



MRTU Readiness Criteria Dashboard

June 30, 2008

This Dashboard is designed to display the status of each MRTU Readiness Criteria. Readiness Criteria status is indicated by the following color codes:

- Clear: A Readiness Criterion is clear (C) if:
 - The Readiness Criterion has not begun.
- Purple: A Readiness Criterion is purple (P) if:
 - The completion or status updates are on schedule based on the specified target due date or milestone, OR
 - A mitigating action has been implemented successfully and the Readiness Criterion is back on schedule to be completed on the specified target due date.
- Orange: A Readiness Criterion is orange (O) if:
 - One or more Readiness Components in that Readiness Criterion are not complete on the specified target due date or milestone, OR
 - A Readiness Criteria has reported risks or issues that have a potential for not allowing it to be completed on the specified target due dates or milestones.
- Blue: A Readiness Criterion is blue (B) if:
 - All Readiness Components in that category are complete.

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These readiness criteria will help the CAISO to determine the status of design elements and processes that must be in place to ensure implementation of MRTU Release 1 without undue risk to the CAISO or its Market Participants. The CAISO reserves the right to revise these criteria. The CAISO's certification of readiness to be filed with FERC 60-days prior to the proposed effective date of MRTU will be based on all information available to the CAISO including, but not limited to, status of readiness criteria, including mitigating actions, advice of Market Participants and the informed business judgment of CAISO senior management.

Integrated Market Simulation

R1: 4/30/07 - 5/18/07; R2: 5/29/07 - 7/20/07;

R3: 9/24/07 - 11/09/07; U1: 11/13/07 -12/21/07;

U2: 02/19/08- TBD; PPS: TBD

MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
BPM - 1	BPM	<p>CAISO will prepare Business Practice Manuals (BPMs), intended to contain implementation detail, consistent with and supported by the CAISO Tariff, including: instructions, rules, procedures, examples, and guidelines for the administration, operation, planning, and accounting requirements of CAISO and the markets.</p> <p>The CAISO Business Practice Manual (BPMs) will be completed and posted on the CAISO website to allow Market Participants the opportunity to review and comment on each BPM. CAISO will facilitate stakeholder review meetings to discuss critical issues. (This criterion is subject to change based on the output of the FERC Technical Conference.)</p> <p>CAISO will also establish and communicate to FERC and Market Participants a BPM change management process that describes the procedure that is used to update the BPMs after MRTU implementation.</p>		3/31/08	B		
		<p>BPM - 1.1 The "Initial Version Release" BPM requirements are complete.</p>	B	1/19/07			
		<p>1. The following "Initial Version Release" BPMs are prepared and published to the CAISO website incorporating stakeholder feedback and resolved critical issues, in preparation for Business Structure Market Simulation:</p> <ul style="list-style-type: none"> - BPM for Compliance Monitoring - BPM for Congestion Revenue Rights - BPM for Definitions & Acronyms - BPM for Market Instruments - BPM for Market Operations - BPM for Metering - BPM for Outage Management - BPM for Reliability Requirements - BPM for Rules of Conduct Administration - BPM for Scheduling Coordinator Certification and Termination - BPM for Settlements and Billing - BPM for Managing Full Network Model 	B	5/1/06 - 7/31/06		<p>The following BPMs were posted on 5/1/06: BPM for Definitions and Acronyms; BPM for Market Instruments; BPM for Market Operations; BPM for Settlements and Billing.</p> <p>The following BPMs were posted on 7/31/06: BPM for Compliance Monitoring; BPM for Congestion Revenue Rights; BPM for Definitions & Acronyms; BPM for Market Instruments; BPM for Market Operations; BPM for Metering; BPM for Outage Management; BPM for Reliability Requirements; BPM for Rules of Conduct Administration; BPM for Scheduling Coordinator Certification and Termination; BPM for Settlements and Billing; BPM for Managing Full Network Model.</p>	
		<p>2. Stakeholders are provided with opportunity to review, provide comments, and identify critical issues for each BPM.</p>	B	7/31/06 - 8/29/06		<p>Stakeholders were allowed to submit their questions / comments to the BPM In-Box up to 2 weeks prior to each BPM meeting. Stakeholder questions on each BPM and CAISO responses can be found at: http://www.caiso.com/186a/186ae8622e6f0.html</p>	

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		3. CAISO facilitates BPM review meetings for each BPM as appropriate to collect comments and discuss critical issues.	●	8/29/06 - 10/5/06		Seven organized BPM Stakeholder meetings occurred between 8/29/06 and 10/5/06. Details of each set of meetings that occurred, and which BPMs were covered can be found at: http://www.caiso.com/1872/1872e51451200.html	
		4. Revised Draft Version BPMs are posted to the CAISO website.	●	1/19/07		The following BPMs were posted on 1/19/07: BPM for Compliance Monitoring; BPM for Congestion Revenue Rights; BPM for Definitions & Acronyms; BPM for Market Instruments; BPM for Market Operations; BPM for Metering; BPM for Outage Management; BPM for Reliability Requirements; BPM for Rules of Conduct Administration; BPM for Scheduling Coordinator Certification and Termination; BPM for Settlements and Billing; BPM for Managing Full Network Model.	
		BPM - 1.2 Subsequent BPM updates due to FERC requirements & Market Simulation are further developed.	B	8/3/07			
		1. Stakeholders are provided the opportunity to review, provide comments, and identify critical issues for each of the Market Simulation Release BPMs that were posted on January 19, 2007.	●	1/19/07 - 3/2/07		A market notice was sent out on January 12, 2007 providing details to Stakeholders on how to submit comments on the revised BPMs posted on 1/19/07.	
		2. CAISO hosts Compliance Process for Business Practice Manuals call.	●	2/7/07		Conference call was held from 2:00 PM to 3:00 PM on 2/7/07.	
		3. CAISO drafts MRTU Tariff Language and posts to CAISO website along with reconciled BPMs.	●	4/2/07		All BPM revisions were posted by 6/7/07.	
		4. CAISO allows stakeholders to review and comment on BPM updates.	●	12/3/07		Individual BPM status can be found under the heading "BPM Completion Status Reports" at: http://www.caiso.com/17ba/17baa8bc1ce20.html BPMs have all been updated based on comments provided by stakeholders. As BPM modifications continue to occur, Stakeholders will have the opportunity to review and comment.	
		5. CAISO holds a conference call or meeting with Stakeholders on proposed MRTU Tariff Language.	●	4/17/07		BPM Tariff Language call was held from 1:00 PM - 4:00 PM on 4/17/07.	
		6. CAISO files additional proposed MRTU Tariff language to support BPMs and posts revised BPMs to CAISO website.	●	8/3/07		BPM Tariff Language was filed with FERC	

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		7. The FERC Technical Conference held.	●	Fall 2007		Technical Conference held 9/26 - 9/27 in Washington D.C.	
		8. The CAISO complies with all FERC Technical Conference directives. - Post all revised BPMs as a result of the FERC Technical Conference - File proposed Tariff Language.	●	11/15/07		The CAISO has posted all revised BPMs onto the CAISO website as of Nov 15th and has filed proposed Tariff Language. The following is a list of the BPMs that were revised and posted: Change Management, Compliance Monitoring, Congestion Revenue Rights, Credit Management, Definitions and Acronyms, Managing Full Network Model, Market Instruments, Market Operations, Metering, Outage Management, Reliability Requirements, Scheduling Coordinator Certification & Termination, Settlements and Billing.	
		BPM - 1.3 CAISO BPMs are sufficiently complete for the MRTU Implementation. *** Please note that BPMs marked "complete" are considered to be essentially complete; however, are subject to the outcome of the BPM Technical Conference, and any revisions required as a result of Testing or Market Simulation.	B	3/31/08		Further details on each BPM can be found under "BPM Completion Status Report" at: http://www.caiso.com/17ba/17baa8bc1ce20.html	
		BPM for Candidate CRR Holder Registration	●			Complete	
		BPM for Congestion Revenue Rights	●			Complete, revised version posted Nov 15th	
		BPM for Compliance Monitoring	●			Complete, revised version posted Nov 15th	
		BPM for Change Management	●			Complete; See Readiness Criterion BPM 1.4 for status	
		BPM for Credit Management	●			Complete, revised version posted on September 12th	
		BPM for Definitions and Acronyms	●			Complete, revised BPM posted on September 21	
		BPM for Managing the Full Network Model	●			Complete, revised version posted on Nov 15th	
		BPM for Market Instruments	●			Complete, revised version posted on Nov 15th	
		BPM for Market Operations	●			Complete, revised version posted Nov 15th	
		BPM for Metering	●			Complete, revised version posted Nov 15th	
		BPM for Outage Management	●		Complete, revised version posted on Nov 15th		

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		BPM for Reliability Requirements	●			Complete, revised version posted Nov 15th	
		BPM for Rules of Conduct Administration	●			Complete	
		BPM for Scheduling Coordinator Certification and Termination	●			Complete, revised version posted Aug 20th	
		BPM for Settlements and Billing	●			Complete, Attachment E posted on Nov 12th. * Going forward, updates and changes to this BPM will be tracked on Criterion STL 1.1.1.	
		BPM - 1.4 CAISO establishes the BPM Change Management Process; communicates the process to stakeholders; and files the BPM Change Management Process with FERC. The process establishes the procedure that is used to update the BPMs after market launch.	B	8/3/07		- Revised BPM for Change Management Process was posted on June 26. - Information on the Change Management Process can be found at: http://caiso.com/17ba/17baa8bc1ce20.html - FERC Filing over Change Management Process occurred on August 3rd. - Process will go into effect at Go Live. All updates to the BPM Change Management Process as a result of the FERC Technical Conference on Sept 27th have been posted onto the CAISO website as of Nov 15th.	
CRR-1	CRR	CAISO will conduct a market simulation phase, called the Congestion Revenue Right (CRR) Dry Run, to provide market participants and CAISO with the opportunity to step through the process of allocating and auctioning CRRs in a manner that will be similar to the process that will be used to support MRTU implementation.		3/30/07	B		
		CRR - 1.1 CRR Participants meet the eligibility requirements to participate in the CRR Dry Run.	B	8/30/06			
		1. Participants complete CRR training.	●	6/29/06			
		2. Participants receive security digital certificates.	●	8/30/06			
		CRR - 1.2 CRR Participants provide CAISO with valid, annual CRR nominations for the CRR Dry Run.	B	8/30/06			
		CRR - 1.3 CAISO completes the annual and monthly CRR allocations for the CRR Dry Run.	B	2/15/07			
		1. New CRR Participants meet eligibility requirements.	●	9/30/06			
		2. CRR Participants submit CRR nominations to CAISO.	●	10/15/06			

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		3. CAISO runs the CRR allocation markets and publishes results.	●	2/15/07		Annual results of the allocation market were published during 12/06. Monthly results from the allocation market were published on 1/16/07. This Criterion finished early.	
		CRR - 1.4 CAISO completes the annual and monthly CRR auctions for the CRR Dry Run.	B	2/15/07			
		1. New CRR Participants meet eligibility requirements.	●	9/30/06			
		2. CRR Participants submit CRR bids to CASIO.	●	10/15/06			
		3. CAISO runs CRR auction markets and publishes results.	●	2/15/07		Monthly results of the auction market were published on 1/16/07. Annual results of the auction were published on 1/26/07. This Criterion finished early.	
		CRR - 1.5 CAISO collects the results of the CRR Dry Run, prepares an informational report, and submits it to FERC.	B	3/30/07		Informational Report over Dry Run can be found at: http://www.caiso.com/1bb4/1bb4f3562b4c0.pdf	
CRR - 2	CRR	CAISO will complete the integration testing of the CRR output services. The test results will pass the Quality Review Board review.		5/1/08	P	- All CRR Broadcast Services were successfully triggered to an SOA (Service Oriented Architecture) Bus. - CRR Release 1 successfully passed Quality Review Board FAT and SAT Test review. June 2008 Update: The CRR Broadcast Services are currently in integration test.	
CRR - 3	CRR	CAISO will complete the first annual process for allocation of 1-Year CRRs and LT CRRs and for auction of 1-Year CRRs, and first monthly allocation and auction of monthly CRRs.		TBD	P		
		CRR - 3.1 CRR participants meet the eligibility requirements to participate in the CRR production market.	B	10/1/07			
		1. CRR Participants receive security digital certificates if not already received from CRR Dry Run.	●	6/29/07		All certificates requested by the Participants have been received for allocation.	
		2. CRR System is populated with collateral data from the financial group.	●	12/1/07		The CRR System was populated with collateral data from the financial group on 12/6/07.	
		CRR - 3.2 The first production run of 1) the annual process for allocation of 1-Year CRRs and LT CRRs, and for auction of 1-Year CRRs; and 2) first monthly allocation and auction of monthly CRRs are complete.	P	TBD			

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		1. Completion of Annual and Long Term Allocation Process	●	12/3/07		- Tier 1 market: 9/4 - 9/14 - complete - Tier 2 market: 10/5 - 10/9 - complete - Tier LT market: 10/29 - 10/31 - complete - Tier 3 market: 11/21 - 11/27 - complete	
		2. Completion of Annual Auction Process	●	12/18/07		- Annual Auction: 12/11 - 12/13 The Annual Auction Process completed on 12/20/07.	
		3. Completion of Monthly Allocation Process	○	TBD		- Tier 1 Monthly Allocation: TBD - Tier 2 Monthly Allocation: TBD Target completion date to be determined once Go-Live date is established.	
		4. Completion of Monthly Auction Process	○	TBD		-Monthly Auction Process Target completion date to be determined once Go-Live date is established.	
CRR - 4	CRR	CAISO will make its compliance filing with the FERC's Long-Term Transmission Rights (LT FTR) Final Rule.		1/29/07	B	Filing can be viewed at: http://www.caiso.com/1845/1845dca750770.html under the name: "CAISO Filing to FERC on Long Term Transmission Rights - 29-Jan-2007"	
ENT - 1	Enterprise Systems	CAISO will verify that its enterprise systems meet availability requirements. This will be demonstrated by establishing Service Level Agreements (SLAs) for IT support, development, and implementation of monitoring tools and achieving availability requirements during the Pre-Production Simulation (PPS).		Exit PPS	P		
		ENT - 1.1 Service Level Agreement (SLA) documents are created and signed off by the MRTU IT Director.	P	Entry PPS		Initial Drafts completed, turned over to the Operations Information Technology (OIT) team.	
		ENT - 1.2 Monitoring tools are built into each enterprise system and are used to produce performance and availability reports during PPS market simulation.	P	Entry PPS		- OS and System Monitoring completed - Application Monitoring deployment in progress	
		ENT - 1.3 Each enterprise system meets its minimum availability requirement during the PPS market simulation.	P	Exit PPS		Results will be available after the close of PPS.	
ECA - 1	External Control Area	CAISO, market participants, and external control areas agree on the new interchange and e-tagging procedures, being developed as part of the Scheduling and Tagging Next Generation (STING) project, including the new Control Area Scheduler (CAS).		1/23/07	B		

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		ECA - 1.1 100% of tags applicable to CAISO are linked by market reservation to Control Area Scheduler (CAS).	B	1/23/07		100% of the tags applicable to CAISO from the Participants are being linked through market reservation to CAS.	
		ECA - 1.2 Control Area Scheduler (CAS) is fully operational and in production.	B	1/23/07		Control Area Scheduler officially went live on Tuesday, 2/13/07 at 10:00pm.	
GO - 1	Grid Ops	CAISO grid operating procedures will be created or updated to reflect MRTU implementation. The new and revised grid operating procedures will be reviewed with market participants and external control areas.		1 Day Prior to Go-Live	P		
		GO - 1.1 CAISO Grid Operating Procedures and Emergency Procedures are reviewed. New procedures are created or existing procedures are revised for training purposes to reflect MRTU implementation.	B	5/1/08		Of 352 Operating Procedures: - 83 Operations Procedures have been identified as needing revisions for MRTU. - 47 minor Operating Procedures - 32 significant Operating Procedures will be created or withdrawn. - 4 major Operating Procedures critical for Operations Training. All Operating Procedures are complete: - 4 out of 4 Major Operating Procedures completed. - 32 out of 32 Significant Operating Procedures completed. - 47 out of 47 Minor Operating Procedures completed.	
		GO - 1.2 CAISO Grid Operating Procedures and Emergency Procedures are provided to Market Participants and External Control Areas.	B	5/1/08		The following are the 4 major operating procedures: - M-401 Day Ahead Market - M-402 Exceptional Dispatch - M-403 Real Time Market - S-326 Southern Cities April Update: All Major Operating Procedures are complete: M-401 Day-Ahead Market M-402 Exceptional Dispatch M-403 Real-Time Market	

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		GO - 1.3 The revised CAISO Grid Operating Procedures and Emergency Procedures are posted on the CAISO website.	P	1 Day Prior to Go-Live		All procedures have been completed and are ready for posting.	
INF-1	Infrastructure	CAISO will meet the MRTU system architecture requirements, including information monitoring processes and tools and availability and stability standards during market simulations.		Exit PPS	P		
		INF - 1.1 Infrastructure monitoring tools produce logs of system performance and availability during market simulations.	P	Exit PPS			
		1. Weekly up-time reports reflect that system infrastructure is available for at least the time required during each market simulation.	●	Exit PPS		- Monitoring agents deployed - Report development in process Daily Uptime/Availability Reports are generated for each Market Simulation.	
		INF - 1.2 Production environment is available and stable for 7 consecutive days (24 hours a day), excluding approved outages (emergency only), during the market simulations.	P	Exit PPS		The Production environment is available to support Market Simulations. Any required changes will result from Market Simulation testing and/or hardware modifications.	
		INF - 1.3 Archive capability is planned, tested, and accomplished in the MRTU infrastructure.	P	Exit PPS			
		INF - 1.4 Backup/Recovery and Failover/Fallback of MRTU infrastructure is planned, tested, and accomplished.	P	Exit R3 Update 2			
		1. Backup/Recovery of MRTU infrastructure is planned, tested and accomplished.	●	Exit R3 Update 2			
		2. Failover/Fallback of MRTU infrastructure is planned, tested and accomplished.	●	Exit R3 Update 2		- Creating Testing Environment - Developing Test Cases	
		INF- 1.5 The final production environment is configured for Go-Live.	P	Entry PPS		The Production environment is available to support Market Simulations. Reconfiguration may occur at the termination of the final Market Simulation in preparation for PPS.	

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		INF- 1.6 Release management processes (framework/structure) are in place prior to PPS market simulation around any changes to the code or production environment.	P	Entry PPS		Process identification in progress.	
LMP-Testing-1	LMP Testing	CAISO will perform Location Marginal Pricing (LMP) testing. The purpose of LMP testing will be to ensure that the LMP and Ancillary Service Marginal Pricing (ASMP) calculations are accurate using data and results compiled from market simulation activities, analysts track testing, and, to the extent possible, LMP Study 4.		Entry PPS	P		
		LMP Testing - 1.1 LMP and ASMP Validation in Controlled Test Environment	P	7/31/08		LMP Testing 1.1.1 -1.1.3 combined comments	LMP Testing 1.1.1 -1.1.3 combined comments
		1. LMP for a generating resource, participating load, system resource, and non-participating demand are appropriately (i) equal to, (ii) above, or (iii) below the resources bid, depending on whether the resource schedule is constrained by specific conditions.	●	7/31/08		June 2008 Update: Analysis Track Testing (ATT) effort has completed review of 100% of test cases identified for IFM, RTPD, and RTID applications. Currently, some individual test cases continue to be evaluated as new software patches become available. Next steps are : (i) complete re-testing of test cases associated with resolved variances, and (ii) publish a revised summary report.	Issue: Previously, the Readiness Criteria for LMP testing reflected a completion date of 4/30/07, and the status turned Orange (delayed) when this date passed. The 4/30 date was based on the original (out-dated) completion date for Analysis Track Testing (ATT). The original ATT schedule did not anticipate that key functionality of the IFM software would be delayed several months (namely, output of correct distribution factors from SCUC, and other critical data for LMP analysis), and also had underestimated the development time required for LECG to produce a working version of their SAS validation software. Mitigation: The Price Analysis Software has been going through Analysis Track Testing (ATT). Analysis Testing has been accomplished and resulted in approximately 80 variances from the validation of IFM and RTM applications relating to various dispatch and pricing conditions, of which approximately 71 have been resolved to date by either (a) vendor upgrades to the market software, (b) cleaning up test data used in analysis, or (c) correcting the price validation method. Closure of these variances and overall completion of the ATT schedule requires a re-run on the final IFM software (R3 SAT).
		2. ASMP for a generating resource, participating load, and system resources are appropriately (i) equal to, (ii) above, or (iii) below the resources Ancillary Service (AS) bid, depending on whether the resource AS schedule is constrained by specific conditions.	●	7/31/08			
			●	7/31/08			
		LMP Testing - 1.2 LMP and ASMP Validation under Market Simulation Environment	P	Entry PPS		LMP Testing 1.2.1 -1.2.2 combined comments	

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		1. LMP for a generating resource, participating load, system resource, and non-participating demand are appropriately (i) equal to, (ii) above, or (iii) below the resource bid, depending on whether the resource schedule is constrained by specific conditions.	●	Entry PPS		- Testing was accomplished with the start of IMS Release 2. - Daily Price Validation Processes for all markets has begun with IMS R3 and conclude prior to the start of PPS. - The goal of this effort is to accomplish comprehensive price validation for all markets within the price correction time horizon (8 days).	June Update: Issue: Full execution of these activities is significantly behind the original Target Due Date due to continued delays in completion of the Analysis Track Testing (ATT). Mitigation: This delay is mitigated by incorporation of Market Simulation results into ATT environment for validation. In so doing, validation of Market Simulation results have begun on a spot-check basis in the interim period while the price validation software and IFM software continue to mature to a point where the Market Simulation results can be validated directly.
		2. ASMP for a generating resource, participating load, and system resources are appropriately (i) equal to, (ii) above, or (iii) below the resources AS bid, depending on whether the resource AS schedule is constrained by specific conditions.	●	Entry PPS		June 2008 Update: • Direct validation of selected IFM and RTM Market Simulation solutions is currently under way. These activities are currently focusing on establishment of the data through-flow and process execution control. • Next steps include: a) Conclude ATT activities and focus all validation efforts on Market Simulation cases b) Expand Market Simulation validation scope to include all market runs (it's currently validating spot-cases only) c) Begin publication of Price Validation reporting metrics d) Install automation features to Market Simulation validation process	
LMP-PRD - 1	LMP Production	CAISO will develop and implement the Locational Marginal Pricing (LMP) validation tools, processes, and procedures necessary to support MRTU implementation.		7/1/08	P		
		LMP Production - 1.1 The LMP tool is operational and 100% of processes and procedures are completed.	P	7/1/08		June 2008 Update: IFM and RUC tools already complete. LECG is still working on the tool to analyze the 5-minute dispatch. It is still anticipated that the real-time validation tool will be completed on or around the first week of July 2008	

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MKS - 1	Market Services	CAISO will prepare an assessment of the MRTU market systems' effectiveness when responding to instances where the demand bids exceed the supply bids and post on the CAISO website.		Exit Update 2	P	<p>June 2008 Update: This Readiness Criterion is reflected in Scenario 10 of the IMS Scenario Executions. This scenario ran on June 5th for trade date 6/6/08. Initial results have been posted on the CAISO website for Market Participant review (http://www.caiso.com/1fe1/1fe1c10355590.pdf). A final report will be issued and posted on the website.</p>	
MKS - 2	Market Services	CAISO will develop post implementation evaluation criteria, including MRTU performance and operational issues, collaboratively with stakeholders for inclusion in CAISO's post-implementation performance reports.		7/31/08	P	<p>Two Stakeholder meetings have been held to identify the type criteria that would be included on post implementation reports.</p> <p>The CAISO has developed a set of MRTU Market Performance Metrics to be used in the Post Implementation evaluation report. These metrics can be found on the CAISO website on the following link: http://www.caiso.com/179d/179ddbce22760.html. The CAISO is working on compiling the list of post-evaluation criteria and will post it onto the CAISO website.</p> <p>June 2008 Update: The CAISO is in the final stages of finalizing the list of reporting metrics for the Post Implementation quarterly report. This item will be "Complete" after it is filed with FERC.</p> <p>Note: The target date was changed to reflect additional items to complete in the reporting metrics.</p>	
MS - 1	Market Systems	CAISO will create support, monitoring, and availability requirements for the MRTU market systems, including the establishment of Build Documents, Run Books and application monitoring tools.		Exit PPS	P		
		MS - 1.1 Build Documents and Run Books are created and signed off.	P	Entry PPS		Process for creating Build Docs and Run Book requirements in progress.	
		MS - 1.2 Monitoring tools are integrated and functioning in each Market System and are used to produce performance and availability logs during the Pre-Production Simulation (PPS) market simulation phase.	P	Entry PPS		Application monitoring in progress	

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R3: 9/24/07 - 11/09/07; U1: 11/13/07 -12/21/07;
U2: 02/19/08 - TBD; PPS: TBD

MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
		1. The monitoring tool is integrated with the Settlement and Market Clearing (SaMC) system.		Entry PPS		Application monitoring in progress	
		2. The monitoring tool is integrated with the Client Management Repository (CMRI) system.		Entry PPS		Application monitoring in progress	
		3. The monitoring tool is integrated with the Scheduling Infrastructure Business Rules (SIBR) system.		Entry PPS		Application monitoring in progress	
		4. The monitoring tool is integrated with the Integrated Forward Market (IFM) system.		Entry PPS		Application monitoring in progress	
		5. The monitoring tool is integrated with the Real-Time Market (RTM) system.		Entry PPS		Application monitoring in progress	
		6. The monitoring tool is integrated with the Portal system.		Entry PPS		Application monitoring in progress	
		7. The monitoring tool is integrated with the Market Quality System (MQS) system.		Entry PPS		Application monitoring in progress	
		MS - 1.3 Each Market System has met its minimum availability requirement during the PPS market simulation phase.		Exit PPS		Hardware and monitoring tools deployed to measure availability during PPS.	
		1. The SaMC system meets minimum availability requirement.		Exit PPS		Hardware and monitoring tools deployed to measure availability during PPS.	
		2. The CMRI system meets minimum availability requirement.		Exit PPS		Hardware and monitoring tools deployed to measure availability during PPS.	
		3. The SIBR system meets minimum availability requirement.		Exit PPS		Hardware and monitoring tools deployed to measure availability during PPS.	
		4. The IFM system meets minimum availability requirement.		Exit PPS		Hardware and monitoring tools deployed to measure availability during PPS.	
		5. The RTM system meets minimum availability requirement.		Exit PPS		Hardware and monitoring tools deployed to measure availability during PPS.	
		6. The Portal system meets minimum availability requirement.		Exit PPS		Hardware and monitoring tools deployed to measure availability during PPS.	
		7. The MQS system meets minimum availability requirement.		Exit PPS	Hardware and monitoring tools deployed to measure availability during PPS.		

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U2: 02/19/08 - TBD; PPS: TBD







MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
MM - Study - 1	Market Monitor Study	CAISO will complete the Final Competitive Path Assessment (CPA) after thorough review and input from stakeholders; allowing the resulting path designations to be posted to the CAISO website.		30 days prior to Market Launch	P	<p>The first set of preliminary results were published on the CAISO website under the heading "MRTU Competitive Path Assessment White Paper": A second set of preliminary CPA results was published on 10/1/07. Both reports and all other CPA information can be found at: http://www.caiso.com/docs/2005/07/01/200507011120583480.html.</p> <p>Third set of preliminary CPA results were published on 12/19/07 under the heading: CPA for MRTU Release 3 of Preliminary Results. This report can be found at: http://www.caiso.com/docs/2005/07/01/200507011120583480.html.</p> <p>The Final CPA report will be published 1 month prior to Go-Live.</p>	
MM - Study - 2	Market Monitor Study	The issue raised by LECG about a potential deficiency in the preferred Local Market Power Mitigation (Direct Mitigation) will be evaluated and will be determined not to be a significant concern.		12/31/06	B	<p>There is no indication that the LECG concern was valid for the LMPM approach that we are taking, and therefore, is not a significant concern. Report on LMPM deficiency can be found at: http://www.caiso.com/docs/2004/10/01/2004100110503422982.html</p>	
SIM - 1	Market Simulation	In advance of each of the market simulations, CAISO, with input from stakeholders, will establish entry and exit criteria. The entry and exit criteria will be posted on the CAISO website. The entry and exit criteria from each Market Simulation will be met.		Exit PPS	P		
		SIM - 1.1 The Rules Validation / Connectivity Simulation (RV/CS) phase entry and exit criteria are met.	B	Exit RV/CS		RV/CS Scorecard can be found at: http://www.caiso.com/18d2/18d292673ba0.pdf	
		SIM - 1.2 The Enhanced Rules and Connectivity Inter – SC Trade (ERC-IST) simulation phase entry and exit criteria are met.	B	Exit ERC-IST		ERC/IST Scorecard can be found at: http://www.caiso.com/1bbe/1bbe8903a0f0.pdf	

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MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
		SIM – 1.3 The Integrated Market Simulation (IMS) entry and exit Criteria are met.		Exit R2			
		SIM 1.3.1 Release 1 The Integrated Market Simulation (IMS) Release 1 (R1) entry and exit criteria are met.		Exit R1		R1 successfully exited on 5/18/07. R1 entry and exit criteria can be found in the "Market Simulation Criteria Tracker" at: http://www.caiso.com/186a/186acd53cdf0.html The R1 Scorecards can be found at: http://www.caiso.com/1bb6/1bb674bb18c90.html	
		SIM 1.3.2 Release 2 The Integrated Market Simulation (IMS) Release 2 (R2) entry and exit criteria are met.		Exit R2		R2 concluded on 7/20/07. R2 entry and exit criteria can be found in the "Market Simulation Criteria Tracker" at: http://www.caiso.com/186a/186acd53cdf0.html R2 Weekly Report Cards can be found at: http://www.caiso.com/1bb8/1bb8c03d28380.html	Release 2 was concluded with 2 outstanding High+ issues. Both issues will be resolved prior to the start of R3. September Update: Both High+ issues have been resolved in preparation for IMS R3.
		Sim 1.4 Release 3 IMS Release 3 Entry and Exit Criteria as identified in the Market Simulation Guide Book are complete with the exit of IMS Update 2.		Exit Update 2			
		SIM 1.4.1 Release 3 Integrated Market Simulation Release 3 begins.		Exit R3		- IMS Release began on 9/24/07. - IMS R3 URL Document, Charge Code, and other information can be found at: http://www.caiso.com/1bd7/1bd7ebbc72fc0.html IMS Release 3 concluded on 11/9/07.	
		SIM 1.4.2 Update 1 Integrated Market Simulation Update 1 begins.		Exit Update 1		IMS Update 1 began on 11/13/07. -IMS Update 1 URL Document, Charge Code, and other information can be found at: http://caiso.com/1c2d/1c2d9ced4aa60.html IMS Update 1 concluded on 12/21/07	

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MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
		<p>SIM 1.4.3 Update 2 Integrated Market Simulation Update 2 begins and concludes with all Exit criteria as identified in the Market Simulation Guide Book complete.</p>	P	Exit Update 2		<p>IMS Update 2 began on 02/19/08. -IMS Update 2 URL Document, Charge Code and other information can be found at : http://caiso.com/1c96/1c96acdd1d710.html</p> <p>June 2008 Update: IMS U2 continues beginning the 17th week of market simulation on June 30, 2008.</p>	
		<p>Sim - 1.5 The Pre-Production Simulation (PPS) entry and exit criteria are met.</p>	C	Exit PPS			
MOD-1	Model	CAISO will complete all updates to the Full Network Model. (FNM)		9/1/08	P		
		<p>MOD - 1.1 FNM updates are completed (except for simultaneous promotion of Markets and EMS to production) utilizing integrated databases or approved workarounds.</p>	B	6/30/07		<p>October Update: The FNM has been updated in the FIT environment and is scheduled to be included in the next phase of Market Simulation. All future model updates are planned to be promoted into the MRTU Market Simulation.</p>	Issues / Mitigating Actions:
		<p>MOD - 1.2 FNM updates are completed (including simultaneous promotion of Markets and EMS to production) utilizing integrated databases or approved workarounds.</p>	P	9/1/08		<p>June 2008 Update: • FNM model DB23 was simultaneously promoted with the markets and EMS on 6/1/08 into Update 2. This process is on track and will continue to be tested with the promotion of DB 32.</p>	

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MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
ORG - 1	Organizational Readiness	CAISO's organizational readiness tasks will be completed and the Core Business Units affirm their successful completion. Readiness tasks may include the following elements, as applicable: 1. Organizational Impact Assessment 2. Job Analysis and Design 3. Organizational Analysis and Design 4. Communication Plan 5. Knowledge Transfer Plan 6. Revised Job Descriptions 7. Revised Contingency Plan 8. Tools, Processes, and Procedures		60 Days Prior to Market Launch		June 2008 Update: Continuing to track the tasks that remain following the 5/1 goal. Business Units continue to be involved in current testing activities (Operations, IT). Business Process sign off has started and is targeted to be complete by the end of July. MRTU Application transition between the project to the Business Units and IT are targeted to be complete by July 1. All open issues are receiving the highest priority and will be completed prior to the target date.	
ORG - 2	Organizational Readiness	CAISO's organizational readiness tasks will be completed and the Non-Core Business Units affirm their successful completion. Readiness tasks may include the following elements, as applicable: 1. Communication Plan 2. Training 3. Organizational Analysis and Design 4. Communication Plan 5. Knowledge Transfer Plan 6. Revised Job Descriptions 7. Revised Contingency Plan 8. Tools, Processes, and Procedures		60 Days Prior to Market Launch		Non-Core Business Units are still on track. June 2008 Update: Continued tracking the remaining activities and deliverables for all Business Units. All MRTU tasks for Non-Core Business Units are either complete or on track for completion. There are no risks for Go-Live and progress remains good.	
ORG - 3	Organizational Readiness	CAISO will establish the tools and environments required to support the market monitoring, enforcement, and compliance functions.		60 Days Prior to Market Launch			

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MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
		<p>ORG - 3.1 All data identified by the Department of Market Monitoring (DMM) Unit as critical for market monitoring will be stored in an organized relational database, thoroughly documented, and will be made available to the Department of Market Monitoring Unit.</p>		<p>60 Days Prior to Go-Live</p>		<ul style="list-style-type: none"> Enterprise Data Repository (EDR): Project is near completion for critical (to DMM) six market applications, and further enhancements have been made by EDR Team. Delayed sync to market simulation has delayed development of monitoring system, however data are now available to proceed with development. Issues still exist with access to MQS system, regular loading of data from critical apps, interpretation of Siemens data, and availability of shift factor and transmission data that must be resolved. Initial draft of Data Dictionary is available, but documentation is dated and incomplete, making this source of information of limited use. Need updates from vendors (esp. Siemens) and assignment of data dictionary custodianship (definitions and data dictionary application) to individuals / business unit before go-live. 	<p>June 2008 Update: Most of the data availability issues have been addressed and DMM is able to continue developing monitoring system on this data. This "On Track" progress is contingent upon continued accelerated EDR progress and satisfactory resolution of the issues identified above well in advance of go-live. DMM is actively working with EDR and MRTU PMO to get issues resolved.</p>
		<p>ORG - 3.2 A core set of monitoring tools (software, indices, and reports) will be completed and functional.</p>		<p>60 Days Prior to Go-Live</p>		<ul style="list-style-type: none"> Hardware and software has been installed, software configuration complete. Data identification challenged by limited data definitions and access to SMEs, however is on track. Metric development and production has begun, but is behind schedule due to incomplete data and lack of data documentation. A base set of metrics is functional, with gaps in CRR and DEB diagnostics that s/b addressed by change requests to EDR and additional work by DMM. Additional metrics are required as well. <p>June 2008 Update:</p> <ul style="list-style-type: none"> Now have access to Mkt Sim U2 data for critical (to DMM) applications. Metric development and production continues, with testing of base metrics on U2 data and development of additional metrics to begin in early July. 	

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MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
		ORG - 3.3 A Market simulation tool (the MRTU Sandbox / DMM Tool) that is based on the actual CAISO market software will be developed and tested by the CAISO MRTU Team and made available to the Department of Market Monitoring (DMM) Unit three months prior to Go Live.	P	90 Days Prior to Go-Live		<ul style="list-style-type: none"> DMM Sandbox is on site and in use in the MRTU Testing environment. There have been significant reliability issues with this system that have rendered the system of limited use to date. IT / PMO are aware of issues and the need to resolve quickly and have committed to allocate resources to work through issues with DMM staff. <p>June 2008 Update: Progress on the MRTU Standalone environment in terms of reliability and usability are in progress, and IT/PMO have committed to make resources available in June to assist in resolution. Patches have been installed and the environment can now run save cases with the data provided from IMS. However, a key business requirement of this system is to be able to re-run the market with modifications</p>	
PRT - 1	Participant Readiness	CAISO will monitor the "readiness" of the market participants through a series of MRTU Readiness Assessments to assist in ensuring that at least 80% of the active CAISO market participants including those that meet significant CAISO demand requirements are "Ready" prior to market launch. The assessment criteria will include people, process, and technology areas of readiness.		30 Days Prior to Market Launch	P		
		PRT - 1.1 80% of the market participants including those that meet significant CAISO demand requirements complete the Initial Baseline Assessment.	B	1/31/07		81% of Market Participants including those that meet significant CAISO demand completed their assessments.	
		PRT - 1.2 80% of the market participants including those that meet significant CAISO demand requirements complete the First Follow-Up Assessment.	B	7/31/07		100% of Market Participants completed their assessments.	
		PRT - 1.3 80% of the market participants including those that meet significant CAISO demand requirements achieve a "READY" score on Final Assessment.	C	30 Days Prior to Market Launch		The CAISO will conduct the Final MRTU Assessments in August. A Pre-Final Assessment was sent to Market Participants on June 3, 2008. Information received is being evaluated to identify gaps and actions to ensure readiness.	

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MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
PRT - 2	Participant Readiness	CAISO will monitor and record overall issues during each Release (and update) of Integrated Market Simulation (IMS), resolve any issues that hinder meeting the pre-defined release objectives and all for Market Participant testing time.		Exit R3 Update 2	P		
		<p>PRT - 2.1 Release 2 - Resolution of all high priority issues that hinder the pre-defined release objectives and allow for Market Participant testing time.</p>	B	Exit R2		<p>- Settlement files to-date have not met Market Participant expectations and requirements for testing. - All R2 in-scope activities are not yet available. - R2 Simulation concluded without simulation success from a product testing and business process point of view. - There were two High+ issues that prevented participants from meeting the objectives for Release 2. There were also two High+ issues with Market Test status. IMS R2 was concluded. The Market Simulation team and the PMO are currently discussing steps to resolve the open issues.</p>	<p>August Update: 2 High + Issues (2472, 2475) interfered with Market Participants being able to successfully participate in and achieve all the goals of IMS R2. Both issues (2472, 2475) are expected to be resolved prior to the start of Release 3 towards the end of September 2007. September Update: Both SaMC-related issues (2472, 2475) have been resolved by the SaMC Team in preparation for the start of IMS R3 on 9/24/07.</p>
		<p>PRT - 2.2 Release 3 (includes Updates 1 & 2) - Resolution of Critical and Very High priority issues that hinder the pre-defined release 3 objectives and allow for Market Participant testing time.</p>	P	Exit Update 2		<p>All Critical and Very High issues are being resolved as they arise. A weekly Status and Issue report is posted on the CAISO website at : http://www.caiso.com/1bd7/1bd7ebbc72fc0.html#1c6011d9c6cd70.</p>	
REG - 1	Regulatory	CAISO's MRTU regulatory requirements will be completed, including tariff updates and filings.		60 - 90 days prior to go-live	P		
		<p>REG - 1.1 CAISO completes tariff updates and other necessary filings such as additional non- substantive compliance or 205 filings (e.g. clean ups, deferred maintenance, merger of S&R tariff amendments into MRTU (e.g. Credit policy)) and files them with FERC.</p>	P	60 - 90 days prior to go-live		<p>June 2008 Update: On track to file remaining substantive tariff amendments and known compliance filings 60-90 days prior to Go Live.</p>	

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MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
		REG - 1.2 BPM updates are consistent with MRTU tariff and applicable FERC orders.	B	60 - 90 days prior to go-live		Revised BPMs were posted on November 15 consistent with FERC orders and MRTU Tariff on file. Additional proposed tariff language were also filed on November 15. The CAISO has satisfied BPM-related FERC directives.	
		REG - 1.3 All substantive compliance filings and substantive 205 filings are filed with FERC.	B	180 Days Prior to Market Launch		On 8/3/07, all compliance items that required filing no later than 180 days prior to Go Live from the 9/21, 4/20, and 6/25 FERC Orders, were submitted to FERC. -The initial scope of this criterion was satisfied on 8/3/07. An extension on two filings (LAP Clearing, and RA Backstop) in scope for this criterion will be tracked on criterion REG - 1.1.	
SE - 1	State Estimator	The purpose of the State Estimator (SE) criteria is to provide a measurement to evaluate the stability of the SE system and solution for MRTU. This category will monitor the State Estimator performance, voltage accuracy, and difference from telemetered flows on tie lines and branches that are within a predefined criteria: 1. SE solution must be achieved for 97% of five minute periods within a 30 day period. 2. SE voltage must be within 2% of metered voltage on 50 critical buses. 3. SE MW flow must be within 50MW or 5% of telemetered flow on 10 tie lines to outside CAISO. 4. SE flows on transmission lines and transformers must be within 10% of telemetered flows on all other branches within the CAISO footprint.		6/1/07	B		

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MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
		<p>SE - 1.1 Real-Time Performance Criteria – For thirty (30) consecutive days a Valid State Estimator solution is achieved for ninety-seven percent (97%) of the five (5) minute periods within that thirty (30) day period. There are no more than three (3) consecutive five (5) minute periods without a valid solution (except when there is a planned system software migration as required by the Energy Markets project or when ICCP data is unavailable due to remote CA ICCP node errors). Valid solution are defined as one converged solution in a 5 minutes period using converge tolerance of 10 MW/ MVAR and maximum 'Zero-Injection' bus mismatch of 25 MW/MVAR inside the State Estimator solution within the California ISO Market footprint.</p>	B	6/1/07		Criteria is complete	
		<p>SE - 1.2 On fifty (50) buses where voltage is deemed critical, the solved State Estimator voltage is within two percent (2.0%) +/- accuracy of the metered voltage, provided that the metered voltage is measured to within the notified accuracy. The fifty (50) critical buses are defined by the California ISO with Transmission Owner input and include at least one bus in each control area that is inside the observable California ISO market footprint. All buses (elements) are inside the observable California ISO Market model.</p>	B	6/1/07		Criteria is complete	
		<p>SE - 1.3 On ten (10) tie lines to outside of the California ISO System, the absolute difference between the telemetered flow and the State Estimator MW flow is within fifty (50) MW or five percent (5%) for lines 100kv and above, of the base rating. The ten (10) tie lines are defined by California ISO, with Stakeholder input. All tie lines (elements) are inside the observable California ISO Market model.</p>	B	6/1/07		Criteria is complete	
		<p>SE - 1.4 On all other branches (>100kV) within the California ISO footprint, the absolute difference between the telemetered flows and the State Estimator flows on transmission lines and transformers are within ten percent (10%) of the base rating. All other branches (elements) are inside the observable California ISO Market model.</p>	B	6/1/07		Criteria is complete	
STL- 1	Settlements	CAISO will complete a Settlement and Market Clearing (SaMC) audit. The purpose of the audit will be to ensure that the SaMC software performs as defined in the CAISO MRTU Tariff.		1 Day Prior to Market Launch	P		
		<p>STL - 1.1 CAISO completes the following activities to ensure consistency:</p>	P	Entry PPS			
		<p>1. Validation that the BPM for Settlements & Billing is consistent with the requirements that are identified in the CAISO MRTU Tariff.</p>	●	Entry PPS		Updated Settlements BPM was posted on the CAISO website on 11/15/07 and reflect changes requested through the 9/27/07 FERC Technical Conference.	

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

MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
		2. Validation of the consistency between the Settlement BPM and the SaMC design documents.		Entry PPS		This process is on going for PWCP test audit sign off.	
		STL - 1.2 An audit by an independent firm that validates the consistency of the SaMC software with the CAISO tariff is completed per the tariff timeline.		1 Day Prior to Market Launch		The audit began in October 2007 and is scheduled to be completed by the end of IMS Update 2.	
STL- 2	Settlements	CAISO will test and implement its final settlement charge code configuration. The final configuration must include required changes from market simulation activities, the Grid Management Charge (GMC), and any changes arising from the 9/21/06, 4/20/07, 5/8/08, 6/25/07, and 7/6/07 FERC Orders.		Entry PPS		<p>Team is revising test cases from the previous release; and requirements have been updated from the SaMC August release. The GMC aspect of this Criterion should be complete by early October, although there is a possibility of policy-related items causing a minor delay in completion of the other Charge Types.</p> <p>Charge types have been rolled out during Update 1 and will continue to be rolled out into Update 2 of IMS. To date, 29 out of 148 charge types have been validated from Bid to Bill. Once a significant number of charge types have been validated from Bid to Bill, this criterion will be moved to 'On Track'.</p> <p>A list of the charge types validated from Bid to Bill can be found on the CAISO website under the heading "Daily Charge Code Status" at: http://www.caiso.com/1c2d/1c2d9ced4aa60.html#1caacdff53ca0</p>	

Integrated Market Simulation

R1: 4/30/07 - 5/18/07; R2: 5/29/07 - 7/20/07;
R3: 9/24/07 - 11/09/07; U1: 11/13/07 -12/21/07;
U2: 02/19/08 - TBD; PPS: TBD

MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
STL- 3	Settlements	CAISO will publish accurate and complete settlement statements and invoices during Update 2 of the Integrated Market Simulation phase. The published statements and invoices will be consistent with market participants activities during Update 2 of the Integrated Market Simulation phase.		Exit Update 2		At the conclusion of Update 1, 29 Charge Types have been validated from Bid to Bill. During IMS U2, additional Charge Types will be validated and settlement statements and invoices will be published. A list of the charge types validated from Bid to Bill can be found on the CAISO website under the heading "Daily Charge Code Status" at: http://www.caiso.com/1c2d/1c2d9ced4aa60.html#1caacdff53ca0	- During IMS Release 2, Participants experienced issues with the Integration Process and Charge Code Configuration. IMS R3 started with 13 Charge Types that were validated from Bid to Bill by the CAISO. Settlement Guides were provided for these Charge Types. During IMS Update 1, 29 charge types were validated from Bid to Bill. It is important to note that the Settlement system still calculates all the Charge Types designed for MRTU Go Live (148). As IMS progresses and other CAISO systems are integrated into Market Simulation and the appropriate payloads are available, more Charge Types will be validated from Bid to Bill.
TECH - 1	Technology	The Technical Operational Readiness Testing (ORT) exit criteria will be satisfied and approved by the CAISO Business Owners and the Director of MRTU IT. ORT exit criteria will include: 1. Successful completion of high availability testing. 2. Fault tolerance and failover/fallback testing. 3. Load and Performance Testing.		Entry PPS		Operational Readiness Testing is in progress.	
TST - 1	Testing	Performance Testing criteria for the IMS Releases 1-2 and Release 3 (including Updates 1 and 2) of Market Simulation will be met as defined in the Performance Test approach document.		Entry Update 2			
		TST - 1.1 Performance Testing entry and exit criteria are met for Release 1 of the Integrated Market Simulation.		Entry R1		R1 Performance testing is completed and has passed QRB review.	
		TST - 1.2 Performance Testing entry and exit criteria are met for Release 2 of the Integrated Market Simulation.		Entry R2		R2 Performance testing is completed and has passed QRB review.	
		TST - 1.3 Performance Testing entry and exit criteria are met for Release 3 of the Integrated Market Simulation.		Entry R3		R3 Performance testing is completed and has passed QRB review.	
		TST - 1.4 Performance Testing entry and exit criteria are met for Update 1 of Market Simulation.		Entry Update 1		The CAISO has performed Performance testing needed to enter into IMS Update 1. As a result, this criterion is marked as 'Complete'	

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Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
		TST - 1.5 Performance Testing entry and exit criteria are met for Update 2 of Market Simulation.	B	Entry Update 2		Update 2 Performance testing is completed and has passed QRB review.	
TST - 2	Testing	Integration Testing criteria for the IMS Releases 1-2 and Release 3 (including Updates 1 and 2) of Market Simulation will be met as defined in the Performance Test approach document.		Entry Update 2	P		
		TST - 2.1 Integration Testing entry and exit criteria are met for Release 1 of the Integrated Market Simulation. * This is integration testing to get into Market Simulation.	B	Entry R1		R1 Integration testing is completed and has passed QRB review.	
		TST - 2.2 Integration Testing entry and exit criteria are met for Release 2 of the Integrated Market Simulation. * This is integration testing to get into Market Simulation.	B	Entry R2		R2 Integration testing is completed and has passed QRB review.	
		TST - 2.3 Integration Testing entry and exit criteria are met for Release 3 of the Integrated Market Simulation. * This is integration testing to get into Market Simulation.	B	Entry R3		R3 Integration testing is completed and has passed QRB review.	
		TST - 2.4 Integration Testing entry and exit criteria are met for Update 1 of Market Simulation. * This is integration testing to get into Market Simulation.	B	Entry Update 1		Update 1 Integration Testing is completed and has passed QRB review.	
		TST - 2.5 Integration Testing criteria are met for Update 2 of Market Simulation.	P	Entry Update 2		June 2008 Update: Integration testing continues for additional functionality.	

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MRTU Readiness Criteria Dashboard

Readiness Criterion Identifier	Readiness Category	Readiness Criterion	Criterion Component Status	Target Due Date / Market Simulation Phase	Overall Category Status	Documentation and Comments	Issues and Mitigating Actions
BUS- BA - 1		<p>All MRTU systems will meet the business requirements and pass the Business Unit review. Acceptable manual workarounds will be identified for systems that do not satisfy the required business functions.</p> <ol style="list-style-type: none"> 1. The Settlement and Market Clearing (SaMC) system will pass Business Unit review. 2. The Scheduling Infrastructure Business Rules (SIBR) system will pass Business Unit review. 3. The Integrated Forward Market (IFM) system will pass Business Unit review. 4. The Real-Time Market (RTM) system will pass Business Unit review. 5. The Operational Meter Analysis and Reporting (OMAR) system will pass Business Unit review. 6. The Master File will pass Business Unit review. 7. The Open Access Sametime Information System (OASIS) system will pass Business Unit review. 8. The Participant Intermittent Resource Program (PIRP) system will pass Business Unit review. 9. The Automated Dispatch System (ADS) system will pass Business Unit review. 10. The Reference Level Calculator (RLC) system will pass Business Unit review. 11. The Existing Transmission Contract Coordination (ETCC) system will pass Business Unit review. 12. The Compliance Automation Production System (CAPS) will pass Business Unit review 13. The Scheduling and Logging in California (SLIC) system will pass Business Unit Review. 14. The Market Quality System (MQS) system will pass Business Unit Review. 15. The Control Area Scheduling (CAS) system will pass Business Unit Review. 16. The Automated Load Forecast System (ALFS) will pass Business Unit Review. 17. The RMR Automated Validation Engine (RAVE) will pass Business Unit Review. 18. The Full Network Model (FNM) will pass Business Unit Review. 19. The PTR will pass Business Unit Review. 20. The Energy Management System (EMS) will pass Business Unit Review. 21. The Market Definition Service (MDS) system will pass Business Unit Review. 		60 days prior to go-live	P	<p>June 2008 Update: Application Transition sign off are in progress for all MRTU Applications and is targeted to be complete by July 1.</p>	
BUS- BA - 2	Business Approval Business Area	<p>CAISO will submit to FERC its readiness certification based upon the following information:</p> <ol style="list-style-type: none"> 1. Review of all readiness criteria 2. All Market Participant input through the assessment process 3. Resolution of critical high issues 4. Completion of cutover and reversion plans 5. Completion of contingency plans 6. Completion of cutover walkthrough 7. 60 Day Plan 		60 days prior to go-live	P	<p>June 2008 Update: The CAISO will align the 60 Day Certification with the Fall Go-Live date once that is established.</p>	

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