

(2) The utility's full compliance filing shall demonstrate compliance with the provisions of this chapter, and shall include at least the following items:

(A) Letter of transmittal ~~signed by the utility chairman of the board of directors and expressing commitment to the approved preferred resource plan and acquisition strategy;~~

(B) Executive Summary. Each utility shall prepare an Executive Summary, separately bound and suitable for distribution to the public, which shall be a non-technical description of the plan. This document shall summarize the contents of the Technical Volume(s). The summary shall include:

1. A brief introduction describing the utility, its existing facilities, purchase power arrangements, demand-side programs, and the purpose of the plan;
2. The base case forecast growth in peak demand and energy for the planning horizon, with and without utility demand-side programs, and a listing of the economic and demographic assumptions associated with each;
3. A summary of the preferred plan proposed to meet expected energy service needs for the planning horizon, clearly showing the demand-side resources and supply-side resources contained in each.
4. A description of the major research projects and programs the utility will continue or commence during the implementation period, and the reasons for their selection;
5. Estimated impact on retail rates;
6. Estimated impact on company credit rating;
7. Identification of critical uncertain factors affecting the preferred plan;
8. Such other information as the Commission may determine appropriate.

~~(B) An executive summary of the information in the full compliance filing. The executive summary shall be made widely available to the public in print and electronic format and shall present the substance of the full compliance filing in a manner written to enhance public awareness and understanding of the utility's preferred resource plan and resource acquisition strategy. The executive summary shall include, as a minimum, concise clear descriptions of the:~~

- ~~1. Preferred resource plan, including at a minimum:~~
  - ~~a. The annual peak demand and energy forecast it is based on;~~
  - ~~b. Supply side and demand side resources to be acquired or retired/terminated over the twenty (20) year planning horizon along with the expected on-line dates and the expected capacity and energy amount of each resource;~~
  - ~~c. Estimated impact on rates pursuant to 4 CSR 240-22.060(2) (A) 4 - 5;~~
  - ~~d. Estimated impact on company financial ratios pursuant to 4 CSR 240-22.060(4) (A);~~
  - ~~e. Identification of critical uncertain factors affecting the preferred plan;~~
  - ~~f. Ranges or combinations of outcomes for the critical uncertain factors that define the limits within which the preferred resource plan is judged to be appropriate pursuant to 4 CSR 240-22.070(6) (C); and~~
  - ~~g. Public form of the capacity balance spreadsheet completed in the specified format attached to this rule;~~
- ~~2. Set of contingency resource plan options that the utility judges to be appropriate responses to extreme outcomes of the critical uncertain factors or other reasons; and an explanation of why these contingency resource plans are judged to be appropriate responses to the specified outcomes as required by 4 CSR 240-22.070(6) (C);~~

~~—3. Changes since the utility's last compliance filing and potential changes in legal mandates, technology, cost, load forecast, and other factors that materially affect or are likely to materially affect the preferred resource plan;~~

~~—4. Actions and initiatives during the implementation period prior to the next scheduled IRP compliance filing~~

~~—a. Implementation of utility supply- and demand-side resources;~~

~~—b. Encouragement of utility customers to participate in electric energy resource initiatives available to the utility's customers sponsored by an entity other than the utility;~~

~~—5. Comparison of preferred resource plan and the top resource plans, including at a minimum:~~

~~—a. Supply-side and demand-side resources to be acquired or retired/terminated over the twenty (20) year planning horizon along with the expected on line dates and the expected capacity and energy amount of each resource;~~

~~—b. Estimated impact on rates pursuant to 4 CSR 240-22.060(2) (A) 4 and 5;~~  
~~and~~

~~—c. Estimated impact on company financial ratios pursuant to 4 CSR 240-22.060(4) (A);~~

~~—(C) Any press release related to the filing, including notification of availability and location of the filing; [NA1]~~

-(C) Technical Volume(s). Each utility shall prepare Technical volume(s) which shall include the information required by Rules CSR 240-22

~~—(D) Reports and information required by 4 CSR 240-22.030(10), 4 CSR 240-22.040(8), 4 CSR 240-22.045(5), 4 CSR 240-22.050(11), 4 CSR 240-22.060(6) and 4 CSR 240-22.070(14);~~

~~—(E) Analyses, reports and actions planned in response to special contemporary issues pursuant to 4 CSR 240-22.080(4) [NA2]~~

~~(DF)~~ The highly confidential form of the capacity balance spreadsheet completed in the specified format;

~~(EG)~~ The utility shall submit to the manager of the commission Energy Department and the parties of the utility's previous full compliance filing, all of the supporting documentation as specified in 4 CSR 240-22.080 (11) used in the preparation of the full compliance filing. This information may be submitted to the manager of the Energy Department through the commission's electronic filing and information system (EFIS).

## Annual Filing

~~(3) Beginning in 2012, each electric utility shall also submit an annual update filing with the commission on April 1 of every year in which the utility is not required to submit a full compliance filing. The purpose of the annual update filing is to ensure that the commission, staff and interested parties stay informed regarding the utility's current preferred resource plan, to the status of the critical uncertain factors identified pursuant to 4 CSR 240-22.070(6) (C), and to changing conditions generally. The annual update filing shall include at least the following items:~~

~~—(A) Letter of transmittal signed by the utility chairman of the board of directors and expressing commitment to the approved current preferred resource plan;~~

~~—(B) A summary of the information in the annual update filing to include, as a minimum, concise descriptions of:~~

~~—1. The changes in load analysis, load forecasts, supply-side resources, demand-side resources, integrated resource analysis, risk analysis and~~

~~strategy selection from that contained in the resource acquisition strategy adopted by the utility in its last full compliance or annual update filing;~~

~~—2. The utility's assessment of the impact of the annual transmission plan updates prepared by the regional transmission organizations to the transmission and distribution analysis in the utility's current preferred resource plan;~~

~~—3. New legal mandates that could change the utility's preferred resource plan from that contained in the resource acquisition strategy adopted by the utility in its last full compliance or annual update filing;~~

~~—4. Any other significant issues identified by the electric utility that could change the utility's preferred resource plan or resource acquisition strategy from that contained in the resource acquisition strategy adopted by the utility in its last full compliance or annual update filing;~~

~~—5. Special contemporary issues identified pursuant to 4 CSR 240-22.080(4) that could change the utility's preferred resource plan or resource acquisition strategy from that contained in the resource acquisition strategy adopted by the utility in its last full compliance or annual update filing;~~

~~—6. Utility's assessment of the impact of issues identified in paragraphs 1 through 5 of this subsection on the preferred resource plan;~~

~~—7. Status report on the implementation of renewable energy resources, separately identifying demand-side and supply-side renewable energy resources, and any impacts on the utility's resource acquisition strategy adopted by the utility in its last full compliance filing or annual update filing;~~

~~—8. Status report on the implementation of demand side resources other than renewable energy resources and any impacts on the utility's resource acquisition strategy adopted by the utility in its last full compliance filing or annual update filing;~~

~~—9. Status report on the implementation of supply-side resources other than renewable energy resources and any impacts on the utility's resource acquisition strategy adopted by the utility in its last full compliance filing or annual update filing;~~

~~—10. Utility's current preferred resource plan, or the modification to or re-affirmation of the most recent preferred resource plan submitted in a full compliance or annual update filing;~~

~~—11. Estimated impact of the new preferred resource plan on rates pursuant to 4 CSR 240-22.060(2) (A) and on company financial ratios pursuant to 4 CSR 240-22.060(4) (A);~~

~~—12. Actions the utility intends to undertake during the remaining implementation period to secure resources; and~~

~~—13. New demand-side programs and other new electric resource initiatives available to utility customers during the remaining implementation period;~~

~~—(C) Analyses, reports and actions planned in response to special contemporary issues pursuant to 4 CSR 240-22.080(4)~~

~~—(D) The utility shall provide the updated highly confidential and public forms of the capacity balance spreadsheets completed in the specified format; and~~

~~—(E) The utility shall submit to the manager of the commission Energy Department and the parties of the utility's previous full compliance filing, all of the supporting documentation as specified in 4 CSR 240-22.080 (11) used in the preparation of the annual update filing. This information may be submitted to the manager of the Energy Department through the commission's electronic filing and information system (EFIS).~~

[NA3]

(3) Beginning in 2012, on April 1 of every year in which the utility is not required to submit a full compliance filing, each electric utility shall host an annual update workshop with the

Stakeholder Group. The purpose of the annual update workshop is to ensure that the staff and interested parties stay informed regarding the utility's current preferred resource plan, to the status of the identified critical uncertain factors, and to changing conditions generally.

## Changes

~~(12) If the utility materially changes its preferred resource plan or its resource acquisition strategy pursuant to 4 CSR 240-22.070(13), the utility shall file a written notification with the commission within sixty (60) days of the utility's determination. The notification shall include:~~

- ~~—(A) Identification and discussion of all critical uncertain factors that have exceeded the limits identified in 4 CSR 240-22.070(6)(C);~~
- ~~—(B) Identification and discussion of all material changes to the utility's resource acquisition strategy that have occurred;~~
- ~~—(C) Identification and discussion of all changes to the utility's resource acquisition strategy necessary to be compliant with all requirements of 4 CSR 240-22.070(6), 4 CSR 240-22.070(13) and 4 CSR 240-22.070(14)(I);~~
- ~~—(D) The utility's proposed schedule and activities to, at the earliest date possible, become compliant with all requirements of 4 CSR 240-22.070(6), 4 CSR 240-22.070(13) and 4 CSR 240-22.070(14)(I);~~
- ~~—(E) The utility's new preferred plan;~~
- ~~—(F) If appropriate, identification of the contingency resource plan option pursuant to 4 CSR 240-22.070(11) that the utility has determined to now be the preferred resource plan; and~~
- ~~—(G) Updated highly confidential and public of the capacity balance spreadsheets completed in the specified format.~~

[NA4]

(12) If the utility determines that circumstances have changed so that the preferred resource plan is no longer appropriate, either due to the limits identified pursuant to 4 CSR 240-22.070(10)(C) being exceeded or for other reasons, the utility, in writing, shall notify the commission within sixty (60) days of the utility's determination. The notification shall include a description of all changes, the impact of each change on PVR and all other performance measures specified in the last filing pursuant to 4 CSR 240-22.080, and the rationale for each change. If the utility decides to implement any of the contingency options identified pursuant to 4 CSR 240-22.070(10)(D), the utility shall file for review in advance of its next regularly scheduled compliance filing a revised implementation plan.