

**Appendix J: Scheduling Coordinator Application & Certification**  
**July 6, 2000 RTO West Draft**

**APPENDIX J: SCHEDULING COORDINATOR  
APPLICATION AND CERTIFICATION**

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**J.1 SCHEDULING COORDINATORS' ROLES AND RESPONSIBILITIES**

**J.1.1 SC Access To Transmission Service**

Transmission Services are provided to Scheduling Coordinators ("SC") pursuant to the applicable terms and conditions of the RTO WEST Tariff. Energy and Ancillary Services to serve an Eligible Customer must be scheduled by an SC. Each metering point used for settlement may be represented by only one SC. RTO WEST will maintain a business relationship with the SC, not the other Eligible Customers for transmission. Billing for Transmission, Ancillary Services, and Energy Imbalance shall be between the SC and RTO WEST.

**J.1.2 Qualifications To Be an SC**

RTO WEST will accept balanced schedules for Resources serving load within the RTO WEST GRID, schedules for wheeling out/wheeling through, and schedules for Ancillary Services only from SCs which have been certified as such by RTO WEST. Each SC shall:

- a) Demonstrate to RTO WEST's reasonable satisfaction that it is capable of performing the functions of an SC under the RTO WEST Tariff and that it is capable of complying with the requirements of the RTO WEST Tariff;
- b) Identify each of the entities (including itself if it trades on its own account) it represents and confirm that each entity is an Eligible Customer;

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- c) Demonstrate to RTO WEST's reasonable satisfaction that the financial security criteria are being met; and
- d) Confirm that metering requirements defined in Appendix H and RTO WEST protocol 6 are being met in relation to each of the entities it represents.

**J.1.3 SC Responsibilities:**

Each SC shall be responsible for performing the duties specified below.

a) Scheduling

- (i) In the Day-Ahead Scheduling Process and the subsequent Schedule Adjustment Process and in accordance with Appendix B, submit and revise schedules for: non-Dispatchable Demands which the SC represents, Dispatchable Demands which the SC represents, Generators which the SC represents, imports into the RTO WEST Grid for which the SC is responsible, exports out of the RTO WEST Grid for which the SC is responsible, deliveries to or from other SCs within the RTO WEST Grid, and uses of the RTO WEST Grid under those Pre-Existing Contracts for which the SC is responsible
- (ii) In the Day-Ahead Scheduling Process and the subsequent Schedule Adjustment Process, ensure that the aggregate of the SC's schedules

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constitutes a Balanced Schedule, in accordance with Appendix B <sup>1</sup>

- (iii) Submit schedules, in the Day-Ahead Scheduling Process and the subsequent Schedule Adjustment Process, for those Ancillary Services that are self-provided by the SC, in accordance with Appendices B and D
  - (iv) Submit bids and schedules, in the Day-Ahead Scheduling Process and the subsequent Schedule Adjustment Process, for those Ancillary Services which the SC will offer to RTO WEST's Ancillary Services acquisition processes in its role as provider of last resort, in accordance with Appendices B and D
  - (v) Possess, acquire and schedule those transmission rights across the defined set of Flowgate Interfaces that are necessary to support the SC's Balanced Schedules, in accordance with Appendices A and B.
- (b) Grid Operation
- (i) Coordinate and allocate curtailments and interruptions in Loads which the SC represents,

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<sup>1</sup> Note: "Balanced Schedule" is a defined term in both Appendix B and in the Definitions. A Balanced Schedule is one for which, for every Trading Period (i.e., every hour), the algebraic sum of an SC's zonal injections (generation and imports), zonal withdrawals (loads, exports and deemed losses) and trades within RTO West (to and from other SCs operating within the boundaries of RTO West) sums to zero and that the SC has the required transmission rights across defined Flowgates (congested paths and export points).

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- in accordance with RTO WEST Dispatch Instructions issued pursuant to Appendix C
- (ii) Alter the SC's schedules in accordance with Appendices A and B and in accordance with RTO WEST Dispatch Instructions issued pursuant to Appendix C
  - (iii) Direct the response of those Ancillary Service resources, Generating Units and Dispatchable Demands for which the SC is responsible, in accordance with RTO WEST Dispatch Instructions and in accordance with Appendices C and D
  - (iv) Provide real-time information to RTO WEST and the CAOs in accordance with Appendix C.
- (c) Planning and Outage Coordination
- (i) Submit Demand and resource forecasts to RTO WEST in accordance with Appendix F
  - (ii) Submit maintenance outage schedules to RTO WEST for all Generators which the SC represents, in accordance with Appendix F.
- (d) Settlements and Market Monitoring
- (i) Participate in the settlements process on behalf of all resources and demands which the SC represents, by providing metered data and load profiled data to RTO WEST and RTO WEST's

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designated settlement agent(s)<sup>2</sup> in accordance with Appendix G

(ii) Settle with RTO WEST for all charges incurred under the RTO WEST Tariff, in accordance with Appendix G

(iii) Maintain those records that are required by RTO WEST, and provide to RTO WEST that information which is required, in accordance with Appendices G, H and L.<sup>3</sup>

**J.1.4 SC Billing**

The SC must maintain a contractual relationship with the entities it represents. The SC is responsible for payment of charges for all services provided under the RTO WEST Tariff as defined in Appendix G and the Service Schedules.

**J.1.5 Operation of SC**

Except for SCs who: (i) only schedule non-Dispatchable Demands and (ii) whose only resources are procured from other SCs and (iii) who have transferred the responsibility for scheduling any Flowgate rights to those SCs from whom they are procuring resources, each

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<sup>2</sup> As used herein, RTO West includes the organization itself and any Designated Agent(s) selected by RTO West to meet its duties and responsibilities.

[Note: This perhaps should become a definition in the Tariff and the TCA. Depending upon the final structure of the RTO West. RTO West may opt to outsource all billing and settlement functions to a qualified third party to manage the settlement, billing and dispute resolutions activity on behalf of RTO West.]

<sup>3</sup> Note: Appendix G is Billing and Settlements; Appendix H is Metering; Appendix L is Market Monitoring.

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SC will maintain a 24 hour, seven days per week scheduling center for the purposes of communicating with RTO WEST for scheduling purposes and the CAO on a real time basis. Each SC shall, for the duration of the scheduling process and Settlement Period for which the SC has submitted Schedules to RTO WEST, designate a representative who shall be responsible for operational communications with RTO WEST and who shall have sufficient authority to commit and bind the SC.

**J.2 ADMINISTRATIVE AND TECHNICAL CERTIFICATION CRITERIA**

RTO WEST will not certify that an applicant has become a SC until the applicant has:

- a) Provided the technical/operational information required in the Certification Application (Attachment J-1) and the Service Filing Form (Attachment J-2);
- b) Executed a software licensing agreement for the software used in conducting business with RTO WEST in a form approved by RTO WEST, if applicable;
- c) Installed any required hardware and software for functional interface with RTO;
- d) Provided its bank account information and arranged for Fed-Wire System transfers for two-way confirmation or, provided for alternative payment arrangements which are acceptable to RTO WEST;
- e) Submitted a timetable for completion of its operational facilities, in order to coordinate site

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visits by RTO WEST staff to ensure compliance with the RTO WEST Tariff; and

- f) When applicable, installed appropriate technology in order to communicate with RTO WEST and any applicable CAOs, including a dedicated telephone line and other equipment as required in the RTO WEST Tariff.

**J.3 CERTIFICATION PROCEDURE**

**J.3.1 Application**

To become a SC, a SC Applicant must submit an Application for Certification (Attachment J-1) along with all information requested therein to RTO WEST by mail, carrier of choice, fax, e-mail (with prior approval of electronic signature certificates by RTO West) or in person. A SC Applicant may retrieve the application form and necessary information from the RTO WEST Website.

**J.3.2 RTO WEST Information**

RTO WEST will provide the following information, in its most current form, on the RTO WEST Website. Upon request by a SC Applicant, RTO WEST will send the following information by mail or carrier of its choice:

- a) The SC application forms, including the SC Certification Application form (Attachment J-1), the SC Service Filing Form (Attachment J-2), the Changes or Additions to Scheduling Coordinator's Information Form (Attachment J-3) and the SC Agreement (Attachment J-4).

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- b) The RTO WEST Tariff and RTO WEST protocols;
- c) Historical customer specific RTO WEST charges, if available (i.e. historical charges will not be available for at least 120 days following the RTO WEST Operations Date) including, but not limited to all of the charges under the Service Schedules of the RTO WEST Tariff.

**J.3.3 Submission of Application to RTO WEST**

At least 60 days before the proposed commencement of service, the SC Applicant must return a completed application form with the prescribed non-refundable application fee to cover the application processing costs, site visit and the costs of furnishing a copy of the RTO WEST Tariff.

**J.3.4 Application Requirements**

The SC Applicant must submit:

- a) Its completed Application Form in original form with required signatures and in electronic form via electronic mail if originals are submitted in other than electronic mail format as specified in J.3.1. (Attachment J-1);
- b) The proposed date for commencement of service which may not be less than 60 days after the date the application was filed, unless waived by RTO WEST; and
- c) The prescribed non-refundable processing fee of \_\_\_\_\_.

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**J.3.5 Notice of Receipt**

Within 3 business days of receiving the original form of the application, RTO WEST will send notification via electronic mail to the SC Applicant that it has received the application and the non-refundable fee.

**J.3.6 RTO WEST Screening of Application**

Within 14 days after receiving an application, RTO WEST will notify the SC applicant whether the applicant has submitted all necessary information as set forth in the application form (Attachment J-1) and in Section J.2 of this Appendix.

**J.3.7 Deficient Application**

In the event the application is deficient, RTO WEST's written notification as supplied under Section J.3.6 will explain the deficiency and request additional information.

**J.3.8 SC Applicant's Additional Information**

Once RTO WEST requests additional information pursuant to Section J.3.7, the SC Applicant has 7 days from receipt of deficiency notice, or such longer period as RTO WEST may agree, to provide the additional material requested by RTO WEST.

**J.3.9 No Response from SC Applicant**

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IF THE SC APPLICANT DOES NOT SUBMIT ADDITIONAL INFORMATION WITHIN 7 DAYS OR THE LONGER PERIOD REFERRED TO IN SECTION J.3.8, THE APPLICATION MAY BE SUSPENDED BY RTO WEST. IN THE EVENT THAT THE APPLICATION IS SUSPENDED, THE 60 DAY TIME PERIOD AND ALL OTHER REQUIREMENTS WILL BEGIN AGAIN AS IF THE REQUEST WAS A NEW REQUEST. A NEW PROCESSING FEE WILL NOT BE REQUIRED FOR A SUSPENDED APPLICATION. J.4 RTO WEST APPROVAL OR REJECTION OF AN APPLICATION

**J.4.1 Time for Processing Application**

RTO WEST will make a decision whether to accept or reject the application within 14 days of receipt of the application. If more information is requested, RTO WEST will make a final decision within 14 days of the receipt of all outstanding or additional information requested.

**J.4.2 Approval or Rejection Letter**

- a) If RTO WEST approves the application, it will send an approval letter with a signed SC Agreement and any required software licensing agreements for the SC Applicant's signature.
- b) If RTO WEST rejects the application, RTO WEST will send a rejection letter stating one or more of the following grounds:
  - i) Incomplete information;
  - ii) Non-compliance with third party contractual obligations;

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- iii) Non-compliance with technical requirements; or
- iv) Non-compliance with any other eligibility requirements in this Appendix or any other part of the RTO WEST Tariff.

**J.4.3 In Event of Applicant Rejection**

**J.4.3.1 Appeal**

The SC applicant may appeal the rejection of an application by RTO WEST by utilizing the dispute resolution procedures in the RTO WEST Tariff.

**J.4.3.2 Resubmittal**

If an application is rejected, the SC Applicant may resubmit its application with the processing fee at any time.

**J.5 CERTIFICATION OF SC APPLICANT**

**J.5.1 Certification**

The SC applicant will become a certified SC when, following acceptance of its application, it has entered into a SC Agreement with RTO WEST. SCs must complete a Service Filing prior to commencing scheduling activities.

**J.5.2 Maintenance of certification**

To maintain certification, technical/operational requirements and rules of this Appendix and any other applicable portions of the RTO WEST Tariff and RTO WEST protocols must continue to be met.

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**J.5.3 Public notice**

RTO WEST shall maintain on the RTO WEST Website a list of all certified SCs. RTO West will also maintain documents containing current and proposed specifications for all technical requirements on the RTO West Website.

**J.6 SC'S ONGOING OBLIGATIONS AFTER CERTIFICATION**

**J.6.1 Obligation to Report Changes in Filed Information**

Each SC has an ongoing obligation to inform RTO WEST of any changes to any of the information submitted by it to RTO WEST as part of the Certification Application process, including any changes to the additional information requested by RTO WEST. Attachment J-3 of this Appendix sets forth the procedures for changing the SC's information and timing of notifying RTO WEST of such changes.

**J.6.2 RTO WEST'S Response for Failure to Inform**

If an SC fails to promptly inform RTO WEST of a material change in its information provided to RTO WEST, which may affect the reliability or safety of the Grid, or the financial security of RTO WEST or its Participating Transmission Owners, RTO WEST may suspend or terminate the SC's rights under the RTO WEST Tariff. If RTO WEST intends to terminate the SC's rights it shall file a Notice of Termination pursuant to Section J.10.

**J.7 SC'S SERVICE FILING**

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**J.7.1 Submission of Service Filing**

The SC Applicant must submit a complete Service Filing (Attachment J-2) 15 days prior to commencing scheduling activities. The Service Filing shall include:

- a) Proof of credit for the RTO WEST security amount defined in Section J.7.1.1;
- b) A complete listing of all entities which the SC is authorized to represent;                      Written certification that it is duly authorized to represent the Generators and loads in transactions with RTO WEST; and
- d) The proposed date for commencement of service.

**J.7.1.1 SC's Financial Requirement**

A SC must satisfy one of the following:

- a) Maintain an Approved Credit Rating, or
- b) Provide one of the following forms of security for an amount described below:
  - i) An irrevocable direct pay letter of credit confirmed by a bank or financial institution reasonably acceptable to RTO WEST;
  - ii) An unconditional and irrevocable guarantee by a company which has and maintains an Approved Credit Rating; or
  - iii) A cash deposit standing to the credit of an interest bearing escrow account maintained at a bank or financial institution reasonably acceptable to RTO WEST.

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**J.7.1.1.1 Amount of Security**

The form of security shall be in an amount equivalent to the estimated cost of two months of Transmission and Ancillary Services under the RTO WEST Tariff.

**J.7.1.1.2 Release of Security Amount**

RTO WEST will, following a termination of an SC Agreement and within thirty (30) days of being satisfied that no sums remain owing by the SC under the RTO WEST Tariff, return or release to the SC, as appropriate, any money or credit support provided by such SC to RTO WEST under this Section.

**J.7.1.2 SC's Contracts for Scheduling Service**

A SC must certify that it is duly authorized to represent the Generators and loads in transactions with RTO WEST. SCs must further certify, as appropriate, that for each entity it represents:

- a) Represented Generators greater than ten megawatts have signed Generator Agreements with RTO WEST and have agreed that the SC will communicate maintenance outage schedules to RTO WEST;
- b) Represented wholesale customers are eligible for wholesale Transmission Service pursuant to the provisions of the FPA Section 212(h);
- c) Represented end-use customers are eligible for Direct Access Service pursuant to an established program

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approved by the Public Utility Commission or a Local Regulatory Authority; and

d) Represented entity already served by an SC will terminate its relationship with the other SC.

**J.7.2 Notice of Receipt of Service Filing**

Within 3 business days of receiving the Service Filing, RTO WEST will send a written notification to the SC applicant that it has received the Service Filing.

**J.7.2.1 Deficient Service Filing Information**

In the event the Service Filing information is deficient, RTO WEST will notify the SC of the deficiency and will explain what is deficient and request additional information.

**J.7.2.2 SC Additional Filing Information**

The additional material requested must be received by RTO WEST 15 days prior to beginning scheduling for a Generator and/or a load.

**J.7.2.3 Duplicate Meter Coverage**

If two or more SCs apply simultaneously to register with RTO WEST for a single meter or meter point for an RTO WEST Metered Entity or if an SC applies to register with RTO WEST for a meter or meter point for an RTO WEST Metered Entity for which an SC has already registered, RTO WEST will return the application with an explanation that only one SC may register with RTO WEST for the meter or meter point in question and that

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an SC has already registered or that more than one SC is attempting to register for that meter or meter point. If an Eligible Customer is changing SC's, the new SC must indicate this in its application, requesting the transfer of the meter point between SC's and the date on which such transfer is to be effective.

**J.7.3 RTO WEST Response to Service Filing**

In 15 days or less after a completed Service Filing (either a filing that is initially complete or that has been supplemented pursuant to Section 7.2.2 above) is received by RTO WEST, RTO WEST will notify the SC that they can begin scheduling for the identified Generators and/or Loads.

**J.7.4 RTO WEST Filing of Service Application and Certification with the Federal Energy Regulatory Commission.**

Within 30 days of the date of commencement of service by the Scheduling Coordinator, RTO West will file the Service Application and Certification with the Federal Energy Regulatory Commission.

**J.8 SC'S ONGOING SERVICE OBLIGATIONS**

**J.8.1 Change in Financial Status**

The SC has an ongoing obligation to inform RTO WEST within 3 business days if its credit rating has

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changed. If the SC's credit rating is reduced below an Approved Credit Rating, RTO WEST will suspend the SC's scheduling rights under the RTO WEST Tariff, until the SC submits another form of security in accordance with Section J.7.1.1.

**J.8.2 Failure to Maintain RTO WEST Security Amount**

If the SC's estimated aggregate liability is greater than its RTO WEST security amount, RTO WEST will reject any schedule until such time as the SC increases its RTO WEST security amount or decreases its outstanding payment balance.

**J.8.3 Obligation to Promptly Report Change in its Service Filing Information**

The SC shall promptly notify RTO WEST of any change in the entities it represents. Not less than five (5) business days notice shall be given before the changes take effect. A SC shall continue to be accountable for the entities for which it is responsible pursuant to notice given to RTO WEST until the SC has provided notification of termination of scheduling responsibility.

**J.8.4 Failure to promptly Report a Material Change**

If an SC fails to inform RTO WEST of a material change in its service filing information provided to RTO WEST, which may affect the reliability or safety of the Grid, or the financial security of RTO WEST, RTO WEST will within 7 days suspend the SC's ability to schedule, and

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may suspend or terminate the SC's rights under the RTO WEST Tariff. If RTO WEST intends to terminate the SC's rights it shall file a notice of termination with the Commission. Such termination shall be effective upon acceptance by the Commission of a notice of termination.

**J.9 SC AGREEMENT**

A certified SC must sign a Scheduling Coordinator Agreement ("SC Agreement") prior to transacting business with RTO WEST. A pro-forma Scheduling Coordinator Agreement shall be posted in the RTO WEST Website.

**J.10 TERMINATION OF SC AGREEMENT**

A SC's SC Agreement can be terminated by

a) RTO WEST on written notice:

- i) If the SC no longer meets the requirements for eligibility set forth in this Appendix;
- ii) If the SC fails to pay any sum under the RTO WEST Tariff and fails to remedy the default within a period of seven (7) days after RTO WEST has given written notice of the default; or
- iii) If the SC commits any other default under the RTO WEST Tariff which, if capable of being remedied, is not remedied within thirty (30) days after RTO WEST has given written notice of the default; or

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b) By the SC on sixty (60) days written notice to RTO WEST, provided that such notice will not be effective to terminate the SC Agreement until the SC has complied with all applicable requirements of Section J.8.3.

RTO WEST will, as soon as reasonably practicable following the occurrence of any of the events specified above notify the SC, any affected Generator and/or load, and any affected SC's or CAOs that the SC Agreement is being terminated. Upon the occurrence on (i),(ii), or (iii) above, RTO WEST may initiate a proceeding with the Commission to terminate service but shall not terminate service until the Commission so approves such a request. Termination of the SC Agreement will automatically remove the SC's certification. Each affected Generator or load customer must make arrangements to be served by a new SC.

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The information provided for this application will be treated as  
confidential information

**APPENDIX J, ATTACHMENT J-1**

**SCHEDULING COORDINATOR CERTIFICATION APPLICATION FORM**

This application is for certification as a Scheduling Coordinator ("SC") by RTO WEST in accordance with the RTO WEST Tariff.

**I. Administrative Requirements**

SC Applicant's Legal Organization Name:

\_\_\_\_\_

Address of principal place of business:

\_\_\_\_\_  
\_\_\_\_\_

Authorized Representative (if more than one, attach list with  
all information listed below):

\_\_\_\_\_

Address:

\_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

Type of entity:

\_\_\_\_\_

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(Municipal utility, power marketer, investor owned utility,  
federal or state entity or other)

State of Incorporation or Partnership:

Proposed commencement date for service:

**II. Financial Requirements**

- 2.1 The SC Applicant has an Approved Credit Rating as set forth in the RTO WEST Tariff (yes/no).  
The SC Applicant's credit Rating is \_\_\_\_\_ .

Please attach certified documentation of an approved Credit Rating from Standard & Poors, Mood's Investors Services or the equivalent. SC Applicant must also submit an executed letter of understanding for payment providing contact details in case of default. **OR**

- 2.2 The SC Applicant will provide an irrevocable and unconditional guarantee from a company which has an Approved Credit Rating: (yes/no)

The SC Applicant must submit a signed irrevocable and unconditional guarantee in an RTO WEST approved form and certified documentation of the other company's Approved Credit Rating. **OR**

The SC Applicant will provide one of the forms of security listed in Appendix J, Section J.7.1.1(b) in it Service Filing prior to commencing scheduling activities. **AND**

- 2.3 The SC Applicant must provide its bank account information. The SC Applicant's bank must be capable of performing Fed-Wire System transfers.

**III. Technical Requirements**

- 3.1 Does the SC Applicant have the computer hardware, software and communication capabilities for interface compatibility with the RTO WEST system for data transmission, for

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electronic data interchange (EDI) and for Fed-Wire System transfer accounts: (yes/no).

If no, please submit a proposed completion date to be fully operational so that a RTO WEST staff site visit can be arranged.

- 3.2 For Loads and Generating Units located within the RTO WEST Controlled Grid, does the SC Applicant have any scheduling restrictions imposed by the parties they represent? (yes/no).

If yes, attach documentation as provided by the load or generation customer along with further explanation as necessary.

- 3.3 Does the SC Applicant agree to provide adequate staffing to operate a SC's operational facility twenty-four (24) hours a day for each day of the year: (yes/no).

If no, please submit either (a) a proposed completion date to be fully operational so that a RTO WEST staff site visit can be arranged, or (b) in the case of SCs who (i) only schedule non-Dispatchable Demands and (ii) whose only resources are procured from other SCs and (iii) who have transferred the responsibility for scheduling any Flowgate rights to those SCs from whom they are procuring resources, a statement to that effect.

**IV. Additional Information and Obligations**

- 4.1 The SC Applicant agrees to provide such further information to RTO WEST as RTO WEST may deem necessary to process the application and certify the SC Applicant as a SC now and on a continuing basis.
- 4.2 Subject to the RTO WEST Tariff, the SC Applicant agrees to promptly report to RTO WEST within three (3) business days or earlier any changes regarding the information provided by it referred to in the Appendix J and in the application.

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- 4.3 The SC Applicant agrees to promptly execute and return the SC Agreement and software licensing agreement after receiving its application approval letter from RTO WEST and prior to submitting any schedules to RTO West.
- 4.4 The SC Applicants right to schedule services with RTO WEST is contingent upon the SC Applicant completing a Service Filing and fulfilling all financial and technical requirements as referenced in Appendix J.
- 4.5 The SC Applicant agrees to enclose herein the non-refundable application fee to cover the application processing costs, site visit and costs of providing a copy of the RTO WEST Tariff.

Please make check payable to:  
RTO WEST  
(address to be provided)

SC Applicant certifies by its signature on this Application Form that:

- (1) all information it is submitting is correct and accurate; and that
- (2) the SC Applicant has read and agrees to be bound by the RTO WEST Tariff as may be in force or amended from time to time.

Name of Organization:

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SC Applicant's Name (please print):

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SC Applicant's Title:

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SC Applicant's Signature:

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State of \_\_\_\_\_ }

County of \_\_\_\_\_ }

[ SEAL ]

Sworn and subscribed  
before me this \_\_\_\_ day of  
\_\_\_\_\_, \_\_\_\_\_.

Notary's Signature:

\_\_\_\_\_

Please send application and required information to:

RTO WEST  
(address to be provided)

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The information provided for this application will be treated as  
confidential information

**APPENDIX J, ATTACHMENT J-2**

**SCHEDULING COORDINATOR SERVICE FILING FORM**

This filing is for service as a Scheduling Coordinator ("SC")  
by RTO WEST in accordance with the RTO WEST Tariff.

**I. Administrative Requirements**

SC's Legal Organization Name:

\_\_\_\_\_

Address of principal place of business:

\_\_\_\_\_

\_\_\_\_\_

Authorized Representative (if more than one,  
attach list with all information listed  
below):

\_\_\_\_\_

Address:

\_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

Type of entity:

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(Municipal utility, power marketer, investor owned  
utility, federal or state entity or other)

State of Incorporation or Partnership:

Proposed commencement date for service:

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**II. SC Customer Information**

- 2.1 The information required under Appendix J must be provided for represented SC Metered Entities, which are Generators. The SC must submit all requested information at least 15 days before the commencement of service.
- 2.2 Information for SC Metered Entities which are Eligible Customers must be kept in a standard business format based on generally accepted accounting principals. RTO WEST shall have the right to inspect and audit a Scheduling Coordinator's accounts and files relating to its SC Metered Entities after giving two business days notice in writing.
- 2.3 The SC must submit a list of all RTO WEST Metered Entities that it will represent.

**III. Security Requirement**

- 3.1 The SC certifies that it has an Approved Credit Rating or and irrevocable and unconditional guarantee from a company which has an Approved Credit Rating consistent with information provided in its Certification Application (yes/no). **OR**
- 3.2 The SC will provide an irrevocable and unconditional letter of credit: (yes/no).  
Amount: \_\_\_\_\_

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The SC must submit a signed irrevocable and unconditional letter of credit in a RTO WEST approved form before final certification. **OR**

- 3.3 The SC will provide a cash deposit: (yes/no).  
Amount: \_\_\_\_\_

The SC must enter into an escrow agreement in a RTO WEST approved form before final certification. **AND**

- 3.3 The SC certifies that its bank account information provided in its Certification Application is true and correct and that the SC's bank is capable of performing Fed-Wire System transfers.

**IV. Third Party Contractual Requirements**

- 4.1 The SC confirms that all of its customers which are located within the Grid and which should execute agreements with RTO WEST, have entered into or will enter into such agreements prior to the SC commencing scheduling activities. (yes/no).
- a) Represented Generators greater than ten megawatts have signed Generator Agreements with RTO WEST: (yes/no).
  - b) Wholesale Customers it will represent have warranted to the SC that they are eligible for wholesale Transmission Service pursuant to the provisions of the FPA Section 212(h): (yes/no).
  - c) Each Eligible Customer it will represent which requests Direct Access service has warranted to the SC that the Eligible Customer is eligible for such service: (yes/no).
- 4.2 The SC confirms that all of the parties which it represents as a SC have granted it all necessary agency authority, whether actual, implied or inherent, to enable the SC to perform all of its obligations under the RTO WEST Tariff: (yes/no).

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4.3 Notwithstanding 4.2, the SC confirms that it will have the primary responsibility, as the principal, for all SC payment obligations under the RTO WEST Tariff: (yes/no).

**V. Additional Information and Obligations**

5.1 The SC agrees to provide such further information to RTO WEST as RTO WEST may deem necessary to process the Service Filing.

5.2 Subject to the RTO WEST Tariff, the SC agrees to promptly report to RTO WEST within three (3) business days or earlier any changes regarding the information referred to in Appendix J and provided by it in the Certification Application and the Service Filing.

5.3 The SC's right to commence scheduling activities with RTO WEST is contingent upon acceptance by RTO WEST of this Service Filing.

**SC certifies by its signature on this Application Form that:**

- (1) all information it is submitting is correct and accurate; and that
- (2) the SC has read and agrees to be bound by the RTO WEST Tariff as may be in force or amended from time to time.

Name of Organization:

---

SC Applicant's Name (please print):

---

SC Applicant's Title:

---

SC Applicant's Signature:

**Appendix J: Scheduling Coordinator Application & Certification**  
**July 6, 2000 RTO West Draft**

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State of \_\_\_\_\_ }

County of \_\_\_\_\_ }

[ SEAL ]

Sworn and subscribed  
before me this \_\_\_\_ day of  
\_\_\_\_\_, \_\_\_\_.

Notary's Signature:

---

Please send application and required information to:

RTO WEST  
(address to be provided)

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The information provided for this application will be treated as  
confidential information

**APPENDIX J, ATTACHMENT J-3**

**Procedures for Changes or Additions to  
Scheduling Coordinator's (SC's) Information**

The SC must update, amend and / or correct the information originally submitted to RTO WEST during the SC application process using the format set forth in this Appendix and/or a revised Appendix C, the RTO WEST Application File Template. The SC must submit all changes or additional information by first class postage paid mail or carrier of choice to:

RTO WEST  
(address to be provided)

The SC must notify RTO WEST of any change to the information that it has previously submitted to RTO WEST, or any additional information, at least three business days before the change will take effect.

RTO WEST will send a written acknowledgment of receipt of the SC's changes within three business days of receipt. The receipt shall be sent to the address on file with RTO WEST or the address specified in the notice of change received by RTO WEST.

Prior Information

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**New Information**

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**Explanation and Reason for Change**

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