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1. Introduction

The CIRA application will be accessible via the Market Participant Portal by clicking on the CIRA icon. CIRA provides capability for viewing the status of submitted plans and cross validation results, and the ability to view all versions of submitted RA/Supply plans.

CIRA is an external user interface that accommodates the functionality to manage CAISO’s resource adequacy needs. Providing an external user interface allows SCs to submit their annual and monthly Supply/RA Plans, obtain reports on submitted plan errors/warnings, resubmit corrected Supply and RA Plans, view submission processing status, view and download their previously accepted plans, and upload the changes back through the application. CIRA also provides LSEs and SCs the ability to view (SCs can also approve) any Specified or Non-specified replacements proposed by the LSEs via their RA plans and processed by the ISO during cross validation after the showings due date. LSEs can also view their replacement requirement and can resubmit RA plans to cover their replacement requirement. Suppliers can submit and view Outage Management Approved Replacements to cover for outages that come in beyond the showings due date.

CIRA also provides the capability for SCs and LSEs to provide flexible RA capacity information to the ISO using ‘Flex RA Capacity’ worksheets in the RA and Supply Plan templates.

New users will need to request access to CIRA by submitting an AARF request to CAISO help desk at HelpDesk@caiso.com
2. Monthly RA Showings

The ISO Resource Adequacy is made up of three criteria:
- The Local Capacity Requirements (LCR), and
- The Peak Demand and Reserve Margin requirements
- Flexible RA capacity requirements

The LCR is an annual number that is used for every compliance month. The Peak Demand and reserve margin requirement varies monthly and is applicable to the California ISO Balancing Authority Area (BAA). The Flexible RA capacity requirement also varies by month. These three requirements are the base of Resource Adequacy program. There are two categories of market participants that meet these requirements:

- Load (the Resource Adequacy plan), and
- Generation (Supply plan)

2.1 Resource Adequacy Plans

RA Plans identify the specific resources that the Load Serving Entity (LSE) is relying on to satisfy its forecasted monthly Peak Demand and Reserve Margin for the relevant reporting period. For Load Serving Entity, the Resource Adequacy Plans must be submitted pursuant to the schedule set forth in Exhibit A-2 of the reliability requirements BPM - http://bpmcm.caiso.com/Pages/BPMDetails.aspx?BPM=Reliability%20Requirements
2.2 Supply Plans

Supply Plans are an integral element in the resource adequacy process, as they represent the primary means of informing CAISO of the capacity that is designated for resource adequacy purposes for a specified month or year. Supply Plans are essentially a verification and confirmation by Scheduling Coordinators for Resource Adequacy Capacity of the information contained in Resource Adequacy Plans submitted by Scheduling Coordinators for LSEs. The Supply Plan confirms that a Scheduling Coordinator is committed to scheduling and/or Bidding the Resource Adequacy Capacity that has been reported to CAISO. The Supply Plan establishes the formal business commitment between the CAISO and Resource Adequacy Resources by confirming the status of the resource as Resource Adequacy resource. For suppliers, the Resource Adequacy Plans must be submitted pursuant to the schedule set forth in Exhibit A-2 of the reliability requirements BPM - [http://bpmcm.caiso.com/Pages/BPMDetails.aspx?BPM=Reliability%20Requirements](http://bpmcm.caiso.com/Pages/BPMDetails.aspx?BPM=Reliability%20Requirements)

2.3 Template Details

2.3.1 Download RA Plan Template

There are two ways to access RA Plan template:

1. Link to the RA Template posted on CAISO website
2. Use CIRA to download the template: [https://portal.caiso.com/cira/](https://portal.caiso.com/cira/)
Steps:
1. Navigate to the Plans Menu item and select it
2. Select RA Plan
3. Select Template to download RA template
Fill out RA Template

Admin Info worksheet

Monthly Showings: The ISO is using a single template to collect its monthly RA submissions. On the “Admin Info” worksheet, after clicking the Report Type field, select “Annual.” Fill in all other fields with the required information. Note: The Report Date must be the first date of the month for which the plan is being submitted (e.g. “01/01/2014” for January, “02/01/2013” for February) For the monthly showings, the Planning Reserve Margin is to be provided on the Admin and the system will ignore the values provided in the PRM Tab. (The PRM tab is used for the Annual showings only)

All fields are required. Under the “Admin Info” tab please fill out the following fields -

- Report Type
  - Select Monthly from drop down
- Report Date
  - For monthly submissions, provide the first day of the Compliance month (for example: “03/01/2014”)
- Name of the Load Serve Entity (LSE)
  - Enter a valid LSE name
- CAISO SCID
  - Enter a valid SCID for the LSE
- Planning Reserve Margin
- Name and Title of the person who prepared the plan.
- Primary Contact information such as name, title, valid email address, valid telephone, and valid address
- Back-Up Contact information such as name, title, valid email address, and valid telephone number.
<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>Report Type</td>
<td>Monthly</td>
</tr>
<tr>
<td></td>
<td>Report Date</td>
<td>(MM/DD/YYYY)</td>
</tr>
<tr>
<td>3</td>
<td>Name of Load</td>
<td>(Text Field)</td>
</tr>
<tr>
<td></td>
<td>Serving Entity (LSE): (SCID): (Percentage, %)</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Planning Reserve Margin (%)</td>
<td>(Text Field)</td>
</tr>
<tr>
<td>5</td>
<td>Person who prepared this RA Plan (Name): (Text Field)</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Title: (Text Field)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Primary Contact</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Name: (Text Field)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Title: (Text Field)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Address: (Text Field)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Address 2: (Optional, Text Field)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>City: (Text Field)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>State: (Text Field)</td>
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<tr>
<td></td>
<td>Zip: (Numeric)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Telephone: (Numeric)</td>
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<td></td>
<td>Email: (Text Field)</td>
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</tr>
<tr>
<td></td>
<td>Back-Up Contact</td>
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<td></td>
<td>Name: (Text Field)</td>
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<td></td>
</tr>
<tr>
<td></td>
<td>Email: (Text Field)</td>
<td></td>
</tr>
</tbody>
</table>
On the “Resources” worksheet, please fill out the following fields:

- Resource Capacity Contract Number (required). The contract ID should match with the contract ID used by the supplier.
- Resource ID (required).
- Valid MW number (required). Must be a number, 2 decimal places is the maximum. Zeros not accepted for the MW field. Null is not accepted.
- RA Capacity Effective Start Date (required).
  - Physical Resources: First day of the Month (e.g. 01/01/2013 00:00:00)
  - Import Resources: Can include subset of hours (e.g. 02/01/2013 09:00:00)
- RA Capacity Effective End Date (required).
  - Physical Resources: Last day of the Month (e.g. 03/31/2013 23:59:59)
  - Import Resources: Can include subset of hours (e.g. 02/01/2013 18:59:59).
- Capacity Designation (required).
  - D – Designated RA capacity
  - S – Specified replacement capacity
  - N – Non-specified replacement capacity
- Rank for replacement capacity
  - Leave blank for D resources
  - For S resources, provide the original D resource for which the specified replacement capacity is being provided.
  - For N resources, provide a numeric rank order in which the ISO should pick the non-specified replacement resources.
Use the “Other” worksheet to provide information about (a) Units Under Construction, (b) Liquidated Damages Contracts, (c) CAM Allocations, (d) RMR Allocations, and (e) Demand Response Allocations.

TAC information is required and cannot be blank. **New column for 2014 compliance year.** The value provided must be one of the valid CAISO TAC areas.
‘PRM for Annual RA’ worksheet

This tab may be left blank for the monthly RA process. Any values provide on this tab will be ignored for the monthly processing.

‘Flexible RA Capacity’ Worksheet

On the “Flexible RA Capacity” worksheet, please fill out the following fields:

- Resource Capacity Contract Number (required) for the flexible RA resource.
  - The contract ID should match with the contract ID used by the supplier.
- Resource ID in CAISO Master File (required) of the flexible resource.
- Flex RA Capacity (MW 00.00 No Rounding) (required)
  - Must be a number, 2 decimal places is the maximum. Zeros are not accepted for the MW field. Null is not accepted.
- Effective Start Date (mm/dd/yyyy hh:mm:ss) (required)
  - Must be the first day of the Month for the RA plan (e.g. 01/01/2015 00:00:00)
- Effective End Date (mm/dd/yyyy hh:mm:ss) (required)
  - Must be the Last day of the Month (e.g. 01/31/2015 23:59:59)
- Flexible Category (1, 2, or 3).
  - The category under which the participant chooses to claim this RA capacity under. Must be one of the following values: 1, 2 or 3

If the participant does not have any Flexible RA capacity procured for the trade month, then this tab may be left blank.

<table>
<thead>
<tr>
<th>Monthly</th>
<th>Resource Capacity Contract Number</th>
<th>Resource ID in CAISO Master File</th>
<th>Flex RA Capacity (MW 00.00 No Rounding)</th>
<th>Effective Start Date (mm/dd/yyyy hh:mm:ss)</th>
<th>Effective End Date (mm/dd/yyyy hh:mm:ss)</th>
<th>Flexible Category (1, 2, or 3)</th>
</tr>
</thead>
<tbody>
<tr>
<td>FLEX_CNTR1</td>
<td>FLEXRESOURCE_1</td>
<td>23.30</td>
<td>1/1/2015 00:00:00</td>
<td>1/31/2015 00:00:00</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>FLEX_CNTR2</td>
<td>FLEXRESOURCE_2</td>
<td>26.70</td>
<td>1/1/2015 00:00:00</td>
<td>1/31/2015 00:00:00</td>
<td>3</td>
<td></td>
</tr>
</tbody>
</table>
2.3.2 Supply Plan Template

Two ways to get the supply template:

- Use CIRA to download the template https://portal.caiso.com/cira/

Steps:
1. Navigate to the Plans Menu item and select it
2. Select Supply Plan
3. Select Template to download Supply template
2.3.3 Fill out Supply Template

‘Admin Info’ worksheet

The ISO is using one template to collect its Annual supply showings. This template is used for all months for annual supply submission. On the “Admin Info” worksheet, after clicking the Report Type field, select “Annual.” Fill in all other fields with the required information. Note: The Report Date must be the first date of the month for which the plan is being submitted (e.g. “01/01/2014” for January, “02/01/2013” for February)

The Planning Reserve Margin must remain at 0% for all SCs. This field is included in the supply plan to make it similar to the RA plan template.

- Report Type
  - Select Monthly from drop down
- Report Date
  - For monthly submissions, provide the first day of the Compliance month (for example: “03/01/2014”)
- Name of the Supplier
  - Enter a valid Supplier name
- CAISO SCID
  - Enter a valid SCID for the supplier
- Planning Reserve Margin
  - For all SCs, this field remains as 0%. This field is included in the supply plan to make it similar to the RA plan template
- Name and Title of the person who prepared the plan.
- Primary Contact information such as name, title, valid email address, valid telephone, and valid address
- Back-Up Contact information such as name, title, valid email address, and valid telephone number.
‘Resources’ Worksheet

All fields are required.

- RA contract number (required), cannot be blank and must match the contract ID used by the LSE on the RA plan
- CAISO Resource ID (required), must be a valid resource id and must be associated to the SCID in the CAISO MasterFile, cannot be blank and the contract ID must match the corresponding contract ID for the resource used by LSE on the RA plan
- RA Capacity (required) - Valid MW number. Must be a number, 2 decimal places is the maximum. Zeros not accepted for the MW field. Null is not accepted.
- RA Capacity Effective Start Date (required).
  - Physical Resources: First day of the Month (e.g. 01/01/2013 00:00:00)
  - Import Resources: Can include subset of hours (e.g. 02/01/2013 09:00:00)
- RA Capacity Effective End Date (required).
  - Physical Resources: Last day of the Month (e.g. 03/31/2013 23:59:59)
  - Import Resources: Can include subset of hours (e.g. 02/01/2013 18:59:59).
- Enter SCID of load serving entity (required)
“Flexible RA Capacity” Worksheet

On the “Flexible RA Capacity” worksheet, please fill out the following fields:

- Resource Capacity Contract Number (required) for the flexible RA resource.
  - The contract ID should match with the contract ID used by the supplier.
- Resource ID in CAISO Master File (required) of the flexible resource.
- Flex RA Capacity (MW 00.00 No Rounding) (required)
  - Must be a number, 2 decimal places is the maximum. Zeros are not accepted for the MW field. Null is not accepted.
- Effective Start Date (mm/dd/yyyy hh:mm:ss) (required)
  - Must be the first day of the Month for the RA plan (e.g. 01/01/2015 00:00:00)
- Effective End Date (mm/dd/yyyy hh:mm:ss) (required)
  - Must be the Last day of the Month (e.g. 01/31/2015 23:59:59)
- Flexible Category (1, 2, or 3).
  - The category under which the participant chooses to claim this RA capacity under. Must be one of the following values: 1, 2 or 3
- SCID of Load Serving Entity (required)

If the participant does not have any Flexible RA capacity procured for the trade month, then this tab may be left blank.

<table>
<thead>
<tr>
<th>Monthly</th>
<th>Resource Capacity Contract Number</th>
<th>Resource ID in CAISO Master File</th>
<th>Flexible RA Capacity (MW 00.00 No Rounding)</th>
<th>RA Capacity Effective Start Date (mm/dd/yyyy hh:mm:ss)</th>
<th>RA Capacity Effective End Date (mm/dd/yyyy hh:mm:ss)</th>
<th>Flexible Category (1, 2, or 3)</th>
<th>SCID of Load Serving Entity</th>
</tr>
</thead>
<tbody>
<tr>
<td>FLEX_CTR1</td>
<td>FLEX_RESOURCE_1</td>
<td>23.30</td>
<td>1/1/2015 0:00:00</td>
<td>1/31/2015 0:00:00</td>
<td>2</td>
<td>LSE1</td>
<td></td>
</tr>
<tr>
<td>FLEX_CTR2</td>
<td>FLEX_RESOURCE_2</td>
<td>26.70</td>
<td>1/1/2015 0:00:00</td>
<td>1/31/2015 0:00:00</td>
<td>3</td>
<td>LSE2</td>
<td></td>
</tr>
</tbody>
</table>
2.4 Sequence of Events at a High Level

LSEs/Suppliers submit monthly RA/Supply Plans on the last business day of of the showings due date for the compliance month. The Showings Due Date is set to T-45, thereby requiring LSEs and SCs to submit their plans 45 days prior to the start of the compliance month. All plans must be submitted through CIRA. On upload the application will check for valid resource IDs, NQC, dates, information on admin tab, other tab, PMAX, RA MWs, Peak Demand and LCR by TAC check Flexible Category etc. If plan passes validation on upload the application will accept the plan and the status is set to validation in progress. After the submittal deadline ISO will run cross validation and if there are any errors for the Supplier or LSE, or a replacement requirement for the LSE then the corresponding plan is set to resubmittal required and the LSEs/Suppliers can log in to CIRA at T-25 (25 days prior to the start of the compliance month) when the cure period starts to view all errors/ deficiencies (ISO will attempt to publish the errors and deficiencies prior to T-25, but may need the entire period on a need-basis).

If an LSE has provided Specified replacement capacity for a schedule generation outage, then the ISO will create a Specified replacement record for the LSE, in a pending status. The corresponding supplier will then have 2 days to approve or reject the pending specified replacement, before CIRA automatically rejects pending specified replacements. LSEs/Suppliers have up to 14 days from the time of notification of errors/deficiencies to fix issues and resubmit the plan through CIRA, till the end of the cure period which is set at T-11 (11 days prior to the start of the compliance month). At the end of the cure period, the ISO will validate all plans and will finalize the RA capacity values for the compliance month by T-7 and may issue a CPM if required.

After the submittal deadline ISO will run Flex cross validation and if there are any errors for the Supplier or LSE, or a Flex RA deficiency for the LSE then the corresponding plan is set to resubmittal required and the LSEs/Suppliers can log in to CIRA at when the cure period starts to view all errors/ deficiencies. LSEs may choose to procure additional flexible RA capacity to cure Flex RA deficiencies. At the end of the cure period, the ISO will validate all plans and will finalize the flex RA capacity values for the compliance month by T-7 and may issue a Flex CPM if required.
The details of the FRACMOO validation timeline are shown below.

Figure 1: Timeline of submission validation and backstop for generic RA capacity
3. Submission of Monthly RA Plan

Market participants must use the CIRA (CAISO Interface for Resource Adequacy) web application to submit RA plans for the resource adequacy monthly process for compliance month March 2014 onwards. All plans are due by T-45 for the corresponding compliance month.

Steps:
1. Navigate to the Plans Menu item and select it
2. Select RA Plan
3. Select Upload to display the Upload screen
4. Select the Submittal Type as ‘Monthly’
5. Select the Target Period Month and Year
6. Select the LSE SCID
7. Click on the Browse button to locate the RA plan to be uploaded
8. Click on ‘Upload’ to submit the RA plan
3.1 Errors on Upload of RA Plan

Below is an explanation of error messages. Every line below maps to the error message in the graphic, error messages are numbered from 1 through 11 in the graphic.

1) Two entries with same contract, resource ID, start and end dates will result in duplicate rows
2) Resource ID used must be valid CAISO master file resource ID
3) End date for RA Capacity for a physical resource should be last day of the month and ITIE should be end of the hour
4) Start date for RA Capacity for a physical resource should be first day of the month and ITIE should be start of the hour
   a. Example for physical resource – 12/01/2013 00:00:00
   b. Example for ITIE – 12/01/2013 00:00:00
5) RA MW cannot be blank, cannot be 0 and must not exceed two decimal places
   a. Blank not allowed
   b. 0 MW not allowed
   c. 0.99999999 (more than two decimal places) not allowed
6) If user selects 2015 then the start and end dates must be for compliance year 2015
7) If user selects 2015 then the start and end dates must be for compliance year 2015

8) Start date for RA Capacity in other tab should be first day of the month and LD can be start of the hour
9) End date for RA Capacity in other tab should be last day of the month and LD can be end of the hour
10) Designation in other tab cannot be blank. Every entry must have one of the following RMR, CAM, DR, LD
11) TAC in other tab cannot be blank. Every entry must have one of the following PGE,SCE,SDG
Additionally, if the Flexible Capacity Category validation fails then the following error message is displayed.

4. Submission of Monthly Supply Plan

Market participants must use the CIRA (CAISO Interface for Resource Adequacy) web application to submit RA plans for the resource adequacy monthly process for compliance month March 2014 onwards. All plans are due by T-45 for the corresponding compliance month.

Steps:
1. Navigate to the Plans Menu item and select it
2. Select Supply Plan
3. Select Upload to display the Upload screen
4. Select the Submittal Type as ‘Monthly’
5. Select the Target Period Month and Year
6. Select the SCID
7. Click on the Browse button to locate the Supply plan to be uploaded
8. Click on ‘Upload’ to submit the Supply plan
5. Download Plans

5.1 Download RA Plan

Steps:
1. Navigate to the Plans Menu item and select it
2. Select RA Plan
3. Select Download to display the download screen
4. Select the Monthly Submittal type
5. Select the Target Month and Year
6. Select the LSE SCID
7. Select version
   a. User can select latest version submitted to ISO
   b. User can select initial version submitted to ISO
   c. User can select all versions submitted to ISO
8. Click on view to view RA Plans
1. On the grid user will see LSE SCID, submittal type, plan month default is '01' for annual, plan year, submission ID – indicates the order of submission with the highest submission ID being the most recent plan.

2. Status –
a. Resubmittal required
   i. Error/deficiency associated with the plan and requires resubmission
b. Validation in progress
   i. ISO working on validating the plan
c. Closed
   i. The plan passed all validations and the plan is considered final

3. Actions –
a. Show details
   i. Will display the plan details for the RA plan submittal
      1. Download Show Type - drop down can be used to view
         a. RA resources – this is to view RA resources tab of the RA plan
         b. Credit resources – this is to view other tab of the RA plan
         c. PRM – this is to view planning reserve margin tab of the RA plan
         d. Flex RA Resources - this is to view Flexible RA Capacity tab of the RA plan
      2. Click view to see the results
      3. Export to excel, CSV or PDF format
b. Download file to save the excel file
### Download RA Plan Resources

<table>
<thead>
<tr>
<th>Submittal Type</th>
<th>M</th>
<th>Plan Month</th>
<th>10</th>
<th>Plan Year</th>
<th>2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>LSE</td>
<td></td>
<td>Submission Id</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Download Show Type</td>
<td>RA Resources</td>
<td>RA Resources</td>
<td>RA Resources</td>
<td>PRM</td>
<td></td>
</tr>
</tbody>
</table>

**View**  
- Reset

<table>
<thead>
<tr>
<th>Contract Number</th>
<th>A</th>
<th>RA Capacity MW</th>
<th>Effective Start Date</th>
<th>Effective End Date</th>
</tr>
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<td>A</td>
<td>30</td>
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<td>10/21/2014 23:59:59</td>
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</table>

[Download Screen Results]
### Download RA Plan Credit Resources

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<th>Effective End Date</th>
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<td>01/31/2014 23:59:59</td>
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</tbody>
</table>

- Download Screen Results

### Download RA Plan PRM

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<th>PRM</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>15.00</td>
</tr>
</tbody>
</table>

- Download Screen Results
5.2 Download Supply Plan

Steps:
1. Navigate to the Plans Menu item and select it
2. Select Supply Plan
3. Select Download to display the download screen
4. Select the Monthly Submittal type
5. Select the Target Month and Year
6. Select the SCID
7. Select version
   a. User can select latest version submitted to ISO
   b. User can select initial version submitted to ISO
   c. User can select all versions submitted to ISO
8. Click on view to view Supply Plans
Once the data is displayed:

1. On the grid user will see LSE SCID, submittal type, plan month, plan year, submission ID – indicates the order of submission with the highest submission ID being the most recent plan
2. Status – *new to download tab*
   a. Resubmittal required
      i. Error/deficiency associated with the plan and requires resubmission
   b. Validation in progress
      i. ISO working on validating the plan
   c. Closed
      i. The plan passed all validations and the plan is considered final
3. Actions –
   a. Show details
      i. Will display the plan details for the RA plan submittal
         1. Download Show Type - drop down can be used to view
            a. Supply plan resources – this is to view resources tab of the Supply plan
            b. Flex RA Resources - this is to view Flexible RA Capacity tab of the RA plan
         2. Click view to see the results
         3. Export to excel, CSV or PDF format
   b. Download file to save the excel file
Download Supply Plan Resources

<table>
<thead>
<tr>
<th>Contract Number</th>
<th>Resource ID</th>
<th>RA Capacity MW</th>
<th>Effective Start Date</th>
<th>Effective End Date</th>
<th>SCID of LSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>TEST2</td>
<td></td>
<td>40</td>
<td>10/01/2014 00:00:00</td>
<td>10/31/2014 23:59:59</td>
<td></td>
</tr>
<tr>
<td>TEST1</td>
<td></td>
<td>40</td>
<td>10/01/2014 00:00:00</td>
<td>10/31/2014 23:59:59</td>
<td></td>
</tr>
</tbody>
</table>

Download Flex RA Resources

<table>
<thead>
<tr>
<th>Contract Number</th>
<th>Resource ID</th>
<th>Flex RA Capacity</th>
<th>Effective Start Date</th>
<th>Effective End Date</th>
<th>Category</th>
<th>SCID</th>
</tr>
</thead>
<tbody>
<tr>
<td>FLEX_TEST</td>
<td></td>
<td>30</td>
<td>10/01/2014 00:00:00</td>
<td>10/31/2014 23:59:59</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>FLEX_TEST2</td>
<td></td>
<td>20</td>
<td>10/01/2014 00:00:00</td>
<td>10/31/2014 23:59:59</td>
<td>2</td>
<td></td>
</tr>
</tbody>
</table>
6. Validation & Reports

6.1 Validation Runs

Steps:
1. Navigate to the Validation & Reports Menu item and select it
2. Select Validations
3. Select View Results to display the list of screens that are available to the user
4. Select the Validation Run option to view the screen.
After the screen has been loaded:

1. Select Submittal Type as Month Ahead
2. Select the Target period month and year
3. Click View to display the results

6.1.1 Cross Validation Runs

Details shown on the grid are the cross validation run number, the validation type (CV in this case) submittal type M for Monthly, plan month, plan year, plans effective as of date, run start date, created by and view details which has two buttons one for viewing input and one for viewing results.
On clicking **input** the user can see the RA/Supply plans used for the corresponding cross validation run.

#### 6.1.1.1 Option 1: Cross validation Inputs screen

By clicking on the Inputs icon, the Cross Validation Inputs screen is displayed
The data grid on this screen displayed the Plan type which indicates Supply or RA Plan, SCID which is the supplier and LSE which is the load serving entity SCID. The plan ID is a unique ID for each plan and the submission ID is associated to the number of times the user submits a plan, the created date is the date on which the plan was submitted and view details icon will display the actual plan details – for RA plan it will display the RA resources, Credit resources and PRM information, for supply Plan it will display the RA resources.

If the user is an LSE, on the cross validation inputs screen only RA plan associated to that user is displayed and by using the show button the user can access the plan information. If the user is a supplier, on the cross validation inputs screen only Supply plan associated to that user is displayed and by using the show button the user can access the plan information. If the user has access to both LSE and supply side then the display includes both RA plan and Supply plan information.

Click on the View details icon for a plan to view the plan details for the corresponding plan - for RA plans it will display the RA resources, Credit resources and PRM information, for Supply plans it will display the RA resources.
6.1.1.2 Option 2: Cross Validation View Results screen
On clicking result the user can see Cross Validation RA/Supply result details for the corresponding cross validation run as well as the LSE Obligations.

Cross Validation Supply Details

![Cross Validation Supply Details](image)
On this screen user can view cross validation results errors/warnings associated to the supply plan

6.1.1.2.1 Cross Validation RA Details
On this screen user can view cross validation results errors/warnings associated to the RA plan
### Cross Validation RA Details

<table>
<thead>
<tr>
<th>Submittal Type</th>
<th>Plan Month</th>
<th>Plan Year</th>
<th>Run Num</th>
<th>LSE</th>
<th>Detail Type</th>
<th>Resource ID</th>
<th>Run Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>M</td>
<td>12</td>
<td>2013</td>
<td>961</td>
<td>-Select-</td>
<td>RA Plans</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Validation Status
- Passed

<table>
<thead>
<tr>
<th>LSE</th>
<th>RA Contract Number</th>
<th>Resource ID</th>
<th>RA Capacity (MW)</th>
<th>Effective Start Date</th>
<th>Effective End Date</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>12/01/2013 00:00:00</td>
<td>12/31/2013 23:59:59</td>
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<td></td>
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<td>12/01/2013 00:00:00</td>
<td>12/31/2013 23:59:59</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>12/01/2013 00:00:00</td>
<td>12/31/2013 23:59:59</td>
<td></td>
</tr>
</tbody>
</table>

**Download Screen Results**
6.1.1.2.2 Cross Validation LSE Obligations Details

On this screen user can view cross validation results warnings associated to RA plans. This screen notifies the LSE the RA capacity shortage in a TAC area. In the below graphic an LSE is Long by 126.5 MW in SCE TAC area. If the LSE were Short, then the Obligation Status column would show ‘Short’ instead of ‘Long’.

![Cross Validation LSE Obligation Details](image)
On completion of a cross validation run the application will set the plan status to resubmittal required if the plan has errors and SC can resubmit the plan to correct errors.

If there are errors resulting from cross validation then the SC has to fix the error on the RA plan or the Supply plan by resubmitting a correct plan else the ISO will default to Supply plan data. If the cross validation run has LCR by TAC warnings or Peak demand and reserve margin warnings then it is up to the LSE to cure the deficiency by resubmitting a revised RA plan else CAISO may enforce tariff section 43 – CPM.

6.1.2 Flex Cross Validation Runs

Details shown on the grid are the flex cross validation run number, the validation type (Flex CV in this case) submittal type M for Monthly, plan month, plan year, plans effective as of date, run start date, created by and view details which has two buttons one for viewing input and one for viewing results.
On clicking **input** the user can see the RA/Supply plans used for the corresponding flex cross validation run.

**6.1.2.1 Option 1: Cross validation Inputs screen**

By clicking on the Inputs icon, the Flex Cross Validation Inputs screen is displayed. The data grid on this screen displayed the Plan type which indicates Supply or RA Plan, SCID which is the supplier and LSE which is the load serving entity SCID. The plan ID is a unique ID for each plan and the submission ID is associated to the number of times the user submits a plan, the created date is the date on which the plan was submitted and view
details icon will display the actual plan details – for RA plan it will display the RA resources, Credit resources, PRM information and Flex RA Capacity information, for supply Plan it will display the RA resources and Flex RA Capacity information.

If the user is an LSE, on the flex cross validation inputs screen only RA plan associated to that user is displayed and by using the show button the user can access the plan information. If the user is a supplier, on the flex cross validation inputs screen only Supply plan associated to that user is displayed and by using the show button the user can access the plan information. If the user has access to both LSE and supply side then the display includes both RA plan and Supply plan information.

Click on the View details icon for a plan to view the plan details for the corresponding plan - for RA plan it will display the RA resources, Credit resources, PRM information and Flex RA Capacity information, for supply Plan it will display the RA resources and Flex RA Capacity information.
6.1.2.2 Option 2: Flex Cross Validation View Results screen
On clicking result the user can see Flex Cross Validation RA/Supply result details for the corresponding flex cross validation run as well as the LSE Obligations.

6.1.2.2.1 Cross Validation Flex Supply Details
On this screen user can view flex cross validation results errors/warnings associated to the flex supply plan
6.1.2.2.2 Cross Validation RA Details

On this screen user can view flex cross validation results errors/warnings associated to the flex RA plan
### Cross Validation RA Details

<table>
<thead>
<tr>
<th>Validation Status</th>
<th>LSE</th>
<th>RA Contract Number</th>
<th>Resource ID</th>
<th>RA Capacity (MW)</th>
<th>Effective Start Date</th>
<th>Effective End Date</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Passed</td>
<td>CT1</td>
<td></td>
<td></td>
<td>8</td>
<td>06/01/2014 00:00:00</td>
<td>06/20/2014 23:59:59</td>
<td></td>
</tr>
<tr>
<td>Passed</td>
<td>CT2</td>
<td></td>
<td></td>
<td>40</td>
<td>06/01/2014 00:00:00</td>
<td>06/20/2014 23:59:59</td>
<td></td>
</tr>
<tr>
<td>Passed</td>
<td>CT2</td>
<td></td>
<td></td>
<td>30</td>
<td>06/01/2014 00:00:00</td>
<td>06/20/2014 23:59:59</td>
<td></td>
</tr>
<tr>
<td>Passed</td>
<td>CT2</td>
<td></td>
<td></td>
<td>50</td>
<td>06/01/2014 00:00:00</td>
<td>06/20/2014 23:59:59</td>
<td></td>
</tr>
<tr>
<td>Passed</td>
<td>CT2</td>
<td></td>
<td></td>
<td>20</td>
<td>06/01/2014 00:00:00</td>
<td>06/20/2014 23:59:59</td>
<td></td>
</tr>
</tbody>
</table>

**Submit Type:** M

**Run Num:** 1242

**LSE:** Select

**Detail Type:** Flex RA Plans

**Plan Month:** 06

**Plan Year:** 2014

**Runs Effective as of:** 07/03/2014 09:39:21

**Run Comments:**
On completion of a flex cross validation run the application will set the plan status to resubmittal required if the plan has errors and SC can resubmit the plan to correct errors.

If there are errors resulting from flex cross validation then the SC has to fix the error on the RA plan or the Supply plan by resubmitting a correct plan else the ISO will default to Supply plan data. If the cross validation run has Flex Analysis warnings then it is up to the LSE to cure the deficiency by resubmitting a revised RA plan.

6.2 Flex Analysis Results
The flex analysis results screen displays the LSE’s or the LRA’s results related to the flexible RA capacity deficiency analysis. For each of the categories (Category 1, Category 2, Category 3 or Total), the entity’s obligation is compared to the qualified flexible RA capacity on the showings to determine if the entity is short or long.
6.3 View TAC Obligation

Steps:
1. Navigate to the Validation & Reports Menu item and select it
2. Select Validations
3. Select View Results to display the list of screens that are available to the user
4. Select the View TAC Obligation option to view the screen.

After the screen has been loaded:
1. Select the Target period month and year
2. Select the LSE to display the LSE’s obligations
3. Click View to display the results

The screen displays the LSE's obligations for each TAC Area, the DR, RMR and CAM Adjustments to their obligation and the LSE's final obligation for the TAC area.
6.4 **View Peak Obligation**

Steps:
1. Navigate to the Validation & Reports Menu item and select it
2. Select Validations
3. Select View Results to display the list of screens that are available to the user
4. Select the View Peak Obligation option to view the screen

After the screen has been loaded:
1. Select the Target period month and year
2. Select the LSE to display the LSE’s obligations towards Peak Demand
3. Click View to display the results

The screen displays the LSE’s obligations for the CAISO Peak Demand check, the DR, RMR and CAM Adjustments to their obligation and the LSE’s final obligation for the Peak Demand check.
6.5 TAC Results

Steps:
1. Navigate to the Validation & Reports Menu item and select it
2. Select Validations
3. Select View Results to display the list of screens that are available to the user
4. Select the TAC Results option to view the screen

After the screen has been loaded:

1. Select the Target period month and year
2. Select the LSE
3. Select the TAC (optional)
4. **Click View to display the results**

The screen displays the following:

i. TAC obligation for the corresponding TAC area
ii. Resource adequacy showing resource total
iii. Outage reduction
iv. Specified replacement increase
v. Non-specified replacement increase
vi. Final total resource MW
6.6 Peak Results

Steps:
1. Navigate to the Validation & Reports Menu item and select it
2. Select Validations
3. Select View Results to display the list of screens that are available to the user
4. Select the Peak Results option to view the screen

After the screen has been loaded:
1. Select the Target period month and year
2. Select the LSE
3. Click View to display the results

The screen displays the following:
   i. Peak obligation for the LSE
ii. Resource adequacy showing resource total
iii. Outage reduction
iv. Specified replacement increase
v. Non-specified replacement increase
vi. Final total resource MW
vii. Obligation difference

6.7 View Outage Impact

Steps:
1. Navigate to the Validation & Reports Menu item and select it
2. Select Validations
3. Select View Results to display the list of screens that are available to the user
4. Select the View Outage Impact option to view the screen
After the screen has been loaded:

1. Select the target period month and year
2. Select the LSE
3. Select the outage view (T45 for the T-45 snapshot or OTD for Outages To Date)
4. Enter a resource id to further filter the results (optional)
5. Click View to display the results

The screen displays the following:

i. LSE
ii. Resource Id
iii. RA capacity MW from the RA plan
iv. Start Date
v. End Date
vi. Designation
vii. Supplier SC Id
viii. Outage View type
ix. Date-wise break-up of the outage impact for the row

6.8 View Outage Availability

Steps:
1. Navigate to the Validation & Reports Menu item and select it
2. Select Validations
3. Select View Results to display the list of screens that are available to the user
4. Select the View Outage Availability option to view the screen

After the screen has been loaded:
1. Select the target period month and year
2. Select the LSE
3. Select the outage view (T45 for the T-45 snapshot or OTD for Outages To Date)
4. Enter a resource id to further filter the results (optional)
5. Click View to display the results

The screen displays the following:
   i. LSE
   ii. Resource Id
   iii. RA capacity MW from the RA plan
iv. Start Date
v. End Date
vi. Designation
vii. Supplier SC Id
viii. Outage View type
ix. Date-wise break-up of the outage availability for the row

6.9 View Committed RA Capacity

Steps:
1. Navigate to the Validation & Reports Menu item and select it
2. Select Validations
3. Select View Results to display the list of screens that are available to the user
4. Select the View Committed RA Capacity option to view the screen
After the screen has been loaded:

1. Select the Target period month and year
2. Enter a Resource Id to further filter the results (optional)
3. Click View to display the results
This screen displays the committed RA Capacity for the participant’s resources for the selected month

6.10 View SC Transfer Details
Steps:

1. Navigate to the Validation & Reports Menu item and select it
2. Select Validations
3. Select View Results to display the list of screens that are available to the user
4. Select the View SC Transfer Details option to view the screen

After the screen has been loaded:

1. Select Submittal Type as Month Ahead
2. Select the Target period month and year
3. Click “Show Results” to display the results
This screen displays changes to the supplier’s plans due to the transfer of resources from one supplier to another.
7. Replacements

7.1 Approve/Reject Replacements

Steps:
1. Navigate to the Replacements Menu item and select it
2. Select the Approve/Reject Replacements option to view the screen
After the screen has been loaded:

1. Select the Replacement Type as SR for specified replacements or NR for non-specified replacements
2. Select the Target Period month and year
3. Select the Replacement Status to further filter the results (optional)
4. Select the LSE to further filter the results (optional)
5. Click View to display the results

This screen displays all the replacements for the search criteria. Participants may then select one, many or all pending replacements displayed on the screen and either approve or reject the replacements
### 7.2 View Replacement Details

**Steps:**

1. Navigate to the Replacements Menu item and select it
2. Select the View Replacement Details option to view the screen

---

After the screen has been loaded:

1. Select the Replacement Type as SR for specified replacements or NR for non-specified replacements
2. Select the Target Period month and year
3. Select the Replacement Status to further filter the results (optional)
4. Select the LSE to further filter the results (optional)  
5. Click View to display the results

This screen displays the specified and non-specified replacements details for the selected search criteria. Click on the “Outage Info” link to see the outage information for the Original Resource, as shown below:

### 7.3 OM Replacements

**Steps:**

1. Navigate to the Replacements Menu item and select it
2. Select the OM Replacements option to view the screen

After the screen has been loaded:

1. Select the Target period month and year
2. Click “Show Outages” to display the results

This screen displays the outages that the user may select and provide OM replacements for.

The user may search for resources to be used as the replacement resource. Checking-off the “third party” check box will include third part resources in the list of resources displayed. For the user’s own resources, the “RA Info” and “Outage Info” links will be enabled, while they will be disabled for third party resources.
Click on the “RA Info” link to display the following screen for RA information
Click on the Outage Info link to display the following screen for outage details
Back on the Outages main screen, select one of the outages in the upper grid of the screen to display the daily Outage Impact to RA for the resource for the outage.

Select a resource to use as the replacement resource and click on the ‘Add Resource” button. This will add the resource to the bottom grid. (Note: multiple resources may be used as replacements for an outage, by clicking on “Add Resource”
for multiple resources. See screenshot below). The SC may remove a resource from the bottom grid by clicking on the “Remove” button.

For each of the selected resources, the Available MW, Non-RA capacity, Eligible Capacity and Replacement MW fields are displayed.

The Replacement Capacity MW is an editable field and the SC must provide the MW to be used on the resource for the replacement MW for each day. Once all the information is complete, click on the “Show Summary and Checkout” button at the bottom of the screen, to navigate to the Summary screen shown below.
Review the information on this screen and provide comments/description if desired (optional) and then click Submit to submit the request to the ISO, or click Back to go the prior screen and make further modifications.
7.4 Approve/Reject OM Replacements

Steps:
1. Navigate to the Replacements Menu item and select it
2. Select the Approve/Reject OM Replacements option to view the screen
After the screen has been loaded:

1. Select the Target period month and year
2. Check the “Show Pending” check box to show pending requests only. (optional)
3. Click “Show Requests” to display the results

Once the results are displayed:

1. Select the Outage Id in the upper grid to show the replacement details for the outage id
2. For the resource on outage, the RA information and Outage information are visible by clicking on the corresponding links next to the Outage Id.
3. For the replacement resource, the RA information and Outage information are visible by clicking on the corresponding links next to the replacement resource.
4. If there are pending replacements for which the logged in SC is the third party, then an Approve button will be displayed.

7.5 Replacement Requirement

Steps:
1. Navigate to the Replacements Menu item and select it.
2. Select the Replacement Requirement option to view the screen.
After the screen has been loaded:

1. Select the Target period month and year
2. Click “Show Replacement Requirements” to display the results

This screen displays the daily replacement requirement for the Supplier. Click on the Replacement Requirement for a day to display the details.
## Resource Replacement Requirements

<table>
<thead>
<tr>
<th>Day</th>
<th>Replacement Requirement</th>
<th>Resource Name</th>
<th>Outage MW Impact</th>
<th>Outage ID</th>
<th>LSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>01/13/2014</td>
<td>283</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>01/14/2014</td>
<td>283</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>01/15/2014</td>
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</tr>
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<td>01/16/2014</td>
<td>283</td>
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<td></td>
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<td>01/17/2014</td>
<td>283</td>
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