

California Independent System Operator Corporation  
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## **22. Miscellaneous**

### **22.1 Audits**

#### **22.1.1 Materials Subject to Audit**

The CAISO's financial books, cost statements, accounting records and all documentation pertaining to its operation as a state chartered independent institution which controls the operation of the CAISO Controlled Grid to ensure open, non-discriminatory transmission access to all Market Participants and promotes the efficient use and reliable operation of the CAISO Controlled Grid in accordance with this CAISO Tariff, are subject to audit in the manner prescribed below:

#### **22.1.2 CAISO Audit Committee**

The CAISO Governing Board shall have overall audit responsibility for the CAISO. The CAISO Audit Committee shall make recommendations to the CAISO Governing Board in relation to the approval, initiation and scheduling of the following audits:

##### **22.1.2.1 Certified Financial Statement Audit**

Each year, an audit by an external independent certified public accounting firm shall be performed. This audit will be conducted in accordance with generally accepted auditing standards to verify that the CAISO's financial statements are in compliance with generally accepted accounting principles and fairly present, in all material respects, the financial position, results of operation and cash flows for the audit period. The audit report will be addressed to the CAISO Governing Board, copies will be provided to the CAISO Audit Committee, and, upon request, to Market Participants.

##### **22.1.2.2 Review of Compliance with Operations Policies and Procedures**

Each year, an independent review shall be conducted of the CAISO management's compliance with its operations policies and procedures. The CAISO Audit Committee will appoint an independent party to perform this review. This review may also include material issues raised by Market Participants and approved by the CAISO Audit Committee for inclusion in the review. The report will be addressed to the CAISO Governing Board, copies provided to the CAISO Audit Committee, and upon request, to Market Participants.

##### **22.1.2.3 Code of Conduct Audits**

On a periodic basis, but not less than once a year, an independent accounting firm shall conduct a

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management review of governors, officers, employees, substantially full-time consultants, or contractors of the CAISO for compliance with the CAISO Code of Conduct to ensure adherence to the highest standards of lawful and ethical conduct in their activities. The audit report shall be addressed to the CAISO Audit Committee with copies provided to the CAISO Governing Board and, upon request, to Market Participants.

**22.1.2.4 Interim Audits**

At such other intervals agreed upon by a majority of the CAISO Audit Committee members, audits may be undertaken for specific issues and concerns of Market Participants that the CAISO Audit Committee believes, at its sole discretion, to be of significant and critical magnitude to the CAISO. Such audits will be conducted by an independent accounting firm. The costs of such an audit will be borne by the requesting Market Participant(s), unless the CAISO Audit Committee determines otherwise. Interim audits will be conducted during normal business hours, after reasonable notice has been given to the CAISO, and in accordance with the guidelines to be established by the CAISO Audit Committee.

**22.1.3 Audit Results**

Exceptions identified as a result of an audit will be reviewed with the CAISO Audit Committee. The results of the audits and actions to be taken by the CAISO as a result of the audit shall be made available to Market Participants upon request.

**22.1.4 Availability of Records**

The CAISO will provide full and complete access to all financial books, cost statements, accounting records, and all documentation pertaining to the requirements of the specific audits being performed. Records relating to audits will be retained until the records retention requirements of the CAISO are satisfied or until the audit issues are fully resolved, whichever is the later. The right of access to records does not require the creation of new records, reports, studies, or evaluations not already available.

**22.1.5 Confidentiality of Information**

All proprietary information obtained through any audits will remain strictly confidential. All auditors shall sign a confidentiality agreement prior to being accepted as auditors by the CAISO Audit Committee.

**22.1.6 Payments**

Any payments agreed to between Market Participants and the CAISO as a result of an audit, or directed

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by FERC, or disclosed by the CAISO in reviews of its own books and records shall include Interest computed at the rate calculated in accordance with the methodology specified for interest on refunds in FERC's regulations at 18 C.F.R. § 35.19a(a)(2)(iii) (as amended from time to time) from the due date to the date such adjustments are due.

## **22.2 Assignment**

Obligations and liabilities under this CAISO Tariff and any Scheduling Coordinator Agreement or other agreements giving contractual effect to this CAISO Tariff shall be binding on the successors and assigns of the parties to such agreements. No assignment of any Scheduling Coordinator Agreement or other agreements giving contractual effect to this CAISO Tariff shall relieve the original party from its obligations or liabilities to the CAISO under this CAISO Tariff or any such agreement arising or accruing due prior to the date of assignment.

## **22.3 Term and Termination**

### **22.3.1 Effective Date of CAISO Tariff**

This CAISO Tariff shall become effective on the date it is permitted to become effective by the FERC.

### **22.3.2 Termination of CAISO Tariff with Board and FERC Approval**

This CAISO Tariff shall terminate upon approval of termination by the CAISO Governing Board in accordance with the bylaws of the CAISO and receipt of any necessary regulatory approval from FERC.

## **22.4 Notice**

### **22.4.1 Effectiveness**

Any notice, demand, or request in accordance with this CAISO Tariff, unless otherwise provided in this CAISO Tariff, shall be in writing and shall be deemed properly served, given, or made: (a) upon delivery if delivered in person, (b) five (5) days after deposit in the mail if sent by first class United States mail, postage prepaid, (c) upon receipt of confirmation by return facsimile if sent by facsimile, (d) upon receipt of confirmation by return e-mail if sent by e-mail, or (e) upon delivery if delivered by prepaid commercial courier service.

### **22.4.2 Addresses**

Notices to the CAISO shall be sent to such address as shall be notified by the CAISO to Market Participants from time to time. Notices issued by the CAISO to any Scheduling Coordinator shall be

delivered to the address of the representative designated to receive notices for the Scheduling Coordinator included in the Scheduling Coordinator Agreement. Notices to any Market Participant other than a Scheduling Coordinator shall be delivered by the CAISO to the address given to it by the Market Participant. The CAISO and any Market Participant may at any time change their address for notice by notifying the other party in writing.

#### **22.4.3 Notice of Changes in Operating Procedures and BPMs**

The CAISO will issue notice of any changes to any Operating Procedure or proposed changes to any Business Practice Manual. The effective date of any change or proposed change in any Business Practice Manual shall be established as part of the change management process set forth in Section 22.11 but will be no earlier than at least thirty (30) days from the date of publication of a Market Notice describing the change or proposed change, unless: (1) a different notice period is specified by state or federal law, (2) the change falls within Category A of Section 22.11.4(a) in which case the provisions of that section shall apply; (3) the change is reasonably required to address an emergency affecting the CAISO Controlled Grid or its operations, or (4) the change is to a provision of a Business Practice Manual that is necessitated by emergency circumstances specific to that Business Practice Manual. Such circumstances include, but are not limited to, any change necessary to ensure that the Business Practice Manual is consistent with the CAISO Tariff or any applicable law, regulation, NERC or WECC operating policies, guidelines and standards, or FERC order, in which case the CAISO shall give Market Participants as much notice as is reasonably practicable. Any notices issued under this provision shall be issued in accordance with the procedures set out in Section 22.11.

#### **22.5 Waiver**

Any waiver at any time by the CAISO or any Market Participant of its rights with respect to any default under this CAISO Tariff, or with respect to any other matter arising in connection with this CAISO Tariff, shall not constitute or be deemed a waiver with respect to any subsequent default or other matter arising in connection with this CAISO Tariff. Any delay short of the statutory period of limitations in asserting or enforcing any right shall not constitute or be deemed a waiver.

#### **22.6 Staffing and Training to Meet Obligations**

The CAISO shall engage sufficient staff to perform its obligations under this CAISO Tariff in a satisfactory

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manner consistent with Good Utility Practice. The CAISO shall make its own arrangements for the engagement of all staff and labor necessary to perform its obligations hereunder and for their payment. The CAISO shall employ (or cause to be employed) only persons who are appropriately qualified, skilled and experienced in their respective trades or occupations. CAISO employees and contractors shall abide by the CAISO Code of Conduct for employees.

**22.7 Accounts and Reports**

The CAISO shall notify Market Participants of any significant change in the accounting treatment or methodology of any costs or any change in the accounting procedures, which is expected to result in a significant cost increase to any Market Participant. Such notice shall be given at the earliest possible time, but no later than, sixty (60) days before implementation of such change.

**22.8 Applicable Law and Forum**

This CAISO Tariff shall be governed by and construed in accordance with the laws of the State of California, except its conflict of laws provisions. Market Participants irrevocably consent that any legal action or proceeding arising under or relating to this CAISO Tariff to which the CAISO ADR Procedures do not apply, shall be brought in any court of the State of California or any federal court of the United States of America located in the State of California. Market Participants irrevocably waive any objection that they may have now or in the future to said courts in the State of California as the proper and exclusive forum for any legal action or proceeding arising under or related to this CAISO Tariff.

**22.9 Consistency with Federal Laws and Regulations**

- (a) Nothing in the CAISO Tariff shall compel any person or federal entity to: (1) violate federal statutes or regulations; or (2) in the case of a federal agency, to exceed its statutory authority, as defined by any applicable federal statutes, regulations, or orders lawfully promulgated thereunder. If any provision of this CAISO Tariff is inconsistent with any obligation imposed on any person or federal entity by federal law or regulation to that extent, it shall be inapplicable to that person or federal entity. No person or federal entity shall incur any liability by failing to comply with a CAISO Tariff provision that is inapplicable to it by reason of being inconsistent with any federal statutes, regulations, or orders lawfully promulgated thereunder; provided, however, that such person or federal

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entity shall use its best efforts to comply with the CAISO Tariff to the extent that applicable federal laws, regulations, and orders lawfully promulgated thereunder permit it to do so.

- (b) [Not Used]
- (c) To the extent that the CAISO suffers any loss as a result of being unable to enforce any indemnity as a result of such enforcement being in violation of federal laws or regulations to which it is entitled under the CAISO Tariff under this Section or otherwise, it shall be entitled to recover such loss through the Grid Management Charge.

#### **22.10 Administrative Fees**

The CAISO may charge a Scheduling Coordinator requesting archived copies of its Settlement Statements or Invoices an administrative fee for providing copies of the Settlement Statements or Invoices. The administrative fee for each request shall be \$200 per Settlement Statement or Invoice for the first two copies and \$50 for each additional copy.

#### **22.11 Operating Procedures and BPM Development and Amendment**

The CAISO shall prepare, maintain, promulgate and update the Operating Procedures and Business Practice Manuals. The Operating Procedures and Business Practice Manuals shall be consistent with the CAISO Tariff, and any NERC or WECC operating policies, guidelines and standards, and shall be available on the CAISO Website, provided that the CAISO shall not make available on the CAISO Website any portions of CAISO Operating Procedures that are confidential. The CAISO shall establish a stakeholder process as set forth in Section 22.11.1 and in a Business Practice Manual for BPM change management in order to ensure that all affected parties have an opportunity to comment on and shape the proposed nature of any proposed changes to any Business Practice Manual. Under that process, the CAISO and stakeholders shall consider whether any amendments to the CAISO Tariff are necessary in order to ensure the consistency of the CAISO Tariff and the Business Practice Manuals.

##### **22.11.1 Process for Revisions of Business Practice Manuals**

Revisions of Business Practice Manuals shall be made in accordance with the process set forth in this Section 22.11.1, provided that the details and procedures for submittal and consideration of a BPM Proposed Revision Request (PRR) and other elements of the BPM change management process shall be

set forth in a separate Business Practice Manual for BPM change management.

#### **22.11.1.1 BPM Proposed Revision Request Submittal**

A request to make any change to a BPM, including any attachments thereto that are incorporated by reference, and any changes to the BPM PRR must be initiated through a submittal of a BPM PRR, except as provided in Section 22.4.3 or 22.11.1.2.

The following entities may submit a BPM PRR:

- (1) Any Market Participant;
- (2) Local Regulatory Authority;
- (3) CAISO management; and
- (4) Any other entity that meets the following qualifications:
  - (a) The entity must represent a Market Participant in dealings with the CAISO or operate in the CAISO Markets, and
  - (b) The entity must demonstrate that the entity (or those it represents) is affected by the subject section(s) of the BPM.

BPM PRRs shall be submitted electronically to the CAISO in the form and manner described in the Business Practice Manual for BPM change management. The BPM PRR shall include a description of the requested revision, the reason for the suggested change, the impacts and benefits of the suggested change (including any impact on the CAISO Market structure, CAISO operations and Market Participants, to the extent the submitter may know this information), a list of affected BPM sections and subsections, general administrative information, suggested language for the requested revision, and for BPM PRRs submitted by CAISO management, a BPM PRR impact analysis.

#### **22.11.1.2 BPM Proposed Revision Request Processing**

The CAISO shall review the BPM PRR for completeness and shall notify the submitter if the BPM PRR is incomplete, including the reasons for its determination, based upon the timelines provided in the BPM for BPM change management. An incomplete BPM PRR shall not receive further consideration until it is completed. In order to pursue the revision requested, a submitter must submit a completed version of the BPM PRR with the deficiencies corrected. If a submitted BPM PRR is complete or once a BPM PRR is corrected, the CAISO shall post the completed or corrected BPM PRR to the CAISO Website and publish



a Market Notice of such posting.

#### **22.11.1.3 BPM PRR Coordinator**

The consideration and disposition of BPM PRRs shall be led by a BPM change management coordinator. The BPM change management coordinator shall be an identified employee of the CAISO with responsibility for ensuring that BPM PRRs are processed and reviewed in accordance with the provisions of the Business Practice Manual for BPM change management. The BPM change management coordinator shall also be responsible for submitting a report to the CAISO Governing Board at each regularly scheduled CAISO Governing Board meeting that includes (1) the status of pending BPM PRRs, (2) a summary of proposed revisions that have been accepted, and (3) a summary of proposed revisions that have been rejected and the reason(s) that the proposed revisions have been rejected, including the positions of stakeholders, and any decision on appeal as provided in Section 22.11.1.6.

#### **22.11.1.4 Types and Treatments of BPM PRRs**

Each BPM PRR shall be preliminarily classified by the BPM change management coordinator as either a Category A revision or a Category B or C revision. After further consultation with internal CAISO business units, the submitter (if not the CAISO), and representatives from potentially affected stakeholders in the BPM PRR review process, the BPM change management coordinator may reclassify the BPM PRR as appropriate. Types of BPM PRRs include:

- (a) Category A – Clarifications or existing BPM language, grammatical errors, and revisions with minor significance.

In the event the CAISO receives no comments or no adverse comments within the specified time frame, the CAISO may incorporate the proposed changes into the BPM, if reasonably acceptable to the CAISO, before the next BPM change management meeting. These changes may be placed into effect at any time after the comment period expires.

- (b) Category B – Revisions of substantial significance or revisions that require changes to CAISO or Market Participant's systems.

For proposals falling in this category, the CAISO will, unless urgent or emergency circumstances exist, delay implementation until after the next regularly scheduled BPM change management meeting even if no comments or no adverse comments are received. In the case of a proposed change affecting the

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CAISO's systems, the CAISO will prepare a BPM PRR impact analysis, if not already prepared, in accordance with the procedures set forth in the Business Practice Manual. The CAISO shall post the completed BPM PRR impact analysis to the CAISO Website and publish a Market Notice of such posting. Comments may be filed concerning the BPM PRR impact analysis. The comments must be delivered electronically to the CAISO within ten (10) Business Days or otherwise as specified in a Market Notice. Comments shall be posted to the CAISO Website.

- (c) Category C – Revisions implementing significant new CAISO policies and/or potentially requiring revisions to the CAISO Tariff.

Proposed revisions implementing significant new CAISO policies may have implications outside the scope of a proposed change to a BPM and may require alternative treatment. For proposals falling in this category, the CAISO will, unless urgent or emergency circumstances exist, delay implementation until after the next regularly scheduled BPM change management meeting. If the CAISO concludes that a Category C BPM PRR cannot be implemented without an amendment to the CAISO Tariff, the CAISO will provide a written explanation and indicate its support for or opposition to the need or appropriateness of a tariff amendment. The written explanation shall also indicate a lead department or business unit within the CAISO that would have responsibility for leading any stakeholder process necessary for the tariff amendment.

#### **22.11.1.5 BPM PRR Review and Action**

Any interested stakeholder or CAISO management may comment on a posted BPM PRR in accordance with the process set forth in the Business Practice Manual for BPM change management. To receive consideration, comments must be delivered electronically to the CAISO within ten (10) Business Days, or within any shorter period determined to be necessary or appropriate pursuant to the provisions of either Sections 22.11.1.7 or 22.11.1.8. Comments shall be posted to the CAISO Website and BPM PRRs shall be considered by the CAISO at a regularly established monthly public meeting or specially-noticed meeting dedicated to that purpose. Following any meeting to consider pending BPM PRRs and subject to the standards set forth in Section 22.11.1.4, the BPM change management coordinator shall issue a recommendation for action on each pending BPM PRR and shall publish for public comment a report on the recommendation in accordance with the procedures set forth in the Business Practice Manual for

BPM change management. The report shall be sufficiently detailed and shall be published in a timeframe that allows interested stakeholders a meaningful opportunity to provide written comment. The BPM change management coordinator shall publish a final decision on any BPM PRR after considering stakeholder comments and all relevant impacts on their business needs and after the PRR recommendation report and comments concerning it have been discussed at a BPM change management meeting, in accordance with procedures set forth in the Business Practice Manual for BPM change management.

#### **22.11.1.6 Right to Appeal to CAISO**

Any entity eligible to submit a BPM PRR under Section 22.11.1.1 may, within ten (10) Business Days, appeal in writing the outcome of any BPM PRR to a committee comprising at least three CAISO executives established in accordance with procedures set forth in the Business Practice Manual for BPM change management. The CAISO will establish a standing meeting time for the BPM appeals committee to be used if needed and will establish the composition of the BPM appeals committee, including alternates in the case of schedule or other conflicts. Standing meeting dates and the BPM appeals committee composition will be established at least three months in advance. The CAISO may change the meeting time with ten (10) Business Days notice if required to accommodate schedules of the members of the BPM appeals committee. The executive sponsor of a BPM PRR may not sit in review of any appeal of a final decision regarding that same BPM PRR but may participate in and be present during the public discussion of any appeal. The CAISO committee will review the appeal and publish its decision to the appealing party and to the CAISO Website. If not satisfied with the decision on appeal, the appellant may raise concerns it may have with the CAISO Governing Board at the next regularly scheduled board meeting through the public comment period or through prior letter to the CAISO Governing Board.

#### **22.11.1.7 CAISO Expedited Action in Emergency Circumstances**

Notwithstanding the provisions of Section 22.11.1.1, the CAISO may take expedited action to change or clarify a provision of a BPM under emergency circumstances. In addition to the circumstances identified in Section 22.4.3, emergency circumstances exist whenever the CAISO determines in good faith that (i) failure to implement a change or clarification to a BPM on an expedited basis would substantially and adversely affect System Reliability or security or the competitiveness of the CAISO Markets, and (ii) there

is insufficient time to comply with the BPM PRR procedures set forth in Section 22.11.1. The CAISO shall take reasonable steps to communicate with Market Participants and any other directly-affected entities prior to taking expedited action if practicable. If the CAISO takes expedited action to change or clarify a provision of a BPM in emergency circumstances, the CAISO shall promptly issue a Market Notice and submit a BPM PRR to examine the necessity of the change and its impacts.

#### **22.11.1.8 Urgent Requests by Entities for BPM Revisions**

An entity submitting a BPM PRR may request that the BPM PRR be considered on an urgent basis and may be required to show reasonable necessity for such an urgent request. The BPM change management coordinator may designate a BPM PRR for urgent consideration if the BPM change management coordinator determines that such BPM PRR (1) requires immediate attention due to (i) serious concerns about CAISO System Reliability or market operations under the unmodified language or (ii) the crucial nature of Settlement activity conducted pursuant to any Settlement formula, and (2) is of a nature that allows for rapid implementation without negative consequences to the reliability and integrity of the CAISO's system or market operations. The BPM change management coordinator shall consider the urgent BPM PRR at its next regularly scheduled meeting, or at a special meeting called by the BPM change management coordinator to consider the urgent BPM PRR. Any revisions to a BPM that take effect pursuant to an urgent BPM PRR shall be subject to a BPM PRR impact analysis.

#### **22.11.2 Changes to BPM for BPM Change Management**

Any changes to the Business Practice Manual for BPM change management shall require CAISO Governing Board approval.

#### **22.11.3 Requests for and Access to Nonpublic Operating Procedures**

Non-public Operating Procedures contain information that is either market sensitive, system security sensitive, or proprietary to third parties. The CAISO may limit access to these non-public Operating Procedures. Subject to agreed upon controls, the CAISO will make non-public CAISO Operating Procedures or portions thereof available to entities that are operationally affected by implementation of the Operating Procedure or any proposed changes to the Operating Procedure. Such controls may include execution of a nondisclosure agreement or other measures to limit access, disclosure and use of

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any non-public information. Subject to agreed upon controls, the CAISO will provide access to employees or representatives acting as agents of the requesting entity. For purposes of this tariff section an entity is "operationally affected" if (1) the entity is a party to the Transmission Control Agreement, a neighboring Balancing Authority or a Market Participant and (2) the Operating Procedure, if implemented, would require a change outside of the CAISO Markets in the operation of that entity's facilities that are part of or interconnected to the CAISO Controlled Grid. An entity that may merely be affected economically or financially by implementation or revision of a non-public Operating Procedure or portion thereof is not entitled to access to that Operating Procedure or portion thereof pursuant to this Section 22.11.3.

Any entity that believes it is operationally affected by a non-public CAISO Operating Procedure may seek access to that Operating Procedure by providing a written request to the CAISO. Any such request must identify the specific Operating Procedure to which the entity seeks access, the name and position of the employees and representatives of the entity that seek to review the non-public Operating Procedure, a representation that each employee or representative needs to review the non-public Operating Procedure or portion thereof to perform their employment responsibilities and a representation that each employee or representative does not perform a market function on behalf of the requesting entity. The CAISO shall respond in writing to a request for access to a non-public Operating Procedure or portion thereof within ten (10) Business Days after receipt of the request. The CAISO will state whether it will allow access to review the non-public Operating Procedure and under what set of proposed controls. The CAISO will determine whether to provide access to review the non-public Operating Procedure based on whether the entity is operationally affected as a result of implementation of the Operating Procedure or a portion thereof. If the CAISO determines that the entity is operationally affected by the Operating Procedure or portion thereof, the CAISO will, subject to agreed-upon controls, provide access to the non-public Operating Procedure within thirty (30) days of the entity's written request. If the CAISO determines that the entity is not operationally affected by the Operating Procedure or portion thereof, the CAISO will explain the reason for its determination in its written response. If the CAISO denies a request for access to a non-public Operating Procedure or portion thereof, the requesting entity shall have the right to invoke the CAISO ADR Procedures in Section 13.

**22.12 [Not Used]**

**22.13 Scheduling Responsibilities and Obligations**

Nothing in this CAISO Tariff is intended to permit or require the violation of federal or California law concerning hydro-generation and Dispatch, including but not limited to fish release requirements, minimum and maximum dam reservoir levels for flood control purposes, and in-stream flow levels. In carrying out its functions, the CAISO will comply with and will have the necessary authority to give instructions to Participating TOs and Market Participants to enable it to comply with requirements of environmental legislation and environmental agencies having authority over the CAISO in relation to Environmental Dispatch and will expect that submitted Bids, including Self-Schedules will support compliance with the requirements of environmental legislation and environmental agencies having authority over Generators in relation to Environmental Dispatch.