User Access Administrator (UAA) AARF & SFTP Form Reference Guide

When do I use the AARF and not AIM?
Please use the AARF for applications that cannot currently be provisioned through AIM. These applications include: ADS ACL Groups, RMR Discussion Board, TRR, and DRS.

Applications provisioned using AIM include: ADS, CIDI, CIRA, CMRI, Credit Management, CRR, CRRFNMD, DRRS, Master File, MRI-S, Protected Data/MMD, RAAM, RIMS, SIBR, Transmission Planning, and Web OMS.

The most recent version of the AARF should always be used, and can be found here, under Request Forms. Please do not use saved versions of the AARF on your hard drive, as they may be out of date.

How do I fill out the AARF?
Section 1:
Everything in this section is required to be filled out completely and submitted by an authorized User Access Administrator (UAA) on file with the ISO.

Section 2:
Certificate name, user ID, email and phone number must be filled in for every user for which access is being requested. If the request is for an endorsed user, the company name of that endorsed user must also be included.

The User ID (UID) can be found in AIM, and is auto-generated once the user has been created (see below). All users must be created in AIM and their UIDs included on the AARF. If the request is for an endorsed user, the UAA for the company that the certificate belongs to must provide you the UID for that user so that it can be entered on the AARF.
The quickest way to see the UID in AIM is to look up your user on the User tab.

Section 3:
It is important that each required field in this section be completed, missing information will cause your AARF to be returned.

**Action:** Select Add or Remove from the dropdown pick-list.

**Entity ID:** this is where you enter the SCID, or ACL group name that grants permission to the specific data you are requesting. ADS has an additional form for restricting access to the resource level.

The ADS tab only needs to be completed if you are restricting access at the resource level.

**Environment:** Select the checkbox for Production, Market Sim, or both.

**Access Role:** This tells us what role within the application the users need access to. There must be at least one role selected from the dropdown pick-list.

Several applications require NDAs and Exhibit A’s to be submitted, the links to those documents are provided in the instructions located at the top of the AARF.
How do I submit the completed AARF?
The AARF must be submitted by an authorized UAA.

If the UAA has CIDI UAA access (this allows you to view all your requests, statuses and submitted comments), then the AARF is submitted through CIDI as an AARC ticket. CIDI can be accessed through the Market Participant Portal.

Non-CIDI UAAs should submit their requests through the AAR web page: http://www.caiso.com/participate/Pages/ApplicationAccess/AccessRequestSubmittals_NonCIDIUsers.aspx
How do I fill out the SFTP Form?

Section 1:
Everything in this section is required to be filled out completely and submitted by an authorized User Access Administrator (UAA) on file with the ISO.

Section 1 Company Information: Section 1 must be completed for ALL requests. A separate form MUST be used for each account unless the company, applications, and resources needed are EXACTLY the same for all users listed.

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<thead>
<tr>
<th>Company Name</th>
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<table>
<thead>
<tr>
<th>Submitter Name</th>
<th>Email Address</th>
<th>Phone Number</th>
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For MRI-S access requests: This form MUST be submitted by a CAISO-authorized User Access Administrator (UAA). REQUESTS FOR MRI-S ACCESS MUST NOT BE SUBMITTED UNTIL THREE BUSINESS DAYS AFTER THE SCID BEING REQUESTED HAS BEEN USED TO MAKE A BID IN THE MARKET. Requests received prior to that occurring will not be accepted. For help, contact your ISO client representative.

Section 2:
An Action of Add or Remove must be selected, followed by the application needed. Please use a separate line for each environment. A valid SCID, which has been used to make a bid in the market, must be included.

Section 2 SFTP Application Access Information: Section 2 must be completed for ALL requests.

Select ADD or REMOVE. Select desired application(s) and, for MRI-S requests, enter company SCID(s).

<table>
<thead>
<tr>
<th>Add or Remove (REQUIRED)</th>
<th>Application (REQUIRED)</th>
<th>Company SCID (Leave Blank Except for MRI-S Requests)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Click here to select action</td>
<td>Click here to select application</td>
<td></td>
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<td>Click here to select action</td>
<td>Click here to select application</td>
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<td>Click here to select application</td>
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Section 3:
The account name the access is being requested for is filled in here. If the account already exists, please fill in the bottom section. For new accounts, please complete the top portion.

Section 3 Username Instructions: To add access for a NEW SFTP user, request a preferred username.

Username Rule: Use all lowercase letters. Avoid spaces, numbers, special characters, and CMA certificate names.

To add access for up to five EXISTING SFTP user accounts, specify the usernames:

1) 
2) 
3) 
4) 
5)
How do I submit the completed SFTP Form?
The AARF/SFTP Form must be submitted by an authorized UAA.

If the UAA has CIDI UAA access (this allows you to view all your requests, statuses and submitted comments), then the AARF is submitted through CIDI as an AARC ticket. CIDI can be accessed through the Market Participant Portal.

Non-CIDI UAAs should submit their requests through the AAR web page: http://www.caiso.com/participate/Pages/ApplicationAccess/AccessRequestSubmittals_NonCIDIUsers.aspx

More details on the SFTP process can be found in the SFTP User Guide.

AARFs/SFTP Forms will not be accepted via email.

All links to submit access requests can be found at the bottom of the AARFs.

How do I know when my request has been completed?
Once the request has been completed you will receive an auto-generated notification email from CIDI.
Provisioning can take up to 10 business days from the submission of a complete and accurate AARF.

How do I check the status of my CIDI case?
Please log into CIDI to view your application access request. The case status will be on the CIDI Case

<table>
<thead>
<tr>
<th>Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submitted</td>
<td>An AARF document was submitted</td>
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<tr>
<td>In Progress</td>
<td>The AARF is under review</td>
</tr>
<tr>
<td>Awaiting Client Response</td>
<td>Additional information is needed</td>
</tr>
<tr>
<td>Approved</td>
<td>The AARF has been approved and is being provisioned</td>
</tr>
<tr>
<td>Rejected</td>
<td>Request denied, explained in the comments field</td>
</tr>
<tr>
<td>Completed</td>
<td>All tasks complete</td>
</tr>
</tbody>
</table>

Helpful Links:
Application Access information page
AIM
AIM User Guide