



# California ISO

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## **EIM Track 2 Overview – User Access**

### **Version: 2**

Document Owner: **Latisha Collins**

## REVISION HISTORY

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## Track 2 User Access Overview

The purpose of this document is to provide entities who are joining the Energy Imbalance Market with an overview of the process for provisioning access to California Independent System Operator (ISO) applications, Confidential information and data information between the ISO and its participants, including EIM participants, during the course of planning and market activities are protected through robust application and application security.

Access is provisioned by the entity's User Access Administrators (UAAs) through the ISO's Access Identity Management (AIM) application. UAAs must provision new EIM entity individuals and systems/machines with access to ISO applications three separate times during the implementation process.

- Map Stage environment for Connectivity, Integration testing, Day in the Life Testing, and Market Simulation,
- Stage environment for Parallel Operations
- Production environment.

### 1.0 User Access Administration (UAA) Designation

The EIM entity must identify User Access Administrators (UAAs) who will have the responsibility to manage user's digital certificates, certificate renewals and access to the various ISO applications as applicable to the user's roles within the EIM entity. The ISO recommends at a minimum, two Merchant UAAs (EIM PR SC) and two Transmission UAAs (EIM Entity SC) who work in the applicable business units. This is one of the first requirements when the Track 2 meeting begin.

The responsibility of the UAA is to provide control over access and ensure the entity meets regulatory/audit requirements for access.

#### [UAA Establishment and Requirements](#)

Submit a UAA Agreement for each side of the EIM entity scheduling coordinators, merchant side (EIM PR SC) and transmission side (EIM Entity SC).

The UAA Agreement is an agreement between the entity completing the form and the ISO indicating the entity has read and understands the requirements and responsibilities of the new UAAs listed on the submitted form. The UAA agreement is submitted via the ISO web and is signed through a DocuSign process. Below is the direct link.

UAAs can be added or removed from the organization by submitting a new UAA agreement form.

#### [User Access Administrator Agreement](#)

### 2.0 Access Identity Management (AIM)

The Access and Identity Management (AIM) application has been developed to improve the process for requesting, obtaining, updating and maintaining user access to ISO applications.

The AIM application also provides registered UAAs with the ability to view application-level access for all of their organization's users as well as any users from other organizations who have access to their resources (endorsed users). In addition, the AIM application will allow the

registered UAA to view the expiration date of their users' certificates and automatically request a renewal from within the application.

[AIM User Guide](#)

### 3.0 Timeline for Access to Applications and Environments

The initial access provisioned will be for the Western EIM Portal (WEIM) and for the Issue Management Customer Inquiry and Dispute Interface (CIDI) using an assigned Org ID. CIDI provides the ability to track issues and all participants can see the responses.

Access to the other EIM IDs for the various ISO applications will be managed by the UAA. The timing on when to add users and provision access is directly aligned with the project timeline.

UAAs can begin adding users to the AIM tool as soon as the UAAs have their own digital certificates and access to AIM. The initial access being provisioned will be to WEIM and CID. Then 4 to 6 weeks prior to the time the environment is opened (MAP Stage, Stage, and Production), the UAA should begin adding users that are identified to participate in that phase of the project. The phases are listed below. Note that a user can have an active certificate but may not yet have access to any application until provisioned to a specific ID and application. AIM will be updated with the applicable IDs when the EIM Scheduling Coordinator agreements are executed and the full network model is available for each environment.



**Note:** UAAs will not be able to add access to a user certificate until the certificate is registered and in "New" status

The UAA will need to provision access for each environment in which testing will be conducted. The ISO does not copy access from one environment to another on behalf of the UAA. For a definition of each environment and its support level, please refer to the Systems Access Information for CAISO Services Participants found on the [Application Access web page](#) document.

Access provisioning will occur three times; once for MAP Stage that includes connectivity, integration testing, a day in the life and market simulation, second will be for Stage which is parallel operations and third, access to production.

#### 3.1 MAP Stage -- August

- Connectivity - Can begin prior to Full Network Model availability in MAP Stage This includes pinging the ISO applications to make sure there is a connection and the digital certificate works (no testing of data).
- Integration testing - Must have the Full Network Model (FNM) available in MAP Stage. This includes testing with the ISO applications and the various IDs.

- Day in the Life – Occurs after Integration testing and access is the same. Includes testing the same trade date activities over and over to verify the transfer of data throughout the system.
- Market Simulation – Occurs after Day in the Life testing and access is the same. This includes executing predefined structured and unstructured scenarios.

### 3.2 Stage/Parallel Operations – February and March

- Pre go-live, production simulation / parallel operations

### 3.3 Production – April

- Go-live

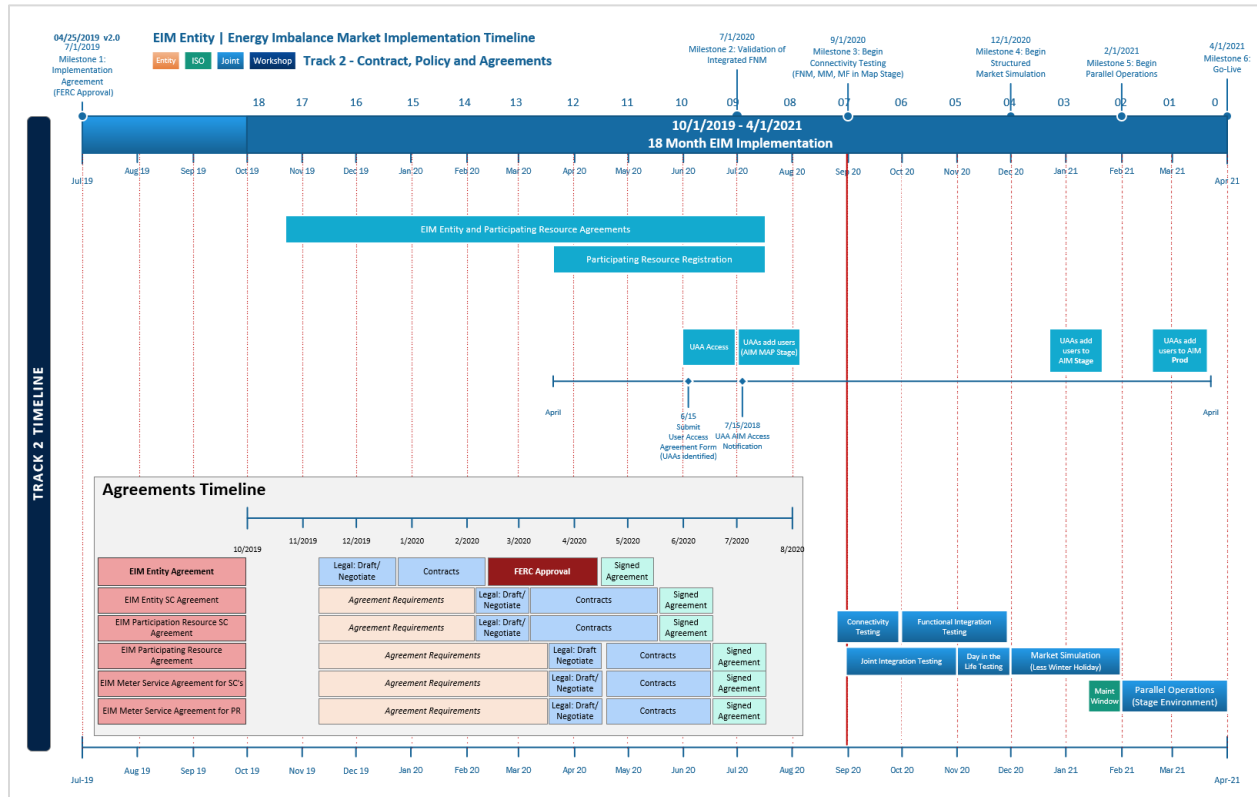
## 4.0 Process Steps UAA to User

1. EIM PR SC (merchant) and EIM Entity SC (transmission), each submits a User Access Administrator Agreement form via ISO web site
  2. ISO emails the UAA their digital certificate
  3. The UAA registers the pass phrase for the certification
  4. ISO sends a collection and installation email
  5. UAA collects and installs certificate
  6. ISO emails the UAA that AIM access is ready - approximately 10 business days after the UAA's certificate is installed
  7. UAA then can access AIM via the portal and begin adding users
    - Access MPP or WEIM for AIM
- [Market Participant Portal](#)
- [Western EIM Portal](#)
8. UAA and users both receive the register certificate email
  9. ISO sends the collection and installation email



**Note:** (UAAs need to determine if they are to install the certificate for the user or if the user will install themselves. The pass phrase must come from the same machine as the certificate is to be install)

## 5.0 EIM User Access Timeline



## 6.0 Track 2 User Access Key Deliverables

The following are key deliverables required by the EIM Entity and the ISO.

Deliverable	Responsible	Timing	Description of deliverable	Format
<b>UAA Agreement form</b>	Both EIM SCs	At the beginning of Track 2	EIM Entity SC – transmission UAA agreement EIM Participating Resource SC – merchant UAA agreement	Online DocuSign
<b>Approved UAA Agreement</b>	Both EIM SCs	At the beginning of Track 2	UAA agreement approved and submitted to ISO	Online DocuSign
<b>Certificates generated</b>	ISO	At the beginning of Track 2	UAAs are notified to register their digital certificate	Email

Deliverable	Responsible	Timing	Description of deliverable	Format
<b>UAA Certificates Installed</b>	Both EIM SCs UAAs	At the beginning of Track 2	The user successfully installs the certificate provided for access to the specific system and environment.	
<b>AIM access notification to the UAAs</b>	ISO			Email
<b>UAAs begin adding users to AIM</b>	Both SCs UAAs	At the beginning of Track 2	The UAA provisions access to WEIM and CIDI	AIM
<b>UAAs begin providing access to other EIM applications</b>	Both EIM SCs UAAs	4 to 6 weeks prior to environment opening	UAA provisions access to EIM applications per EIM Role Matrix	AIM
<b>User connectivity check in Map Stage</b>	Users / UAA	As each user is added and cert issued	<ul style="list-style-type: none"> <li>• Pass Phrase registered</li> <li>• Certificate acquired / downloaded</li> <li>• Certificate installed</li> <li>• Access to market participant portal tested</li> </ul>	
<b>User access check in Map Stage</b>	Users	Integration testing Day in the life Market simulation	<ul style="list-style-type: none"> <li>• Access to applications</li> <li>• Ability see IDs</li> <li>• Submit and retrieve data</li> </ul>	
<b>Re-provisioning for Stage/Parallel Operations</b>	UAAs	4 to 6 weeks prior to environment opening Start of Parallel Operations in Stage	Re-provision access to Stage/Parallel Operations Remove access for testers and vendors as applicable	AIM
<b>Re-provisioning for Production</b>	UAAs	4 to 6 weeks prior to environment opening prior to Go-Live	Re-provision access to production Remove access for testers	AIM

For information on the ISO Secure File Transfer Protocol (SFTP) provisioning and setup, refer to the [ISO SFTP Provisioning and Setup Procedure](#).



## 7.0 System Access Readiness Criteria

The EIM tariff requires that certain readiness criteria are met before the EIM entity can go live in the EIM market. These criteria must be filed with FERC no less than 30 days prior to EIM activation. Readiness criterion number 17 states that all prospective EIM Entity employees who require system access to perform EIM related job functions are identified and have necessary certification. To complete this criterion, the EIM entity must have completed all access for Stage/Parallel Operations and have a plan for providing appropriate users with access to Production.

## 8.0 EIM Role Matrix

EIM Role Matrix was designed to assist the UAAs in determining which personnel or roles will perform specific activities in specific ISO applications. In addition, this matrix lays out all the IDs for both the EIM Entity (BA) transmission and merchant sides and the access to each application / data to be provisioned. The UAAs and EIM Entity teams can utilize this matrix early on to designate personnel in preparation for the MAP Stage, Stage/Parallel Operations and Production activities. A customized role matrix is provided during a Track 2 UAA scheduled training session.

## 9.0 Best Practices

- Use the EIM Role Permissions matrix as a tool for planning user access for each phase.
- At Stage/Parallel Operations, confirm whether vendors/consultants should have read only access and not read/write
- Remove testers access to the Stage/Parallel Operations environment prior to Parallel Operations