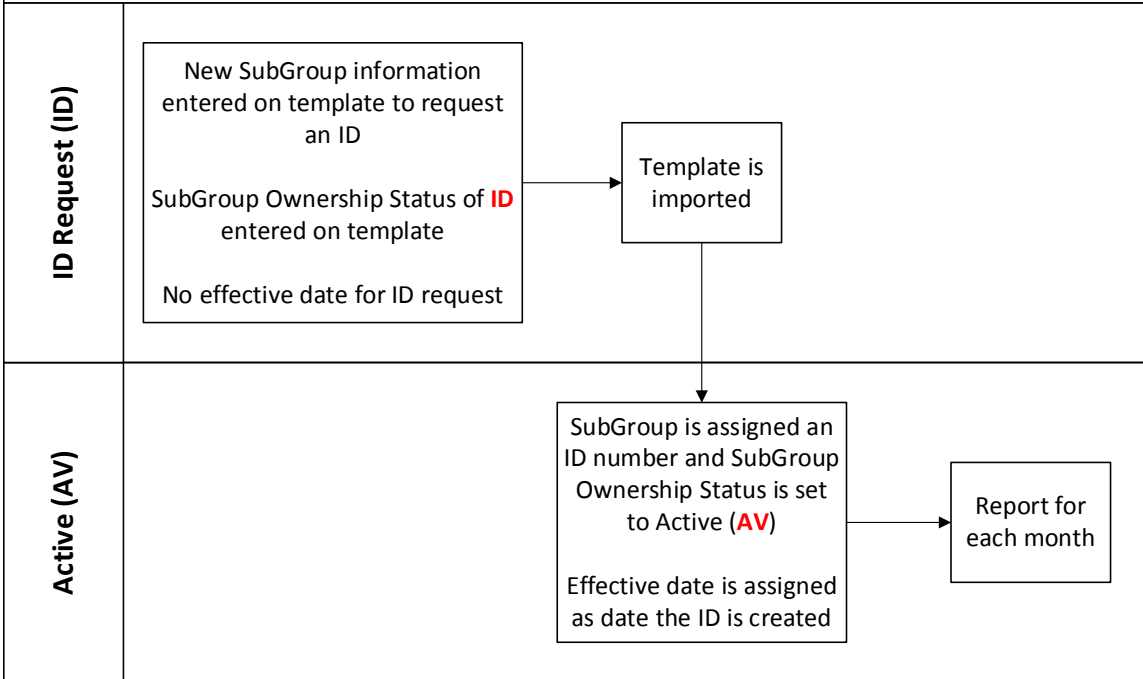- Sub-Group Ownership Status
- Ownership Status Processes
  - Register a Sub-Group
  - Update Sub-Group Configuration Data
  - Deactivate a Sub-Group
  - Reactivate a Sub-Group
  - Transfer a Sub-Group: Seller, System, Buyer
  - Retire a Sub-Group

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- Sub-Group Ownership Status is used to manage the Sub-Group directly through the GADS Wind Reporting Application
- The Sub-Group Ownership Status field on the Sub-Group template provides the application with information about what action is requested for the sub-group
- The Sub-Group Ownership Status is different from the operating status that is reported on performance records for a sub-group

Sub-Group Ownership Status Types

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Code	Action	Description	Assigned By
AV	Active	Identifies that the Sub-Group is in an active ownership state, even when the Performance Status defines an inactive state of operation	User or System
DV	Deactivated	Identifies a Sub-Group is being put into a dormant state	User
ID	ID Request	Identifies request for a new Sub-Group ID • This is the only Sub-Group Ownership Status where the Sub-Group ID is left blank	User
PE	*Pending*	Indicates that a Sub-Group has been transferred to an entity and the buying entity has not updated the Sub-Group configuration data • This status may not be submitted by a user; it is only assigned by the system	System
RV	Reactivate	Identifies a request to reactivate a Sub-Group in a Deactivated state of ownership	User
RT	Retired	Identifies the effective date for which a Sub-Group is no longer operational due to permanent retirement	User
TR	Transfer	Identifies a request to transfer ownership of a Sub-Group	User

Register a New SubGroup

Initial SubGroup Status: none

ID Request (ID)

New SubGroup information entered on template to request an ID

SubGroup Ownership Status of **ID** entered on template

No effective date for ID request

→ Template is imported

Active (AV)

SubGroup is assigned an ID number and SubGroup Ownership Status is set to Active (**AV**)

Effective date is assigned as date the ID is created

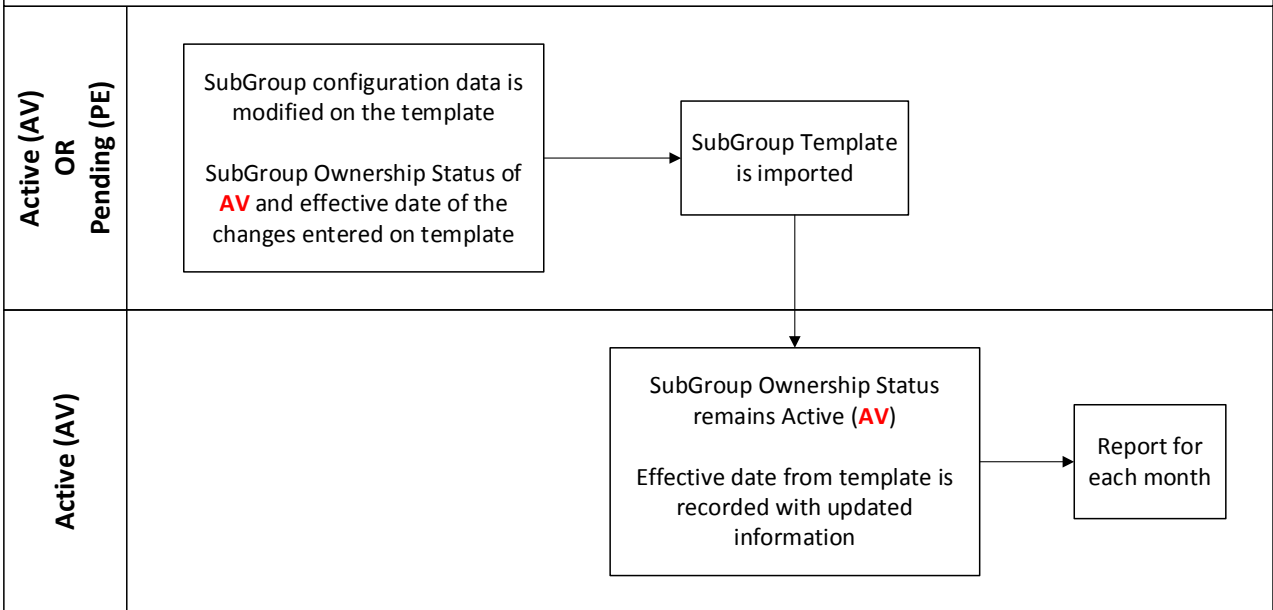→ Report for each month

- The user enters **ID** (ID Request) in the ***SubGrpOwnStatus*** column of the Sub-Group template when a new Sub-Group ID is required
  - This is the only Sub-Group Ownership Status process where the Sub-Group ID and effective date are left blank
- After validation, the system generates a Sub-Group ID for the Sub-Group and assigns the Sub-Group Ownership Status of **AV** (Active) to the Sub-Group ID
  - A view/export of Sub-Group IDs is available
- <u>Important:</u> The Sub-Group ID Request process is <u>not</u> to be used to request a Sub-Group ID to begin reporting for a Sub-Group (or Plant) that was purchased from another entity
  - Refer to Sub-Group Transfer Process

Update SubGroup Configuration Data

Initial SubGroup Status: Active (AV) or Pending (PE)

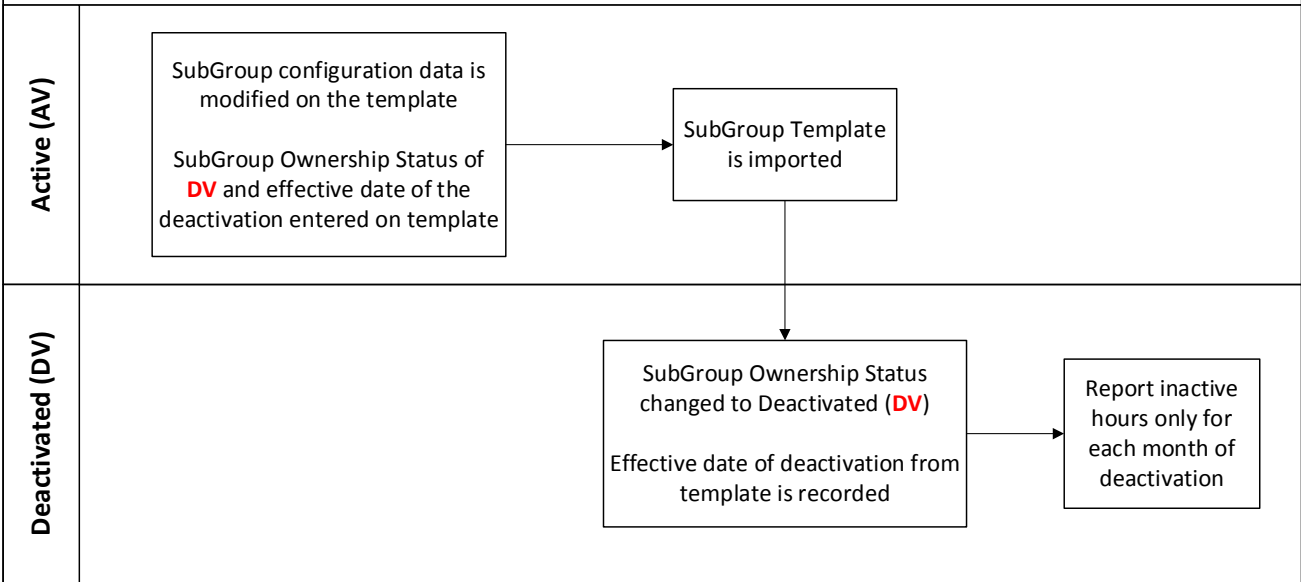|	
Active (AV) OR Pending (PE)	SubGroup configuration data is modified on the template → SubGroup Template is imported
	SubGroup Ownership Status of **AV** and effective date of the changes entered on template
Active (AV)	SubGroup Ownership Status remains Active (**AV**) → Report for each month
	Effective date from template is recorded with updated information

- The user enters **AV** (Active) in the *SubGrpOwnStatus* column of the Sub-Group template
- The user changes the Sub-Group configuration data as applicable
  - An effective date is required and may not be in the future
- After validation, the system updates the configuration data changes for the Sub-Group ID
  - An view/export of Sub-Group Configuration Data is available
- <u>Important:</u>
  - For an update, the Sub-Group Ownership Status does not change
  - Sub-Group Configuration Data may be updated at any time

RELIABILITY | ACCOUNTABILITY

Deactivate Existing SubGroup

Initial SubGroup Status: Active (AV)

Active (AV)

SubGroup configuration data is modified on the template

SubGroup Ownership Status of **DV** and effective date of the deactivation entered on template

→

SubGroup Template is imported

Deactivated (DV)

SubGroup Ownership Status changed to Deactivated (**DV**)

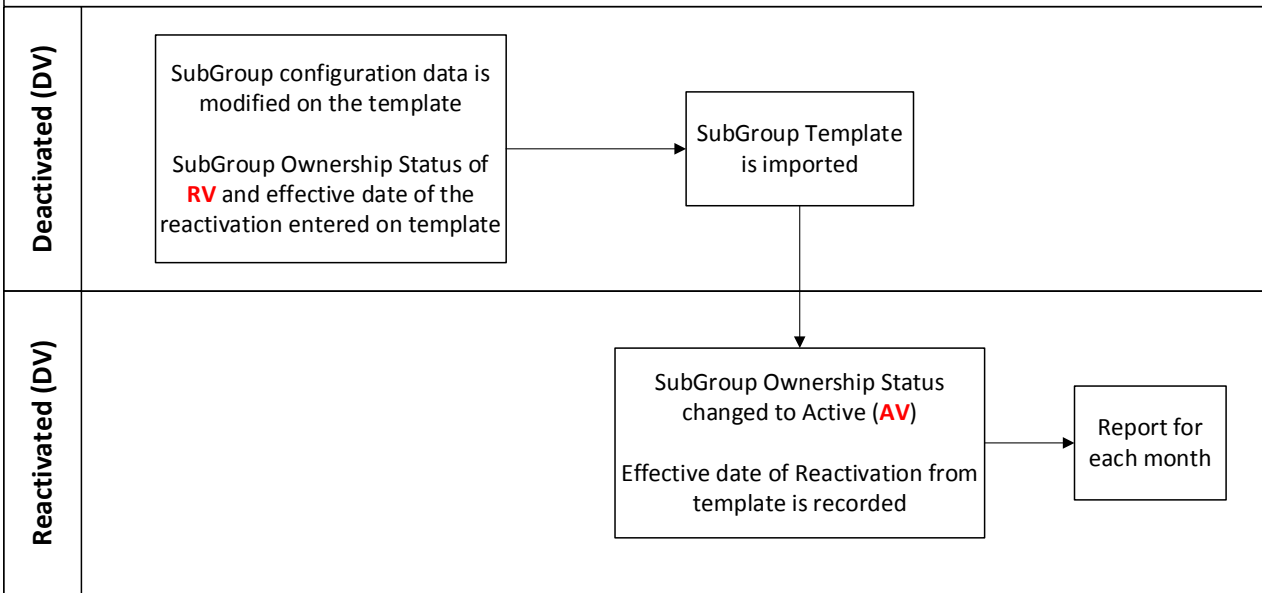Effective date of deactivation from template is recorded

→

Report inactive hours only for each month of deactivation

- The user enters **DV** (Deactivated) in the ***SubGrpOwnStatus*** column of the Sub-Group template when all wind turbines in the Sub-Group have been reported in an Inactive state for more than sixty (60) days
  - The effective date of the deactivation may not be in the future

- After validation, the system assigns the Sub-Group Ownership Status of **DV** (Deactivated)

- Important:
  - A Sub-Group ID must be Active to be Deactivated
  - When a Sub-Group is Deactivated, reporting is still required, however only Inactive State values may be reported on Performance and Component Outage records

Reactivate Existing SubGroup

Initial SubGroup Status: Deactivated (DV)

Deactivated (DV)

SubGroup configuration data is modified on the template

SubGroup Ownership Status of **RV** and effective date of the reactivation entered on template

SubGroup Template is imported

Reactivated (DV)

SubGroup Ownership Status changed to Active (**AV**)

Effective date of Reactivation from template is recorded

Report for each month

11

- The user enters **RV** (Reactivated) in the *SubGrpOwnStatus* column of the Sub-Group template when any wind turbines in the deactivated Sub-Group begin operating
  - The effective date of the reactivation may be in the future
- After validation, the system assigns the Sub-Group Ownership Status of **AV** (Active)
- Important: Performance data is expected for all required fields beginning with the month that the reactivation became effective

Sell (Transfer) a SubGroup

Initial SubGroup Status: Active (AV)

Active (AV)	SubGroup configuration data is modified on the template
	SubGroup Ownership Status of **TR** and effective date of the sale (transfer) entered on template

SubGroup Template is imported by the Seller

Transfer (TR)

SubGroup Ownership Status for Seller changed to Transfer (**TR**)

Effective date of Transfer from template is recorded

Final report by Seller for month in which SubGroup is sold (transferred)

Pending (PE)

System creates a SubGroup record for Buyer with Ownership Status of Pending (**PE**)

Effective date of Transfer from template is recorded

(Refer to Purchase a SubGroup)
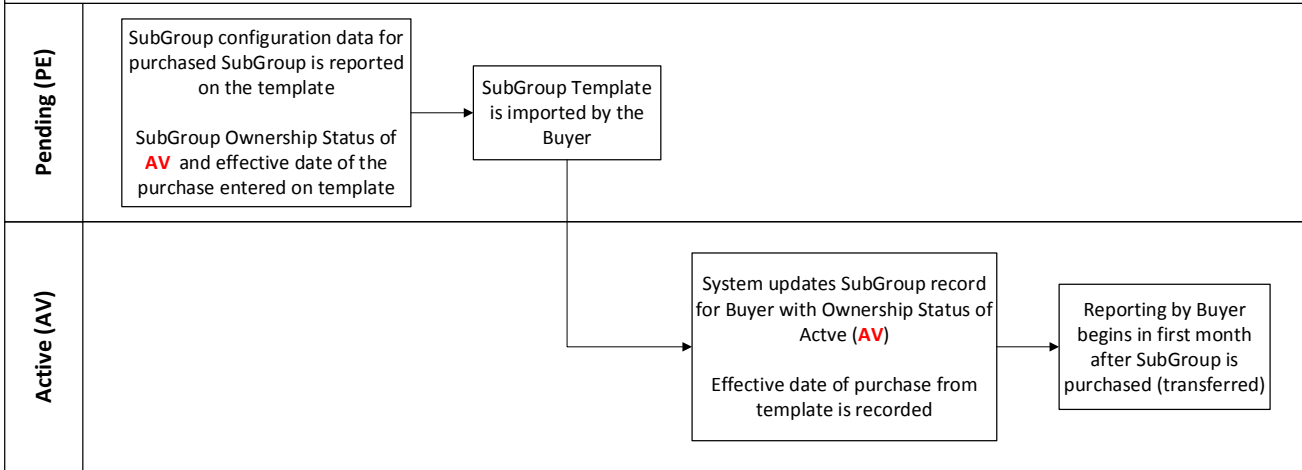
RELIABILITY | ACCOUNTABILITY

- The user enters **TR** (Transfer) in the ***SubGrpOwnStatus*** column of the Sub-Group template for each Sub-Group included in the sale

- The user is required to enter the NCR # or VR # of the entity that is purchasing each Sub-Group included in the sale and the effective date of the sale

  ▪ The effective date of the transfer may not be in the future

- After validation, the system assigns the Sub-Group Ownership Status of **TR** (Transfer) to the Sub-Group ID of the seller

  ▪ Important:

    o Performance data covering the period of operation through the last day of the month for which the Sub-Group was owned by the selling entity are expected to be reported by the selling entity

    o Data for the period after the first of the month following the Transfer will not be accepted from the seller

- After validation:
  - For each Sub-Group ID included in the sale, the system assigns the Sub-Group Ownership Status of **TR** (Transfer) to the Sub-Group ID record(s) of the seller
  - For each Sub-Group ID included in the sale, the system creates a set of Sub-Group ID record(s) with the same Sub-Group IDs that were reported with a **TR** (Transfer) by the seller and assigns the Sub-Group Ownership Status of **PE** (Pending) to the Sub-Group ID record(s) of the buyer

- Important:
  - The system expects performance data covering the period of operation through the last day of the month for which the Sub-Group was owned by the selling entity to be reported by the selling entity
  - The system will not permit the Performance and Component Outage data to be submitted by the buyer when a Sub-Group ID has a Sub-Group Ownership Status of **PE** (Pending)
  - The system will expect performance data to be reported by the buyer beginning with the period that covers the first of the month following the Transfer month

Purchase a SubGroup

Initial SubGroup Status: Pending (PE)

Pending (PE)

SubGroup configuration data for purchased SubGroup is reported on the template

SubGroup Ownership Status of **AV** and effective date of the purchase entered on template

→

SubGroup Template is imported by the Buyer

Active (AV)

System updates SubGroup record for Buyer with Ownership Status of Actve (**AV**)

Effective date of purchase from template is recorded

→

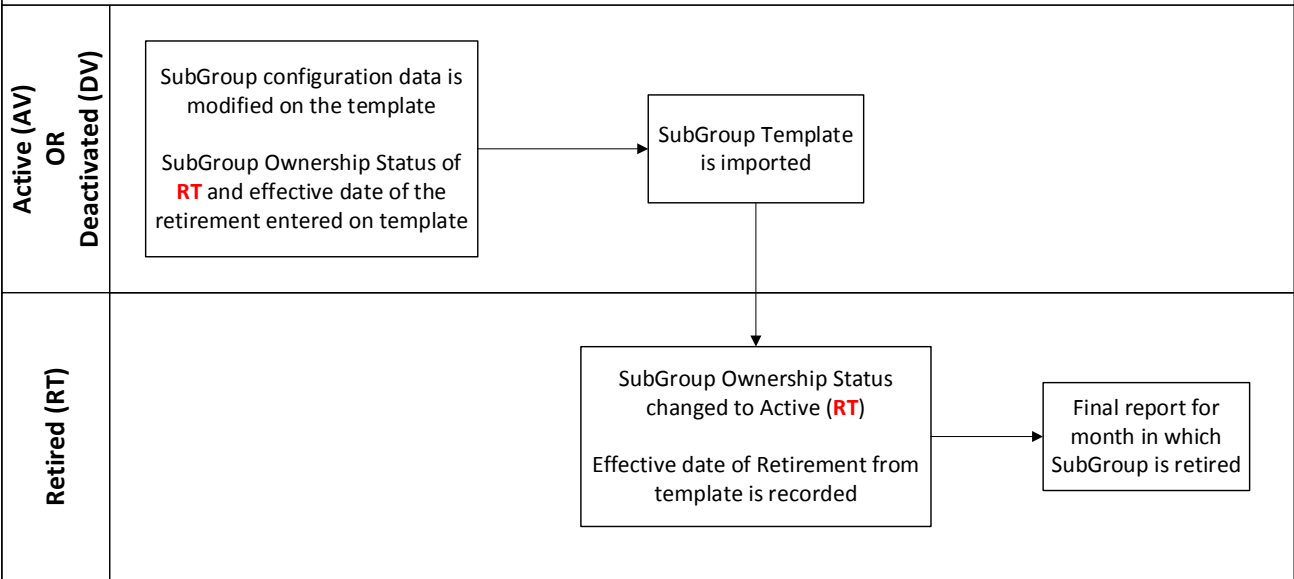Reporting by Buyer begins in first month after SubGroup is purchased (transferred)

- For each Sub-Group ID included in the sale, the buyer is required to submit a Sub-Group Configuration Data record with **AV** (Active) in the *SubGrpOwnStatus* column of the Sub-Group template

    ▪ The buyer may update Sub-Group configuration data as applicable

- After validation:

    ▪ For each Sub-Group ID with the Sub-Group Ownership Status of **PE** (Pending) for which a configuration data record was submitted, the system assigns the Sub-Group Ownership Status of **AV** (Active)

- <u>Important</u>:

    ▪ The system will not permit the Performance and Component Outage data to be submitted for a Sub-Group ID with a Sub-Group Ownership Status of **PE** (Pending)

    ▪ The system will expect performance data to be reported by the buyer beginning with the period that covers the first of the month following the Transfer month

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Retire a SubGroup

Initial SubGroup Status: Active (AV) or Deactivated (DV)

Active (AV)
OR
Deactivated (DV)

SubGroup configuration data is
modified on the template

SubGroup Ownership Status of
RT and effective date of the
retirement entered on template

SubGroup Template
is imported

Retired (RT)

SubGroup Ownership Status
changed to Active (**RT**)

Effective date of Retirement from
template is recorded

Final report for
month in which
SubGroup is retired

- For each Sub-Group ID being retired, the user submits a Sub-Group Configuration Data record with **RT** (Active) in the *SubGrpOwnStatus* column of the Sub-Group template
  - The effective date of retirement may not be in the future
- After validation the system assigns the Sub-Group Ownership Status of **RT** (Retired)
- Important:
  - The system will expect performance data to be reported for the month in which the retirement occurs
  - No further reporting is required for the sub-group(s) after the month in which retirement occurs

Sub-Group Ownership Change Summary

Change Process	Sub-Group Ownership Status in import file	System Action	Sub-Group Ownership Status after processing	Notes
New Sub-Group	ID	Sub-Group ID is created	AV	Do not use for ownership transfer
Sub-Group Configuration Data Update	AV	Sub-Group configuration data is updated	AV	May be submitted at any time
Deactivate a Sub-Group	AV	Sub-Group ID is deactivated	DV	Only Inactive State data may be reported on Performance and Component Outage records
Reactivate a Sub-Group	RV	Sub-Group ID is reactivated	AV	No restrictions on Performance and Component Outage data reporting

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Sub-Group Ownership Change Summary

Change Process	Sub-Group Ownership Status in import file	System Action	Sub-Group Ownership Status after processing	Notes
Sell (Transfer) a Sub-Group Transfer	TR	Sub-Group Ownership Status of Seller set	TR	Requires the reporting ID of the purchasing entity Seller is only required to submit data through the end of the month that includes the date of the Transfer
Sub-Group Transfer (by System)	n/a	Sub-Group Ownership Status of Buyer set	PE	With Pending status, Buyer may not submit Performance and Component Outage records for the Sub-Group until Sub-Group configuration data is updated by Buyer
Purchase a Sub-Group	AV	Sub-Group configuration data must be updated by buyer	AV	Buyer may now submit Performance and Component Outage data Buyer required to begin submission for the month after the Transfer
Retire a Sub-Group (from Active Status)	AV	Sub-Group Ownership Status is set	RT	A Sub-Group may be Retired from an Active or Deactivated status
Retire a Sub-Group (from Deactivated Status)	DV	Sub-Group Ownership Status is set	RT	A Sub-Group may be Retired from an Active or Deactivated status

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