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		Version No.	4.0
		Effective Date	11/1/07
Reporting Requirements for the CAISO and Other Operating Entities		Distribution Restriction: NONE	

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Purpose

Describes communications between the CAISO Control Rooms at Folsom and Alhambra, the Control Rooms of the Participating Transmission Owners (PTO), and the Control Rooms of other operating entities, during normal and emergency conditions.

This procedure does not address communications equipment and/or systems.


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1. Reports from PTOs, MSSs, UDCs, or SUDCs to the CAISO

1.1. Events/ Conditions Requiring Reports

The following provides guidance for the types of pertinent events or conditions that need to be reported to the CAISO:


Step	PTOs, MSSs, UDCs, and SUDCs Action
1	<p>Report events and conditions to the CAISO, including the following:</p> <ul style="list-style-type: none"> • Forced or unscheduled Outage of any facility or equipment in the jurisdiction of the CAISO. • Forced or unscheduled Outage of any facility or equipment that may affect the ability of the CAISO to safely and reliably operate the BA. • Early return of equipment/facilities. • Under-frequency and/or under-voltage Load Shedding events. • Remedial Action or Special Protection Scheme operation. • Major loss of load (100 MW or more at any voltage) whether CAISO jurisdictional facilities are involved or not (refer to CAISO Operating Procedure N-703). • Outages that significantly impact any major infrastructure component such that public comment is imminent (e.g., airports, air traffic control, railways, major bridges or other major transportation elements, shipping facilities, water or sewage treatment plants). • Severe weather conditions (e.g., rain, lightning, windstorms, salt storms). • Conditions that may affect the supply of natural gas to power plants (e.g., compressor failure, weather issues, pipe ruptures or other gas transportation constraints). • Fires actually affecting or threatening the reliability of the CAISO BA (see Attachment A). • Emergencies affecting power system operations or the general public (e.g., earthquakes, floods, severe weather, and civil unrest). • Bomb threats, terrorism or sabotage (real or threatened) of any kind. • Any state of emergency declared by any jurisdiction served by systems within, or which could affect, the CAISO Balancing Authority. • The activation or deactivation of any Emergency Operations Center by any Market Participant. • Any Site Emergency Event, Area Emergency Event, or General Emergency Event at a California Nuclear Generating Station, including inadequate availability of off-site power. • Events related in any way to the power system that may be considered newsworthy or subject to public or media comment.

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1.2. Reporting Process

The Market Participant should use the following timeline and details to communicate pertinent events to the CAISO:


Step	Market Participants Actions	
1	Submit initial reports as soon as practical without causing undue delay to restoration; but not longer than ten minutes from awareness.	
2	If...	Then...
	The CAISO Balancing Authority reliability is threatened,	Report immediately to the CAISO, regardless of in-progress restoration efforts.
3	Summarize information by separating fact from speculation.	
4	Submit subsequent follow-up reports when significant information is known or at 30-minute intervals, whichever occurs first, or more often as requested by the CAISO.	
5	Include the following in the report: <ul style="list-style-type: none"> • Equipment affected • Location • Estimated time of arrival of personnel or equipment at the scene • Estimated time of restoration • Estimated time of the next report 	

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1.3. Reporting Channels

NOTE: If one of the CAISO Control Rooms is unavailable, all reports should be directed to the remaining CAISO Control Room. The CAISO will, when possible, advise the Transmission Area Control Centers (TACCs) that operations have been transferred to one CAISO Control Room and the other is unavailable.

Step	PTOs, MSSs, UDCs, and SUDCs Actions	
1	If... An event affects the 230 kV and lower voltages of the SCE or SDG&E Transmission Areas (not including interconnections),	Then... Report through your respective TACCs to the CAISO Transmission Dispatchers at Alhambra.
	An event affects an interconnection, or affects transmission <u>other than</u> 230 kV and lower voltages in the SCE and SDG&E transmission areas,	Report through your respective TACCs to the CAISO Transmission Dispatchers at Folsom.
Step	Non-Participating Generators/Transmission Owners Actions	
2	Report through your respective TACCs to the CAISO Transmission Dispatchers.	
3	If... Unable to communicate with your respective TACC,	Then... Report directly to either CAISO Control Room.
Step	Generating Stations Actions	
4	Report through your respective Scheduling Coordinator (SC) to the CAISO Generation Dispatcher in the Folsom Control Room for real-time updates.	
5	If... Unable to communicate through your respective Scheduling Coordinator,	Then... Communicate directly with the Generation Dispatcher in the CAISO Folsom Control Room,
	Unable to communicate directly with the CAISO,	Communicate through your respective TACC.
Step	RMR Generating Stations Action	
6	Report through your respective SC to the Alhambra Generation Dispatcher for real time updates.	

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Step	Gas Transmission Service Providers Actions
7	Report to the Director of Grid Operations or his/her assistant for day/ahead concerns.
8	Report to the Folsom Generation Dispatcher or the Alhambra Generation Dispatcher for real time updates.

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2. Reports from the CAISO to Market Participants

- 2.1. **Event/ Conditions Requiring Reports** The CAISO should report the following events and issues to affected Market Participants and to appropriate CAISO Divisions, Departments, and personnel:

Step	CAISO Action
1	<ul style="list-style-type: none"> • Forced or unscheduled Outage of any facility or equipment in the jurisdiction of the CAISO • Forced or unscheduled Outage of any facility or equipment that affects the ability of the CAISO to operate the CAISO Balancing Authority safely and reliably. • Early return of equipment or facilities. • Under-frequency and/or under-voltage load shedding. • Remedial Action or Special Protection Scheme operation. • Weather conditions (e.g., rain, lightning, windstorms and salt storms) affecting or threatening the reliability of the CAISO Balancing Authority. • Fires actually affecting or threatening the reliability of the CAISO Balancing Authority (see Attachment A). • Emergencies affecting or threatening the reliability of the CAISO Balancing Authority or the general public (e.g., earthquakes, floods, and civil unrest). • Bomb threats, terrorism, or sabotage (real or threatened) of any kind affecting or threatening the reliability of the CAISO Balancing Authority. • The activation or deactivation of the CAISO Emergency Operations Center. • Any Site Emergency Event, Area Emergency Event, or General Emergency Event at a California Nuclear Generating Station, including inadequate availability of off-site power. • Implementation of any emergency portion of the CAISO Emergency Electrical Plan. • Natural gas supply problems or transportation constraints.

- 2.2. **Reporting Process** The CAISO should perform the following process to communicate an event or condition:


Step	CAISO Action
1	<p>Report information to the affected Market Participants and to appropriate personnel within the CAISO as soon as practical without causing undue adverse impact on Balancing Authority reliability or delays to restoration.</p>

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2.3. Reporting Requirements

Reporting parties should take the following actions:

Step	CAISO Folsom Transmission Dispatcher Actions	
1	Report to the PTOs, UDCs, and SUDCs through their respective TACCs.	
2	Report gas supply problems or transportation constraints to the respective Gas Transmission Service Provider.	
3	Report any events not affecting the 230 kV and lower voltages of the SCE and/or SDG&E Transmission Areas.	
4	Report any interconnection events.	
5	Report to non-participating generators/transmission owners through their respective TACCs.	
6	If... The CAISO is unable to communicate with a TACC,	Then... Contact the non-participating generator/transmission owner directly.
Step	CAISO Alhambra Transmission Dispatcher Action	
7	Report any events affecting the 230 kV and lower voltages of the SCE and/or SDG&E Transmission Areas not including interconnections.	
8	Report gas supply problems or transportation constraints for SP15 to the respective Gas Transmission Service Provider.	
Step	CAISO Folsom Generation Dispatcher Actions	
7	Report to generating stations through their respective Scheduling Coordinators.	
8	If... Unable to communicate through the respective SC,	Then... Communicate directly with the generating station.
	Unable to communicate directly with the generating station,	Communicate through the respective TACC.
Step	CAISO Control Rooms (both) Actions	
9	Keep appropriate personnel in the other CAISO Control Room apprised of events and conditions that affect the operations of the other Control Room.	
10	If... Either CAISO Control Room is unavailable,	Then... Issue all reports from the remaining CAISO Control Room and advise TACCs of the Control Room that operations have been transferred to.
11	Communicate all available information affecting the reliability of the California Sub-region to the California/Mexico Reliability Coordinator.	


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Supporting Information

- Affected Parties**
- Participating Transmission Owners
 - Other operating entities within the CAISO Balancing Authority
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Responsibilities

Market Participant personnel and other operating entities within the CAISO Balancing Authority	Report to the CAISO Control Center any event or condition that may affect the safe and reliable operation of the CAISO Balancing Authority.
CAISO Control Center personnel	<p>Report to internal and external Affected Parties any event or condition that may affect the safe and reliable operation of the CAISO Balancing Authority or any part thereof. These reports must be timely to allow for appropriate response.</p> <p>Internal Reports</p> <ul style="list-style-type: none"> • Assure that all Alhambra and Folsom CAISO Control Room personnel are aware of any situation affecting their operations in any way. • Assure that the California/Mexico Reliability Coordinator is aware of circumstances affecting the reliability of the Balancing Authority. • Assure the timely communication of appropriate information to CAISO personnel of other departments and divisions. • Report to the CAISO Emergency Operations Center when activated. <p>External Reports</p> <ul style="list-style-type: none"> • Report to Market Participants and other operating entities events and conditions affecting the reliability of their operations.

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References

• CAISO Operating Procedure	E-507, Emergency Response Team
• CAISO Operating Procedure	E-508, Electrical Emergency Plan
• CAISO Operating Procedure	G-200, Procedures for Generating Stations
• CAISO Operating Procedure	N-703, Event Reporting and Emergency Notification
• WECC Minimum Operating Reliability Criteria – Section 4	


Policy

Communication and reporting requirements will be in effect at all times. Whenever practical, routine and emergency communications will follow the same procedures and channels so as to avoid any confusion that may otherwise occur during the dynamic transition to emergency operations.

Reasonable effort will be taken to assure that reports are accurate. However, those efforts should not delay communication of critical information. The CAISO will make initial reports to the affected parties as soon as possible after becoming aware of the reportable circumstance or condition. Initial reports should include terms such as "unconfirmed" or "preliminary" to indicate the level of confidence in the information contained in the report. It is understood that initial or preliminary reports may be incomplete or inaccurate, and that information may change, as more facts become known. This underscores the need for prompt and frequent updates.

Information pertaining to conditions or events that affect safe and reliable operations must be promptly shared with the other Affected Parties. Whenever practical this communication will be by direct voice communication. When there is doubt whether communication is required, it is better to over-communicate than to under-communicate.

When communication is made by methods other than direct voice communication it will be confirmed later by verbal confirmation, as appropriate. For example if an e-mail or FAX transmittal is used to send a report or specifically formatted message, a telephone conversation will be made to confirm receipt of the information in a timely manner.

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

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

PTO	Participating Transmission Owner
SC	Scheduling Coordinator.
SUDC	Small Utility Distribution Company, annual peak is less than 25 MW and is not in a local reliability area.
(TACC) Transmission Area Control Centers	PTO Grid Control Centers/Transmission Operations Centers
UDC	Utility Distribution Company

Version History

Version	Change	By	Date
1.0	Drafted		2/10/98
1.1	Annual Review, re-formatted		4/11/02
1.2	Annual Review, minor changes		9/8/03
1.3	Annual review, minor additions to 1.1, 1.2 & 2.1.		12/13/04
1.4	Added SUDCs and formatted		4/28/05
2.0	Removed SUDCs – not ready for the new term		5/04/05
3.0	Unknown		2/17/06
4.0	Added requirements for natural gas reporting		11/1/07

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Technical Review

Reviewed By Content Expert	Signature	Date
Operations Support		
Regional Transmission		
Grid Ops		
Market Ops		
Scheduling		

Approval

Approved By	Signature	Date
Director of Operations Support		
Director of Grid Operations		

Appendix

Attachment A: [CAISO Fire Reporting Guidelines](#)
