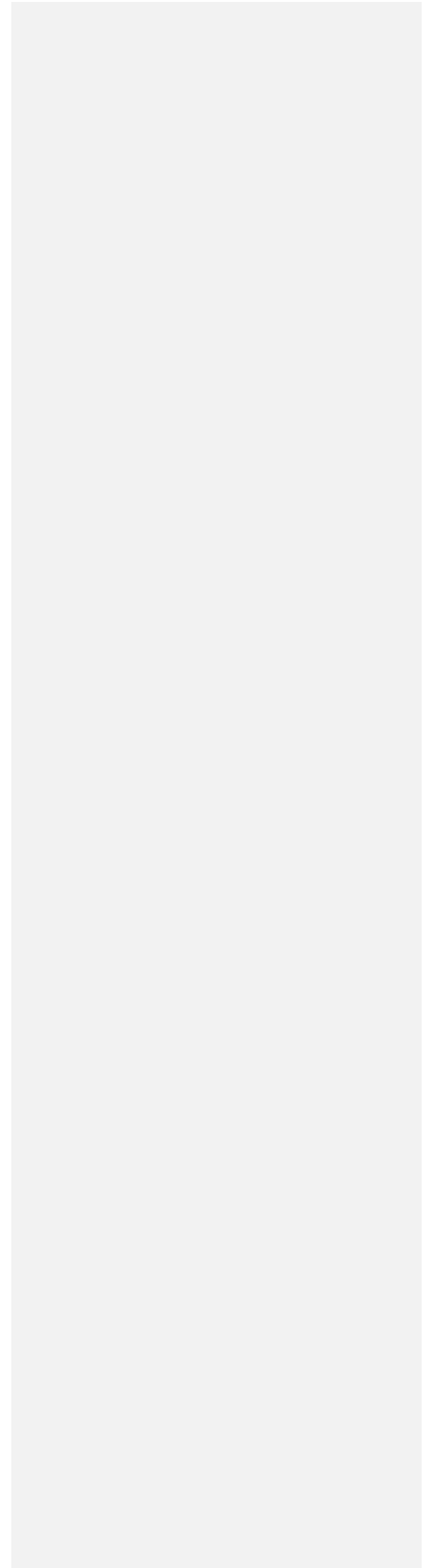


California Independent System Operator Corporation

Fifth Replacement Tariff

Providing notice of transmission outages

B. Burns



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9.3.3 Requests For Outages In Real-Time Operation

Requests for Outages of: ~~(i) facilities that comprise the CAISO Controlled Grid or (ii)~~ Generating Units of Participating Generators in Real-Time operation shall be made by the Operator to the CAISO Control Center. The CAISO will not approve any Outage request made within seventy-two (72) hours of the requested Outage start time unless: (i) the requested Outage could not have been reasonably foreseen and scheduled through the Outage coordination process provided in Section 9.3, (ii) the requested Outage will not compromise CAISO Controlled Grid reliability and (iii) with respect to requests to convert from a Forced Outage to a Maintenance Outage for Resource Adequacy Resources subject to the Availability Standards of Section 40.9, the CAISO determines, in its reasonable discretion, that the Outage does not require the CAISO to implement backstop procurement measures to replace the capacity at the time of the Outage request.

* * * * *

9.3.6 Maintenance Outage Planning

Each Operator shall, by not later than October 15 each year, provide the CAISO with a proposed schedule of all Maintenance Outages it wishes to undertake in the following year. The proposed schedule shall include all of the Operator's transmission facilities that comprise the CAISO Controlled Grid and Generating Units subject to a Participating Generator Agreement, QF PGA, or Pseudo-Tie Participating Generator Agreement (including its Reliability Must-Run Units). In the case of a Participating TO's transmission facilities, that proposed schedule shall be developed in consultation with the UDCs interconnected with that Participating TO's system and shall take account of each UDC's planned maintenance requirements. The nature of the information to be provided and the detailed Maintenance Outage planning procedure shall be established by the CAISO. This information shall include:

The following information is required for each Generating Unit of a Participating Generator:

- (a) the Generating Unit name and Location Code;
- (b) the MW capacity unavailable;

- (c) the scheduled start and finish date for each Outage; and
- (d) where there is a possibility of flexibility, the earliest start date and the latest finish date, along with the actual duration of the Outage once it commences.

The following information is required for each transmission facility:

- (a) the identification of the facility and location;
- (b) the nature of the proposed Maintenance Outage;
- (c) the preferred start and finish date for each Maintenance Outage; and
- (d) where there is a possibility of flexibility, the earliest start date and the latest finish date, along with the actual duration of the Outage once it commences.

~~Either the CAISO, pursuant to Section 9.3.7, or an Operator, subject to Section 9.3.6.11,~~ may at any time request a change to an Approved Maintenance Outage. ~~An Operator-Participating Generator~~ may, as provided in Section 9.3.6.3, schedule with the CAISO Outage Coordination Office a Maintenance Outage ~~on~~ of its system ~~Generating Units or System Units~~, subject to the conditions of Sections 9.3.6.4.1, 9.3.6.8, and 9.3.6.9. A Participating TO may, as provided in Section 9.3.6.3, request that the CAISO Outage Coordination Office schedule a Maintenance Outage or change an Approved Maintenance Outage for transmission facilities on its system, subject to the conditions of Sections 9.3.6.3.2, 9.3.6.4.1, 9.3.6.8, 9.3.6.9, and 9.3.6.11.

* * * * *

9.3.6.1 Quarterly Updates

9.3.6.1.1 Each Participating Generator will provide the CAISO with quarterly updates of its long-range Outage schedule referred to in Section 9.3.6 for Generating Units and System Units by the close of business on the fifteenth (15th) day of each January, April, and July. These updates must identify known changes to any previously planned Generating Unit Outages and any additional Outages anticipated over the next twelve (12) months from the time of this report. In this report, each Participating Generator must include all known planned Outages for the following twelve (12) months.

9.3.6.1.2 Each Participating TO will provide the CAISO with quarterly updates of the data provided under Section 9.3.6 by close of business on the fifteenth (15th) day of each January, April, and July. These updates must identify known changes to any previously planned CAISO Controlled Grid facility Maintenance Outages and any additional Outages anticipated over the next twelve (12) months from the time of the report. As part of this update, each Participating TO must include all known ~~planned~~Maintenance Outages for the following twelve (12) months.

9.3.6.2 90 Day Look Ahead

In addition to changes made at quarterly Outage submittals, each Participating Generator shall notify the CAISO in writing of any known changes to a Generating Unit or System Unit Outage scheduled to occur within the next ninety (90) days and may submit changes to its planned Maintenance Outage schedule at any time. Participating Generators must obtain the approval of the CAISO Outage Coordination Office in accordance with Section 9. Such approval may be withheld only for reasons of System Reliability or security.

9.3.6.3 Timeframe for Scheduling Generation and Transmission Outages

9.3.6.3.1 72 Hours Ahead for Generating Units

An Operator may, upon seventy-two (72) hours advance notice (or within the notice period in the Operating Procedures posted on the CAISO Website), schedule with the CAISO Outage Coordination Office a Maintenance Outage for a Generating Unit, subject to the conditions of Sections 9.3.6.4.1, 9.3.6.8 and 9.3.6.9.

9.3.6.3.2 ~~For-Transmission Facilities~~Maintenance Outages

~~Except for Outages that may have a significant effect upon CRR revenue adequacy as defined in Section 36.4.3, an Operator may, upon seventy-two (72) hours advance notice (or within the notice period in the Operating Procedures posted on the CAISO Website), schedule with the CAISO Outage Coordination Office a Maintenance Outage for transmission facilities on its system, subject to the conditions of Sections 9.3.6.4.1, 9.3.6.8 and 9.3.6.9. A Participating TO shall submit a request for a Maintenance Outage or a request to change an Approved Maintenance Outage for transmission facilities on its system in advance of the start date for the Outage, as follows:~~

1. For Outages that may have a significant effect upon CRR revenue adequacy as defined in Section 36.4.3, a An Operator may, upon thirty (30) days notice in advance of the first day of the month the Outage is proposed to be scheduled (or within the notice period in the Operating Procedures posted on the CAISO Website), schedule with the CAISO Outage Coordination Office a CRR Transmission Maintenance Outage for transmission facilities on its system, subject to the conditions of Sections 9.3.6.4.1, 9.3.6.8, 9.3.6.9, and 36.4.3.

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2. A Participating TO shall submit a request for a Planned Transmission Maintenance Outage or a request to change an Approved Maintenance Outage to the CAISO Outage Coordination Office at least seven days in advance of the start date for the Outage, subject to the conditions of Sections 9.3.6.3.2, 9.3.6.4.1, 9.3.6.8, and 9.3.6.9. The timeline for submitting the required advance notice is calculated excluding the day the request is submitted and the day the Outage is scheduled to commence.

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3. If a Participating TO submits a request for a Planned Transmission Maintenance Outage or a request to change an Approved Maintenance Outage less than seven days in advance of the start date for the Outage, the CAISO Outage Coordination Office may, at its discretion, reject the request as untimely, or approve the request as an Unplanned Transmission Maintenance Outage provided that the CAISO Outage Coordination Office has adequate time to analyze the request before the Outage begins and the analysis determines that (i) the Outage is necessary for reliability, (ii) system conditions and the overall Outage schedule provide an opportunity to take the facilities out of service without a detrimental effect on the efficient use and reliable operation of the CAISO Controlled Grid, and (iii) the Outage has not already commenced as a Forced Outage. The CAISO Outage Coordination Office will consider Unplanned Transmission Maintenance Outages in the order the requests are received.

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9.3.6.4 Changes to Planned Maintenance Outages

A Participating TO may submit changes to its ~~planned~~-Maintenance Outage information at any time, provided, however, that if the Participating TO cancels an Approved Maintenance Outage after 5:00 a.m. of the day prior to the day upon which the Outage is scheduled to commence and the CAISO determines that the change was not required to preserve System Reliability, the CAISO may disregard the availability of the affected facilities in determining the availability of transmission capacity in the Day-Ahead Market. The CAISO will, however, notify Market Participants and reflect the availability of transmission capacity in the HASP and Real-Time Market as promptly as practicable.

9.3.6.4.1 The CAISO Outage Coordination Office shall evaluate whether the requested Maintenance Outage or change to an Approved Maintenance Outage is likely to have a detrimental effect on the efficient use and reliable operation of the CAISO Controlled Grid or the facilities of a Connected Entity. The CAISO may request additional information or seek clarification from Participating Generators or Participating TOs of the information submitted in relation to a planned Generating Unit and System Unit Outage or a ~~planned-transmission~~ Maintenance Outage. This information may be used to assist the CAISO in prioritizing conflicting requests for Outages.

* * * * *

9.3.6.7 Each Participating Generator or Participating TO which has scheduled a ~~planned~~ Maintenance Outage pursuant to Section 9.3.4 must schedule and receive approval of the Outage from the CAISO Outage Coordination Office prior to initiating the Approved Maintenance Outage. The CAISO Outage Coordination Office will review the Maintenance Outages to determine if any one or a combination of Maintenance Outage requests relating to CAISO Controlled Grid facilities, Generating Units or System Units may cause the CAISO to violate the Applicable Reliability Criteria. This review will take consideration of factors including, but not limited to, the following:

- (a) forecast peak Demand conditions;

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- (b) other Maintenance Outages, previously Approved Maintenance Outages, and anticipated Generating Unit Outages;
- (c) potential to cause Congestion;
- (d) impacts on the transfer capability of Interconnections; and
- (e) impacts on the market.

* * * * *

9.3.8.1 Data Required

The Operator of a Generating Unit owned or controlled by a Participating Generator shall submit to the CAISO pursuant to Sections 9.3.4 and 9.3.5.2.1 its request to confirm the schedule of a planned Maintenance Outage or to change the schedule of a planned Maintenance Outage. Such request must be made to the CAISO Outage Coordination Office by no later than 11:30 a.m. three (3) working days prior to the starting date of the proposed Outage (or as specified on the CAISO Website). Likewise, all Participating TOs shall submit a formal request to confirm or change an Approved Maintenance Outage with respect to any CAISO Controlled Grid facility to the CAISO Outage Coordination Office in accordance with Sections [9.3.6.3.2](#), 9.3.8.2 and 9.3.8.3. Such schedule confirmation request shall specify the following:

- (a) the Generating Unit or System Unit name and Location Code, or the identification of the transmission system element(s) to be maintained including location;
- (b) the nature of the maintenance to be performed;
- (c) the date and time the Outage is to begin;
- (d) the date and time the Outage is to be completed;
- (e) the time required to terminate the Outage and restore the Generating Unit to normal capacity or the transmission system to normal operation;
- (f) identification of primary and alternate telephone numbers for the Operator's single point of contact; and
- (g) in the case of a request for a change to an Approved Maintenance Outage, the date and time of the original Approved Maintenance Outage.

9.3.8.2 Three (3) Day Prior Notification

Any request by a Participating Generator to confirm or change an Approved Maintenance Outage ~~that may affect the transfer capability of any part of the CAISO Controlled Grid~~ must be submitted no later than 11:30 a.m. at least three (3) working days prior to the starting date of the Approved Maintenance Outage (or as posted on the CAISO Website). Any request by a Participating TO to confirm or change an Approved Maintenance Outage less than seven days in advance of the start date for the Outage is subject to Section 9.3.6.3.2. This Section applies to facilities as described on the CAISO Website and in the applicable Business Practice Manual. ~~Failure to submit a request for an Outage by the proper time may mean a delay in approval from the CAISO or may cause that Outage to be designated as a Forced Outage based on the nearness of the request to the requested Outage date.~~

9.3.8.3 One (1) Day Prior Notification

Any request by a Participating Generator to confirm or change the schedule for an Approved Maintenance Outage requiring only one (1) day notice (as detailed on the CAISO Website) must be submitted no later than 11:30 am at least one (1) day prior to the starting date of the Outage (or as specified on the CAISO Website). Any request by a Participating TO to confirm or change an Approved Maintenance Outage less than seven days in advance of the start date for the Outage is subject to Section 9.3.6.3.2. Failure to submit a request for an Outage by the proper time may mean a delay in approval from the CAISO or may cause that Outage to be designated as a Forced Outage.

9.3.8.4 Priority of Outage Requests

Outage requests which are listed in the long-range maintenance schedules submitted to and approved by the CAISO will be given a priority in the scheduling and approval of Outage requests over those which have not been listed.

9.3.8.5 Delay

Failure to submit a request for an Outage by the proper time may mean a delay in approval from the CAISO or may cause that Outage to be designated as a Forced Outage based on the nearness of the request to the requested Outage date. The CAISO Outage Coordination Office

may delay its approval of a Maintenance Outage or an Approved Maintenance Outage schedule if sufficient or complete information is not received by the CAISO Outage Coordination Office within the time frames provided in Sections 9.3.8.2 and 9.3.8.3.

* * * * *

- CRR Transmission Maintenance Outage

An Outage that may have a significant effect upon CRR revenue adequacy as defined in Section 36.4.3.

- Planned Transmission Maintenance Outage

A Maintenance Outage for transmission facilities that comprise the CAISO Controlled Grid that is requested by a Participating TO at least seven days in advance of the start date for the Outage.

- Unplanned Transmission Maintenance Outage

A Maintenance Outage for transmission facilities that comprise the CAISO Controlled Grid that is requested by a Participating TO less than seven days in advance of the start date for the Outage.

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