Settlement Files Publication Contingency Provisions

VERSION 2.2: NOVEMBER 9, 2026

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1 Introduction

1.1 Revision History

Version	Description	Update Date
1.0	Initial Draft	2/3/2010
1.1	Revisions based on file name timestamp confirmation	2/12/2010
1.2	Clarifications based on participant submitted questions	2/25/2010
1.3	Remove references to pending development of timestamp and various grammatical corrections	3/25/2010
1.4	Clarification on file name convention per file type	5/18/2010
1.5	Included refinements to the process	11/4/2010
1.6	Include invoice file provisions in the document.	6/6/2012
1.7	- Replace BAPI with MRI. - Update file naming convention.	1/22/2014
2.0	- Document title change - Clarify distinction between delayed publications and reposting of statement and/or invoice files - Revised baseline communication content	8/30/2016
2.1	Revised due to implementation of Market Settlement Timeline Transformation	6/2/2021
2.2	Revised due to implementation of SendGrid	11/9/2026

1.2 Related Documents

The following documents provide supporting information on this process. Each can be found on CAISO Website.

Document	Location
BPM for Settlements & Billing – Main Body	http://bpmcm.caiso.com/Pages/SnBBPMDetails.aspx?BPM=Settlements%20and%20Billing
CAISO Payments Calendar	http://www.caiso.com/market/Pages/Settlements/Default.aspx under the *Market and administrative* heading

1.3 Document Purpose and Scope

The purpose of this document is to inform market participants of the ISO's process for a delay in or reposting of all or part of the various components of settlement statement and invoice files. Information pertaining to invoices and invoice files apply to both invoice types, invoice and payment advice.

The document will also define the communication methods the ISO will use to notify participants when a settlement statement or invoice is delayed or reposted as well as the circumstances under which the settlements statement dispute windows will be extended.

2 Statement and Invoice Files Publication Overview

In accordance with the settlement process timelines outlined in sections11.29.7.1 and 11.29.10 of the Tariff, settlement statements, and invoices are published no later than midnight on the scheduled publication day as shown in the CAISO Payments Calendar.

As stated in the BPM for Settlements & Billing, the content of any version of a published initial settlement statement, recalculation settlement statement, or invoice is the following XML file components:

Initial Settlement Statement or Recalculation Settlement Statement	1. Scheduling Coordinator (SC) Settlement File 2. SC Determinant File 3. CISO Determinant File (common)
Invoice or Payment Advice	1. Invoice File

Settlement statement and invoice file names[1] contain a unique run number, a corresponding version number, and creation date timestamp.

The run number represents a unique sequence of numbers that identify the specific calculation run as executed by the settlements software.

The version number represents the number of times that calculation run has executed and published for the same trading day and settlement run type. Version numbers are incremented by one (1) against the version number of the immediately preceding published settlement statement for the same trading day and settlement run type.

The posting date timestamp represents the business day and time that the statement or invoice files were published trading day the Market Results Interface – Settlements (MRI) and via Secure File Transfer Protocol (SFTP) server. Using this posting date timestamp, it is the responsibility of each participant to download the most current settlement statement. The posting date timestamp will be applied to the name of the compressed and un-compressed files for all statement and invoice files formats consistent with current naming conventions.

It is important to note the following tariff provisions:

- Section 11.29.8.1 states that it is the responsibility of each Scheduling Coordinator, CRR Holder, Black Start Generator, or Participating Transmission Owner to notify the ISO if it fails to receive a settlement statement on the date specified for publication.
- Sections 11.29.7.2, 11.29.7.4.7 and 11.29.8.6 state that each SC, CRR Holder, Black Start Generator, and Participating Transmission Owner must pay any net

[1] Please reference the *Settlements Interface Specification for Scheduling Coordinators* document for file naming conventions and content.

debit and must receive any net credit shown in an invoice or payment advice, whether or not there is any dispute regarding the amounts shown.

XML files provided via MRI constitute the standard publication mechanism of settlement statements and invoices for the ISO. The ISO makes available to participants statements and invoices in the form of CSV and PDF files and associated publication of files, regardless of type or format to SFTP for convenience purposes. Therefore, either post-midnight publication to SFTP or post-midnight publication of CSV or PDF files to MRI may not result in a dispute timeline extension. Even though the amounts reflected in CSV and PDF files are expected to be the same as the XML file, by default, the amounts reflected in the XML file are deemed financially binding.

All XML file components as well as optional CSV and PDF files for a given run number constitute a file set.

In the content that follows, all references to the application of the posting date timestamp refer to the compressed and un-compressed files formatted as XML, CSV, and PDF.

Timeline boundaries specified for dispute extension determination reflect Pacific Time zone.

3 Statement and Invoice Files Delayed Publication

If the ISO becomes aware that either the settlement statement or invoice file(s), or a combination of both, will not be published by 5:00 am on the scheduled publication date to either or both of the publication mechanisms (MRI or SFTP), the ISO will promptly provide an initial email communication to the Settlements User Group (SUG) email notifications list regarding the delayed publication.
Situations may exist where file sets are not available by 5:00 am on the scheduled publication date due to circumstances that arise during non-business hours. Whenever advance notification of delayed publication is not possible due to unforeseen circumstances, initial communication will be sent as soon as practicable. Subsequent communications and dispute timeline extensions for delayed publications will be determined as outlined below:

Type of Publication Contingency	Posting prior to Midnight on Scheduled Publication Date	Posting after 5:00 am the Following Business Day Onwards
File Type	Settlement Statement and/or Invoice	Settlement Statement only
Initial Email Communication Provided	***Publication Alert:*** Settlements User Group (SUG) email notifications list	***Publication Alert:*** Settlements User Group (SUG) email notifications list

Follow-up Email Communication Provided	**Publication Complete:** Settlements User Group (SUG) email notifications list	**Publication Complete:** Settlements User Group (SUG) email notifications list
Settlement Statement Dispute Time Line Change	No	Yes

To subscribe to the Settlements User Group (SUG) email notifications list, use the following link: https://www.caiso.com/market-operations/settlements/subscription-settlements

3.1 Posting Prior to Midnight on Scheduled Publication Date

In cases where one or more XML components of the settlement statements or invoices posted after the 5:00 am but prior to midnight on the scheduled publication date, the ISO will provide a follow-up communication to the Settlements User Group (SUG) email notifications list notifying participants that file publication is complete. Please see section 6 for additional information regarding Settlements User Group (SUG) email notifications list and ISO communications.

Such posting also does not extend the dispute timeline defined in the CAISO Payments Calendar.

3.2 Posting after 5:00 am the Following Business Day Onwards

In cases where one or more XML components of the settlement statements or invoices are posted after 5:00 am the following business day, the ISO will provide a follow-up communication to the Settlements User Group (SUG) email notifications list notifying participants that file publication is complete. Please see section 6 for additional information regarding Settlements User Group (SUG) email notifications list and ISO communications.

Posting after 5:00 am the following business day onwards will result in an extension of the dispute timeline defined in the CAISO Payments Calendar by the number of business days statement publication was delayed.

Example: If settlement statement is posted at 11:00 am the following business day after the scheduled publication, the dispute timeline is extended by 1 business day; if settlement statement is posted after 5:00 am on the second day after the scheduled publication date, the dispute timeline is extended by 2 business days, etc.

Posting delays after 5:00 am the following business day for invoices will be addressed separately per Tariff Section 11.29.10.5.

4 Reposting of Statement and Invoice Files

In cases where the settlement statements or invoices have been posted in accordance with the CAISO Payments Calendar and a subsequent error is detected in one or more XML components such that a reposting is required, ISO will promptly provide an initial email communication to the Settlements User Group (SUG) email notifications list regarding the publication issue.

In some cases, the ISO may be able to isolate posting errors to a specific statement or invoice file format (XML, CSV, or PDF), a publication medium (MRI or SFTP), a settlement statement component (SC Settlement file, SC Determinants file, or CISO Determinants file), or even to a specific SC or set of SCs. As a result, the ISO would only re-post the impacted statements or invoices with an updated posting date timestamp and include information which allows clear identification of those impacted statements or invoices.

Subsequent communications and dispute timeline extensions for reposting will be determined as outlined below:

Type of Publication Contingency	Reposting Prior to Midnight on Scheduled Publication Date	Reposting after 5:00 am the Following Business Day Onwards
File Type	Settlement Statement and/or Invoice	Settlement Statement only
Initial Email Communication Provided	***Reposting Alert:*** Settlements User Group (SUG) email notifications list	***Reposting Alert:*** Settlements User Group (SUG) email notifications list
Follow-up Email Communication Provided	***Reposting Complete:*** Settlements User Group (SUG) email notifications list	***Reposting Complete:*** Settlements User Group (SUG) email notifications list
Settlement Statement Dispute Time Line Change	No	Yes

4.1 Reposting Prior to Midnight on Scheduled Publication Date

In cases where of one or more XML components of the settlement statements or invoices are reposted prior to midnight on the scheduled publication date, the ISO will provide a follow-up communication to the Settlements User Group (SUG) email notifications list notifying participants that file publication is complete. Please see section 6 for additional information regarding Settlements User Group (SUG) email notifications list and ISO communications.

Such reposting does not extend the dispute timeline defined in the CAISO Payments Calendar.

4.2 Reposting after 5:00 am the Following Business Day Onwards

In cases where one or more XML components of the settlement statements or invoices are reposted after 5:00 am the following business day, the ISO will provide a follow-up communication to the Settlements User Group (SUG) email notifications list notifying participants that file publication is complete. Please see section 6 for additional information regarding Settlements User Group (SUG) email notifications list and ISO communications.

Reposting of one or more XML components after 5:00 am the following business day onwards will result in an extension of the dispute timeline defined in the CAISO Payments Calendar by the number of business days statement publication was delayed. Reposting to SFTP or reposting of CSV or PDF files to MRI exclusively may not result in a dispute timeline extension.

Example: If settlement statement is posted at 11:00 am the following business day after the scheduled publication, the dispute timeline is extended by 1 business day; if settlement statement is posted after 5:00 am on the second day after the scheduled publication date, the dispute timeline is extended by 2 business days, etc.

Posting delays after 5:00 am the following business day for invoices will be addressed separately per Tariff Section 11.29.10.5.

5 Withdrawing Posted Statement or Invoice Files

For ISO control purposes and file correction expediency, the standard protocol is to retain any erroneous files as posted on SFTP and MRI. Therefore, downloading statement or invoice files utilizing the file name with the latest posting date timestamp will ensure participants retrieve the correct statements or invoices for a given trading day.

The ISO will make a determination on a case by case basis if it is more appropriate to remove the erroneous statement or invoice files prior to posting the corrected files.

The posting date timestamp in the statement or invoice file name is critical in situations where the error occurs during the generation or posting processes and reposting occurs on the same business day. Since statement or invoice run numbers and version numbers are only incremented when a new calculation process is executed and published, the file names for both the erroneous and corrected Settlements Statements or invoices will be the same; without the posting date timestamp and/or removal of the erroneous files from the publication medium, it is impossible for participants to identify the correct statement or invoice file.

6 Baseline Communication Content

Emails sent via the Settlements User Group (SUG) email notifications list distribution[2] are official ISO communications and represent the fastest means by which participants can receive close to real time notification of issues or information.
Settlements User Group (SUG) communications will provide (at a minimum) the following information:

- Notification Type
  - Alert (initial notification)
  - Completion (follow-up notification)
- Type of posting issue
  - Delayed Publication
  - Reposting
- Applies to reposting: Trading day, invoice or statement type, run number, version number impacted
- File components and/or publication medium impacted
  - SC Settlement file, SC Determinants and/or CISO Determinants file
    - A file set includes XML and SC-requested file format (PDF and/or CSV)
  - SFTP and/or MRI
- Description of the issue
- Estimated time statement or invoice files will be made available
- Applies to reposting: statement or invoice files containing the error were withdrawn or remain posted on MRI/SFTP
- Time in which statement or invoice files were published and the relevant posting date timestamp, run number, and version number
- Whether or not a dispute extension applies
- Revised dispute submittal timeline, if applicable

[2] To subscribe to the Settlements User Group (SUG) email notifications list, use the following link: https://www.caiso.com/market-operations/settlements/subscription-settlements