

**RTO WEST
SCHEDULING COORDINATOR APPLICATION
AND CERTIFICATION PROTOCOL**

ATTACHMENT J2

[Disclaimer: This document has not received final approval from any filing utility. All provisions are subject to change.]

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SCHEDULING COORDINATOR APPLICATION AND CERTIFICATION PROTOCOL

1. Introduction and Objective.

This Attachment describes the process and requirements for becoming a certified Scheduling Coordinator with RTO West, maintaining that certification, and the related duties and responsibilities of certified Scheduling Coordinators and RTO West. An Eligible Customer seeking Transmission Services on the RTO West Controlled Transmission Facilities shall be represented in RTO West by an RTO West-certified Scheduling Coordinator. Each end-use customer load and generator may have multiple Scheduling Coordinators so long as there is appropriate metering in place. RTO West must be able to identify which Scheduling Coordinator is responsible for each megawatt of imbalance energy at each point of delivery.

2. Definitions.

2.1 General Provision. For the purpose of this Attachment, the term “Tariff” shall mean the RTO West Tariff for the provision of Transmission Services and Ancillary Services.

2.2 Application of RTO West Tariff Definitions. Any word or expression used in this Attachment shall have the same meaning as that stated in the RTO West Tariff. The following definitions are included as placeholders, to ensure that they are eventually included in the RTO West Tariff.

2.2.1 “Scheduling Coordinator Applicant” means an entity that has submitted or is contemplating submitting an application to become a Scheduling Coordinator.

2.2.2 “Scheduling Coordinator Customer” means a potential or actual customer of the Scheduling Coordinator to which the Scheduling Coordinator offers services relevant to the RTO West Controlled Transmission Facilities.

2.2.3 “Scheduling Agent” means an entity that has been delegated by a certified Scheduling Coordinator to perform some or all of the responsibilities of the Scheduling Coordinator. Notwithstanding the delegation of duties to the Scheduling Agent, the Scheduling Coordinator shall be the entity responsible to RTO West for performance under this Attachment, including all the financial and credit obligations.

3. Rule of Interpretation.

Unless specifically set forth in this Attachment, if there is a conflict between the provisions of this Attachment and the Tariff, the Tariff shall control.

4. Liability of RTO West.

4.1 This Attachment is subject to the same liability provisions and limitations as set forth in the Tariff.

4.2 A Scheduling Coordinator Customer is not a third-party beneficiary of this Attachment. A Scheduling Coordinator Customer is not entitled to rely on a Scheduling Coordinator's certification under this Attachment as grounds for a claim against RTO West. By certifying a Scheduling Coordinator pursuant to this Attachment, RTO West assumes no legal duties to Scheduling Coordinator Customers.

5. Duties and Responsibilities of the Scheduling Coordinator.

5.1 Each Scheduling Coordinator shall fulfill all of the following duties and responsibilities:

5.1.1 Comply with the RTO West Tariff;

5.1.2 Maintain its certification in accordance with this Attachment;

5.1.3 Maintain records and respond to requests for information in accordance with the requirements of applicable law;

5.1.4 Provide proof of financial capability, and maintain its financial capability, for meeting its financial responsibilities with RTO West as provided in Section 11, Financial Security Obligations and Requirements;

5.1.5 Supply Settlement-Ready Information (definition to be developed) to RTO West in a timely manner and in the form required, in accordance with metering requirements, and settle and satisfy its financial obligations with RTO West in accordance with RTO West's settlement and billing requirements; and

5.1.6 Provide to RTO West, and update, information that describes:

5.1.6.1 Each of the Loads (definition to be developed) it represents, including the customer transactions it is entitled to schedule on the RTO West Controlled Transmission Facilities on behalf of each of the Loads it represents;

5.1.6.2 Each of the Resources (definition to be developed) (generating units, demand resources, and imports/exports) it represents, including the nature of transactions it seeks to make on the RTO West Controlled Transmission Facilities on behalf of each of the Resources it represents (see Schedule 2, Scheduling Coordinator Service Filing Form);

5.1.6.3 Each Catalogued Transmission Right injection and withdrawal right the Scheduling Coordinator has authority to use; and

5.1.6.4 Each Financial Transmission Option the Scheduling Coordinator has authority to use.

5.2 Each Scheduling Coordinator may fulfill one or more of the following additional duties and responsibilities:

5.2.1 If the Scheduling Coordinator represents Load, then the Scheduling Coordinator must submit Balanced Schedules of Injections and Withdrawals (definition to be developed) to RTO West;

5.2.2 Operate or contract for the services of a Generation Control Center (definition to be developed) to receive dispatch instructions for the generating units and/or Dispatchable Demands (definition to be developed) that it represents and instruct them to respond in a timely manner and to comply with all applicable requirements contained in the RTO West Tariff;

5.2.3 Require the Eligible Customers it represents to comply with metering requirements of the Tariff;

5.2.4 Supply to RTO West Demand and Resource (definition to be developed) forecasts for the Loads and Resources it represents, as required by the RTO West planning procedures;

5.2.5 Supply to RTO West proposed maintenance outage requests for the Resources it represents;

5.2.6 Represent Eligible Customers and/or Ancillary Services Resources in the provision of and payment for Ancillary Services; and

5.2.7 Submit its portion of Scheduling-Coordinator-to-Scheduling-Coordinator trade schedules and work with the other party of the Scheduling-Coordinator-to-Scheduling-Coordinator trade when such schedules fail to match up to create a valid balanced schedule.

6. Requirements for Scheduling Coordinator Certification.

6.1 To be certified as an RTO West Scheduling Coordinator, each applicant must submit and obtain RTO West's approval of the following forms, as applicable:

6.1.1 The Scheduling Coordinator Certification Application Form in the form attached as Schedule 1;

6.1.2 The Scheduling Coordinator Service Filing Form in the form attached as Schedule 2; and

6.1.3 The Notice of Change to Scheduling Coordinator Information Form in the form attached as Schedule 3.

6.2 As a Tariff protocol, RTO West may modify any of the forms described in Section 6.1, and, upon RTO West's request, the Scheduling Coordinator shall complete such modified forms.

6.3 The Scheduling Coordinator shall update and transmit to RTO West all of the forms described in Section 6.1 within twenty-four (24) hours when any of the information contained in them changes.

6.4 RTO West shall develop reasonable, objective standards for the fulfillment of Scheduling Coordinator duties and responsibilities. Each Scheduling Coordinator shall:

6.4.1 Fulfill all of the duties and responsibilities of a Scheduling Coordinator as described in Section 5;

6.4.2 Perform all of the tasks and functions required by the RTO West Tariff;

6.4.3 Provide evidence of its financial capability as required by Section 11;

6.4.4 Certify that each entity it represents is an Eligible Customer (definition to be developed, including itself if it transacts business on its own account);

6.4.5 Certify that each customer it represents is an Eligible Customer of RTO West and has executed the appropriate agreements to become an RTO West Transmission Customer, including, without limitation, a Load Integration Agreement and Generation Integration Agreement;

6.4.6 Comply with the FERC's Standards of Conduct as set forth in FERC Order 889, as it may be amended;

6.4.7 Demonstrate that it has the hardware and software required for functional interface with RTO West, that its staff are trained in the use of such hardware and software, and that it has the applicable software licensing agreements required for conducting business with RTO West;

6.4.8 Demonstrate that it can complete and confirm two-way federal-wire-system transfers, or provide for alternative payment arrangements that are acceptable to RTO West; and

6.4.9 Demonstrate that it has installed, or will install before the date of commencement of service as a Scheduling Coordinator, the technology appropriate and necessary for communication with RTO West.

6.5 Each Scheduling Coordinator shall execute an RTO West Scheduling Coordinator Agreement.

7. Certification Procedure.

The procedure for making application to become an RTO West-certified Scheduling Coordinator shall include the following:

THE RTO WEST FILING UTILITIES HAVE NOT REACHED AGREEMENT ON THE PROCEDURES FOR SCHEDULING COORDINATOR CERTIFICATION. WHEN COMPLETE, THIS SECTION WILL INCLUDE INFORMATION SUCH AS TIME FOR APPLICATION, RTO WEST RESPONSE TIME TO APPLICATIONS, NOTICE OF DEFICIENT APPLICATIONS, PROCEDURE FOR CURING DEFICIENT APPLICATIONS, AND OBLIGATION TO MAINTAIN CERTIFICATION.

8. Scheduling Coordinator Operations.

Each Scheduling Coordinator shall designate an authorized representative, pursuant to the rules of RTO West, that is responsible for operational communications with RTO West. The authorized representative shall have authority to commit and bind the Scheduling Coordinator. The authorized representative shall be available twenty-four (24) hours per day, seven (7) days per week. Each Scheduling Coordinator shall operate and maintain a scheduling office and, if applicable, a Generation Control Center for the purpose of fulfilling its operational obligations. THE PROCEDURES FOR DISPATCH DURING SYSTEM EMERGENCIES ARE UNDER DISCUSSION.

9. Billing and Settlements.

Each Scheduling Coordinator shall maintain a contractual relationship with the Transmission Customers it represents and shall provide to RTO West Settlement-Ready Information for each such Transmission Customer. Each Scheduling Coordinator shall demonstrate that it is authorized to use, on behalf of the Transmission Customers it represents, Catalogued Transmission Rights, Financial Transmission Options, and any other rights necessary to fulfill the schedules it submits to RTO West. Each Scheduling Coordinator shall be responsible for payment of all charges arising from the RTO West Tariff and not otherwise described under the Paying Agent Agreement for services provided under the RTO West Tariff. In the event of a Scheduling Coordinator default, RTO West shall have the right, pursuant to procedures developed by RTO West, to obtain direct payment for RTO West services from the defaulting Scheduling Coordinator's Transmission Customers.

10. Public Notice.

RTO West shall maintain a current list of RTO West-certified Scheduling Coordinators on the RTO West Web Site. RTO West shall promptly post on the RTO West Web Site any notice of termination or suspension of services it may provide to a Scheduling Coordinator and any notice of termination provided to RTO West by a Scheduling Coordinator. RTO West shall also provide notice of such events to the Scheduling Coordinator's Transmission Customers, pursuant to procedures RTO West develops.

11. Financial Security Obligations and Requirements.

THE RTO WEST FILING UTILITIES HAVE NOT REACHED AGREEMENT ON THE FINANCIAL SECURITY OBLIGATIONS AND REQUIREMENTS FOR SCHEDULING COORDINATORS. WHEN COMPLETE, THIS SECTION WILL INCLUDE INFORMATION

SUCH AS CREDITWORTHINESS REQUIREMENTS, CREDIT EVALUATION, UNSECURED CREDIT PROVISIONS, AND COLLATERAL REQUIREMENTS.

12. Suspension or Termination of Scheduling Coordinator.

THE RTO WEST FILING UTILITIES ARE NEGOTIATING PROCEDURES FOR DECERTIFYING SCHEDULING COORDINATORS. SUCH PROVISIONS WILL INCLUDE, BUT NOT BE LIMITED TO, REASONS FOR SUSPENSION OR TERMINATION, NOTICE, AND OPPORTUNITY TO CURE.

13. RTO West's Right To Audit Scheduling Coordinators.

Scheduling Coordinators shall keep detailed records for a period of seven (7) years of all activities under this Attachment giving rise to any information, statement, charge, payment, or computation delivered to RTO West under the RTO West Tariff. Such records shall be retained and be available for audit or examination by RTO West as provided in this Attachment. RTO West has the right, during Business Hours (definition to be developed), upon reasonable written notice and for reasonable cause, to examine the records of Scheduling Coordinators as necessary to verify the accuracy of any such information, statement, charge, payment, or computation made under this Attachment. If any such examination reveals any inaccuracy in any such information, statement, charge, payment, or computation, the necessary adjustments in such information, statement, charge, payment, computation, or procedures used in supporting its ongoing accuracy will be made promptly.

14. Scheduling Coordinator's Right To Audit RTO West.

The Scheduling Coordinator's right to data and audit of RTO West shall be as described in the RTO West Tariff and Protocols.

**SCHEDULE 1
TO SCHEDULING COORDINATOR
APPLICATION AND CERTIFICATION PROTOCOL**

**SCHEDULING COORDINATOR CERTIFICATION
APPLICATION FORM**

This application is for approval as a Scheduling Coordinator in accordance with the RTO West Tariff. All information on this form shall be treated as confidential under the confidentiality provisions of the RTO West Tariff. This application must be complete and accompanied by an application fee of \$5,000.

A. Applicant Identification Information:

1. Legal name of applicant: _____

2. Business address of applicant: _____

3. Authorized representative of applicant:
 - a. Name of representative: _____

 - b. Business address of representative: _____

 - c. Business telephone number of representative: _____

 - d. Business facsimile number of representative: _____

 - e. Business e-mail address of representative: _____

4. Type of business entity of applicant (*e.g.*, municipality, power marketer, investor-owned utility, non-utility-affiliated generator, distribution cooperative, federal or state entity, other - please describe):

5. If a corporation or partnership, state of incorporation or registration of applicant:
-

B. Proposed Date for Commencement of Scheduling Coordinator Services:

C. Financial Capability:

The applicant has attached to this application, or shall supply to RTO West before certification, satisfactory evidence reflecting compliance with Section 11, Financial Security Obligations and Requirements. Credit standards set by RTO West must be met before beginning business.

The applicant (is/is not) requesting consideration for unsecured credit. If credit support is required, the applicant will provide _____(form of credit).

D. Fulfillment of Duties and Responsibilities:

1. The applicant certifies that it or its Scheduling Agent either (a) has installed and proven to be operational all computer hardware and software, communication equipment and software, and electronic funds transfer systems required for the tasks and functions it proposes to fulfill and for the services it proposes to provide or (b) shall install before certification the materials and systems described in D.1.a above. The applicant further states that its equipment and facilities are, or shall be before certification, available for examination and inspection by RTO West. A list of hardware, software, communication equipment, and electronic funds transfer systems is attached. If these materials are not yet installed as of the date of this application, a plan and schedule for completion of installation are attached;
2. The applicant certifies that it employs on its own behalf, or has contracted with entities that employ, sufficient personnel who are fully qualified, competent, and trained to perform the duties, responsibilities, tasks, and functions required by the RTO West Tariff for Scheduling Coordinator certification. The applicant agrees that the qualifications of such personnel shall be available to RTO West for review; and
3. If the applicant has assigned or delegated any rights or obligations needed to perform its role as a Scheduling Coordinator, describe those assignments or delegations below, including the assignee and the specifics of the rights or obligations assigned:

4. The single point of contact required by Section 8 of the Scheduling Coordinator Agreement, and responsible for operational communications with RTO West is (describe and include primary and backup telephone contact information):

Description: _____
Physical address: _____
Primary telephone number: _____
Backup telephone number: _____
Fax number: _____
E-mail address: _____

E. Additional Obligations :

1. The applicant agrees to provide any and all changes in the information provided on this application form in writing within three (3) Business Days of becoming aware of the change(s). The applicant must immediately notify RTO West of a change in authorized representative; and
2. The applicant certifies that all information it has provided on this application form is true and correct to the best of its knowledge and belief.

By: _____ Date: _____
Signature of applicant's authorized representative

Name: _____

Representing applicant: _____

**SCHEDULE 2
TO SCHEDULING COORDINATOR APPLICATION
AND CERTIFICATION PROTOCOL**

SCHEDULING COORDINATOR SERVICE FILING FORM

All information presented on this form shall be considered confidential under the RTO West Tariff. This application must be complete.

A. Applicant Identification Information:

1. Legal name of applicant:

2. Applicant's identification number:

3. Business address of applicant:

B. List of Loads Represented:

In accordance with the duties and responsibilities of the Scheduling Coordinator contained in Section 5 of this Attachment, list the Loads for which it will provide scheduling and dispatch services. Such list must include point of delivery, Scheduling Coordinator Customer and customer contact, losses between meter and point of meter identification, and location information.

C. List of Generating Units Represented:

In accordance with the duties and responsibilities of the Scheduling Coordinator contained in Section 5 of this Attachment, list the generating units for which the applicant will provide scheduling and dispatch services, including meter information, generator description, generator contact information, generator nameplate, location, and any information needed for RTO West's Ancillary Services file.

D. Additional Obligations :

1. The applicant certifies that its customer(s) are Eligible Customers as defined in the RTO West Tariff;
2. The applicant certifies that its Eligible Customer(s) have granted it all necessary agency authority, whether actual, implied, or inherent, to enable the applicant to perform all of the tasks and functions required by the service to be provided;
3. The applicant certifies that each generator it represents that is required to have a signed Generation Integration Agreement with RTO West has such an agreement or is exempt pursuant to the RTO West Tariff;
4. The applicant certifies that each Load it represents that is required to have a signed Load Integration Agreement with RTO West has such an agreement or is exempt pursuant to the RTO West Tariff (need appropriate reference, check whether there is a load exemption concept applicable);
5. The applicant agrees that it has sole responsibility for settlement and billing for all payments and charges related to its transactions as a Scheduling Coordinator; and
6. The applicant certifies that all information it has provided on this service filing form is true and correct to the best of its knowledge and belief.

By: _____
Signature of applicant's authorized representative

Date: _____

Name: _____

Representing applicant: _____

**SCHEDULE 3
TO SCHEDULING COORDINATOR
APPLICATION AND CERTIFICATION PROTOCOL**

**NOTICE OF CHANGE TO
SCHEDULING COORDINATOR INFORMATION FORM**

This form must be used by the applicant to advise RTO West of changes to its certification application form pursuant to Section 6 of this Attachment. Information presented on this form is subject to the confidentiality provisions of the RTO West Tariff. This application must be complete.

A. Applicant Identification Information:

1. Legal name of applicant:

2. Applicant's identification number:

3. Business address of applicant:

B. Information To Be Deleted, Added, or Changed:

Scheduling Coordinator Certification Application Form

a. Section: _____

b. Delete: _____

c. Insert/Add: _____

I certify that the information contained herein is true and correct to the best of my knowledge and belief.

By: _____

Signature of applicant's authorized representative

Date: _____

Name: _____

Representing applicant: _____