



**UG 02**

# **ICAP Automated Market System User's Guide**

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## Revision History

Version	Effective Date	Revisions
1.0	02/14/2006	Initial Release
1.1	05/30/2006	<p>Section 4</p> <p>Small procedural change Section 4.2.2 and field description added Table 4.15; Section 8 includes a note at very beginning about posting Event Calendars for each Capability Period; Section 11, numerous clarifying details about Screen Fields, SCRs.</p>
1.2	10/05/2007	<p>Section 3</p> <ul style="list-style-type: none"> <li>➤ Page 3-1, inserted bullet “Login and Logout of User Sessions”.</li> </ul> <p>Section 4</p> <ul style="list-style-type: none"> <li>➤ Table 4.5, Screen Field “Import Right #”, changed description (here redlined); Unique Identifier of an Import Right in a selected location that allows an MP to resell purchased external capacity to another MP in that location.</li> <li>➤ Also, on p. 4-6 inserted “will appear after location is selected and” after the words “Import Right #”.</li> </ul> <p>Section 11</p> <ul style="list-style-type: none"> <li>➤ Page 11-1, 3rd paragraph, “Section 5.12” replaced “Section 5.11.8.”</li> <li>➤ Also, Table 11.4, “Expiration Date” and “Days to Expiration” Screen Fields (rows) added.</li> <li>➤ Also, Figure 11.2 screenshot replaced to show new columns “Expiration Date” and “Days to Expiration”</li> </ul> <p>Section 12</p> <ul style="list-style-type: none"> <li>➤ Section 12.4 new descriptions starting with “To access the report” and ending with “9. Grand Total” added, (just before Figure 12.11)</li> </ul> <p>Section 14</p> <ul style="list-style-type: none"> <li>➤ Upload/Download Revision History new entry for October 2007 added.</li> <li>➤ Also, “EXCEPTION: ICAP System Uploads delete data previously entered via the Web page forms” was added to beginning of Section 14 after the first paragraph.</li> <li>➤ Also, corrected missing ampersands on pp 14-5, 14-13, 14-18, 14-19, 14-20, 14-23, 14-24 (corrections).</li> <li>➤ Also, on page 14-19, an “S” was added to “PURCHASE...” in Sections 14.5.4.3 and 14.5.4.4 (correction).</li> <li>➤ Also, in Section 14.6.1 the new parameters “EXP_DATE” and “DAYS_TO_EXP” were added.</li> <li>➤ Also, in Section 14.6.3.2 EXP_DATE and DAYS_TO_EXP were added to the list of parameters.</li> </ul>

Version	Effective Date	Revisions
		<ul style="list-style-type: none"> <li>➤ Also, in Section 14.6.3.4, "'04/30/2005',270" was added to the response file example.</li> </ul>
1.3	March 2008	<p>Section 5</p> <ul style="list-style-type: none"> <li>➤ Change to View Buyer Awards screen (Fig. 5.14). No change to text.</li> </ul> <p>Section 9</p> <ul style="list-style-type: none"> <li>➤ Pg. 9.3, change to ROS language (ROS Awards can be from multiple locations-automation); also new View Bid Results screen (Fig. 9.4).</li> </ul>
1.4	May 2008	<p>Section 4 - CERTIFICATION</p> <ul style="list-style-type: none"> <li>➤ Added a new Post-Certification Functionality to Certification (Section 4.0) called Supply-Side In-City Mitigation.</li> <li>➤ Added new menu option called "Mitigation". This is used to navigate to the new "View Supply-Side In-City Mitigation Summary" Screen.</li> <li>➤ Removed references to historic DGO Mitigation and former "Mitigated Capacity".</li> <li>➤ "Mitigated Generator Group" will now be used only to reference historic data. (Tables 4.4, 4.5, 4.7, 4.9, 4.10, 4.12, 4.13, 4.14, and 4.15).</li> <li>➤ Replaced Figure 4.3 to show "Mitigated Generator Group" field has been removed from the "Insert Bilateral Agreement" Screen.</li> <li>➤ Replaced Figure 4.4 to show "Mitigated Generator Group" field has been removed from the "Maintain Unconfirmed Agreements" Screen.</li> <li>➤ Added new Section 4.8 "How to View Supply-Side In-City Mitigation Summary". This includes new Tables 4.18, 4.19 and 4.20. It also includes new Figures 4.10 and 4.11.</li> </ul> <p>Section 6 - OFFERS TO SELL UCAP</p> <ul style="list-style-type: none"> <li>➤ Added language to indicate that Spot Market Auction Offers that are subject to Supply-Side In-City Mitigation cannot exceed the reference price.</li> <li>➤ Removed references to historic "Mitigated Generator Group" and DGO Mitigation.</li> <li>➤ Tables 6.1, 6.2, 6.3 and 6.4 were modified to indicate that the "Mitigated Generator Group" column will only reference historic data.</li> <li>➤ Replaced Figure 6.2 with modified "Insert Offers to Sell" Screen.</li> <li>➤ Replaced Figure 6.4 with modified "Add to Cart" Screen.</li> <li>➤ New Figure 6.5 illustrates the error message when a Spot Market Offer exceeds reference price.</li> <li>➤ Existing "Maintain Offers to Sell" Screens replaced in Figures 6.8 and 6.9.</li> </ul> <p>Section 14 - UPLOAD/DOWNLOAD</p>

Version	Effective Date	Revisions
		<ul style="list-style-type: none"> <li>➤ Updated Sect 14 Revision History with a new entry for April 2008.</li> <li>➤ MIT_GEN_GROUP will now be ignored but is kept in the document to avoid making the MPs change their local applications.</li> <li>➤ Updated 14.3.2 to illustrate the new Offer Validation Error if Spot Offer Exceeds Reference.</li> </ul>
1.5	June 2008	<p>Section 1 – INTRODUCTION</p> <ul style="list-style-type: none"> <li>➤ Updated Table in 1.3 for new functionality.</li> </ul> <p>Section 4 – CERTIFICATION:</p> <ul style="list-style-type: none"> <li>➤ Modified Section 4.3 for a new version of “View Certification Details” screen to include a new column – “Excluded from In-City Mitigation”</li> <li>➤ New Section 4.9 for Default Reference Prices</li> </ul> <p>Section 6 – OFFERS TO SELL UCAP:</p> <ul style="list-style-type: none"> <li>➤ New Section 6.5 for new Spot Offer Summary</li> </ul> <p>Section 14 – UPLOAD/DOWNLOAD</p> <ul style="list-style-type: none"> <li>➤ Modified Section 14.5.3 and Revision History for addition of “Excluded from In-City Mitigation “parameter</li> </ul>
1.6	02/09/2009	<p>Section 1 – INTRODUCTION</p> <ul style="list-style-type: none"> <li>➤ Added one new row to Table 1.1 in Section 1.3 under "Certification" called "How to Report and Manage MP Affiliate Information"</li> </ul> <p>Section 4 – CERTIFICATION:</p> <ul style="list-style-type: none"> <li>➤ New functionality for "How to Report and Manage MP Affiliate Information"</li> <li>➤ Updated screenshots of Certify Menu (Figure 4.1.1) and Mitigation Menu (Figure 4.1.2).</li> <li>➤ Updated Section 4.9.1 to include new screen fields in Tables 4.21 and 4.22.</li> <li>➤ Updated Section 4.9.2 for updated screenshot of "View Default Reference Prices" screen (Figure 4.12).</li> </ul> <p>NEW SECTION 4.10:</p> <ul style="list-style-type: none"> <li>➤ Described MP Processes to Manage MP Affiliate Information</li> <li>➤ New Section 4.10.1 Screen Descriptions for "MP Affiliate Form", Tables 4.23, 4.24, 4.25 and 4.26.</li> <li>➤ New Section 4.10.2 "Viewing MP Affiliate Information".</li> <li>➤ New Section 4.10.3 "Updating MP Affiliate Information"</li> <li>➤ New Section 4.10.4 "Inserting MP Affiliate Information" with new Table 4.27 and Figures 4.13 and 4.14 "MP Affiliate Form".</li> </ul>
1.7	09/04/2009	<p>Global</p> <ul style="list-style-type: none"> <li>➤ Reformatted per new template to standardize presentation.</li> </ul>

Version	Effective Date	Revisions
		<ul style="list-style-type: none"> <li>➤ Implemented minor stylistic changes.</li> <li>➤ Standardized labeling and numbering of graphical and tabular material.</li> <li>➤ Revised external-document links to explicitly cite URLs from which documents may be accessed.</li> <li>➤ Named all Tables and Figures</li> <li>➤ Implemented Best Practices for User Guide               <ul style="list-style-type: none"> <li>• "Screen Names" in double quotes</li> <li>• Screen Sections have no double quotes</li> <li>• Report Names and Report Sections have no double quotes</li> <li>• Menus, submenus and menu options have no double quotes.</li> <li>• "Button Names" and checkboxes in double quotes with style = FONT-KEYSTROKE</li> <li>• "User Privileges" in double quotes</li> <li>• "Text Messages" in double quotes</li> <li>• Column Names, Field Names, and Filter Criteria have no double quotes</li> <li>• New User Interface – replaced Yellow Menu Bar with Filter Section</li> </ul> </li> </ul> <p>Front Matter</p> <ul style="list-style-type: none"> <li>➤ Add Table of Figures and Table of Tables</li> </ul> <p>Revision History Table</p> <ul style="list-style-type: none"> <li>➤ Changed column headings as follows:               <ul style="list-style-type: none"> <li>• "Revision" changed to "Version"</li> <li>• "Changes" changed to "Revisions"</li> </ul> </li> </ul> <p>Section 4 – CERTIFICATION:</p> <ul style="list-style-type: none"> <li>➤ Added changes for Deliverability Project</li> <li>➤ Existing In-City Mitigation references were modified to clarify Supply-Side In-City Mitigation so that any future revisions particular to Buyer-Side In-City Mitigation will be distinct.</li> </ul>
1.8	04/07/2010	<p>Global</p> <ul style="list-style-type: none"> <li>➤ Updated links for accessing external documents, secondary to NYISO Web site redesign.</li> <li>➤ Replaced various screen shots to either improve readability or reflect presentation improvements in the System interface.</li> <li>➤ Implemented minor clarifying edits.</li> <li>➤ Edited text references and replaced screen shots to reflect change of terminology from <i>EFORD</i> to <i>Derating Factor</i> secondary to Buyer-Side Mitigation modifications deployed in June 2009.</li> <li>➤ Implemented additional changes secondary to Buyer-Side Mitigation modifications deployed in June 2009, as detailed in section-specific entries following.</li> </ul>

Version	Effective Date	Revisions
		<ul style="list-style-type: none"> <li>➤ Screens are sized Width = 6.23 inches, Menus are sized Width = 4.0 inches.</li> </ul> <p>Section 1.3</p> <ul style="list-style-type: none"> <li>➤ Added User Roles for Generator Floor Price Summary to Table 1.1.</li> </ul> <p>Section 4</p> <ul style="list-style-type: none"> <li>➤ Replaced Figure 4-2 to reflect addition of View Generator Floor Price Summary option to Mitigation Menu.</li> </ul> <p>Section 4.6.1</p> <ul style="list-style-type: none"> <li>➤ Revised Table 4.15 to reflect addition of Subject to Buyer-Side Mitigation column after Mitigated Generator Group.</li> </ul> <p>Section 4.6.2</p> <ul style="list-style-type: none"> <li>➤ Replaced Figure 4-9 to reflect addition of Subject to Buyer-Side Mitigation column to Allocate Sales" screen.</li> <li>➤ Added new Figure 4-10, Error Displayed if Attempting to Allocate Sales above Available UCAP, resulting in renumbering of subsequent figures within section 4.</li> <li>➤ Revised Table 4.15 to reflect that sales cannot be allocated to a PTID subject to buyer-side mitigation.</li> </ul> <p>Section 4.11</p> <ul style="list-style-type: none"> <li>➤ Inserted as new and titled "How to View Generator Floor Price Summary," resulting in renumbering of subsequent subsections in section 4.</li> </ul> <p>Section 6.1</p> <ul style="list-style-type: none"> <li>➤ Added material specific to Spot Market Auction Offers, including pricing thresholds and potential for generators to be subject to both Supply-Side and Buyer-Side In-City Mitigation.</li> </ul> <p>Section 6.1.2</p> <ul style="list-style-type: none"> <li>➤ Added new Figure 6.5, "Supply-Side Offer Validation Errors".</li> </ul> <p>Section 9.1.2</p> <ul style="list-style-type: none"> <li>➤ Revised to reflect obsolescence of DGO mitigation rules and certain implications thereof.</li> </ul> <p>Section 10.1.2</p> <ul style="list-style-type: none"> <li>➤ Removed Figure 10-4 and corresponding EFORD example.</li> <li>➤ Deleted as obsolete text reflecting a limit of 10 records being displayed at one time on the Maintain Seasonal Derating Factors screen.</li> </ul> <p>Section 14.5.1</p> <ul style="list-style-type: none"> <li>➤ Revised Data Dictionary.</li> </ul> <p>Section 14.5.5.2</p> <ul style="list-style-type: none"> <li>➤ Revised UCAP_DOWNLOAD_PTID_CAPACITY response parameters.</li> </ul>

Version	Effective Date	Revisions
1.9	10/04/2010	<p>This document was modified for the following 2010 ICAP AMS application changes:</p> <ul style="list-style-type: none"> <li>➤ ICAP Deliverability / External CRIS Rights Implementation</li> <li>➤ ICAP Import Rights - Unforced Capacity Deliverability Rights (UDRs) Implementation.</li> </ul> <p>Section 1.3</p> <ul style="list-style-type: none"> <li>➤ Added User Roles to Table 1.1: <ul style="list-style-type: none"> <li>○ How to Enter and Maintain External CRIS Right Bilaterals</li> <li>○ How to View UDR Generator Monthly Parameters</li> <li>○ How to View External CRIS Right Offer Caps</li> <li>○ How to View External CRIS Rights Obligations &amp; Violations</li> </ul> </li> </ul> <p>Section 4</p> <ul style="list-style-type: none"> <li>➤ Revised Figure 4-1 Certify Menu</li> <li>➤ Added new Section 4.3 "How to Enter, Maintain and Delete External CRIS Right Bilateral Agreements"</li> <li>➤ Added new Tables 4.6, 4.7, 4.8, and 4.9</li> <li>➤ Added new Figures 4-6, 4-7, 4-8, and 4-9</li> <li>➤ Revised Section 4.4 "How to View Certification Details" to include Right Type [FCFSR, GFR, ECR and UDR].</li> <li>➤ Revised "View Certification Details" for a column name change to Excluded From Pivotal Control Test.</li> <li>➤ Revised Section 4.6 "How to View PTID Capacity and Sales Allocations" so that PTIDs include UDR Interfaces. Added column UDR IDCAP to the screen and extended the definition of ICAP Sold for DAM for Gen, UDR and SCR Aggregation PTIDs.</li> <li>➤ Revised Section 4.7 "How to Allocate Sales to PTIDs" to remove Historic Divestiture and defined PTIDs to include Generator, SCR and UDR Interfaces.</li> <li>➤ Revised Section 4.9 "How to View Supply-Side In-City Mitigation Summary" to include UDR PTIDs.</li> </ul> <p>Section 6</p> <ul style="list-style-type: none"> <li>➤ Revised Insert Offer To Sell to include External CRIS Right #</li> <li>➤ Revised Maintain Offer To Sell to include External CRIS Right #</li> <li>➤ Revised Copy Offer To Sell to include External CRIS Right #</li> <li>➤ Revised Spot Offer Summary to include Generators, SCRs and UDRs.</li> </ul> <p>Section 9</p> <ul style="list-style-type: none"> <li>➤ Revised Offer Auction Results to include External CRIS Right #.</li> </ul>

Version	Effective Date	Revisions
		<ul style="list-style-type: none"> <li>➤ Revised Strip Auction Summary to rename IMO to IESO.</li> </ul> <p>Section 10</p> <ul style="list-style-type: none"> <li>➤ Revised Derating Factors table to split Filter and Maintain into two tables for consistency with other tables.</li> </ul> <p>Section 11</p> <ul style="list-style-type: none"> <li>➤ Revised Maintain DMNC/PMPC to clarify that PTID includes generators and SCRs.</li> </ul> <p>Section 12</p> <ul style="list-style-type: none"> <li>➤ Revised the Billing Menu to display the Consolidated Billing sub-menu.</li> </ul> <p>Section 13</p> <ul style="list-style-type: none"> <li>➤ Revised View SCRs to include new Supplier Type [SCR, MUNI, LM] column and removed Transmission Owner column.</li> </ul> <p>Section 14</p> <ul style="list-style-type: none"> <li>➤ Revised Upload/Download to rename IMO to IESO and to include Right#.</li> <li>➤ Updated Data Dictionary to include Right # for External CRIS Rights.</li> </ul> <p>Section 15</p> <ul style="list-style-type: none"> <li>➤ Added new Section 15.1 How to View UDR Generator Monthly Parameters</li> <li>➤ Added new Section 15.2 How to View External CRIS Right Offer Caps</li> <li>➤ Added new Section 15.3 How to View External CRIS Rights Obligations &amp; Violations</li> </ul>
1.10	02/01/2014	<p>This document was modified for the following January 2013 ICAP AMS application changes for New Capacity Zones.</p> <ul style="list-style-type: none"> <li>➤ New Capacity Zones - ICAP Automated Market System</li> <li>➤ New Capacity Zones - ICAP Market Mitigation</li> <li>➤ Removed former references to In-City Mitigation and clarified date when Historic Divestiture was deactivated.</li> <li>➤ Removed obsolete references to PMPC.</li> <li>➤ Clarified that Special Case Resources are displayed as SCR Aggregation PTIDs in ICAP AMS.</li> </ul> <p>Section 1</p> <ul style="list-style-type: none"> <li>➤ Updated for January 2012 Demand Response Information System (DRIS) Integration Implementation. The ICAP AMS now sources ICAP/UCAP for SCR Aggregation PTIDs from DRIS.</li> <li>➤ Replaced several definitions of terms with tariff references.</li> </ul> <p>Section 2</p> <ul style="list-style-type: none"> <li>➤ Minor updates to clarify language.</li> </ul>

Version	Effective Date	Revisions
		<p>Section 3</p> <ul style="list-style-type: none"> <li>➤ Updated ICAP AMS System access requirements</li> </ul> <p>Section 4</p> <ul style="list-style-type: none"> <li>➤ Updated Certification and ICAP Mitigation Measures screens and screen descriptions.</li> <li>➤ Updated Relationship of Affiliated Entity Selection List table to match NYISO <i>MST - Attachment H</i>. 'In-City ICAP Supplier' was changed to 'Mitigated Capacity Zone Supplier'.</li> </ul> <p>Section 5</p> <ul style="list-style-type: none"> <li>➤ Updated Bids To Purchase UCAP screens and screen descriptions.</li> </ul> <p>Section 6</p> <ul style="list-style-type: none"> <li>➤ Updated Offers To Sell UCAP screens and screen descriptions.</li> </ul> <p>Section 7</p> <ul style="list-style-type: none"> <li>➤ Updated Load Forecast and UCAP Requirements screens and screen descriptions.</li> </ul> <p>Section 8</p> <ul style="list-style-type: none"> <li>➤ Minor updates to clarify language.</li> </ul> <p>Section 9</p> <ul style="list-style-type: none"> <li>➤ Updated Auction Results screens and screen descriptions.</li> </ul> <p>Section 10</p> <ul style="list-style-type: none"> <li>➤ Updated Derating Factors screens and screen descriptions.</li> <li>➤ Modified to indicate that SCR Aggregation PTID Derating Factor values are sourced from the Demand Response Information System (DRIS) as of January 2012.</li> </ul> <p>Section 11</p> <ul style="list-style-type: none"> <li>➤ Updated Dependable Maximum Net Capability (DMNC) screens and screen descriptions.</li> <li>➤ Modified to indicate that SCR Aggregation PTID DMNC values are sourced from the DRIS as of January 2012.</li> </ul> <p>Section 12</p> <ul style="list-style-type: none"> <li>➤ Updated Billing screens and screen descriptions.</li> </ul> <p>Section 13</p> <ul style="list-style-type: none"> <li>➤ Updated Special Case Resources (SCRs) screens and screen descriptions.</li> </ul> <p>Section 14</p> <ul style="list-style-type: none"> <li>➤ Updated Upload/Download Data Dictionaries for the NCZ Implementation.</li> </ul> <p>Section 15</p> <ul style="list-style-type: none"> <li>➤ Updated Rights screens and screen descriptions.</li> </ul>



Version	Effective Date	Revisions
		Appendix A Updated acronym list.
2.0	11/3/2014	This document was modified for the External Transactions screen changes implemented as part of the October 2014 software release.  Section 4 <ul style="list-style-type: none"> <li>➤ Updated Bilateral Agreements - Section 4.2</li> <li>➤ Updated External CRIS Right Bilaterals - Section 4.3</li> <li>➤ Updated Assign Transaction IDs - Section 4.8</li> </ul>
2.1	10/29/2015	This document was modified for the CMS ICAP Spot Market Offers Enhancements implemented in the October 2015 software release.  Section 1.3 <ul style="list-style-type: none"> <li>➤ Added User Roles to Table 1.1:</li> </ul> Section 3.2 <ul style="list-style-type: none"> <li>➤ Updated Digital Certificate requirements</li> </ul> Section 4 <ul style="list-style-type: none"> <li>➤ Updated Certification screens</li> <li>➤ Added new Section 4.7.3 " Zero Dollar MW Commitment "</li> <li>➤ Updated Tables</li> </ul> Section 6.2 <ul style="list-style-type: none"> <li>➤ Added clarifying language</li> <li>➤ Updated Table 6.7</li> </ul> Section 14.3 <ul style="list-style-type: none"> <li>➤ Added Zero Dollar MW Offer Download template</li> </ul> Global <ul style="list-style-type: none"> <li>➤ Replaced various screen shots to incorporate Zero Dollar MW Commitment Notation</li> </ul>
2.2	06/23/2016	Section 3 <ul style="list-style-type: none"> <li>➤ Updated to clarify that digital certificates will no longer be NYISO issued and must be NAESB compliant</li> </ul>
2.3	11/30/2016	This document was modified for the screen changes implemented as part of the November 2016 software release.  Section 1.3 <ul style="list-style-type: none"> <li>➤ Added User Roles to Table 1.1</li> <li>➤ Removed Table Note #3, does not currently exist within table</li> </ul> Section 1.4 <ul style="list-style-type: none"> <li>➤ Updated for GADS Portal</li> </ul> Section 3.1 <ul style="list-style-type: none"> <li>➤ Updated System Requirements</li> </ul>

Version	Effective Date	Revisions
		<p>Section 4</p> <ul style="list-style-type: none"> <li>➤ Updated Certify Menu in Figure 4-1</li> <li>➤ Updated Mitigation Menu in Figure 4-2</li> <li>➤ Updated Section 4.1 View Market Position</li> <li>➤ Updated Section 4.2 Bilateral Agreements</li> <li>➤ Updated Section 4.3 ECR Bilaterals</li> <li>➤ Added Section 4.3.5 Viewing External Rights Availability</li> <li>➤ Updated Section 4.4 view Certification Details</li> <li>➤ Updated Section 4.5 View Summary of Purchases &amp; Sales</li> <li>➤ Updated Section 4.6 View PTIDs for new PTID Details and BTM:NG</li> <li>➤ Updated Section 4.7 Allocate Sales</li> <li>➤ Updated Section 4.8 Assign Transaction IDs</li> <li>➤ Updated Section 4.9 View Supply-Side Mitigation</li> <li>➤ Updated Section 4.10 View Default Reference Prices</li> <li>➤ Updated Section 4.11 MP Affiliate Information</li> <li>➤ Updated Section 4.12 View Floor Prices</li> <li>➤ Updated Section 4.13 View Deliverability Limits</li> <li>➤ New Section 4.14 Export Transactions</li> <li>➤ New Section 4.15 Wheels Through Transactions</li> </ul> <p>Section 5</p> <ul style="list-style-type: none"> <li>➤ View Buyer Awards</li> <li>➤ Consolidated Billing XLS</li> </ul> <p>Section 6</p> <ul style="list-style-type: none"> <li>➤ Maintain Offers to Sell</li> </ul> <p>Section 10</p> <ul style="list-style-type: none"> <li>➤ Maintain Seasonal Derating Factors</li> </ul> <p>Section 11</p> <ul style="list-style-type: none"> <li>➤ Maintain DMNC</li> </ul> <p>Section 14</p> <ul style="list-style-type: none"> <li>➤ Section 14.3.4 Offers</li> <li>➤ Section 14.5.2 Bilaterals</li> <li>➤ Section 14.5.5 PTID Capacity</li> </ul>
2.4	02/24/2017	<p>This document was modified for the screen changes implemented as part of the February 2017 software release.</p> <p>Section 4.2 Maintain Bilateral Agreements</p> <ul style="list-style-type: none"> <li>➤ Added CSV feature</li> </ul> <p>Section 4.3.6 External Rights Availability</p> <ul style="list-style-type: none"> <li>➤ Added CSV feature</li> </ul> <p>Section 4.6 View PTIDs</p> <ul style="list-style-type: none"> <li>➤ Added CSV feature</li> </ul>

Version	Effective Date	Revisions
		<p>Section 4.7 Allocate Sales to PTIDs</p> <ul style="list-style-type: none"> <li>➤ Added CSV feature</li> </ul> <p>Section 4.8 Assign Transaction IDs</p> <ul style="list-style-type: none"> <li>➤ Added missing Interface Information screen section Table 4.29</li> <li>➤ Added CSV feature</li> </ul> <p>Section 4.14 Export Transactions</p> <ul style="list-style-type: none"> <li>➤ Added CSV feature</li> </ul> <p>Section 4.15 Wheels Through</p> <ul style="list-style-type: none"> <li>➤ Added CSV feature</li> </ul> <p>Section 7.3 View ICAP and UCAP Calculations</p> <ul style="list-style-type: none"> <li>➤ Added Month to screen filters.</li> <li>➤ Changed Post Data to Publish Data.</li> </ul>
2.5	01/24/2018	<p>This document was converted to newer NYISO Branding Template in October 2017.</p> <p>This document was modified for the screen changes implemented as Project B611 Winter CRIS Enhancements - Jan/2018 software release.</p> <p>Section 4.6 View PTIDs</p> <ul style="list-style-type: none"> <li>➤ Modified View PTIDs – PTID Details</li> </ul> <p>Section 4.13 Deliverability Limits</p> <ul style="list-style-type: none"> <li>➤ Added Winter CRIS CAP (MW)</li> </ul>
2.6	04/16/2018	<p>This document was modified for the ICAP AMS Consolidated Billing screen changes implemented as part of ICAP AMS Redesign and Testing Improvements Phase II project.</p> <p>Section 12</p> <ul style="list-style-type: none"> <li>➤ Section 12.4 How to View Consolidated Billing</li> </ul>
2.7	06/14/2018	<p>This document was modified as part of ICAP AMS Redesign and Testing Improvements Phase II project.</p> <p>Section 3.1 System Requirements</p> <p>Section 12.4 How to View Consolidated Billing</p> <ul style="list-style-type: none"> <li>➤ Section 12.4.3 Searching Consolidated Billing Summary was added</li> </ul>

Version	Effective Date	Revisions
2.8	12/04/2018	<p>This document was modified for changes implemented as part of Project B535 Reliability Must Run Cost Recovery (RMR Ph2) software changes targeted for October 2018.</p> <ul style="list-style-type: none"> <li>➤ Section 4.6 View PTIDs – Fig 36, 37 &amp; 39</li> <li>➤ Section 4.7 Allocate Sales – Fig 45 &amp; 47</li> <li>➤ Section 4.14 Exports – Fig 89</li> <li>➤ Section 6.1 Enter Offers – Fig 128</li> <li>➤ Section 6.2 Maintain Offers – Fig 142</li> <li>➤ Section 9 – Auction Results – Fig 199</li> <li>➤ Section 14.3 Upload/Download</li> <li>➤ Added ZDO Type ‘RMR’.</li> </ul> <p><b>Appendix A – Added ‘RMR’ to List of Acronyms</b></p>
2.9	02/08/2019	<p>This document was updated for the Automate ICAP Import Rights project implemented as a part of the ICAP AMS Redesign.</p> <p>The following sections were added:</p> <ul style="list-style-type: none"> <li>➤ Section 15.4 FCFS Import Rights</li> <li>➤ Section 5.5 Import Rights</li> </ul>
3.0	03/20/2020	<p>This document was updated for the Project B629 ESRs and DMNC User Interface Enhancements.</p> <ul style="list-style-type: none"> <li>➤ Section 3.1 System Requirements</li> <li>➤ Section 4 Certification</li> <li>➤ Section 4.6 View PTIDs</li> <li>➤ Section 11 DMNC</li> <li>➤ Section 14 Upload/Download</li> </ul> <p>Fix some broken hyperlinks.</p> <p>This document was updated for NYISO’s new brand and logo standards.</p>
3.1	01/27/2021	<p>This document was updated for the Project B628 Expanding Capacity Eligibility.</p> <ul style="list-style-type: none"> <li>➤ Section 4.6.1 How to View PTID Capacity and Sales Allocation</li> <li>➤ Section 4.6.2 Viewing PTID Capacity and Sales Allocations</li> <li>➤ Section 11 Dependable Maximum Net Capacity</li> <li>➤ Section 14 Upload / Download</li> </ul>

Version	Effective Date	Revisions
3.2	07/23/2021	<p>This document was updated for Project B627 External-to-ROS Deliverability Rights (EDR).</p> <ul style="list-style-type: none"> <li>➤ Section 4 Certification</li> <li>➤ Former Sections 4.3.5 and 4.3.6 'External Rights Availability' moved to new Rights Section 15.6</li> <li>➤ Section 14 Upload / Download</li> <li>➤ Section 15 How to View Deliverability Generators and Monthly Parameters</li> <li>➤ Section 15.1 How to Add, Update, and Delete a Generator Rights Association</li> <li>➤ Appendix A List of Acronyms</li> </ul>
3.3	01/05/2022	<p>Recertified</p> <p>This document was updated for Project B702 Co-Located Storage Resources (CSR).</p> <ul style="list-style-type: none"> <li>➤ Section 3.1 - System Requirements</li> <li>➤ Section 4 - Certification</li> <li>➤ Section 11 - DMNC (Administrative Edits to Figures 222, 223, 237, 238)</li> <li>➤ Section 14 - Upload / Download <ul style="list-style-type: none"> <li>○ 14.5 Templates for Certification</li> <li>○ 14.5.5 Download PTID Capacity</li> <li>○ 14.6 DMNC Administrative Edits)</li> </ul> </li> <li>➤ Appendix A – List of Acronyms</li> </ul>
3.4	09/01/2023	<p>This document was updated for Project B628 Distributed Energy Resources (DER).</p> <ul style="list-style-type: none"> <li>➤ Section 1 – Introduction</li> <li>➤ Administrative edits to Section 1.2, 1.3, 1.4Section 3.1 – Internet Explorer removed from Supported Browser list</li> <li>➤ Section 4 – Certification and Capacity Mitigation <ul style="list-style-type: none"> <li>○ Section 4.1 – Updates to Figure 6</li> <li>○ Section 4.2.1 – Updates to Figure 9</li> <li>○ Section 4.2.3 – Administrative Updates</li> <li>○ Section 4.3 – Updates to Figure 26</li> <li>○ Section 4.6 – Updates to Figures 32, 33, 35, 37, 38</li> <li>○ Section 4.7 – Updates to include Aggregation PTIDs, updates to Figure 43</li> <li>○ Section 4.8.1 – Updates to Figures 54, 55 to include Aggregation PTIDs</li> <li>○ Section 4.9 – Updates to Figure 65 to include Aggregation PTIDs</li> <li>○ Section 4.10 – Administrative Updates</li> </ul> </li> </ul>

Version	Effective Date	Revisions
		<ul style="list-style-type: none"> <li>○ Section 4.11 – Administrative Updates</li> <li>○ Section 4.12 – Administrative Updates</li> <li>○ <b>NEW</b> Section 4.13 – Buyer-Side Mitigation Data for Aggregation PTIDs Screen <ul style="list-style-type: none"> <li>▪ <b>NEW</b> Figures 78, 79, 80, 81 added</li> </ul> </li> <li>○ Section 4.14 – Clarifications regarding Aggregation PTID CRIS Data, updates to Figures 85, 86 to reflect screen name change</li> <li>○ Section 4.15.1 – Updates to Figures 89, 90 to include Aggregation PTIDs</li> <li>➤ Section 6 – Offers to Sell UCAP <ul style="list-style-type: none"> <li>○ Section 6.1.1 – Updates to Figures 128, 129, 130 to include Aggregation PTIDs</li> <li>○ Section 6.1.2 – Updates to Figures 131, 132, 141. <b>NEW</b> Figures 135, 136, 139 to include Aggregation PTIDs</li> <li>○ Section 6.2 – Updates to Figure 142</li> <li>○ Section 6.2.1 – Updates to Figure 145 to include Aggregation PTIDs</li> <li>○ Section 6.2.2 – Updates to Figures 148, 150</li> <li>○ Section 6.3 – Updates to Figure 152</li> <li>○ Section 6.4 – Updates to Figures 162, 163</li> <li>○ Section 6.5 – Updates to Figures 164, 167</li> <li>○ Section 6.5.2 – Updates to Figure 168</li> </ul> </li> <li>➤ Section 8 – ICAP Event Calendar <ul style="list-style-type: none"> <li>○ Section 8.1.1 – Updates to Figure 187</li> </ul> </li> <li>➤ Section 9 – Auction Results <ul style="list-style-type: none"> <li>○ Section 9.3.1 – Updates to Figure 203 to include Aggregation PTIDs</li> </ul> </li> <li>➤ Section 10 – Derating Factors <ul style="list-style-type: none"> <li>○ Section 10.1.1 – Updates to Figure 227 to include Aggregation PTIDs as View-Only</li> <li>○ Section 10.1.2 – Updates to include Aggregation PTIDs as View-Only</li> </ul> </li> <li>➤ Section 11 – Dependable Maximum Net Capability <ul style="list-style-type: none"> <li>○ Section 11.1.1 – Updates to Figure 230 to EXCLUDE Aggregation PTIDs from Screen</li> <li>○ Section 11.1.6 – <b>NEW</b> sub-section: Entering DMNC Result for an Aggregation</li> <li>○ Section 11.2.1 – Updates to Figures 245, 246 to include Aggregation PTIDs</li> </ul> </li> <li>➤ Section 14 – Upload/Download <ul style="list-style-type: none"> <li>○ Section 14.3.1 – Updates to Parameters to include new fields.</li> <li>○ Section 14.3.2 – Updates to clarify where Aggregations Can/Cannot Upload Offers</li> <li>○ Section 14.3.3 – Updates to Download Example to include new DER BSM fields</li> <li>○ Section 14.5.1 – Updates to include new AGG PTID Types, new fields</li> </ul> </li> </ul>

Version	Effective Date	Revisions
		<ul style="list-style-type: none"> <li>○ Section 14.5.2.4 – Updates to include Bilateral ID in Response File Example</li> <li>○ Section 14.5.5 – Updates to include new fields in Response File Example</li> <li>○ Section 14.6.2.1 – Updates to clarify that Aggregations may not upload DMNC data</li> <li>○ Section 14.6.3.1 – Updates to clarify that Aggregations may not upload DMNC data</li> </ul> <p>➤ Appendix A – Acronyms</p>
4.0	12/20/2023	<p>This document was updated to reflect changes as part of the Improving Capacity Accreditation project.</p> <ul style="list-style-type: none"> <li>➤ Section 1 - Introduction <ul style="list-style-type: none"> <li>○ Figure 1: Added new Section 16 to table</li> <li>○ Section 1.4 – Calculation of CAFs completed in GE MARS</li> <li>○ Section 1.4 – Calculation of ACFs completed in DSS</li> </ul> </li> <li>➤ Section 3 – Requirements <ul style="list-style-type: none"> <li>○ Section 3.3 – Updates to include Viewing Seasonal CARC/CAF Data, Seasonal ACF Data</li> </ul> </li> <li>➤ Section 4 – Certification and Capacity Mitigation <ul style="list-style-type: none"> <li>○ Section 4.2.3 – Updates to allow editing of confirmed Self-Supply Bilaterals</li> <li>○ Section 4.2.4 – Updates to allow deletion of confirmed Self-Supply Bilaterals</li> <li>○ Section 4.6 – Updates to Figures 33-38 to reflect changes to Adjusted ICAP and UCAP Calculations, Introduction of CAF.</li> </ul> </li> <li>➤ Section 11 – DMNC <ul style="list-style-type: none"> <li>○ Section 11.1.1 – Updates to Figures 232, 233 to reflect additional hours for DMNC data submission</li> <li>○ Section 11.1.4 – Updates to Figure 238 to reflect additional hours for DMNC data submission</li> </ul> </li> <li>➤ Section 14 – Upload/Download <ul style="list-style-type: none"> <li>○ Section 14.5.1 – Updates to include CAF</li> <li>○ Section 14.5.5 – Updates to reflect IPR Derating Factor rule change, include CAF</li> <li>○ Section 14.6 – Updates to Data Dictionary, Upload DMNC Template, Download DMNC Template and example files to reflect additional hours of DMNC data submission</li> </ul> </li> <li>➤ Section 15 – Rights <ul style="list-style-type: none"> <li>○ Section 15.1 – Updates to Figure 283, 284 to include CARC/CAF information</li> <li>○ Section 15.1.1 – Updates to Figure 286 to include CAF</li> <li>○ Section 15.1.2 – Updates to Figure 287 to include CAF</li> </ul> </li> <li>➤ NEW Section 16 – Capacity Accreditation</li> </ul>

Version	Effective Date	Revisions
		<ul style="list-style-type: none"> <li>○ NEW Section 16.1 - View Seasonal CARC/CAF Data</li> <li>○ NEW Section 16.2 – View Internal Resource CARC Assignments</li> <li>○ NEW Section 16.3 – View External Resource CARC Assignments</li> <li>○ NEW Section 16.4 – View Seasonal ACF Data</li> <li>➤ Appendix A               <ul style="list-style-type: none"> <li>○ Updates to include ACF, CARC, CAF, IPR</li> </ul> </li> </ul>



# 1. Introduction

## 1.1. What is the ICAP Automated Market?

The NYISO ICAP Automated Market System is a secure, Web-enabled, electronic application that replaced the manual legacy market process. The ICAP Automated Market System includes features that support all of the traditional auction participation requirements with respect to submitting bids, offers, and relevant auction data. The ICAP Automated Market System also supports the data management, retrieval, and general information requirements for participating in the Installed Capacity ("ICAP") market. Finally, the ICAP Automated Market System operates the auctions and supports the NYISO internal administration functions required to administer the market.

The ICAP Automated Market System (AMS) utilizes a Web interface similar to that used in the NYISO Market Information System (MIS). From the ICAP Automated Market System interface, auction participants may enter, view and maintain bids, offers, and requisite market data. For higher volume auction participants, the same procedures may be initiated via a batch submission (upload/download) process. Auction participants also access the ICAP Automated Market System interface to view and /or retrieve auction results and other relevant market data. The ICAP Automated Market System incorporates many of the features of the NYISO Market Information System (MIS) interface including point of entry data validation, and around-the-clock secure and timely access to relevant market data. Users have access to a wealth of market and user-specific data including market position, ICAP/UCAP calculations, and auction activity summaries.

## 1.2. Who is the ICAP Automated Market System For?

The intended community for the ICAP Automated Market System primarily consists of loads, suppliers, and marketers of Installed Capacity in NYCA and may include resources outside NYCA, and Installed Capacity Suppliers exporting capacity out of the NYCA. Specifically, this User's Guide is intended for the following entities:

- **Load Serving Entities (LSEs)** as defined in Section 2.12 of the *MST* - Market Participants that are required to satisfy capacity requirements through self-supply, bilateral transactions, or through purchased capacity in the ICAP auctions to meet load plus any excess capacity determined by the ICAP Spot Market Auction.
- **Installed Capacity Marketers (Marketers)** as defined in Section 2.9 of the *MST* – Customers that submit bids to purchase and offers to sell capacity in the ICAP market.

- **Installed Capacity Suppliers (ICAP Suppliers)** as defined in Section 2.9 of the *MST*, including the **Responsible Interface Parties (RIPs)**.
- **Responsible Interface Parties (RIPs)** defined in Section 2.18 of the *MST* – Customers that are qualified to certify and submit offers of Unforced Capacity ("UCAP") that are derived from the load reduction capability associated with Special Case Resources that it properly enrolled in the ICAP/SCR program.
- **Transmission Owners (TOs)** as defined in Section 2.20 of the *MST* – Metering authorities that are responsible for submitting Load data to the NYISO for LSEs within their Transmission District.
- **Aggregator** – as defined in Section 2.1 of the *MST* - A Supplier that offers Capacity, Energy, and/or Ancillary Services for a DER Aggregation.

[Figure 1](#) details the type of data (read-only or editable) available to each Market Participant. Also, some of the functionality and web pages described in this document are available to the general public. Additionally, this User’s Guide distinguishes between Billing Organizations and Non-Billing Organizations. Billing Organizations have satisfied NYISO credit requirements to participate in the NYISO ICAP market. Non-Billing Organizations have Billing Organizations (Financially Responsible Parties) acting on their behalf for certain ICAP auction activities.

### 1.3. What this User’s Guide Covers

The following table summarizes the functionality described in this User’s Guide and the associated rights (read-only or editable) of each Market Participant with the areas of functionality.

**Figure 1: User Roles and Privileges**

Functionality / ICAP Automated Market System User's Guide Section	Billing Org MP	Non-Billing Org MP	TO	Public
<b><i>Certification and Capacity Mitigation (Section 4)</i></b>				
How to View Market Position	R	R		
How to Enter and Maintain Bilateral Agreements	R/E <sup>5</sup>	R/E <sup>5</sup>		
How to Enter and Maintain External CRIS Right Bilaterals	R/E <sup>5</sup>	R/E <sup>5</sup>		
How to View Certification Detail Transactions	R	R		
How to View Summaries of Purchases and Sales	R	R		

Functionality / ICAP Automated Market System User's Guide Section	Billing Org MP	Non-Billing Org MP	TO	Public
How to View PTID Capacity and Sales Allocations	R	R		
How to Allocate Sales to Internal PTIDs	R/E <sup>5</sup>	R/E <sup>5</sup>		
How to Assign Trans ID to External Transactions	R/E	R		
How to View Supply-Side Mitigation Summary	R	R		
How to View Supply-Side Mitigation Default Reference Price Summary	R	R		R
How to Report and Manage MP Affiliate Information	R/E	R/E		
How to View Buyer-Side Mitigation Floor Prices for Generators and UDRs	R	R		
How to View Buyer-Side Mitigation for DER Aggregations	R	R		
How to View Deliverability Limits	R	R		
How to View Zero Dollars MW Offers	R/E <sup>2,5</sup>	R		
How to Enter and Maintain Wheels Through Transactions	R/E <sup>5</sup>	R/E <sup>5</sup>		
How to Enter and Maintain Export Transactions	R/E <sup>5</sup>	R/E <sup>5</sup>		
<b><i>Bids to Purchase UCAP (Section 5)</i></b>				
How to Enter Bids to Purchase UCAP	R/E <sup>1</sup>			
How to Maintain and View Bids to Purchase UCAP	R/E <sup>1</sup>	R		
How to Copy Bids to Purchase UCAP	R/E <sup>1</sup>			
How to View Buyer Awards	R	R		
<b><i>Offers to Sell UCAP (Section 6)</i></b>				
How to Enter Offers to Sell UCAP	R/E <sup>2</sup>			
How to Maintain and View Offers to Sell UCAP	R/E <sup>2</sup>	R		
How to Copy Offers	R/E <sup>2</sup>			
How to View Seller Awards	R	R		
How to View Spot Offer Summary	R	R		
<b><i>Load Forecasts and UCAP Requirements (Section 7)</i></b>				
How to View and/or Record LSE Load Forecasts	R	R	R/E <sup>8</sup>	
How to Maintain Transmission Owner Lists of LSE's			R/E <sup>8</sup>	

Functionality / ICAP Automated Market System User's Guide Section	Billing Org MP	Non-Billing Org MP	TO	Public
How to View ICAP and UCAP Calculations	R	R	R	R
<b><i>ICAP Market Event Calendar (Section 8)</i></b>				
How to View the Event Calendar	R	R	R	R
<b><i>Auction Results (Section 9)</i></b>				
How to View Strip / Monthly Auction Bid Results	R	R		
How to View Spot Market Auction Purchases	R	R		
How to View Offer Auction Results	R	R		
How to View Strip Auction Summary	R	R	R	R
How to View Monthly Auction Summary	R	R	R	R
How to View Spot Auction Summary	R	R	R	R
How to View Rebate Summary	R	R	R	R
<b><i>Derating Factors (Section 10)</i></b>				
How to View Seasonal Derating Factors	R	R		
<b><i>Dependable Maximum Net Capability (Section 11)</i></b>				
How to Maintain DMNC Results	R/E <sup>6</sup>	R/E <sup>6</sup>		
How to View Monthly DMNC Test Results	R	R		
<b><i>Billing (Section 12)</i></b>				
How to View and/or Maintain Daily Forecasted Load and Actual True-Up Load	R	R	R/E <sup>8</sup>	
How to View Daily Forecasted Load and True-Up Load			R	
How to View Load Shift Billing Adjustment Details	R	R	R	
How to View Consolidated Billing	R	R		
<b><i>Special Case Resources (SCRs) (Section 13)</i></b>				
How to View SCRs, Load Modifiers and Municipal Generation	R			

Functionality / ICAP Automated Market System User's Guide Section	Billing Org MP	Non-Billing Org MP	TO	Public
<b>Upload / Download<sup>3</sup> (Section 14)</b>				
UCAP_UPLOAD_BID	E <sup>3</sup>			
UCAP_UPLOAD_OFFER	E <sup>4</sup>			
UCAP_UPLOAD_LOADFORECASTS			E <sup>9</sup>	
UCAP_UPLOAD_DMNC	E <sup>7</sup>	E <sup>7</sup>		
UCAP_DOWNLOAD_DMNC	R	R		
UCAP_DOWNLOAD_BID	R	R		
UCAP_DOWNLOAD_OFFER	R	R		
UCAP_DOWNLOAD_LOADFORECAST	R	R	R	
UCAP_DOWNLOAD_BILATERALS	R	R		
UCAP_DOWNLOAD_CERT_DETAIL	R	R		
UCAP_DOWNLOAD_PURCHASES_SALES	R	R		
UCAP_DOWNLOAD_PTID_CAPACITY	R	R		
UCAP_DOWNLOAD_ZERO_DOLLAR_OFFER	R	R		
<b>Rights (Section 15)</b>				
How to View Unforced Capacity Deliverability Right or External-to-ROS Deliverability Right (UDR/EDR) Generator Monthly Parameters	R	R		
How to Add, Update, and Delete a UDR/EDR Generator Rights Association	E <sup>5</sup>	E <sup>5</sup>		
How to View External CRIS Right Offer Caps	R	R		
How to View External CRIS Rights Obligations & Violations	R	R		
How to view/maintain First-Come, First-Served (FCFS) Import Rights	R/E <sup>5</sup>	R/E <sup>5</sup>		
How to View External Rights Availability	R	R	R	R
<b>Capacity Accreditation (Section 16)</b>				
How to View Seasonal Average Capacity Factors	R	R	R	
How to View Seasonal CARC/CAF Values	R	R	R	
How to View Internal CARC Assignments	R	R	R	
How to View External CARC Assignments	R	R	R	
<b>R = Read-only</b>				

Functionality / ICAP Automated Market System User's Guide Section	Billing Org MP	Non-Billing Org MP	TO	Public
E = Editable				

**Table Notes:**

1. Access granted to this page only if "Bid to Purchase" User attribute is checked.
2. Access granted to this page only if "Offer to Sell" User attribute is checked
3. Only Users with the "Bid to Purchase" attribute can submit this template.
4. Only Users with the "Offer to Sell" attribute can submit this template.
5. Only Users with the "Certification" attribute can submit this data.
6. Only Users with the "DMNC" attribute can submit this data.
7. Only Users with the "DMNC" attribute can submit this template.
8. Only Users with the "Maintain TO data" attribute can submit this data.
9. Only Users with the "Maintain TO data" attribute can submit this template.

### 1.4. Functions Not Automated in ICAP AMS

The following functions are excluded from the ICAP Automated Market System at this time:

- Submitting GADS Data is done online in the NYISO GADS portal
- Capacity Accreditation Factors are calculated by the GE MARS tool.
- Average Capacity Factors are calculated by the Decision Support System (DSS).
- Reporting and calculation of Resource Derating Factors
- Requesting Unforced Capacity Deliverability Rights (UDRs) or External-to-ROS Deliverability Rights (EDRs)
  - NOTE: Once a UDR/EDR is established, MPs are able to submit monthly UDR/EDR external generator designations via the ICAP AMS
- For RIPs participating in the ICAP/SCR program, the registration of Responsible Interface Party (RIP), the enrollment of SCRs with the required meter data and load reduction information, the reporting of SCR performance data and the maintenance of SCR enrollment data, and performance factors for individual and aggregations of SCRs as well as RIPs, are implemented in the Demand Response Information System (DRIS).
- For Aggregators participating in the DER Participation program, the registration of Aggregator, the enrollment of DER Aggregations with the required meter data and load reduction information, the reporting of DER performance data and the maintenance of DER enrollment data, and derating factors and DMNC for individual Capacity facilities and DER Aggregations are implemented in the Aggregation System (AGG SYS).



## 2. Background Topics

### 2.1. Introduction to the Capacity Auctions

In order to ensure that the NYCA has adequate capacity available to meet the electricity demands, the NYISO administers an ICAP market pursuant to the Market Administration and Control Area Services Tariff ("Services Tariff"). The ICAP market provides the means for LSEs to satisfy their capacity obligations from suppliers (See ***LSE Unforced Capacity Obligation*** in the *MST* Section 2.12). LSE obligations are established to satisfy peak demands. The obligations are assigned to LSEs as ***NYCA*** and ***Locational Minimum Installed Capacity Requirements*** as defined in the *MST* Section 2.12. The ICAP market is administered by the NYISO through a series of auctions where ICAP Suppliers offer to sell their capacity, and LSEs bid to purchase the capacity.

The NYISO conducts three (3) types of capacity auctions: the Capability Period (Strip) Auction, the Monthly Auction, and the monthly ICAP Spot Market Auction. These auctions provide the LSEs with the opportunity to secure the required capacity and Suppliers to offer their capacity in an open and competitive market environment. The product offered and sold, and product bid on and purchased in these auctions is UCAP. UCAP is the measure of Installed Capacity determined to be available in accordance with NYISO-established formula, considering outages history and other operating characteristics.

These auctions are a major activity of the ICAP market in which Market Participants are engaged; however, there are other activities. For example, Transmission Owners (TOs) supply load forecast information used to set the ***NYCA and Locational Minimum Unforced Capacity Requirements*** of LSEs and load-shifting data to financially adjust for retail customer switching. Prior to the ICAP Spot Market Auction each month, each Market Participant that participates in UCAP self-supply or bilateral agreements (e.g., LSEs and ICAP Suppliers) must identify to the NYISO the Resource that will provide the UCAP. Specifically, LSEs and ICAP Suppliers must both "certify" the transaction. This identification, called "certification," provides the only mechanism for the NYISO to ensure that LSEs have satisfied their requirements prior to the ICAP Spot Market Auction. ICAP Suppliers that sold capacity in the Capability Period or Monthly Auction for a month must also identify the Resource to satisfy the sale obligation during certification.

RIPS must enroll SCRs with the NYISO via the DRIS prior to its participation (e.g., submitting offers) in the ICAP market. The enrollment process is open each month during the period identified on the ICAP Event Calendar.



Finally, each Market Participant may track its financial position both during each month and after the month, and Capability Period and Year end. Detailed billing summaries including auction activities, and financial true-up information resulting from load-shifting are provided prior to entry into consolidated invoices.

Additional information concerning NYISO Capacity Requirements and the Installed Capacity Market is available in the *NYISO Installed Capacity Manual* located on the NYISO Web site at <https://www.nyiso.com/manuals-tech-bulletins-user-guides>.

## 3. Requirements

### 3.1. System Requirements

The following items are required to run the ICAP Automated Market:

- Latest version of Mozilla Firefox, Google Chrome, or Microsoft Edge with Java Script enabled
- Minimum 1024x768 screen resolution is recommended
- A NAESB compliant digital certificate is required for all users
- A high-speed internet connection

### 3.2. Using Digital Certificates

All users must have a NAESB compliant digital certificate linked to their MIS user name in order to access NYISO applications. For instructions on obtaining and using a NAESB compliant digital certificate, refer to the *NYISO Market Participant User's Guide*, available from the NYISO Web site at the following URL:

<https://www.nyiso.com/manuals-tech-bulletins-user-guides>

### 3.3. Market Participant Administrator and User Tasks

As discussed in detail in the *NYISO Market Participant User's Guide* (MPUG), available from the NYISO Web site at: <https://www.nyiso.com/manuals-tech-bulletins-user-guides> the NYISO has created the position of Administrator to manage Users, Organizations, Generators, and Load assignments in the NYISO Market Information System. In other words, each Market Participant's ("MP's") Administrator is responsible for managing its organization's Users with regard to their allowed function(s) in the NYISO markets. First, however, the MP organization itself must have ICAP market privileges to participate.

Administrators should be aware that User accounts, which they may set up for themselves, must be established to participate in the ICAP Automated Market System, as well as for any other NYISO market product.

The ICAP Automated Market System does not pre-populate Users or User permissions, i.e., they will not be carried forward from any Market Trial, nor will they be carried forward from any other NYISO market product, system, or record. Users with ICAP permissions must be created by the MP's Administrator

(see screen shot below). ICAP Automated Market System passwords, which are managed by Administrators, are case-sensitive.

If authorized, User Accounts can perform Auction functions such as:

- Login and Logout of User sessions
- Submit Bids to Purchase or Offers to Sell
- Insert Bilateral Agreements
- Allocate Sales to Generators
- Record Load Forecasts
- Record DMNC Test Results
- View Seasonal Derating Factors
- View Auction Results
- View Seasonal CARC/CAF Data
- View Seasonal Average Capacity Factor Data
- Submit UDR/EDR Generator designations
- Submit FCFS Import Right requests

[Figure 2](#) below shows the MIS New User screen, through which MP Administrators create User accounts.

**Figure 2: MIS New User Screen**

Administrators - Generators - Log Out - New User - Organization Users - Organizations - Sub-Zone Parameters - Zone Parameters -

### New User

Organization:  Active:

Name: \*  Address:

Primary Phone: \*

Secondary Phone:

FAX:

E-Mail:

Pager:

Oracle User Name: \*

#### Privileges

DAM Generators	HAM Generators	Physical Load	Virtual Load	Virtual Supply	DAM Transactions
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
HAM Transactions	Non-Firm Transactions	TCC	ICAP	Update UC Data Access	Settlement Statements
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### ICAP-related Privileges

Bid To Purchase	Offer To Sell	Certify	DMNC	Maintain T.O. Data
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### Metering-related Privileges

Metering

#### Memo

Again, to have access to any MP-only (i.e. non-public) screen(s) in the ICAP Automated Market, a User must have ICAP privileges. Additionally, “edit” privileges to various modules within this market are controlled through the granting of User-level ICAP privileges via the Administrator.

**Note:** As noted above, the privileges available to be granted to a User by his or her Administrator must first be granted on an *organization* level by the NYISO.

The screen used for *managing current* Users, under Organization Users Menu, is nearly the same (see below).

**Figure 3: MIS Screen for Managing Users**

Company	Newsroom	Products	Market Data	Services	Documents	Committees
<a href="#">Administrators</a> - <a href="#">Generators</a> - <a href="#">Log Out</a> - <a href="#">New User</a> - <a href="#">Organization Users</a> - <a href="#">Organizations</a> - <a href="#">Sub-Zone Parameters</a> - <a href="#">Zone Parameters</a> -						
						Page Ref: M-3
<b>User Detail</b>						
Organization: _____ Type: NYISO CUSTOMER Updated By: 1012996 Update Time: 12/05/2005 Active: <input checked="" type="checkbox"/>						
<b>Contact Information</b>						
Name: *		Address:				
Primary Phone: *						
Secondary Phone:						
FAX:						
E-Mail:						
Pager:						
Oracle User Name:						
<b>Privileges</b>						
DAM Generators	HAM Generators	Physical Load	Virtual Load	Virtual Supply	DAM Transactions	
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
HAM Transactions	Non-Firm Transactions	TCC	ICAP	Update UC Data	Billing	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
<b>ICAP-related Privileges</b>						
Bid To Purchase	Offer To Sell	Certify	DMNC			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
<b>Memo</b>						
<input type="button" value="Update"/> <input type="button" value="Reset"/> <input type="button" value="Delete"/>						
<a href="#">Change Password</a> <a href="#">Authorized Generators</a> <a href="#">Authorized Loads</a>						
© 1999-2005 New York Independent System Operator. All rights reserved.						

## 4. Certification and Capacity Mitigation

This section describes how Market Participants certify the UCAP they are supplying and also how they certify the amount of Unforced Capacity they have obtained for the upcoming Obligation Procurement Period. These processes are described in greater detail in the *NYISO Installed Capacity Manual* (available from the NYISO Web site at the following URL: <https://www.nyiso.com/manuals-tech-bulletins-user-guides>).

In addition, this section describes how Market Participants can view Supply-Side Mitigation (Pivotal Supplier) and Buyer-Side Mitigation (Offer Floor Price) parameters, both of which are only applicable to Mitigated Capacity Zones. ICAP market mitigation measures are set forth in the Section 23 of the *Services Tariff (Attachment H)*.

This section of the User's Guide describes the following functionality:

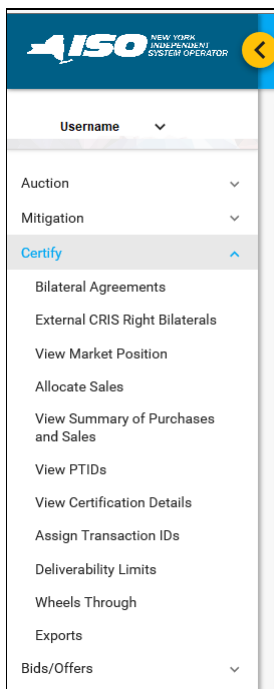
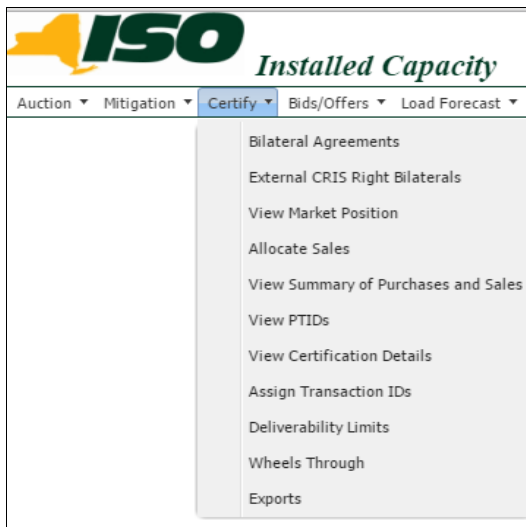
- How to View Market Position
- How to Enter, Maintain and Confirm Bilateral Agreements
- How to Enter, Maintain and Delete External CRIS Right Bilateral Agreements.
- How to Assign/Allocate Sold Capacity to PTIDs
- How to Assign MIS Transaction IDs to Imports, Exports, Wheels, Unforced Capacity Deliverability Rights (UDR), and External-to-ROS Deliverability Rights (EDR)
- How to View Confirmed Bilateral Agreements and Summarized Auction Results Details
- How to View Summarized Bilateral Agreements and Auction Results
- How to View Activity and Remaining Capacity of PTIDs
- How to View Supply-Side Mitigation Summary
- How to View Supply-Side Mitigation Default Reference Prices Summary
- How to Report and Manage Market Participant Affiliate Information
- How to View Buyer-Side Mitigation Floor Prices for Generators and UDRs
- How to View Buyer-Side Mitigation Data for DER Aggregations
- How to View Deliverability Limits
- How to Enter and Maintain Zero Dollar MW Offers
- How to Enter and Maintain Wheels Through Transactions
- How to Enter and Maintain Export Transactions

Download templates for certification functions are described in Section [14.5](#) of this User's Guide.

All features described in this chapter are accessible from either the Certify or the Mitigation Menus on the main menu bar. View Supply-Side Mitigation Summary, View Floor Prices, View Reference Price Summary, and MP Affiliate Form are accessible from the Mitigation Menu. The View Reference Price Summary is also accessible from the NYISO public Web site.

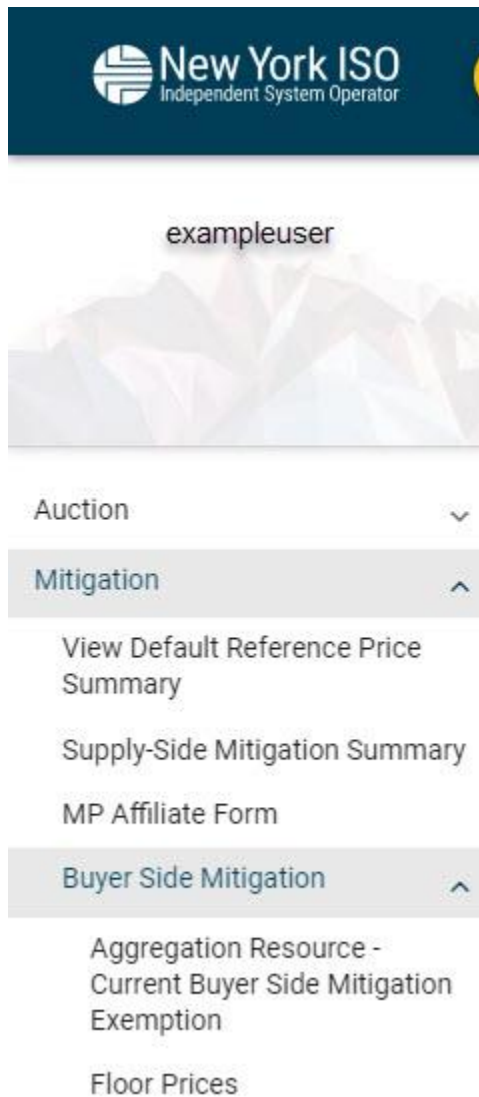
The **Certify Menu** appear as follows:

**Figure 4: Certify Menu**



The **Mitigation Menu** appear as follows:

**Figure 5: Mitigation Menu**





## 4.1. How to View Market Position

Users may view their purchases and sales, requirements, excess capacity, and overall long or short position by location. To utilize this feature, Users may select View Market Position option from the Certify Menu displayed in Screen Descriptions

**Figure 6: View Market Position Filter Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on Market Participant Logged On.
Season	Text	Y	Capability Period.
Month	Date	Y	Month within the Season to be displayed.
Version	Text	Y	Select 'Current' or 'At Certification Close'

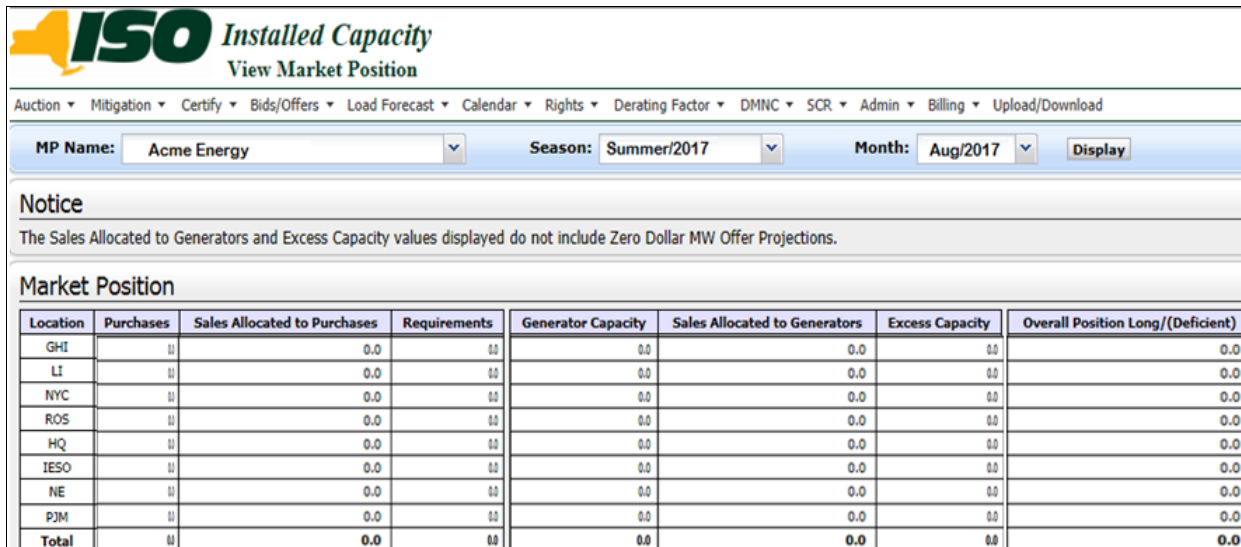
**Figure 7: Market Position Screen Section**

Screen Field	Data Type	Editable	Description
Location	Text	N	List of all unique internal and external locations.
Purchases	Numeric	N	Sum of all confirmed purchased MW (bilateral transactions and auctions) for the Market Participant and Month specified and the Location listed.
Sales Allocated to Purchases	Numeric	N	Sum of all confirmed sold MW for the Location listed that are not allocated to PTIDs.
Requirements	Numeric	N	UCAP requirements for the Location listed (valid for LI, NYC, GHI (i.e., Load zones G, H, and I), and ROS (Rest of State). Value will be zero for HQ, IESO, NE and PJM.
Generator Capacity	Numeric	N	Sum of Available For Sale UCAP Capacity of all PTIDs for the Market Participant and Month specified and the Location listed.  (See in Section 4.6 for calculation of Available For Sale UCAP.)

Screen Field	Data Type	Editable	Description
Sales Allocated to Generators	Numeric	N	Sum of confirmed sold MW allocated to PTIDs for the Market Participant and the Location listed.
Excess Capacity	Numeric	N	Generator Capacity minus Sales Allocated to Generators. <i>Note:</i> The Excess Capacity does not carry a Day-Ahead Market bidding obligation.
Overall Position Long / (Deficient)	Numeric	N	Purchases less Sales Allocated to Purchases less Requirements.

#### 4.1.1. Viewing Market Position

Figure 8: Market Position Screen Section



**ISO Installed Capacity**  
View Market Position

Auction ▾ Mitigation ▾ Certify ▾ Bids/Offers ▾ Load Forecast ▾ Calendar ▾ Rights ▾ Derating Factor ▾ DMNC ▾ SCR ▾ Admin ▾ Billing ▾ Upload/Download

MP Name:  Season:  Month:

**Notice**  
The Sales Allocated to Generators and Excess Capacity values displayed do not include Zero Dollar MW Offer Projections.

**Market Position**

Location	Purchases	Sales Allocated to Purchases	Requirements	Generator Capacity	Sales Allocated to Generators	Excess Capacity	Overall Position Long/(Deficient)
GHI		0.0		0.0	0.0	0.0	0.0
LI		0.0		0.0	0.0	0.0	0.0
NYC		0.0		0.0	0.0	0.0	0.0
ROS		0.0		0.0	0.0	0.0	0.0
HQ		0.0		0.0	0.0	0.0	0.0
IESO		0.0		0.0	0.0	0.0	0.0
NE		0.0		0.0	0.0	0.0	0.0
PJM		0.0		0.0	0.0	0.0	0.0
<b>Total</b>		<b>0.0</b>		<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>

After selecting Season and Month and clicking the “**DISPLAY**” button, the “View Market Position” screen, summarizing data ordered by internal locations followed by external locations, will appear.

The “View Market Position” screen shows the Market Participant its long or short position by location. The system prevents generation units from being oversold (sales allocated to generators). Therefore, the long or short position is determined solely by whether or not the Market Participant has purchased sufficient capacity to cover its requirements plus any sales that were not covered by sales allocated to generators (called ‘Sales Allocated to Purchases’ on the screen).

**Example A: Deficiency resulting from not using own capacity to meet requirements**

Purchases	100 MW
Sales Allocated to Purchases	0 MW
Requirements	110 MW
Generator Capacity	90 MW
Sales Allocated to Generator	15 MW
Excess Capacity	75 MW
Overall Position	-10 MW (100 minus 0 minus 110)

**Example B: Deficiency in Example A covered through self-supply bilateral**

*Step 1:* An ICAP Supplier can satisfy some or all of its requirements using its own capacity (self-supply bilateral). This is done by first creating a self-supply bilateral agreement (see Section [4.2](#) where the Supplier is both the seller and the buyer). The purchase shows as Purchased Capacity, and the sale shows as Sales Allocated to Purchases. The supplier would still look deficient.

Purchases	110 MW (100 MW purchased plus 10 MW self-supply)
Sales Allocated to Purchases	10 MW (sold to self but not yet allocated to generator)
Requirements	110 MW
Generator Capacity	90 MW
Sales Allocated to Generator	15 MW
Excess Capacity	75 MW
Overall Position	-10 MW (100 minus 0 minus 110)

*Step 2:* The “Allocate Sales” screen (see Section [4.7](#)) is then used to allocate the self-supply bilateral sale to PTIDs. The sales shown in the Sales Allocated to Purchases column are moved to Sales Allocated to Generators on the “View Market Position” screen.

Purchases	110 MW (100 MW purchased plus 10 MW self-supply)
Sales Allocated to Purchases	0 MW
Requirements	110 MW
Generator Capacity	90 MW
Sales Allocated to Generator	25 MW

Excess Capacity

65 MW

Overall Position

0 MW (110 minus 0 minus 110)

## 4.2. How to Enter, Maintain, and Delete Bilateral Agreements

This feature, accessible from the Certify Menu as Bilateral Agreements option allows Users to enter, maintain, and confirm bilateral agreements and self-supply bilaterals. Bilateral agreements are entered by a Market Participant and confirmed by the corresponding Market Participant (either the 2nd Party to the agreement, or the same MP if it is a self-supply bilateral). A self-supply bilateral simply describes the mechanism to assign (i.e., certify) capacity registered to a Market Participant to its own organization. All bilateral agreements are entered as UCAP values. In order to enter, maintain, delete and confirm bilateral agreements, Users must have “Certify” privileges and also be with an organization that has “Certify” privileges.

Unconfirmed bilateral agreements are described in this section. Confirmed bilateral agreements are discussed in Section [4.2.5](#).

Unconfirmed bilateral agreements can only be modified by the User with Certify privilege, and only MW values can be changed. Bilateral agreements that are unconfirmed at the time the Certification Period closes do not serve to reduce a Market Participant's requirements. In order for self-supply generating capacity to meet any ICAP requirements, Users must first enter the required MW as a bilateral agreement with themselves listed as the second party. Such transactions are automatically confirmed by the System; i.e., for all self-supplied UCAP, the functionality operates so that for self-supply only, Users do not need to take a second action, and thus in effect bypass the functionality described in Section [4.2.5](#).

After the transaction is confirmed by the System, Users may allocate sales to PTIDs, as described in Section [4.7](#).

Additionally, if the capacity that was purchased was confirmed in respect of Import Rights, and the UCAP is resold in a bilateral agreement, only the seller can enter the bilateral agreement into the System. The System will not allow the UCAP on such a bilateral agreement to exceed the Import Rights of the seller.

#### 4.2.1. Screen Descriptions

**Figure 9: Bilateral Agreements Filter Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on Market Participant Logged On.
Season	Text	Y	Capability Period.
Month	Date	N	Month when the bilateral agreement is Effective (Certification Period for this month must be open).

**Figure 10: Location Sales Summary Screen Section**

Screen Field	Data Type	Editable	Description
Location	Text	N	Internal and external locations.
Auction and Bilateral Sales	Numeric	N	Supplier's auction awards and confirmed bilateral sales from this location.
Unallocated Balance	Numeric	N	Supplier's capacity sales not yet allocated to PTIDs.
Remaining Balance After 2nd Party Confirmation	Numeric	N	Supplier's Unallocated Balance minus Bilateral Sales pending 2nd party confirmation for this location.
CSV	Control		Triggers the system to export displayed tabular data as a CSV file.

**Figure 11: Create Bilateral Agreement Screen Section**

Screen Field	Data Type	Editable	Description
Sale/Purchase	Text	Y	Select either Purchase or Sale. [Required Field]
Location	Text	Y	Select from list of internal locations (See <a href="#">Sections 4.2.2.1 and 4.2.2.2</a> on Importing and Exporting Capacity). [Required Field]
2 <sup>nd</sup> Party	Text	Y	Select from list of Market Participants. [Required Field]

Screen Field	Data Type	Editable	Description
MW	Numeric	Y	Number of MW either purchased or sold on the bilateral agreement. (Format 9999.9; always positive) Sales and Purchases are entered and displayed as UCAP. [Required Field]
For Export?	Checkbox	Y	Requestor checks if Purchaser intends to export the capacity. This field is optional.
PTID Name	Text	Y	Seller's PTID and Resource Name for Location selected. Requestor uses this field to specify if Purchaser intends to export the capacity. This field can only be specified if "For Export?" is checked.
Import Right #	Text	Y	Select from list of unique Import Right identification numbers from the Seller's confirmed FCFSR or GFR bilateral agreement (purchases). This field is optional and can only be specified by the Seller with Import Rights. Import Right MW cannot be For Export.

**Figure 12: Maintain Unconfirmed Agreements Screen Section**

Screen Field	Data Type	Editable	Description
Bilateral ID	Numeric	N	System-generated Bilateral Agreement ID number. This number will be displayed as the ID # for Type=EPC or EBT transaction records on the "Assign Transaction IDs" screen.
Location	Text	N	Internal location.
Seller Organization	Text	N	The Market Participant that capacity was purchased from.
MW	Numeric	Y	Purchased or Sold MW. (Format 9999.9; always positive) Sales and Purchases are entered and displayed as UCAP. Only the Requestor can edit this value.

Screen Field	Data Type	Editable	Description
Import Right	Text	N	Unique identifier of a Seller's Import Right into an internal location that allows the Seller to then resell purchased external capacity to another Market Participant in the same internal location. Unique identifier of an Import Right in a selected location that allows a Market Participant to resell purchased external capacity to another Market Participant in that same internal location.
For Export?	Checkbox	N	Indication if the Purchaser intends to export the capacity.
PTID Name	Text	Y	Resource PTID indicated by the Seller for capacity the Purchaser intends to Export.  This is editable for the Seller, only if record is marked For Export.
Seller Confirmed?	Checkbox	Y	Indicates Seller confirmation.  This is automatically confirmed if the Seller is the Requestor.
Buyer Organization	Text	N	The Market Participant that capacity was sold to.
Buyer Confirmed?	Checkbox	Y	Indicates Buyer confirmation.  This is automatically confirmed if the Buyer is the Requestor.
Requestor	Text	N	The Market Participant that created the Bilateral Agreement.
Last Update Date	Date / Time	N	Date the bilateral agreement data was last updated.
Delete	Delete Control	Y	Used to trigger record deletion.
CSV	Control		Triggers the system to export displayed tabular data as a CSV file.

**Figure 13: View Confirmed Agreements Screen Section**

Screen Field	Data Type	Editable	Description
Bilateral ID	Numeric	N	System-generated Bilateral Agreement ID number.  This number will be displayed as the ID # for Type=EPC or EBT transaction records on the "Assign Transaction IDs" screen.

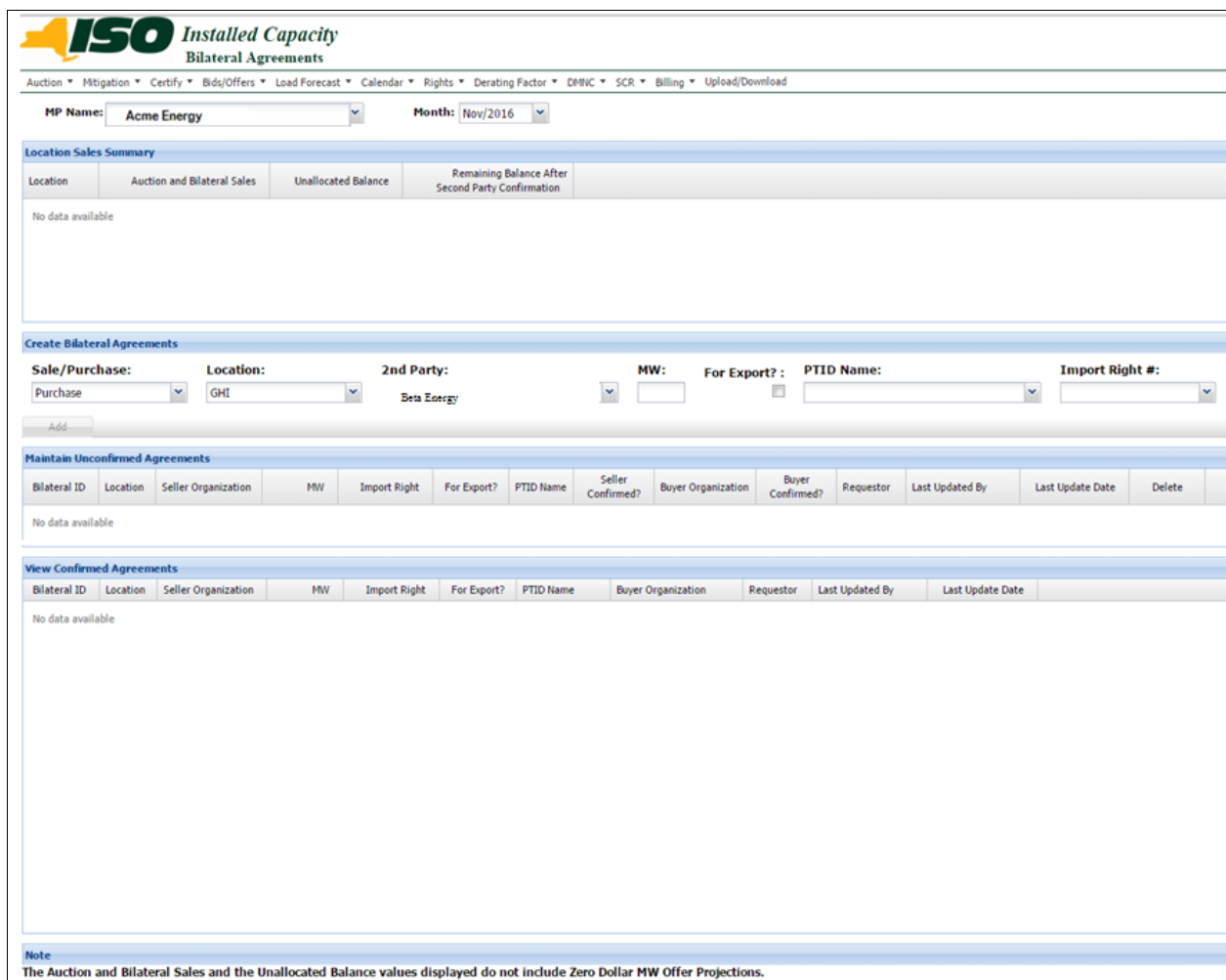
Screen Field	Data Type	Editable	Description
Location	Text	N	Internal location.
Seller Organization	Text	N	The Market Participant that capacity was purchased from.
MW	Numeric	N	Purchased or Sold MW. (Format 9999.9; always positive). Sales and Purchases are entered and displayed as UCAP.
Import Right	Text	N	Unique identifier of a Seller's Import Right into an internal location that allows the Seller to then resell purchased external capacity to another Market Participant in the same internal location. Unique identifier of an Import Right in a selected location that allows a Market Participant to resell purchased external capacity to another Market Participant in that same internal location.
For Export?	Checkbox	N	Indication if the Purchaser intends to export the capacity.
PTID Name	Text	N	Resource PTID indicated by the Seller for capacity the Purchaser intends to Export.
Buyer Organization	Text	N	The Market Participant that capacity was sold to. Indicates if the Market Participant has confirmed the bilateral agreement (automatically confirmed for the Market Participant that enters the bilateral agreement).
Requestor	Text	N	The Market Participant that created the Bilateral Agreement. The MP that submitted the bilateral agreement cannot edit this field.
Last Updated By	Text	N	Identifies who last updated the bilateral agreement data.
Last Update Date	Date / Time	N	Date the bilateral agreement data was last updated.
CSV	Control		Triggers the system to export displayed tabular data as a CSV file.

#### 4.2.2. Inserting Bilateral Agreements

Users may add bilateral agreements for the current Auction Month; existing bilateral agreements will also be shown:



**Figure 14: Create Bilateral Agreement Screen Section**



**ISO Installed Capacity Bilateral Agreements**

Auction ▾ Mitigation ▾ Certify ▾ Bids/Offers ▾ Load Forecast ▾ Calendar ▾ Rights ▾ Derating Factor ▾ DMNC ▾ SCR ▾ Billing ▾ Upload/Download

MP Name:  Month:

**Location Sales Summary**

Location	Auction and Bilateral Sales	Unallocated Balance	Remaining Balance After Second Party Confirmation
No data available			

**Create Bilateral Agreements**

Sale/Purchase:  Location:  2nd Party:  MW:  For Export?:  PTID Name:  Import Right #:

**Maintain Unconfirmed Agreements**

Bilateral ID	Location	Seller Organization	MW	Import Right	For Export?	PTID Name	Seller Confirmed?	Buyer Organization	Buyer Confirmed?	Requestor	Last Updated By	Last Update Date	Delete
No data available													

**View Confirmed Agreements**

Bilateral ID	Location	Seller Organization	MW	Import Right	For Export?	PTID Name	Buyer Organization	Requestor	Last Updated By	Last Update Date
No data available										

**Note**  
The Auction and Bilateral Sales and the Unallocated Balance values displayed do not include Zero Dollar MW Offer Projections.

To add bilateral agreements, Users must select the following parameters in the Create Bilateral Agreement screen section: Sale/Purchase, Location, 2<sup>nd</sup> Party, and MW. The user may select For Export (if Purchaser intends to export) and PTID Name (if For Export is checked), or Import Right # (if capacity originated from an external Control Area). Users must click the "**ADD**" button to save the Bilateral Agreement to the Maintain Unconfirmed Agreements section. The screen will automatically refresh and the newly inserted bilateral agreement will be displayed in the Maintain Unconfirmed Agreements screen section.

**Note:** Import Right # can be selected after Location and MW are specified and can only be entered for a Sale, not a Purchase. The MW cannot exceed the remaining MW value for the Import Right. Import Right MW cannot be used "For Export."

#### 4.2.2.1. Exporting Capacity

To enter sales of NYCA UCAP to neighboring External Control Areas, see Section [4.15](#) How to Enter, View and Delete Export Transactions.

#### 4.2.2.2. Import Right Bilateral Agreements

Import Rights are requested following the process specified in the *ICAP Manual* and utilizing the ICAP Automated Market System. The "first-come, first-serve" (FCFS) Import Rights are different from External CRIS Rights, which are described below in Section [4.3](#). FCFS Import Rights are described below in Sections [15.4](#) and [15.5](#).

#### 4.2.3. Maintaining Bilateral Agreements

Utilizing this feature, Users may change the MW value of existing unconfirmed bilateral agreements that they have entered before it has been confirmed by the second Market Participant. (This feature does not apply to Import Rights bilateral agreements.) Users may also update confirmed self-supply bilateral agreements prior to the close of certification. The screen section is displayed as follows:

Maintain Unconfirmed Agreements											
Bilateral ID	Location	Seller Organization	MW	Import Right	For Export?	PTID Name	Seller Confirmed?	Buyer Organization	Buyer Confirmed?	Requestor	Last Updated By
No data available											

**Figure 15: Maintain Unconfirmed Agreements Screen Section**

Maintain Unconfirmed Agreements											
Bilateral ID	Location	Seller Organization	MW	Import Right	For Export?	PTID Name	Seller Confirmed?	Buyer Organization	Buyer Confirmed?	Requestor	Last Updated By
1234567	ROS	Acme Energy	100	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	Big Valley	<input type="checkbox"/>		
								<input type="button" value="Update"/> <input type="button" value="Cancel"/>			

Any data pertaining to the second party and any data other than the MW value of the agreement are not editable.

To update the UCAP amount, Users select a record in the Maintain Bilateral Agreements screen section and edit the MW column. PTID Name can only be changed if For Export is checked. Click "**UPDATE**" to save the change.

#### 4.2.4. Deleting Bilateral Agreements

Users may delete unconfirmed bilateral agreements by clicking the **"DELETE"** icon in the far right of the screen and confirming when prompted. Users may also delete confirmed self-supply bilateral agreements prior to the close of certification. The refreshed screen will no longer display the bilateral agreement selected for deletion. Only the Users with Certify privilege for the Market Participant that entered the agreement can delete it. .

#### 4.2.5. Confirming Bilateral Agreements

The screen displayed above in allows the party that did not enter the bilateral agreement (i.e., the 2nd party) to confirm the transaction. (As indicated in Section [4.2](#), this Section [4.2.5](#) does not apply to self-supply bilateral agreements.) Users select a record, check the Seller Confirmed or Buyer Confirmed check box in the Maintain Unconfirmed Agreements screen section and click the **"UPDATE"** button. The screen will automatically refresh and confirmed bilateral agreement will then display in the View Confirmed Agreements screen section displayed in .

**Figure 16: View Confirmed Agreements Screen Section**

View Confirmed Agreements								
Bilateral ID	Location	Seller Organization	MW	Import Right	For Export?	PTID Name	Buyer Organization	Requestor
1234567	ROS	Acme Energy	5.6		<input type="checkbox"/>		Beta Energy	Acme Energy
1224567	ROS	Beta Energy	15.0		<input type="checkbox"/>		Acme Energy	Acme Energy

### 4.3. How to Enter, Maintain and Delete External CRIS Right Bilateral Agreements

This feature, accessible from the Certify Menu as the External CRIS Right Bilateral option, allows Users to enter, maintain, and delete External CRIS Right Bilateral agreements. External CRIS Right Bilateral agreements are entered by the (Seller) Market Participant with External CRIS Rights. Upon request, NYISO confirms on behalf of the corresponding (Purchaser) Market Participant to the agreement once supporting documents are received and validated.

In order to enter, maintain, and delete External CRIS Right Bilateral agreements, Users must have "Certify" privileges. Only NYISO may confirm the External CRIS Right Bilateral agreements on behalf of the Purchaser. Supporting documentation of the transaction between the seller and the purchaser must be received by NYISO by the date on the ICAP Event Calendar, or the External CRIS Right Bilateral agreement will not be confirmed.

### 4.3.1. Screen Descriptions

**Figure 17: External CRIS Right Bilaterals Filter Section**

Screen Field	Type	Editable	Description
MP Name	Text	N	Defaults based on Market Participant Logged On.
Season	Text	Y	Capability Period.
Month	Date	Y	Month within the Season to be displayed.

**Figure 18: External CRIS Right Bilateral Information Screen Section**

Screen Field	Data Type	Editable	Description
Seller Rights Holder Organization	Text	N	For External CRIS Right Bilateral agreements, MP Organization that is the Rights Holder that is selling capacity.
Month	Date	N	Month selected.

**Figure 19: Add External CRIS Right Bilateral Information Screen Section**

Screen Field	Data Type	Editable	Description
Right #	Text	Y	Select from list. List consists of unique External CRIS Rights held by the MP performing the insert. This field designates which External CRIS Right the MP wants associated with this External CRIS Right Bilateral Sale. [Required Field]
PTID	Text	Y	Select from list. List consists of unique qualified resource PTIDs associated with the source location of the External CRIS Right. This field designates which resource is associated with this External CRIS Right Bilateral Sale. [Required Field]
Purchaser	Text	Y	2nd Party (Purchaser) MP Organization associated with the External CRIS Right Bilateral Agreement.
Obligation Type	Text	Y	The Obligation Type that the External CRIS Right Bilateral will count toward. [Contract or Non-Contract]. [Required Field]

Screen Field	Data Type	Editable	Description
Bilateral Sale ICAP	Numeric	Y	The External CRIS Right Bilateral Sale MW in ICAP that is associated with this Right # and this PTID. This Bilateral Sale ICAP MW cannot exceed what remains for this Obligation Type, Contract or Non-Contract. This ICAP amount will be applied to the Rights Holder's Contract or Non-Contract Obligation for this Right # for the month. [Required Field]

**Figure 20: Maintain External CRIS Right Bilateral Information Screen Section**

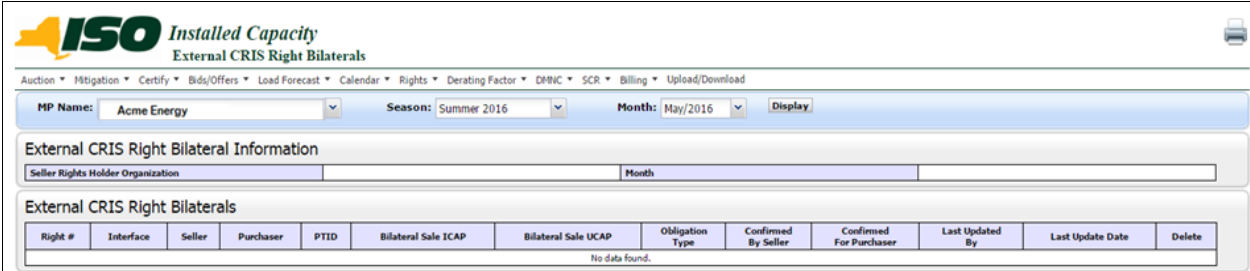
Screen Field	Data Type	Editable	Description
Right #	Text	N	Selected External CRIS Right # held by the Seller MP Organization.
Interface	Text	N	The Import Interface associated with the selected External CRIS Right #.
Seller	Text	N	MP Organization that is the Rights Holder that is selling capacity.
Purchaser	Text	N	2nd Party (Purchaser) MP Organization associated with the External CRIS Right Bilateral Agreement.
PTID	Text	N	Qualified resource PTIDs associated with the source location of the External CRIS Right associated with the External CRIS Right Bilateral Sale.
Bilateral Sale ICAP	Numeric	N	The External CRIS Right Bilateral Sale MW in ICAP that is associated with this Right # and this PTID. This ICAP amount will be applied to the Rights Holder's Contract or Non-Contract Obligation for this Right # for the month.
Bilateral Sale UCAP	Numeric	N	The External CRIS Right Bilateral Sale MW System converted to UCAP equivalent for the PTID designated by the Seller. This is the amount of Sale (UCAP) allocated to PTID selected when NYISO confirms the External CRIS Right Bilateral agreement.
Obligation Type	Text	N	The Obligation Type that the External CRIS Right Bilateral agreement will count toward [Contract or Non-Contract].
Confirmed By Seller	Check box	N	This field indicates default confirmation by the Seller who entered the External CRIS Right Bilateral agreement.

Screen Field	Data Type	Editable	Description
Confirmed For Purchaser	Check box	N	This field indicates whether NYISO has confirmed the External CRIS Right Bilateral agreement for the purchaser. This field is updatable only by NYISO and only during Open Certification Period.
Last Updated By	Text	N	Last User to update the External CRIS Right Bilateral agreement.
Last Update Date	Date	N	Date External CRIS Right was last updated.
Delete	Check box	Y	The Seller may check Delete only until the record is Confirmed For Purchaser by NYISO.

### 4.3.2. Viewing External CRIS Right Bilateral Agreements

When Users select the parameters described in in (Season and Month) and then click the “**DISPLAY**” button, the following screen will appear summarizing the data:

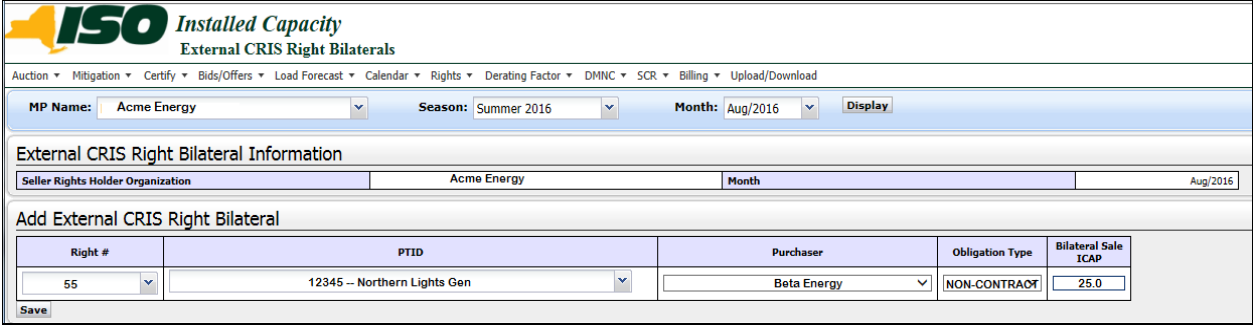
**Figure 21: External CRIS Right Bilateral Information Screen Section**



### 4.3.3. Enter External CRIS Right Bilateral Agreements

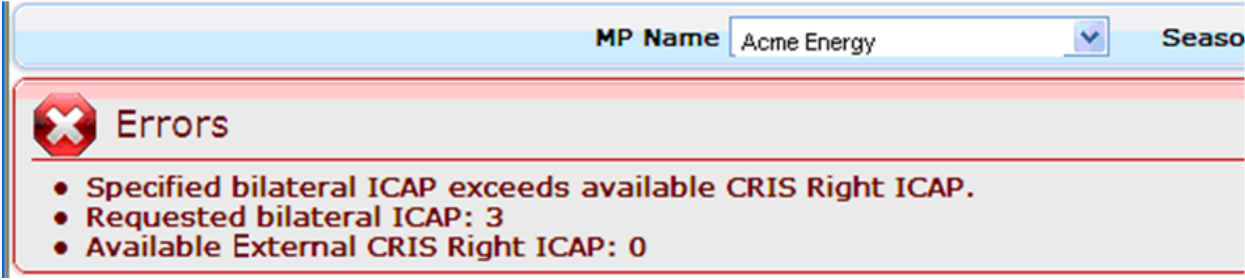
During the open certification period, users may add ECR Bilateral agreements by selecting the appropriate Month in the filter. When Users select the parameters described in (Right #, PTID, Purchaser, Obligation Type, and Bilateral Sale ICAP) and then click the “**SAVE**” button, the following screen will appear summarizing the data:

**Figure 22: Add External CRIS Right Bilateral Screen Section**



If the User enters an External CRIS Right Bilateral agreement and the Bilateral Sale ICAP MW amount exceeds what remains on the Contract or Non-Contract Obligation type selected for the Right #, the User will get a validation error when the “**SAVE**” button is executed as follows:

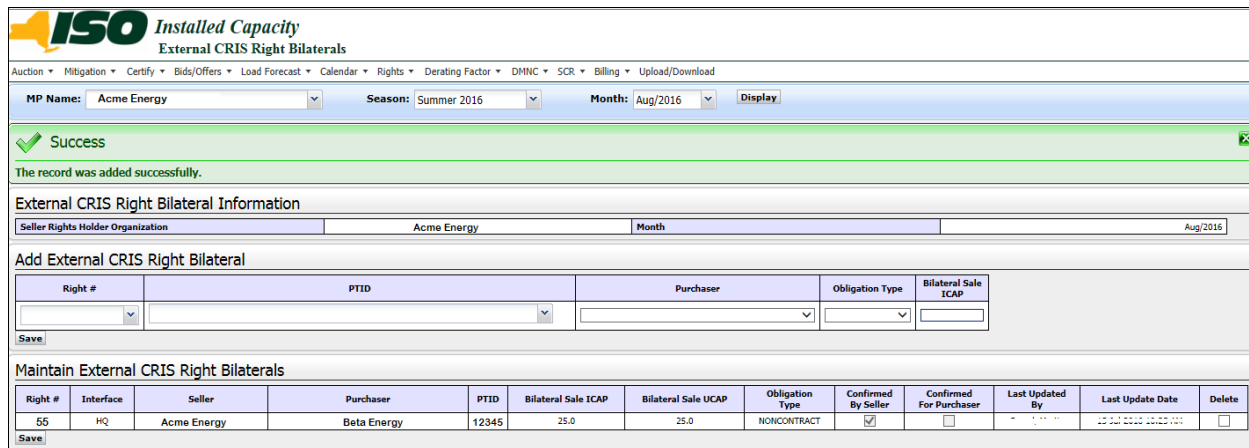
**Figure 23: Add External CRIS Right Bilateral - Validation Error**



#### 4.3.4. Maintain External CRIS Right Bilateral Agreements

External CRIS Right Bilateral Agreements can be deleted by Users up until the NYISO enters Confirmed For Purchaser. No other fields are updatable. When Users click the “**SAVE**” button, the record will be deleted if Delete is checked.

**Figure 24: Maintain External CRIS Right Bilateral Screen Sections**



**ISO Installed Capacity External CRIS Right Bilaterals**

Auction ▾ Mitigation ▾ Certify ▾ Bids/Offers ▾ Load Forecast ▾ Calendar ▾ Rights ▾ Derating Factor ▾ DMNC ▾ SCR ▾ Billing ▾ Upload/Download

MP Name: Acme Energy Season: Summer 2016 Month: Aug/2016 Display

**Success**  
The record was added successfully.

**External CRIS Right Bilateral Information**

Seller Rights Holder Organization: Acme Energy Month: Aug/2016

**Add External CRIS Right Bilateral**

Right #	PTID	Purchaser	Obligation Type	Bilateral Sale ICAP
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Save

**Maintain External CRIS Right Bilaterals**

Right #	Interface	Seller	Purchaser	PTID	Bilateral Sale ICAP	Bilateral Sale UCAP	Obligation Type	Confirmed By Seller	Confirmed For Purchaser	Last Updated By	Last Update Date	Delete
55	HQ	Acme Energy	Beta Energy	12345	25.0	25.0	NONCONTRACT	<input checked="" type="checkbox"/>	<input type="checkbox"/>		10/24/2016 10:20:00	<input type="checkbox"/>

Save

For External CRIS Right Bilateral agreements, the NYISO performs the 2nd-Party Confirmation prior to the close of certification (provided all documentation requirements are timely met.) Section 4.8 describes the confirmed ECR bilateral transactions as Type=ECR Bilateral on the "Assign Transaction IDs" screen.

#### 4.4. How to View Certification Detail Transactions

The View Certification Details option on the Certify Menu allows Users to view all of their internal transactions and External Transactions for the month, including all confirmed bilateral agreements entered by a User, all confirmed bilateral agreements to which the User is the 2<sup>nd</sup> party, and summarized auction offer and bid awards by auction type and location. The method for viewing unconfirmed bilateral agreements is described in Section 4.2.1.

##### 4.4.1. Screen Descriptions

**Figure 25: View Certification Details Filter Screen Section**

Screen Field	Type	Editable	Description
MP Name	Text	N	Defaults based on Market Participant Logged On.
Season	Text	Y	Capability Period.
Location	Text	Y	List of all internal and external locations; select "ALL" to see data from all locations.
Month	Date	Y	Month within the Season to be displayed.



**Figure 26: Auction and Bilateral Agreement Transactions Screen Section**

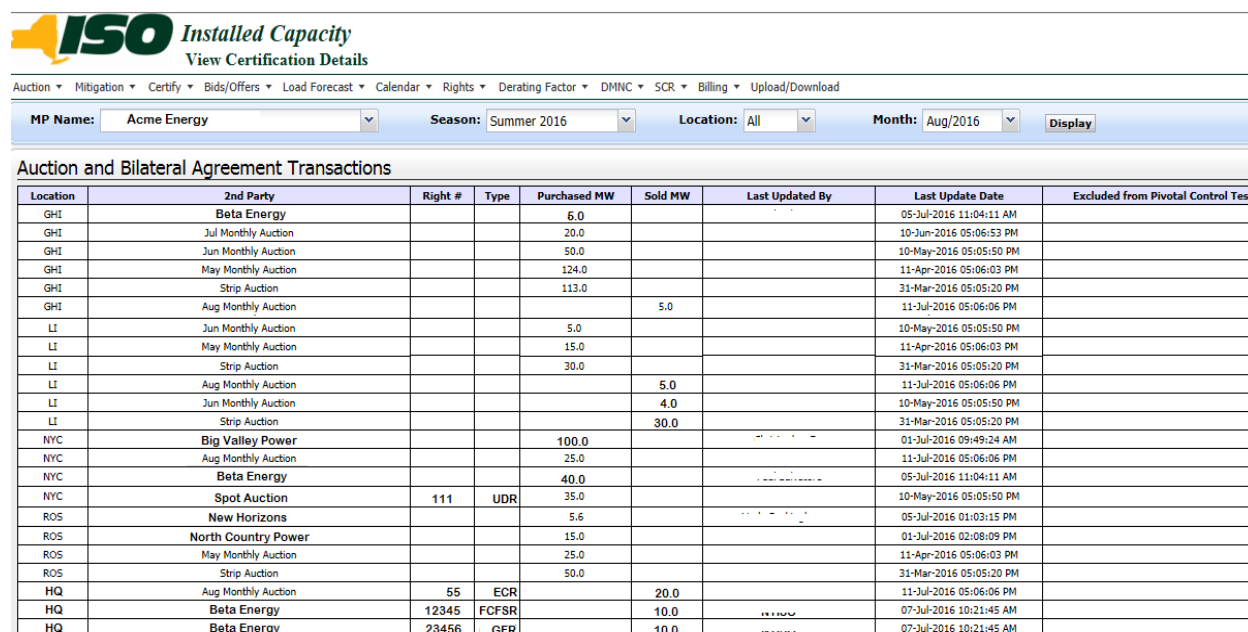
Screen Field	Data Type	Editable	Description
Location	Text	N	Internal location that the purchase is for or the internal/external capacity location the sale is being made from.
2nd Party	Text	N	For bilateral agreements, party that is selling or purchasing capacity to or from the User.  For auctions, shows auction type. Auction Types are Strip, Spot and Monthly. Monthly Auctions will be shown with an indicator of the Auction Month that the capacity was purchased/sold in.
Right #	Text	N	Number associated with an Import Right, External CRIS Right (ECR), or UDR/EDR (Deliverability Right).  (See Type description below.)
Type	Text	N	Right Type or Bilateral Transaction Type.  FCFSR = First-Come First-Serve Import Right GFR = Grandfathered Import Right ECR = External CRIS (Deliverability) Right UDR = Unforced Capacity Deliverability Right EDR = External-to-ROS Deliverability Right Regular – Bilateral Transaction EBT – Export Bilateral Transaction EPC – Export Purchased Capacity  Range of Value = [GFR, FCFSR, ECR, UDR, EDR, Regular, EBT, EPC,]
Mitigated Generator Group	Text	N	Mitigated Generator Group for the purchase or sale.  <i>Note:</i> As of May/2008, this parameter is obsolete. Supply-Side Mitigation replaced historic DGO Mitigation. This field is retained only to view historic DGO capacity.
Purchased MW	Numeric	N	Purchased MW for bilateral agreements. For auctions, sum of bid awards for the bid month equal to the month selected, broken down by Location and Auction Type.

Screen Field	Data Type	Editable	Description
Sold MW	Numeric	N	Sold MW for bilateral agreements. For auctions, sum of offer awards for the offer month equal to the month selected broken down by Location and Auction Type.
Last Updated By	Text	N	Last User to update the bilateral agreement. This field is blank for auctions
Last Update Date	Date	N	Date bilateral agreement was last updated, or the Auction was run and the purchase/sale award was created.
Excluded from Pivotal Control Test	Text [Y,N]	N	<p>Screen value is “Yes” for bilateral sales manually excluded from Market Participant’s adjusted market position and “No” for bilateral sales not manually excluded (default).</p> <p>A Market Participant must have a NYISO-Approved request to “rebut presumption of control” in order to have a bilateral sale in the Mitigated Capacity Zone manually excluded by NYISO from their Adjusted Market Position used for Supply-Side Mitigation.</p> <p>See the NYISO <i>Market Services Tariff – Attachment H, Section 23.4.5.5.</i></p>

#### 4.4.2. Viewing Certification Detail Transactions

When Users select the parameters described in [Figure 25](#) (Season, Location, and Month) and then click the “DISPLAY” button, the following screen will appear summarizing the data:

**Figure 27: Auction and Bilateral Agreement Transactions Screen Section**



Location	2nd Party	Right #	Type	Purchased MW	Sold MW	Last Updated By	Last Update Date	Excluded from Pivotal Control Test
GHI	Beta Energy			6.0			05-Jul-2016 11:04:11 AM	
GHI	Jul Monthly Auction			20.0			10-Jun-2016 05:06:53 PM	
GHI	Jun Monthly Auction			50.0			10-May-2016 05:05:50 PM	
GHI	May Monthly Auction			124.0			11-Apr-2016 05:06:03 PM	
GHI	Strip Auction			113.0			31-Mar-2016 05:05:20 PM	
GHI	Aug Monthly Auction				5.0		11-Jul-2016 05:06:06 PM	
LI	Jun Monthly Auction			5.0			10-May-2016 05:05:50 PM	
LI	May Monthly Auction			15.0			11-Apr-2016 05:06:03 PM	
LI	Strip Auction			30.0			31-Mar-2016 05:05:20 PM	
LI	Aug Monthly Auction				5.0		11-Jul-2016 05:06:06 PM	
LI	Jun Monthly Auction				4.0		10-May-2016 05:05:50 PM	
LI	Strip Auction				30.0		31-Mar-2016 05:05:20 PM	
NYC	Big Valley Power			100.0			01-Jul-2016 09:49:24 AM	
NYC	Aug Monthly Auction			25.0			11-Jul-2016 05:06:06 PM	
NYC	Beta Energy			40.0			05-Jul-2016 11:04:11 AM	
NYC	Spot Auction			35.0			10-May-2016 05:05:50 PM	
ROS	New Horizons			5.6			05-Jul-2016 01:03:15 PM	
ROS	North Country Power			15.0			01-Jul-2016 02:08:09 PM	
ROS	May Monthly Auction			25.0			11-Apr-2016 05:06:03 PM	
ROS	Strip Auction			50.0			31-Mar-2016 05:05:20 PM	
HQ	Aug Monthly Auction	55	ECR		20.0		11-Jul-2016 05:06:06 PM	
HQ	Beta Energy	12345	FCFSR		10.0		07-Jul-2016 10:21:45 AM	
HQ	Beta Energy	23456	GFR		10.0		07-Jul-2016 10:21:45 AM	

#### 4.5. How to View Summary of Purchases and Sales

The "View Summary of Purchases and Sales" screen displays higher level details than the functionality described in Section 4.4. Confirmed bilateral agreement sales and purchases are summarized for each location. Awarded auction sales and purchases are summarized for each individual auction (e.g., Strip, May Monthly, June Monthly, etc.) location. Users may select View Summary of Purchases and Sales option from the Certify Menu.

##### 4.5.1. Screen Descriptions

**Figure 28: View Summary of Purchases and Sales Filter Screen Section**

Screen Field	Type	Editable	Description
MP Name	Text	N	Defaults to Market Participant Logged On.
Season	Text	Y	Capability Period.
Month	Date	Y	Month to be displayed within the Season selected.

**Figure 29: Sales Summary Screen Section**

Screen Field	Data Type	Editable	Description
Type	Text	N	Specifies the auction type the sale is associated with or that the sales figure is from bilateral agreements.
Location	Text	N	Location from which the capacity was sold.
Mitigated Generator Group	Text	N	Mitigated Generator Group associated with the sold capacity. <i>Note:</i> As of May/2008, this parameter is obsolete. Supply-Side Mitigation replaced historic DGO Mitigation. This field is retained only to view historic DGO capacity.
MW	Numeric	N	Sum of UCAP sales for given Type and Location.


**Figure 30: Purchase Summary Screen Section**

Screen Field	Data Type	Editable	Description
Type	Text	N	Specifies the auction type the purchase is associated with or that the purchase figure is from bilateral agreements.
Location	Text	N	Location from which the capacity was purchased.
Mitigated Generator	Text	N	Mitigated Generator Group associated with the purchased capacity. <i>Note:</i> As of May/2008, this parameter is obsolete. Supply-Side Mitigation replaced historic DGO Mitigation. This field is retained only to view historic DGO capacity.
MW	Numeric	N	Sum of UCAP purchases for given Type, Location, and Mitigated Generator Group.

#### 4.5.2. Viewing Summary of Purchases and Sales

After selecting View Summary of Purchases and Sales in the Certify Menu and choosing the parameters (Season and Month) described in and clicking the “**DISPLAY**” button, the “View Summary of Purchases and Sales” screen will populate. This screen summarizes data based on Type and Location:

**Figure 31: Sales Summary and Purchases Summary Screen Sections**

 <b>Installed Capacity</b> View Summary of Purchases and Sales			
Auction ▾ Mitigation ▾ Certify ▾ Bids/Offers ▾ Load Forecast ▾ Calendar ▾ Rights ▾ Derating Factor ▾ DMNC ▾ SCR ▾ Billing ▾ Upload/Download			
MP Name:	Acme Energy ▾	Season:	Summer 2016 ▾
		Month:	Aug/2016 ▾ <input type="button" value="Display"/>
Sales Summary			
Type	Location	Mitigated Generator Group	MW
Bilateral Agreements	NYC		100.0
Bilateral Agreements	ROS		100.0
Monthly Auction Sales - MAY	ROS		100.0
Monthly Auction Sales - JUN	GHI		100.0
Monthly Auction Sales - JUN	LI		100.0
Monthly Auction Sales - JUN	NYC		100.0
Monthly Auction Sales - JUL	GHI		100.0
Monthly Auction Sales - JUL	NYC		200.0
Monthly Auction Sales - AUG	GHI		100.0
Monthly Auction Sales - AUG	LI		100.0
Monthly Auction Sales - AUG	ROS		200.0
Strip Auction Sales	LI		100.0
Strip Auction Sales	NYC		100.0
Strip Auction Sales	ROS		100.0
Total:			2,000.0
Purchases Summary			
Type	Location	Mitigated Generator Group	MW
Bilateral Agreements	GHI		100.0
Bilateral Agreements	NYC		100.0
Bilateral Agreements	ROS		100.0
Monthly Auction Purchases - MAY	GHI		100.0
Monthly Auction Purchases - MAY	LI		100.0
Monthly Auction Purchases - MAY	NYC		100.0
Monthly Auction Purchases - MAY	ROS		100.0
Monthly Auction Purchases - JUN	GHI		100.0
Monthly Auction Purchases - JUN	LI		100.0
Monthly Auction Purchases - JUN	NYC		100.0
Monthly Auction Purchases - JUN	ROS		100.0
Monthly Auction Purchases - JUL	GHI		100.0
Monthly Auction Purchases - JUL	NYC		100.0
Monthly Auction Purchases - AUG	NYC		100.0
Strip Auction Purchases	GHI		100.0
Strip Auction Purchases	LI		100.0
Strip Auction Purchases	NYC		100.0
Strip Auction Purchases	ROS		100.0
Total:			2,000.0

#### 4.6. How to View PTID Capacity and Sales Allocations

Users select View PTIDs from the Certify Menu to view the capacity and sales allocations for each PTID associated with their organization. For each PTID, both Available For Sale UCAP and ICAP Sold For DAM are calculated for Generators, RMRs, Behind-the-Meter Net Generator (BTM:NG) Resources, Load Modifiers (LM), Municipal Electric Systems (Muni), Special Case Resources (SCR), Unforced Capacity Deliverability Rights (UDR), and External-to-ROS Deliverability Rights (EDR). The PTID Details for a selected resource will display different parameters for different resource types.

#### 4.6.1. Screen Descriptions

**Figure 32: View PTIDs Filter Screen Section**

Screen Field	Type	Editable	Description
MP Name	Text	N	Defaults based on Market Participant Logged On.
Season	Text	Y	Capability Period.
Month	Date	Y	Month to be displayed within the Season Selected.
Location	Text	Y	Location filter includes internal and external locations. If unspecified, all Locations are displayed.
Zone	Text	Y	Zone letter filter for internal and external zones. If unspecified, all zones are displayed.
PTID Type	Text	Y	Resource Type. Range of values = [BTM:NG, EDR, Gen, SCR, LM, Muni, UDR, RMR, DER AGG, SRT AGG ESR, SRT AGG GEN, SRT AGG LFG, SRT AGG LESR, SRT AGG SOLAR, SRT AGG WIND] Standalone ESR PTIDs and IPR PTIDs display as Gen. DER AGG is a heterogenous Aggregation and SRT AGG is a homogenous Aggregation in the DER Participation Program. If unspecified, all resource types are displayed.

**Figure 33: Summary of Capacity and Sales Allocations Screen Section**

Screen Field	Data Type	Editable	Description
Note	Text	N	Clarifying note associated with Sales displayed. "Note: The Auction and Bilateral Sales and the Unsold values displayed do not include Zero Dollar MW Offer Projections."
PTID	Text	N	All BTM:NG, Generator, RMR, SCR, LM, Muni, UDR, EDR, DER AGG, and SRT AGG PTIDs associated with the MP Name shown in the Data Selection window.
PTID Name	Text	N	BTM:NG/Generator/RMR/SCR/LM/Muni/Aggregation Resource name or UDR/EDR Interface name.
MP Name	Text	N	Market Participant associated with this resource.

Screen Field	Data Type	Editable	Description
Location	Text	N	Location of the resource or the sink location associated with a UDR/EDR Interface.
Zone	Text	N	LBMP Zone Letter associated with the resource PTID, or the LBMP Zone Letter associated with the UDR/EDR sink location.
PTID Type	Text	N	Resource Type. Range of values = [BTM:NG, Gen, SCR, LM, Muni, UDR, EDR, RMR, DER AGG, SRT AGG ESR, SRT AGG GEN, SRT AGG LFG, SRT AGG LESR, SRT AGG SOLAR, SRT AGG WIND] Standalone ESR PTIDs and IPR PTIDs display as Gen. DER AGG is a heterogenous Aggregation and SRT AGG is a homogenous Aggregation in the DER Participation Program.
CSR	Text	N	Co-Located Storage Resource (CSR) indicator Y indicates Resource is participating as a CSR ESR or CSR IPR (Wind or Solar) Unit. All other Resources will display as blank.
Mitigated Generator Group	Text	N	Mitigated Generator Group to which the PTID belongs. <i>Note:</i> As of May/2008, this parameter is obsolete. Supply-Side Mitigation replaced historic DGO Mitigation. This field is retained only to view historic DGO capacity.
Capacity (DMNC)	Numeric	N	MW Capacity of the PTID for the selected month. For UDR/EDR PTIDs, this value is the same as the Organization Total ICAP MW for the UDR/EDR PTID as displayed on the "Deliverability Generators and Monthly Parameters" screen.

Screen Field	Data Type	Editable	Description
Available ICAP	Numeric	N	<p>For each Gen, RMR, LM, or Muni, the MW Capacity of the PTID for the selected month, adjusted for seasonal deliverability limit.</p> <p>Available ICAP<sub>Summer</sub> = MIN (Summer CRIS CAP, Summer DMNC)</p> <p>When Winter CRIS % is specified: Available ICAP<sub>Winter</sub> = Winter CRIS % X Winter DMNC</p> <p>When Winter CRIS CAP (MW) is specified: Available ICAP<sub>Winter</sub> = MIN (Winter CRIS CAP, Winter DMNC)</p> <p>For each UDR/EDR PTID, this value is set from Capacity (DMNC).</p> <p>For each SCR Aggregation PTID, this value is set using the SCR enrollment data provided in DRIS and the applicable Transmission Loss Factors.</p> <p>For Aggregations in the DER Participation Program, this value is derived from the Capacity facilities within the Aggregation and sourced from the AGG SYS.</p> <p>For each BTM:NG Resource PTID, Available ICAP = Adj DMGC - AHL (See ICAP Manual, Section 4.15.2 Net-ICAP Calculation for BTM:NG Resources,)</p>
Reduced Available ICAP	Numeric	N	<p>Available ICAP reduced by the sum of CRA ICAP, Wheel ICAP, UDR ICAP, and EDR ICAP.</p>



Screen Field	Data Type	Editable	Description
Energy Duration Limit (EDL) (Hrs)	Numeric	N	For a Resource that is not capable of providing Energy for twenty-four hours each day, the number of consecutive hours per day that a Resource elects and is obligated, pursuant to Services Tariff Sections 5.12.1 and 5.12.7, to (i) schedule a Bilateral Transaction; (ii) Bid Energy in the Day-Ahead Market; or (iii) notify the ISO of any outages in the Day-Ahead Market as an Installed Capacity Supplier for the ICAP Equivalent of UCAP sold, as identified in Section 5.12.14 of the ISO Services Tariff.
Duration Adjustment Factor (DAF) (%)	Numeric	N	<p>The value of Installed Capacity, expressed as a percentage, for a Resource.</p> <p>If Resource EDL is unspecified, system uses a Duration Adj. Factor of 100% to calculate UCAP.</p> <p>Resources will no longer utilize DAF to calculate Adjusted ICAP beginning with Summer 2024 Capability Season.</p>
Generator CAF (%)	Numeric	N	<p>The applicable Capacity Accreditation Factor, expressed as a percentage, for a Resource.</p> <p>All Resources shall have applicable CAF based on their assigned Capacity Accreditation Resource Class (CARC) and location.</p>
Adjusted ICAP	Numeric	N	<p>For Capability Seasons prior to Summer 2024:</p> <p>Reduced Available ICAP * (Duration Adj Factor)</p> <p style="padding-left: 40px;">For DER and SRT Aggregations, Adjusted ICAP is sourced from the AGG SYS.</p> <p>For Capability Seasons starting with Summer 2024 going forward:</p> <p>Reduced Available ICAP * CAF</p> <p style="padding-left: 40px;">For DER and SRT Aggregations, Adjusted ICAP is sourced from the AGG SYS,</p>

Screen Field	Data Type	Editable	Description
Derating Factor %	Numeric	N	<p>Derating Factor (expressed as a percentage between 0 and 100%) for the Generator PTID for the month selected.</p> <p>For DER and SRT Aggregations, Derating Factor % is sourced from the AGG SYS.</p> <p>For IPR and LCRoR Resources, and Aggregations containing IPR and LCROR resources, Resource Specific Derating Factors may be a negative value.</p> <p>This field is left blank for UDR PTIDs and EDR PTIDs.</p>

<p>Available For Sale UCAP</p>	<p>Numeric</p>	<p>N</p>	<p>For Generator, RMR, LM, or Muni PTIDs, Available For Sale UCAP MW is equal to Adjusted ICAP times (1 minus the decimal equivalent of Derating Factor).</p> <p>For Internal Generators, Wheel ICAP, and CRA ICAP, EDR ICAP, and UDR ICAP are zero.</p> <p>For internal Generators with no EDL, the applied DAF is 100%.</p> <p>For SCR Aggregation PTIDs, the Available For Sale UCAP MW is equal to (Eligible Installed Capacity times the SCR Aggregation Performance Factor). These values are calculated in the DRIS.</p> <p>For DER and SRT Aggregations, Available For Sale UCAP is sourced from the AGG SYS.</p> <p>For UDR/EDR PTIDs, Available For Sale UCAP MW is the same as the Organizational Total UCAP MW for the UDR/EDR PTID as displayed on the "Deliverability Generators and Monthly Parameters" screen on the Rights Menu. The calculation of the individual Generator and Total UDR/EDR UCAP for a given UDR/EDR Rights Holder are as follows:</p> <p style="padding-left: 40px;">For each Generator PTID associated with the UDR/EDR:  <math display="block">UCAP = \text{TRUNCATE} [ ( (ICAP\ MW - \text{Portion of Losses MW}) * (1 - \text{UDR/EDR Unavailability \%}) * (1 - \text{PTID Derating Factor})) * CAF , 1 ]</math></p> <p style="padding-left: 40px;">For the UDR/EDR PTID:  <math display="block">UCAP = \sum \text{Generator UCAP MW for all Generator PTIDs associated with the UDR/EDR PTID.}</math></p> <p style="padding-left: 40px;">Note: Prior to Summer 2024 Capability Season, CAFs were not applied to the UDR/EDR Generator UCAP MW calculation shown above.</p> <p>For BTM:NG Resource PTIDs,          Available For Sale UCAP MW =</p>
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Screen Field	Data Type	Editable	Description
			<p>Max [Min((Gen UCAP - Load UCAP), Available ICAP), 0]</p> <p>(See ICAP Manual Section 4.15.3 Net-UCAP Calculation for BTM:NG Resources.)</p>
Auction and Bilateral Sales	Numeric	N	Sum of Auction and Bilateral Agreement Sales allocated to the Resource for the selected month.
Unsold	Numeric	N	Unsold UCAP remaining on the Resource PTID; calculated as Available For Sale UCAP less the Auction and Bilateral Sales less the Supplemental Sales.
ICAP Sold for DAM	Numeric	N	<p><b>DAM</b> ICAP obligation of the PTID for the selected Month.</p> <p>For Generator, LM, Muni, BTM:NG, and Aggregations,            ICAP SOLD for DAM =            Auction and Bilateral Sales UCAP /            ((1 - Derating Factor) * CAF)</p> <p>Note: Prior to Summer 2024, the DAF was used in the calculation instead of CAF if the Resource had an applicable DAF. For Resources with no EDL, DAF = 100%</p> <p>For UDR/EDR PTIDs,            ICAP Sold for DAM = (SOLD UCAP MW / AVAILABLE FOR SALE UCAP) * (Org Tot ICAP MW - UDR/EDR Interface Losses (ICAP) MW).</p> <p><i>Note:</i> The Org Total ICAP MW and the UDR/EDR Interface Losses are the same values displayed on "Deliverability Generators and Monthly Parameters" screen.</p> <p>For SCR Aggregation PTIDs,            ICAP Sold for DAM = 0.0</p> <p><i>Note:</i> DAM Obligation does not apply to RIPs. For each SCR Aggregation PTID, the Derating Factor is 100.00%, the ICAP Sold for DAM is 0.0, and the Available For Sale UCAP is 0.0.</p> <p><b>Note: ICAP SOLD FOR DAM is truncated to tenths MW.</b></p>

Screen Field	Data Type	Editable	Description
CSV	Control		Triggers the system to export displayed tabular data as a CSV file.

**Figure 34: PTID Details for BTM:NG Resource Screen Section**

Screen Field	Data Type	Editable	Description
Current Selected PTID	Text	N	Resource PTID and Name selected If the selected Resource is participating as a CSR Unit, the next two attributes will also be specified.
Associated CSR PTID	Text	N	Resource PTID and Name of the associated Co-located Storage (CSR) Unit if applicable. If the Current Selected PTID is not a CSR Unit, this attribute will be blank.
CSR POI PTID	Text	N	CSR Point of Injection PTID and Name of the associated Co-located Storage (CSR) POI if applicable. If the Current Selected PTID is not a CSR Unit, this attribute will be blank.
Adjusted ICAP Tab [if user clicks PTID row in Summary table with PTID Type=BTM:NG]			
Input Values			
DMGC MW	Numeric	N	BTM:NG Resource's PTID's Capacity (DMGC/DMNC) entered by the MP via the "Maintain DMNC" screen. This value is not reduced by AHL.
Injection Limit MW			BTM:NG Resource PTID's effective Injection Limit
CRIS MW	Numeric	N	BTM:NG Resource PTID's CRIS (ICAP MW) value.  $\text{CRIS MW}_{\text{Summer}} = \text{Summer CRIS CAP (MW)}$ <p>When Winter CRIS % is specified:  <math display="block">\text{CRIS MW}_{\text{Winter}} = \text{TRUNC}(\text{Winter CRIS \%} * \text{Winter DMGC MW}, 1)</math></p> <p>When Winter CRIS CAP (MW) is specified:  <math display="block">\text{CRIS MW}_{\text{Winter}} = \text{MIN}(\text{Winter CRIS CAP}, \text{Winter DMNC})</math></p>

Screen Field	Data Type	Editable	Description
ACHL MW	Numeric	N	BTM:NG Resource PTID's effective Average Coincident Host Load (ACHL).
NYCA Requirement %	Numeric	N	NYCA Locational Requirement % based on the annual Installed Reserve Margin (IRM).
NYCA Derating Factor %	Numeric	N	NYCA Locational Derating Factor for selected Season.
Calculated Values			
AHL MW	Numeric	N	BTM:NG Resource PTID's Adjusted Host Load (AHL) MW
AHL + Inj Limit MW	Numeric	N	Sum of BTM:NG Resource PTID's AHL and Injection Limit MW
AHL + CRIS MW	Numeric	N	Sum of BTM:NG Resource PTID's AHL and CRIS MW
Adj. DMGC MW	Numeric	N	BTM:NG Resource PTID's Adj DMGC MW calculated as the Min of DMGC, (AHL + Inj Limit), (AHL + CRIS)
Adj. DMGC MW - AHL MW(Available ICAP)	Numeric	N	BTM:NG Resource PTID's Adj DMGC - AHL MW.
Adj Available ICAP	Numeric	N	<p>Prior to Summer 2024 Capability Season: BTM:NG Resource PTID's is the higher of (Adj DMGC - AHL MW) and Zero. Displayed in tabular as Available ICAP.</p> <p>From Summer 2024 Capability Season forward: BTM:NG Resource PTID's Adjusted ICAP (calculated as Adj. DMGC * CAF)</p>
Available For Sale UCAP Tab [if user clicks PTID row in Summary table with PTID Type=BTM:NG]			
Input Values			
NYCA Derating Factor %	Numeric	N	NYCA seasonal Derating Factor (or Translation Factor)
Derating Factor %	Numeric	N	BTM:NG Resource PTID's Derating Factor
AHL MW	Numeric	N	BTM:NG Resource PTID's AHL MW
Adj DMGC MW	Numeric	N	BTM:NG Resource PTID's Adj DMGC MW

Screen Field	Data Type	Editable	Description
Adj. Available ICAP	Numeric	N	<p>Prior to Summer 2024 Capability Season: BTM:NG Resource PTID's Available ICAP</p> <p>From Summer 2024 Capability Season forward: BTM:NG Resource PTID's Adjusted ICAP (calculated as Adj. DMGC * CAF)</p>
Calculated Values			
Gen UCAP MW	Numeric	N	<p>BTM:NG Resource PTID's Gen UCAP calculated as BTM:NG Resource PTID's Adj DMGC * (1 - BTM:NG Resource PTID's Derating Factor)*CAF for specified Capability Period.</p> <p>Note: Prior to Summer 2024 Capability Season, CAF is not applied to Gen UCAP MW calculation shown above.</p>
Load UCAP MW	Numeric	N	BTM:NG Resource PTID's Load UCAP calculated as BTM:NG Resource PTID's AHL MW * (1 - NYCA Derating Factor) for specified Capability Period.
Prelim. Net UCAP MW	Numeric	N	BTM:NG Resource PTID's (Gen UCAP MW - Load UCAP MW)
Available For Sale UCAP MW	Numeric	N	<p>BTM:NG Resource PTID's Available For Sale UCAP = Max [0, (MIN(Prelim Net UCAP MW, Available ICAP))]</p> <p>(See ICAP Manual Section 4.15.3 Net-UCAP Calculation for BTM:NG Resources.)</p>
Auction and Bilateral Sales [if selected PTID is PTID Type=BTM:NG]			
MP Allocated	Numeric	N	Auction and Bilateral Sales allocated to the PTID by the MP
System Allocated	Numeric	N	<p>Sales auto-allocated to the PTID by the system.</p> <p>These include Credit ZDO, FCFSR ZDO, Spot Excess ZDO, Exports, Import Rights, and confirmed Wheels Through Transactions for this PTID for selected Month.</p>
Pre Spot Total	Numeric	N	Total Sales allocated to the PTID prior to Spot Market Auction for selected PTID.
Spot Awards	Numeric	N	Total posted Spot Auction Awards associated with this PTID

Screen Field	Data Type	Editable	Description
Supplemental Auction	Numeric	N	Total Supplemental Auction Awards associated with this PTID at Spot Post. This row is only populated if a Supplemental Auction ran for the specified Month.
Total	Numeric	N	Resource's Total UCAP Sales for specified Month.

**Figure 35: PTID Details for Gen, RMR, SCR, LM, Muni, UDR/EDR, DER AGG or SRT AGG Screen Section**

Screen Field	Data Type	Editable	Description
Current Selected PTID	Text	N	Resource PTID and Name selected If the selected Resource is participating as a CSR Unit, the next two attributes will also be specified.
Associated CSR PTID	Text	N	Resource PTID and Name of the associated Co-located Storage (CSR) Unit if applicable. If the Current Selected PTID is not a CSR Unit, this attribute will be blank.
CSR POI PTID	Text	N	CSR Point of Injection PTID and Name of the associated Co-located Storage (CSR) POI if applicable. If the Current Selected PTID is not a CSR Unit, this attribute will be blank.
Adjusted ICAP Tab [if user clicks PTID row in Summary table with PTID Type=Gen, RMR, SCR, LM, Muni, UDR/EDR, DER AGG, SRT AGG ESR, SRT AGG GEN, SRT AGG LFG, SRT AGG LESR, SRT AGG SOLAR, SRT AGG WIND]			
DMNC MW	Numeric	N	Capacity DMNC  For DER and SRT Aggregations, DMNC MW is sourced from the AGG SYS.
CRIS MW	Numeric	N	Summer CRIS Cap MW or (if Specified) Winter CRIS %Cap MW This field is null for Winter months where Winter CRIS % is specified. For DER and SRT Aggregations, CRIS MW is sourced from the AGG SYS.



Screen Field	Data Type	Editable	Description
CRIS %	Numeric	N	<p>Winter CRIS % (if specified)*</p> <p>Winter Deliverability Limit will be specified as Winter CRIS %.</p> <p>This field is null for Summer months.</p> <p>*Prior to Winter 2018-2019, the effective Winter Deliverability Limit is specified as a Winter CRIS_%. Starting in November 2018, the effective Winter Deliverability Limit is specified as a Winter CRIS_CAP (MW) value.</p>
Available ICAP	Numeric	N	<p>Calculated Available ICAP derived from Seasonal DMNC MW and resource's internal deliverability limit.</p> <p>Available ICAP<sub>Summer</sub> = MIN (Summer DMNC, Summer CRIS CAP MW)</p> <p>If Winter CRIS % is specified: Available ICAP<sub>Winter</sub> = (TRUNC(Winter DMNC * Winter CRIS %, 1))</p> <p>If Winter CRIS CAP MW is specified: Available ICAP<sub>Winter</sub> = MIN (Winter DMNC, Winter CRIS CAP MW)</p> <p>Note: For external PTIDs, Available ICAP<sub>Season</sub> = DMNC<sub>Season</sub></p> <p>For DER and SRT Aggregations, Available ICAP is sourced from the AGG SYS.</p>
Wheel ICAP	Numeric	N	<p>For External PTID only, the PTID's total ICAP associated with Wheels Through from this Location for this Month.</p>
CRA ICAP	Numeric	N	<p>For a Gen that is a Host PTID for one or more Customer Registration Agreements (CRAs), this value is the specified total ICAP associated with the CRA(s) for the month.</p>
EDR ICAP	Numeric	N	<p>For a Gen that supplies one or more External-to-ROS Deliverability Rights (EDRs), this value is the specified total ICAP associated with the EDR(s) for the month.</p>

Screen Field	Data Type	Editable	Description
UDR ICAP	Numeric	N	For a Gen that supplies one or more Unforced Capacity Deliverability Rights (UDRs), this value is the specified total ICAP associated with the UDR(s) for the month.
FCFS Reserved ICAP	Numeric	N	For External PTID only, the PTID's total ICAP associated with FCFS Import Rights for the month.
Reduced Available ICAP	Numeric	N	Available ICAP reduced by the sum of CRA ICAP, Wheel ICAP, UDR ICAP, EDR ICAP.
Duration Adj. Factor (DAF) (%)	Numeric	N	The value of Installed Capacity, expressed as a percentage, for a Resource.
CARC	Text	N	The assigned Capacity Accreditation Resource Class, for a Resource.
Generator CAF(%)	Numeric	N	The applicable Capacity Accreditation Factor, expressed as a percentage, for a Resource.
Adjusted ICAP	Numeric	N	<p>Prior to Summer 2024 Capability Season:            Reduced Available ICAP * Duration Adjustment Factor %            Resources lacking a Duration Adjustment Factor will use a 100% value.</p> <p>From Summer 2024 Capability Season forward:            Reduced Available ICAP * CAF            For DER Aggregations, Adjusted ICAP is sourced from the AGG SYS.</p>
Available For Sale UCAP Tab [if user clicks PTID row in Summary table with PTID Type=Gen, RMR, SCR, LM, Muni, UDR/EDR, DER AGG, SRT AGG ESR, SRT AGG GEN, SRT AGG LFG, SRT AGG LESR, SRT AGG SOLAR, SRT AGG WIND]			
Adjusted ICAP	Numeric	N	<p>Prior to Summer 2024 Capability Season:            Available ICAP * Duration Adjustment Factor %</p> <p>From Summer 2024 Capability Season forward:            Available ICAP * CAF</p> <p>For DER Aggregations, Adjusted ICAP is sourced from the AGG SYS.</p>

Screen Field	Data Type	Editable	Description
Derating Factor	Numeric	N	Resource's seasonal Derating Factor percent based on historic unavailability. This will be unspecified for UDR/EDR PTIDs. This will be zero for SCR PTIDs.  For DER Aggregations, Derating Factor is sourced from the AGG SYS.
Available For Sale UCAP	Numeric	N	Adjusted ICAP times (1 minus the decimal equivalent of Derating Factor).  For DER Aggregations, Available for Sale UCAP is sourced from the AGG SYS.
Auction and Bilateral Sales [if user clicks PTID row in Summary table with PTID Type=Gen, RMR, SCR, LM, Muni, or UDR/EDR]			
MP Allocated	Numeric	N	Auction and Bilateral Sales allocated to the PTID by the MP
System Allocated	Numeric	N	Sales auto-allocated to the PTID by the system.  These include Credit ZDO, FCFSR ZDO, Spot Excess ZDO, RMR ZDO, Exports, Import Rights, and confirmed Wheels Through Transactions for this PTID for selected Month.
Pre Spot Total	Numeric	N	Total Sales allocated to the PTID prior to Spot Market Auction for selected PTID.
Spot Awards	Numeric	N	Total posted Spot Auction Awards associated with this PTID
Supplemental Auction	Numeric	N	Total Supplemental Auction Awards associated with this PTID at Spot Post.  This row is only populated if a Supplemental Auction ran for the specified Month.
Total	Numeric	N	Resource's Total UCAP Sales for specified Month.
ICAP Sold for DAM – Inside NYCA	Numeric	N	Resource's portion of ICAP Sold for DAM outside of NYCA.
ICAP Sold for DAM – Outside NYCA	Numeric	N	Resource's portion of ICAP Sold for DAM inside of NYCA.

### 4.6.2. Viewing PTID Capacity and Sales Allocations

After selecting parameters (Season and Month) and optional filters (Location, Zone, and PTID Type) described in and clicking the “DISPLAY” button, the Summary of Capacity and Sales Allocations screen section will populate:

Figure 36: Summary of Capacity and Sales Allocations Screen Section

PTID	PTID Name	MP Name	Location	Zone	PTID Type	CSR	Capacity (DHNC)	Available ICAP	Reduced Avail ICAP	Energy Duration Limit (Hrs)	Duration Adjustm Factor (%)	Generator CAF (%)	Adjusted ICAP	Derating Factor %	Available For Sale UCAP	Auction and Bilateral Sales	Unsold	ICAP Sold for DAM
1111	Gen 1	ACME Energy	ROS	A	Gen		200.0	200.0	200.0			75.00	150.0	50.00	75.0	0.0	0.0	0.0

Figure 37: Generator PTID Details Screen Section

Adjusted ICAP	Available For Sale UCAP	Auction and Bilateral Sales
Adjusted ICAP	Available For Sale UCAP	Auction and Bilateral Sales
0.0		

Type	MW
MP Allocated	0.0
System Allocated	0.0
Pre Spot Total	0.0
Spot Awards	0.0
Total	
ICAP Sold For DAM - Inside NYCA	
ICAP Sold For DAM - Outside NYCA	

Figure 38: BTM:NG PTID Details Screen Section

The screenshot displays the 'View PTIDs' interface for 'Installed Capacity'. At the top, there are navigation tabs: Auction, Mitigation, Certify, Bids/Offer, Load Forecast, Calendar, Rights, Derating Factor, DMNC, SCR, Billing, Capacity Accreditation, and Upload/Download. Below these are filters for MP Name (ACME Energy), Season (Summer 2024), Month (May/2024), Location (All), Zone (All), and PTID Type (All). A 'Summary of Capacity and Sales Allocations' section includes a note: 'The Auction and Bilateral Sales and the Unsold values displayed do not include Zero Dollar MW Offer Projections.' A main table lists various metrics: PTID, PTID Name, MP Name, Location, Zone, PTID Type, CSR, Capacity (DMNC), Available ICAP, Reduced Avail ICAP, Energy Duration Limit (Hrs), Duration Adjustm. Factor (%), Generator CAF (%), Adjusted ICAP, Derating Factor %, Available For Sale UCAP, Auction and Bilateral Sales, Unsold, and ICAP Sold for DAM. The 'PTID Details' section is active, showing three sub-tables: 'Adjusted ICAP', 'Available For Sale UCAP', and 'Auction and Bilateral Sales'. The 'Adjusted ICAP' table has columns for Name, Value, and Cache Details. The 'Available For Sale UCAP' table has columns for Name and Value. The 'Auction and Bilateral Sales' table has columns for Name and Value. A 'Cache Details' table is also visible, showing 'Last Cache Date' and 'ReCache' options. A 'Type' dropdown menu is open, showing options like 'MP Allocated', 'System Allocated', 'Pre Spot Total', 'Spot Offers', 'Spot Awards', 'CRIS Market Activity', 'Total', 'ICAP Sold For DAM - Inside NYCA', and 'ICAP Sold For DAM - Outside NYCA'.

#### 4.7. How to Allocate Sales to PTIDs

This screen will be read-only unless Users have “Certify” privileges for a Billing Organization. If Users have "Certify" privileges then, auction awards and confirmed bilateral sales can be allocated to internal generator, SCR, UDR, EDR, DER Aggregation and SRT Aggregation PTIDs. If Users have "Certify" and "Offer" privilege, Zero Dollar MW Offer Commitments and Commit All for Resale MW can be edited. Users can only edit data while the Certification Period for the month selected remains open. Through the Allocate Sales option on the Certify Menu, Users may allocate sales for confirmed bilateral agreements and auctions to PTIDs. Confirmed bilateral agreement sales and Awarded Auction Sales sorted by location are displayed. Sales from External locations are automatically allocated and are protected from updates. When sales are allocated to each PTID, the software prevents Users from over-allocating what is already shown in the summary screen (e.g., as shown in the screen shot below in ). Conversely, under-allocating sales will result in the unallocated sales being automatically applied in real time against the purchases displayed on the "View Market Position" screen (See Section 4.1).

#### 4.7.1. Screen Descriptions

**Figure 39: Allocate Sales Filter Screen Section**

Screen Field	Type	Editable	Description
MP Name	Text	N	Defaults based on Market Participant Logged On.
Season	Text	Y	Capability Period.
Location	Text	Y	Location of PTIDs to allocate sales to selection. "All" displays all Locations.
Month	Date	Y	Month to be displayed within the Season selected.

**Figure 40: Location Sales Summary Screen Section**

Screen Field	Type	Editable	Description
Location	Text	N	Lists all locations for which there are either confirmed bilateral agreement sales or auction awarded sales.
Auction and Bilateral Sales	Numeric	N	Sum of confirmed bilateral sales and auction awarded sales for the Location
Unallocated Balance	Numeric	N	Sum of confirmed bilateral sales and auction awarded sales minus Allocated Auction and Bilateral Sales for the Location.
CSV	Control		Triggers the system to export displayed tabular data as a CSV file.

**Figure 41: Buyer-Side Mitigation Resource Summary Screen Section**

Screen Field	Type	Editable	Description
This screen section is not available for view unless the User has a Generator registered to it or UDR PTIDs that have Floor Prices and Resource Exemption effective for selected month.			

Screen Field	Type	Editable	Description
Resource Name	Text	N	<p>The UDR or Generator Project subject to Buyer-Side Mitigation.</p> <p><i>Note:</i> RIPs enrolling new SCRs that are subject to a Buyer-Side Mitigation analysis are not currently handled in the ICAP AMS.</p> <p>This Resource Name is used to track the Resource Current Exemption MW defined in the NYISO Market Services Tariff – Attachment H, Section 23.4.5.7 as "UCAP that has cleared for any twelve, not-necessarily-consecutive, months shall cease to be subject to the Offer Floor requirement" (referred to as the "BSM Clearing Rule").</p> <p>A Generator Project that has an Offer Floor for some or all of its capacity will not have the Offer Floor applied in any month while the resource is operating as an RMR.</p>
Resource Current Exemption MW	Numeric	N	<p>The monthly-calculated UCAP exempt from Buyer-Side Mitigation.</p> <p>This is the minimum of the twelve highest (not necessarily consecutive) monthly Spot UCAP MW cleared for this resource since the Floor Prices became effective for each PTID.</p> <p>See the NYISO Market Services Tariff – Attachment H, Section 23.4.5.7. Resource Current Exemption MW is the same as the "UCAP that has cleared pursuant to the BSM Clearing Rule".</p>
Resource Current Exemption MW Remaining	Numeric	N	<p>The current difference between the monthly calculated Resource Current Exemption MW minus Sales Allocated and/or non-exempt Spot Offers submitted using PTIDs associated with the Resource subject to Buyer-Side Mitigation.</p> <p>This column decrements as Sales Allocations and/or Spot Offer (UCAP MW) are entered by the User specifying PTIDs associated with this Resource.</p>
CSV	Control		Triggers the system to export displayed tabular data as a CSV file.

**Figure 42: Resale MW by Location**

Screen Field	Type	Editable	Description
Location	Text	N	Lists all locations for which there are either confirmed Bilateral Sales or auction awarded sales.  This field will be blank unless there is available UCAP for Resale
Available UCAP	Numeric	N	Locational Capacity available for resale
Zero Dollar MW Offer Projection	Numeric	N	The Projected Zero Dollar MW Offer Commitment
Commit All MW	Checkbox	Y	MP checks to indicate it is committing all Locational Resale as Zero Dollar MW Offers at the price that is the Zero Dollar MW Offer Projection at close of certification
Unsold UCAP	Numeric	N	Equal to Available UCAP unless user checks "Commit All MW" , then will be set to zero
Last Updated By	Text	N	User who last updated the allocation
Last Update Date	Text	N	Date of most recent update
CSV	Control		Triggers the system to export displayed tabular data as a CSV file.

**Figure 43: Allocate Sales Screen Section**

Screen Field	Type	Editable	Description
Location	Text	N	Location of the PTID.
PTID Name	Text	N	PTID Number and Name for Generator, RMR, SCR, UDR, EDR, DER Aggregation or SRT Aggregation PTID.
Available UCAP	Numeric	N	Capacity of the PTID for the Month specified in UCAP. (See in Section <a href="#">4.6</a> for calculation of Available For Sale UCAP.)



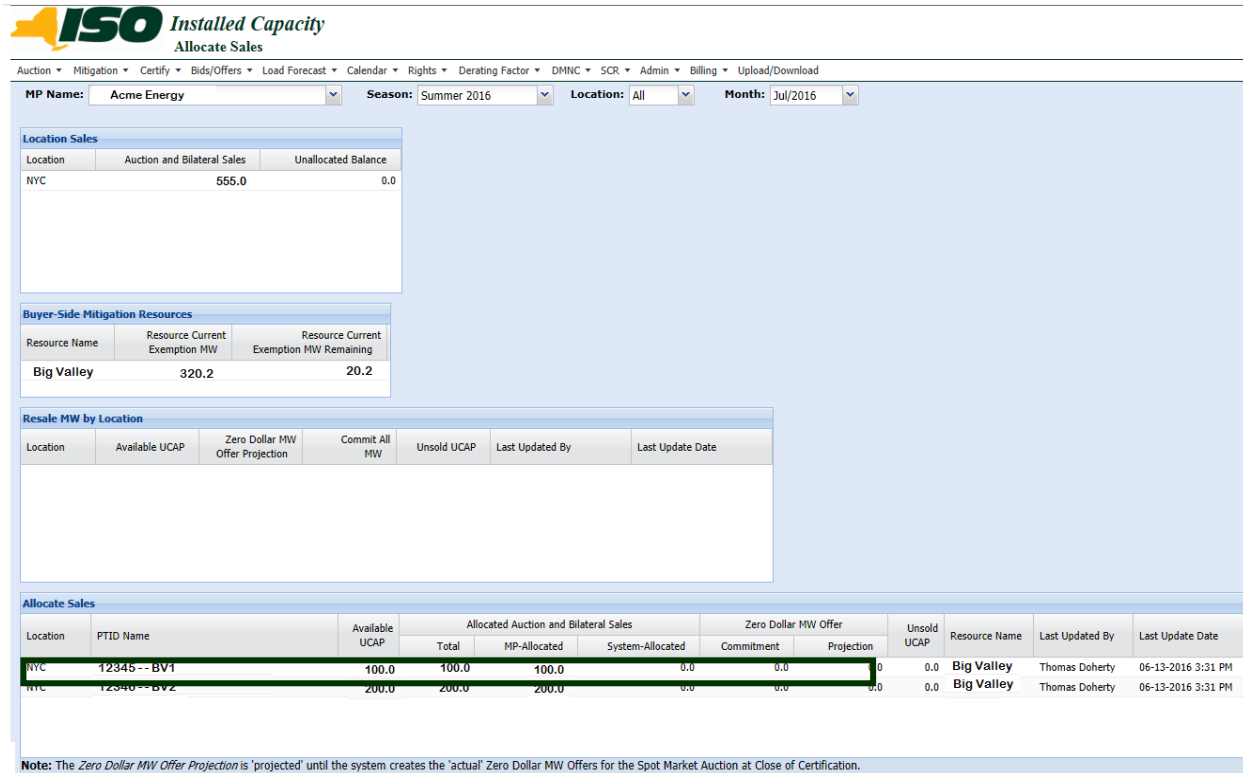
Screen Field	Type	Editable	Description
<b>Allocated Auction and Bilateral Sales</b>			Amount of UCAP sales to allocate to the Generator, RMR with Pre-Existing Bilateral Sales, SCR, LM, MUNI, BTM:NG, UDR, EDR, DER Aggregation or SRT Aggregation for the auction month. Locations internal to NYCA only.
Total	Numeric	Y	Total Allocated Auction and Bilateral Sales for this PTID, including System-Allocated and MP-Allocated values.
MP - Allocated	Numeric	Y	The MP-entered MW amount of sales allocated to the PTID for the Month  The MP cannot enter a value for a PTID operating as an RMR unless Pre-Existing Bilateral Sales were configured for the Generator as part of the RMR rule administration.
System - Allocated	Numeric	Y	This is the System-Allocated Bilateral Sales MW (Import Rights and Exports) for this PTID.
<b>Zero Dollar MW Offer Commitment</b>			An MP commitment of Zero Dollar MW Offers, including any Allocated Auction and Bilateral Sales.  [Locations internal to the NYCA only]
Commitment	Numeric	Y	The MP-entered Zero Dollar MW Offer Commitment, including any Allocated Auction and Bilateral Sales.  The MP cannot enter a value for a PTID operating as an RMR.  Usage: If value is specified (not null), this value minus the Allocated Auction and Bilateral Sales is used to calculate and display the Zero Dollar MW Offer Projection (which is only a projection until Close of Certification).
Projection	Numeric	Y	System calculated Zero Dollar MW (Spot) Offers.  Until Close of Certification, this value is only a projected value. At Close of Certification, this value is re-calculated and becomes the actual amount of Zero Dollar MW Offers in the Spot Auction for this PTID.

Screen Field	Type	Editable	Description
<b>Zero Dollar MW Offer Projection</b>	Numeric	N	System calculated 'Credit' Zero Dollar MW Offers for the Spot Market. This value is projected until the system creates the actual Zero Dollar MW Offer for the Spot Market at close of certification.  Locations Internal to NYCA only
<b>Unsold UCAP</b>	Numeric	N	Unsold UCAP is the Available UCAP minus (Allocated Auction and Bilateral Sales + Zero Dollar MW Offer Projection).  Prior to the October 2015 software release: Available UCAP <sub>PTID</sub> = Allocated Auction and Bilateral Sales + Unsold UCAP  After the October 2015 software release: Available UCAP <sub>PTID</sub> = Allocated Auction and Bilateral Sales + Zero Dollar MW Offer Projection + Unsold UCAP where Allocated Auction and Bilateral Sales + Zero Dollar MW Offer Projection = Zero Dollar MW Offer Commitment
<b>Resource Name</b>	Text	N	The name of the Resource Subject to Buyer-Side Mitigation associated with this PTID.  This Resource Name is used to track the Resource Current Exemption MW defined in the NYISO <i>Market Services Tariff – Attachment H, Section 23.4.5.7</i> as "Cleared UCAP".  (This field is blank for PTIDs not associated with Generator or UDR Resource Subject to Buyer-Side Mitigation.)
<b>Last Updated By</b>	Text	N	User who last updated the Allocation. (Blank for allocations through auctions [
<b>Last Update Date</b>	Text	N	Date Allocation was last changed. (Blank for allocations through auctions)
<b>CSV</b>	Control		Triggers the system to export displayed tabular data as a CSV file.

#### 4.7.2. Allocating Sales to PTIDs

After selecting the parameters described in (Season, Location, and Month) and clicking the “DISPLAY” button, the Location Sales Summary, Resale MW by Location, Buyer-Side Mitigation Resource Summary (if a Resource is Subject to Buyer-Side Mitigation), and Allocate Sales screen sections will appear:

**Figure 44: Location Sales, Buyer-Side Mitigation Resources, Resale, and Allocate Sales Screen Sections**



The data summarized on these screen sections can be sorted by column heading. Data for external locations is not editable. For all Users, if the actual date is greater than Certification Close Date for Month selected, the data is not editable.

For a given Location the allocated sales cannot exceed the Auction and Bilateral Sales column in the summary. Likewise, Allocated Auction and Bilateral Sales cannot exceed PTID's Available UCAP. After a User updates the values, the Unsold UCAP, Allocated Auction, and Bilateral Sales are recalculated for each PTID and displayed in the Sales Allocations screen section.

**Figure 45: Error - Attempting to Allocate Sales above Location's Total Sales**



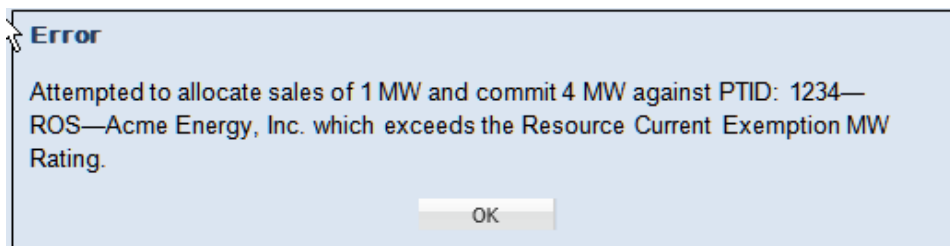
For any PTID, neither the monthly Allocated Auction and Bilateral Sales nor the Zero Dollar MW Offer Commitment can exceed the PTID's Available UCAP.

**Figure 46: Error - Attempting to Allocate Sales above Available UCAP**



For a Generator, UDR, DER Aggregation or SRT Aggregation Resource Subject to Buyer-Side Mitigation, the Resource Current Exemption MW is displayed as the "UCAP MW that has cleared pursuant to the BSM Clearing Rule". Neither the monthly Allocated Auction and Bilateral Sales nor the Zero Dollar MW Offer Commitment (on those PTIDs associated with the Resource Subject to Buyer-Side Mitigation) can exceed the Resource Current Exemption MW Remaining for the month. See the NYISO *Market Services Tariff - Attachment H, Section 23.4.5.7*.

**Figure 47: Error Displayed when Sales Allocation and/or Zero Dollar MW Offer Commitment exceeds PTID's associated Buyer-Side Mitigation Resource Current Exemption MW Remaining**



Additionally, a re-calculated Unallocated Balance is displayed in the Location Sales Summary screen section.

### 4.7.3. Zero Dollar MW Offer Commitment

With the implementation of the CMS ICAP Spot Market Offers Enhancements effective for the December 2015 Spot Market Auction, Market Participants have the ability to commit some or all of their unsold capacity to be sold in the Spot Market Auction at \$0.00 prior to the close of certification through the "Allocate Sales" screen. Users with both the "Certify" and "Offer" privileges can enter 'Credit' Zero Dollar MW Offer Commitments (ZDOs) for specific internal PTIDs and for Resale capacity.

The NYISO will calculate a credit associated with the designated zero dollar offers, which will reduce the MP's ICAP Spot Market Bidding Requirement prior to collateral call calculations.

Through the Allocate Sales option on the Certify Menu, User selects season, location and month, displaying the screen in [Figure 43](#). The Buyer-Side Mitigation Resource Summary screen section is only visible to MPs that have resources subject to Buyer-Side Mitigation. The User is able to indicate "Commit All MW" for Resale (only when internal to the NYCA and only if Available UCAP is greater than zero) by checking the box in the "Commit All MW" column. The MW available as Resale will have Zero Dollar MW Offers created at the close of certification. In the Allocate Sales screen section, the User can edit the "Allocated Auction and Bilateral Sales" and the "Zero Dollar MW Offer Commitment" columns. The User double clicks on the row to enter the MW value amount of sales allocated to the PTID for the Month. Then, the User enters the Zero Dollar MW Offer Commitment, including any Allocated Auction and Bilateral Sales. The User clicks "Update" or "Cancel". The values are entered and the "Zero Dollar MW Offer Projection" is calculated based on the User updates.

**Figure 48: Allocate Sales Screen Section with Credit Zero Dollar MW Offer Commitment and Projection**

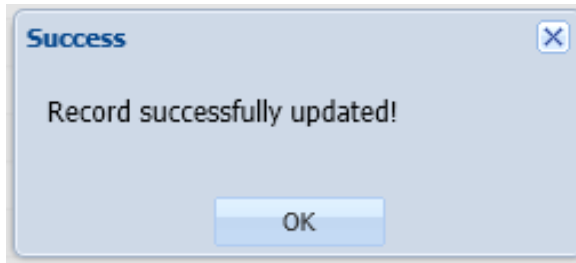
Allocate Sales										
Location	PTID Name	Available UCAP	Allocated Auction and Bilateral Sales			Zero Dollar MW Offer		Unsold UCAP	Resource Name	Last Updated By
			Total	MP-Allocated	System-Allocated	Commitment	Projection			
GHI		575.8	371.9	371.9	0.0	0.0	0.0	203.9		
GHI	12345 - BIG APPLE QT 1	592.6	0.0	0.0	0.0	0.0	0.0	592.6		

An error message is displayed; [Figure 46](#), if the User's sales allocation exceeds the PTID's Available UCAP. For a PTID associated with a Resource Subject to Buyer-Side Mitigation, an error message is displayed; [Figure 47](#), if the User's sales allocations or Zero Dollar MW Offer Commitment exceed the Resource Current Exemption Remaining.

A success message is displayed, [Figure 49](#), when the User's edits have passed all validations and the record is saved. At the close of certification, using the system-derived Zero Dollar MW Offer Projections, the

system creates the actual Zero Dollar MW Offers for the Spot Market Auction for the affected internal PTIDs and Resale MW. The MPs will be able to view, but will not be able to edit these Spot Market Auction Offers on the Maintain Offers screen.


**Figure 49: Success Message displayed for successful update**



#### 4.8. How to Assign a Transaction ID to External Transactions for ICAP

The "Assign Transaction IDs" screen will be read-only unless Users have "Certify" privileges for a Billing Organization. Data can be edited only while the External Transaction Period for the month selected is open. Deadlines for External Transactions are displayed via the ICAP Event Calendar.

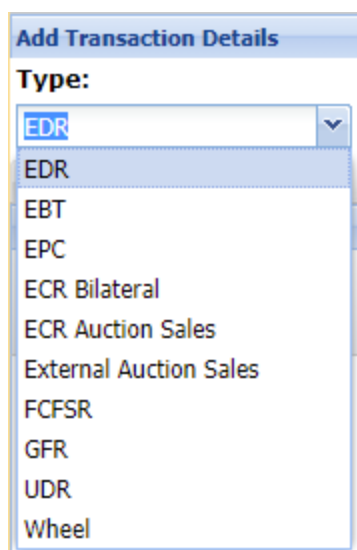
**Figure 50: Event Calendar - External Transactions Deadlines**

 <b>Installed Capacity</b> Event Calendar	
Auction ▾ Mitigation ▾ Certify ▾ Bids/Offers ▾ Load Forecast ▾ Calendar ▾ Rights ▾ Derating Factor ▾ DMNC ▾ SCR ▾ Billing ▾ Upload/Download	
Start Date From:	<input type="text" value="10/04/2016"/> <input type="button" value="⊞"/>
To:	<input type="text" value="10/31/2016"/> <input type="button" value="⊞"/>
<input type="button" value="Display"/>	
Event Schedule	
<b>Legend:</b>	
Winter Season Event	Summer Season Event
Season Change Event	
Tuesday Oct 04, 2016	
03:33 PM	MONTHLY AUCTION - Offer period closes for Oct Monthly Auction
05:00 PM	ESTIMATED LOAD - Deadline for TOs to provide estimated load position by LSE for Nov 1
05:00 PM	IMPORT RIGHTS - Deadline for ISO to receive Supporting Documents for Import Rights Requests
05:30 PM	STRIP AUCTION - ISO posts results of Winter Strip Auction
Wednesday Oct 05, 2016	
05:00 PM	SCR - New Aggregation ID Request Period for Nov Closes
05:00 PM	SCR - RIPs deadline to report resources with partial PTID Sales for Oct in DRIS
Thursday Oct 06, 2016	
05:00 PM	ESTABLISH CREDIT - Deadline to establish credit to purchase in Nov Monthly Auction

Users must first provide a MIS Transaction ID via the Joint Energy Scheduling System (JESS) feature in the NYISO Market Information System (MIS) for each PTID that has External Transactions for capacity. Then, based on the External Transaction deadlines published in the ICAP Event Calendar, the user selects Assign Transaction IDs in the Certify Menu and using the interactive screen, assigns Transaction IDs to all Import, Export, UDR, and EDR External Transactions in the ICAP AMS.

The "Assign Transaction IDs" screen supports entry of the following External Transaction detail types: Export Bilateral Transactions [EBT], Export Purchased Capacity [EPC], External CRIS Right Auction Sales [ECR Auction Sales], External CRIS Right Bilateral Sales [ECR Bilateral], Auction Sales into the NYCA from External Control Areas [External Auction Sales], First-Come First-Serve Import Rights [FCFSR], Grandfathered Rights [GFR], Unforced Capacity Deliverability Rights [UDR], Export-to-ROS Deliverability Rights [EDR], and Wheels Through [Wheel] as displayed in [Figure 51](#).

**Figure 51: External Transaction Types**



#### 4.8.1. Screen Descriptions

**Figure 52: Assign Transaction IDs Filter Screen Section**

Screen Field	Type	Editable	Description
MP Name	Text	N	Defaults based on Market Participant Logged On.
Season	Text	Y	Capability Period.
Month	Date	Y	Month when the external transaction is effective.

**Figure 53: Assign Transaction IDs Interface Information Screen Section**

Screen Field	Type	Editable	Description
Notice	Text	N	Informational text to advise the MP that all Import Right MW associated with a fully allocated external interface must have MIS TID detail records at close of Certification. Otherwise, or all equivalent UCAP MW will be offered by the system into the Spot Market Auction at \$0.00 for the associated PTID.  <b>See ICAP Manual § 4.9.2.4 "Obligation of Recipients of Import Rights".</b>
Import Interface	Text	N	NYCA or External Interface Name
Obligation ICAP MW	Numeric	N	The MP's total ICAP MW Obligation for awarded Import Rights at a Fully Allocated Interface that must be satisfied with MIS TID detail records.
Obligation Satisfied ICAP MW	Numeric	N	The portion of the MP's Obligation ICAP MW that has been satisfied with MIS TID detail records.
Obligation Remaining ICAP MW	Numeric	N	The portion of the MP's Obligation ICAP MW that has not yet been satisfied with MIS TID detail records.  For a fully allocated external interface, see "Obligation of Recipients of Import Rights" Section 4.9.2.4 of the ICAP Manual.
CSV	Control		Triggers the system to export displayed tabular data as a CSV file.



**Figure 54: Add Transaction Details Screen Section**

Screen Field	Type	Editable	Description
Type	Text	Y	<p>List of external transaction types.</p> <p>EBT = Export Bilateral Transaction</p> <p>EPC = Export Purchased Capacity</p> <p>ECR Bilateral = External CRIS Right Bilateral</p> <p>ECR Auction Sales = External CRIS Right Auction Sales</p> <p>EDR = External-to-ROS Deliverability Right</p> <p>External Auction Sales = Auction Sales from External Control Areas</p> <p>FCRSR = First-Come First-Serve (Import) Right</p> <p>GFR = Grandfathered (Import) Right</p> <p>UDR = Unforced Capacity Deliverability Right</p> <p>Wheel = Wheel Through Transaction</p>
ID	Text	Y	List of transaction IDs for the selected Type.
Capacity	Numeric	Y	<p>The amount of capacity associated with this MIS Transaction ID and PTID. (MW to tenths)</p> <p>For Type= FCFSR, Wheel Through, UDR, and EDR, this value is entered as ICAP MW.</p> <p>For Type= EBT, ECR Auction Sales, ECR Bilateral, and External Auction Sales, this value is entered as UCAP MW.</p>
MIS Transaction ID	Numeric	Y	The corresponding MIS TID already configured in the Market Information System.
PTID	Numeric	Y	Generator or Aggregation PTID associated with this external transaction's confirmed or awarded sales.
24x7 Contact Phone#	Text	Y	The Market Participant Contact's Phone Number. (Format: 999-999-9999)

**Figure 55: External Transactions Screen Section**


Screen Field	Type	Editable	Description
ID #	Numeric	N	Transaction ID.
Type	Numeric	N	External transaction type.
Import/Export/Wheels	Numeric	N	Wheel Through transactions will display as 'Wheel'. The EBT and EPC transactions will display as 'Export'. All other external transactions will display as 'Import'.
ICAP MW	Numeric	Y	The transaction record or transaction detail record's ICAP Sold MW.
Derating Factor	Numeric	N	The generator or Aggregation PTID's Derating Factor.
UCAP MW	Numeric	Y	The transaction record or transaction detail record's UCAP Sold MW.
Source Location	Text	N	External transaction's source location (where capacity is coming from).
Sink Location	Text	N	External transaction's sink location.
MIS Transaction ID	Numeric	N	The associated MIS TID configured in the Market Information System (MIS). This value is specified only on the transaction detail records.
Seller Organization	Text	N	MP Name of the Seller Organization. The MP can view only rows where they are the Seller Organization.
Buyer Organization	Text	N	MP Name of the Buyer Organization. For Type=EBT, the Buyer Organization will be CONTROL AREA - HQ, CONTROL AREA - ISO-NE, or CONTROL AREA - PJM] For Types ECR Auction Sales, External Auction Sales, and UDR/EDR, the Buyer Organization will be unspecified.

Screen Field	Type	Editable	Description
PTID	Numeric	N	Generator or Aggregation PTID associated with this external transaction's confirmed or awarded sales.
Name	Text	N	The Generator or Aggregation PTID's resource name.
Int Log	Text	N	NYISO Internal Log used to enter comments specific to this MIS TID.
Ext Log	Text	N	NYISO External Log used to enter comments specific to this MIS TID that will be visible to External Control Areas via the external checkout report.
Confirm	Checkbox	N	Indicates if NYISO has confirmed the external transaction detail record.
24x7 Contact Phone#	Text	N	The Market Participant Contact's Phone Number. (Format: 999-999-9999)
Last Updated By	Text	N	Last User to update the record.
Last Updated Date	Date	N	Date the record was last updated.
Delete	Checkbox	N	Delete checkbox used to mark transaction detail record for deletion.
CSV	Control		Triggers the system to export displayed tabular data as a CSV file.

#### 4.8.2. Viewing External Transactions

The “Assign Transaction IDs” screen can be accessed from the Certify Menu. For the selected Season and Month, the Users may view all External Transactions and any associated Transaction Detail records created. The Transaction Detail records are displayed and will include a valid MIS Transaction ID, PTID, and associated Capacity as displayed in [Figure 56](#).

**Figure 56: External Transactions Screen Section**



**Installed Capacity**  
Assign Transaction IDs

Auction ▾ Mitigation ▾ Certify ▾ Bids/Offers ▾ Load Forecast ▾ Calendar ▾ Rights ▾ Derating Factor ▾ DMNC ▾ SCR ▾ Billing ▾ Upload/Download

---

**Filter Criteria**

MP Name:  Season:  Month:

**Notice**

Any FCFSR or GFR Import Right MW at a fully allocated external interface with no MIS TID at close of certification **will be offered in the Spot auction at \$0.00** from the associated PTID. See ICAP Manual § 4.9.2.4 "Obligation of Recipients of Import Rights".

**Interface Information**

Import Interface	Obligation ICAP MW	Obligation Satisfied ICAP MW	Obligation Remaining ICAP MW
PJM	0.0	0.0	0.0
NE	0.0	0.0	0.0
HQ	0.0	0.0	0.0
IESO	0.0	0.0	0.0
NYCA	0.0	0.0	0.0

**Add Transaction Details**

Type:  ID:  Capacity:  MIS Transaction ID:  PTID:  24x7 Contact Phone#:

**External Transactions**

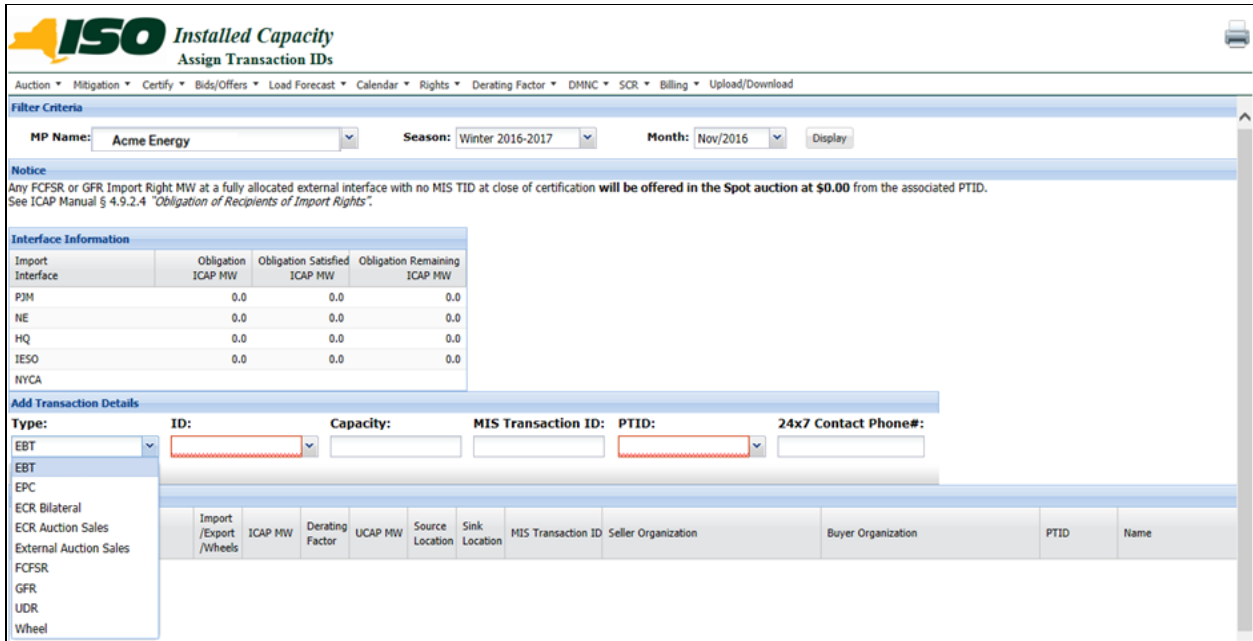
ID #	Type	Import /Export /Wheels	ICAP MW	Derating Factor	UCAP MW	Source Location	Sink Location	MIS Transaction ID	Seller Organization	Buyer Organization	PTID	Name
5	External Auction S...	Import	8		8	PJM	ROS		<input type="text" value="Acme Energy"/>		185	<input type="text" value="1_CEE_"/>
5	External Auction S...	Import	8		8			102	<input type="text" value="Acme Energy"/>		185	<input type="text" value="1_CEE_"/>
6	External Auction S...	Import	0		0	PJM	ROS		<input type="text" value="Acme Energy"/>		185	<input type="text" value="03_CEE_"/>
6	External Auction S...	Import	0		0			102	<input type="text" value="Acme Energy"/>		185	<input type="text" value="03_CEE_"/>
2	UDR	Import	6		2	PJM	N.Y.C.		<input type="text" value="Acme Energy"/>		222	
2	UDR	Import	0		7			566	<input type="text" value="Acme Energy"/>		185	<input type="text" value="03_CEE_"/>
1	UDR	Import	0		0	PJM	N.Y.C.		<input type="text" value="Acme Energy"/>		261	
1	UDR	Import	0		9			314	<input type="text" value="Acme Energy"/>		185	<input type="text" value="1_CEE_"/>

### 4.8.3. Inserting External Transaction Details

The Transaction Detail records are inserted for a selected External Transaction Type as shown in [Figure 57](#). The ID, Capacity, MIS Transaction ID, PTID, and 24X7 Contact Phone# are specified by the Users in the Transaction Details and must be configured before clicking the **ADD** button.

**Note:** The Capacity is entered as UCAP MW for all Types except Wheel Through, FCFSR, and UDR/EDR which are entered as ICAP MW.

**Figure 57: Add Transaction Details Screen Section**



**ISO Installed Capacity Assign Transaction IDs**

Auction ▾ Mitigation ▾ Certify ▾ Bids/Offers ▾ Load Forecast ▾ Calendar ▾ Rights ▾ Derating Factor ▾ DMNC ▾ SCR ▾ Billing ▾ Upload/Download

**Filter Criteria**

MP Name:  Season:  Month:

**Notice**

Any FCFSR or GFR Import Right MW at a fully allocated external interface with no MIS TID at close of certification **will be offered in the Spot auction at \$0.00** from the associated PTID. See ICAP Manual § 4.9.2.4 "Obligation of Recipients of Import Rights".

**Interface Information**

Import Interface	Obligation ICAP MW	Obligation Satisfied ICAP MW	Obligation Remaining ICAP MW
PJM	0.0	0.0	0.0
NE	0.0	0.0	0.0
HQ	0.0	0.0	0.0
IESO	0.0	0.0	0.0
NYCA			

**Add Transaction Details**

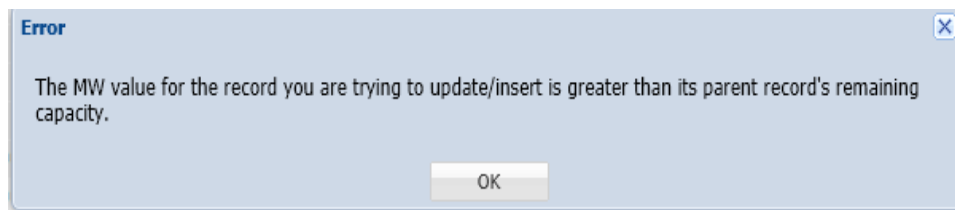
Type:  ID:  Capacity:  MIS Transaction ID:  PTID:  24x7 Contact Phone#:

EBT  
EBT  
EPC  
ECR Bilateral  
ECR Auction Sales  
External Auction Sales  
FCFSR  
GFR  
UDR  
Wheel

Import /Export /Wheels	ICAP MW	Derating Factor	UCAP MW	Source Location	Sink Location	MIS Transaction ID	Seller Organization	Buyer Organization	PTID	Name

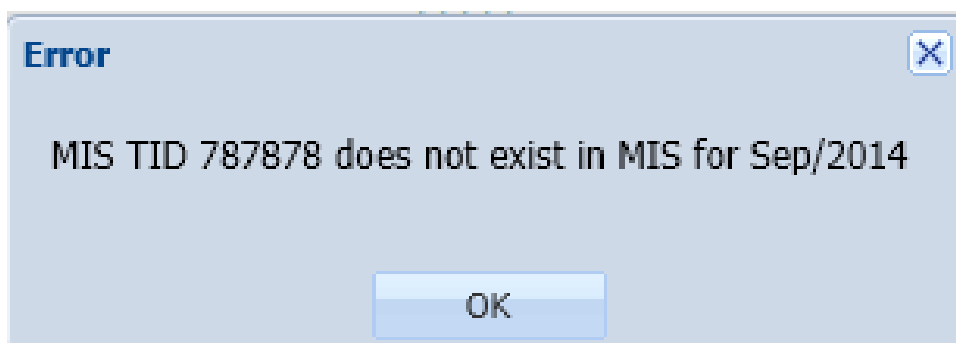
When attempting to insert a transaction detail record, the Capacity entered for all transaction detail records for this Type and ID # cannot exceed the transaction record's UCAP MW [Types=EBT, EPC, ECR Auction Sales, ECR Bilateral, External Auction Sales] or the transaction record's ICAP MW including [Types=FCFSR, GFR, UDR, EDR, Wheel]. Otherwise, when Add is clicked to insert the transaction detail record, the user will get a validation error:

**Figure 58: Add Transaction Details - Capacity MW Validation Error**

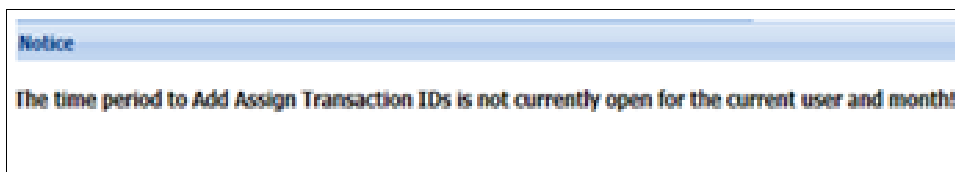


The MIS Transaction ID entered into the ICAP AMS will be validated to ensure a valid MIS TID already exists for this month in the Market Information System (MIS). If not, the user will get a validation error when attempting to Add Transaction Detail record as shown in [Figure 59](#). The user will get a notice if the period when the Assign Transaction ID can be added is not open as shown in [Figure 60](#).

**Figure 59: Add Transaction Details - MIS TID Validation Error**



**Figure 60: Add Transaction Details - Certification Period Warning**



## 4.9. How to View Supply-Side Mitigation Summary

This screen will be read-only. The Supply-Side Mitigation results – Default Reference Price, Pivotal Control Threshold, and Posted Date – will not be viewable until Supply-Side Mitigation is run, which is after Certification Close and before the Spot Market Auction Offer Period opens. Other parameters (Portfolio Mappings, Unit-Specific Adjusted Reference Prices and Minimum Pivotal Control Threshold) will be viewable as they become available prior to running Mitigation.

### 4.9.1. Screen Descriptions

**Figure 61: Supply-Side Mitigation Summary Filter Screen Section**

Screen Field	Type	Editable	Description
MP Name	Text	N	Defaults based on Market Participant Logged On.
Season	Text	Y	Capability Period.
Month	Text	Y	Spot Market Auction Month to be Displayed.

**Figure 62: Mitigation Information Screen Section**

Screen Field	Type	Editable	Description
MP Name	Text	N	Defaults based on Market Participant Logged On.
Month	Text	N	ICAP Spot Market Auction Month selected.
Current Eastern Time	Text	N	Current Timestamp.
Posted Date	Text	N	Date and Time the Supply-Side Mitigation Result is Available to Market Participants.

**Figure 63: Affiliate Portfolio Information Screen Section**

Screen Field	Type	Editable	Description
Affiliate Portfolio	Text	N	Affiliate Portfolio Identifier(s) that the Market Participant is associated with. The Market Participant may be in multiple Affiliate Portfolios.

**Figure 64: Current [Mitigated Capacity Zone] Mitigation Parameters Screen Section**

Screen Field	Type	Editable	Description
Pivotal Supplier?	Text	N	<p>Indicates if the MP is a <b>Pivotal Supplier</b> in this Mitigated Capacity Zone.</p> <p>Once Supply-Side Mitigation runs and posts, this value is set to "Yes" or "No" for this MP in this Mitigated Capacity Zone. (See Affiliate Portfolio attribute in the table above.)</p> <p><i>Note:</i> The NYISO Market Services Tariff – Attachment H, Section 23.4.5 defines the <b>Pivotal Supplier</b> in terms of a 2-part test based on the Minimum Pivotal Control Threshold and the (monthly calculated) Pivotal Control Threshold described below. This 2-part test is performed for each Mitigated Capacity Zone.</p>

Screen Field	Type	Editable	Description
Default Reference Price	Numeric	N	<p>Default Reference Price (\$/kW-month) calculated after monthly certification, and prior to Spot Market Offer Open for this Mitigated Capacity Zone. This field displays as null until Supply-Side Mitigation is run and is calculated using this Mitigated Capacity Zone's Demand Curve.</p> <p>This value is the price on the Mitigated Capacity Zone UCAP Demand Curve corresponding to the Total UCAP MW for the month for that Mitigated Capacity Zone.</p> <p><i>Note:</i> This value is the same as the term defined as the <b>UCAP Offer Reference Level</b> in the <i>Market Services Tariff - Attachment H</i> definitions.</p>
Minimum Pivotal Control Threshold	Numeric	N	<p>FERC-Approved Minimum Pivotal Control Threshold for this Mitigated Capacity Zone. Used in the 2-Part Threshold Test when Supply-Side Mitigation runs.</p> <p><i>Note:</i> This value is included as "part a" in the 2-part definition of the <b>Pivotal Supplier</b> in the <i>Market Services Tariff - Attachment H</i> definitions.</p>
Pivotal Control Threshold	Numeric	N	<p>Pivotal Control Threshold (MW) calculated after Monthly Certification Close, prior to the ICAP Spot Market Offer Open for this Mitigated Capacity Zone. This field displays as null until Supply-Side Mitigation is run.</p> <p>This calculated MW value is used in the 2-Part Threshold Test to compare each Portfolio's MW Controlled in order to determine which suppliers included in that Portfolio are Pivotal for the ICAP Spot Auction Month for this Mitigated Capacity Zone.</p> <p>Pivotal Control Threshold is calculated, using the Mitigated Capacity Zone's Demand Curve, as the difference between the Total UCAP MW and the Minimum UCAP Requirement MW.</p> <p><i>Note:</i> This value is included as "part b" in the 2-part definition of Pivotal <b>Supplier</b> in the NYISO</p>



Screen Field	Type	Editable	Description
			<i>Market Services Tariff - Attachment H</i> definitions.

**Figure 65: [Location] PTID Information Screen Section**

Screen Field	Type	Editable	Description
PTID Name	Text	N	The PTID and Name of every Generator, SCR, and Aggregation the supplier controls in this Location and every UDR/EDR the supplier controls that sinks in this Location
Adjusted Reference Price	Numeric	N	PTID-Specific Adjusted Reference Price (\$/kW-month) applicable for the current ICAP Spot Auction Month, calculated based on Market Participant's Go Forward Costs (GFCs) for this Generator, SCR, UDR, EDR, or Aggregation PTID.  <i>Note:</i> Adjusted Reference Price is the same as the NYISO <i>Market Services Tariff – Attachment H, Section 23.4.5</i> value associated with the process where ICAP Suppliers can request GFC determination from the NYISO for any of its resources in Mitigated Capacity Zones.

#### 4.9.2. Viewing Supply-Side Mitigation Summary

The “Supply-Side Mitigation Summary” screen is accessible from the Mitigation Menu. Prior to the Post-Certification run of Supply-Side Mitigation, the Supply-Side Mitigation Summary will have unspecified results for Default Reference Price, Pivotal Control Threshold and Posted Date in the Current Mitigation Parameters section of the screen.

After Supply-Side Mitigation is run, the Default Reference Price, Minimum Pivotal Control Threshold, Pivotal Control Threshold, Posted Date and **Pivotal Supplier** parameters will be specified for the ICAP Spot Auction Month for each Mitigated Capacity Zone when the “**DISPLAY**” button is clicked. The data is not editable.

**Figure 66: Supply-Side Mitigation Summary After Mitigation is Run**

#### 4.10. How to View Supply-Side Mitigation Default Reference Prices Summary

The "View Default Reference Prices" screen is read-only. The current Default Reference Prices will not be viewable until Supply-Side Mitigation is run after Certification closes and before the ICAP Spot Market Auction opens. Select View Default Reference Price Summary option from the Mitigation Menu.

##### 4.10.1. Screen Descriptions

**Figure 67: View Default Reference Price Summary Filter Screen Section**

Screen Field	Type	Editable	Description
Season	Text	Y	Capability Period.

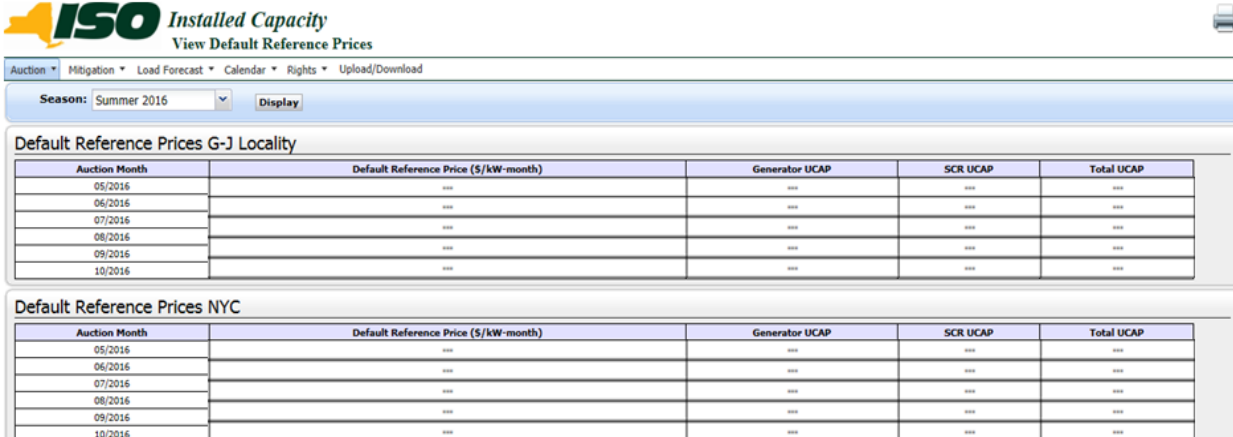
**Figure 68: Default Reference Prices [Mitigated Capacity Zone] Screen Section**

Screen Field	Type	Editable	Description
Auction Month	Text	N	ICAP Spot Market Auction Month.
Default Reference Price	Numeric	N	<p>The Mitigated Capacity Zone's Default Reference Price (\$/kW-month) is calculated after Monthly Certification and prior to the ICAP Spot Market Offer Open. This field displays as null until Supply-Side Mitigation is run.</p> <p>This value is determined using the Mitigated Capacity Zone's ICAP Demand Curve as the price that corresponds to the Total UCAP MW for this ICAP Spot Auction Month.</p> <p><i>Note:</i> This value is the same as the term defined as the <b>UCAP Offer Reference Level</b> in the <i>Market Services Tariff - Attachment H</i> definitions.</p>
Generator UCAP	Numeric	N	The sum of the Mitigated Capacity Zone's Generator and UDR/EDR UCAP (MW) that makes up a portion of the Mitigated Capacity Zone's Total UCAP below.
SCR UCAP	Numeric	N	The sum of the Mitigated Capacity Zone's SCR UCAP (MW) that makes up a portion of the Mitigated Capacity Zone's Total UCAP below.
Total UCAP	Numeric	N	<p>The sum of all Mitigated Capacity Zone's UCAP (MW) used to determine the Default Reference Price for current ICAP Spot Auction Month.</p> <p>Mitigated Capacity Zone Total UCAP = Mitigated Capacity Zone's Generator, UDR/EDR, and SCR UCAP for the current ICAP Spot Auction Month.</p>

#### 4.10.2. Viewing Default Reference Prices Summary

The “View Default Reference Prices” screen can be accessed from the Mitigation Menu. Prior to the Post-Certification run of Supply-Side Mitigation, the Default Reference Price will be null. Once available, the Default Reference Price and prior monthly Default Reference Prices will be displayed with corresponding Generator UCAP, SCR UCAP, and Total UCAP for each Mitigated Capacity Zone.

Figure 69: Default Reference Prices Screen Section



Default Reference Prices G-J Locality				
Auction Month	Default Reference Price (\$/KW-month)	Generator UCAP	SCR UCAP	Total UCAP
05/2016	***	***	***	***
06/2016	***	***	***	***
07/2016	***	***	***	***
08/2016	***	***	***	***
09/2016	***	***	***	***
10/2016	***	***	***	***

Default Reference Prices NYC				
Auction Month	Default Reference Price (\$/KW-month)	Generator UCAP	SCR UCAP	Total UCAP
05/2016	***	***	***	***
06/2016	***	***	***	***
07/2016	***	***	***	***
08/2016	***	***	***	***
09/2016	***	***	***	***
10/2016	***	***	***	***

#### 4.11. How to Report and Manage MP Affiliate Information

This screen will be used by the Market Participant to View, Update, and Insert its Affiliate Information.

The Market Participant Process to administer its Affiliate Information is as follows:

- For each ICAP Spot Market Auction, the Market Participant must review its Affiliated Entity information (affiliate information as defined in Section 23 of the Services Tariff-Attachment H). All Market Participants are responsible for the accuracy and completeness of their information.
- The Market Participant can select or deselect affiliates - See *MST* Section 23.2.1 definition of ***Affiliated Entity***. ("Affiliate" as used in this User Guide means Affiliated Entities as defined.) The Market Participant's self-selection period is defined in the ICAP Event Calendar as follows for the current ICAP Spot Auction Month: "AFFILIATES - Deadline to select or de-select affiliate names for ***Month*** ICAP Market".
- If an Affiliate relationship (affiliate organizations/entities) has not changed from the information that was reported for the previous period, then no changes to those previous entries is required.
- The Market Participant defines the dates the Affiliate relationship is in effect and the Automated Market System associates that Affiliate relationship for the effective ICAP Spot Auction Months that the relationship is Active.
- If more than one type of Affiliate description describes the relationship, select the relationship that best describes situation. (The Automated Market System does not provide for the selection of more than one description.)

The Market Participant’s Process to Request Affiliate Organizations that do not yet exist in the Affiliated Entity List is as follows:

- The Market Participant must initiate a formal request to Stakeholder and Member Services (SMS) to have a new Affiliated Entity Organization added to the Affiliated Entity List.
- The deadline to submit this formal request is defined in the ICAP Event Calendar as follows for the current ICAP Spot Auction Month: "AFFILIATES - Deadline to request additions/deletions to affiliate list of new org names for *Month*".

#### 4.11.1. Screen Descriptions

**Figure 70: MP Affiliate Form Filter Screen Section**

Screen Field	Type	Editable	Description
MP Name	Text	N	Defaults based on Market Participant Logged On.
Active Affiliations Only?	Text	Y	Defaults to "Yes" to display only Active Affiliations. No is selected to show both Active and Historical Affiliations. [YES, NO]

**Figure 71: Legal Information Screen Section**

Screen Field	Type	Editable	Description
Selected Market Participant	Text	N	Current Market Participant Displayed
Current Time	Numeric	N	Current Date and Time
Previous Spot Auction Month	Date	N	ICAP Spot Auction Month and Year of the previous Spot Auction.
Deadline to Submit Changes for Previous Spot Auction Month	Date	N	This is the “Deadline to select or deselect affiliate names for MONTH ICAP Market” defined in the ICAP Event Calendar for previous month.
Current Spot Auction Month	Date	N	ICAP Spot Auction Month and Year of the current Spot Auction.

Screen Field	Type	Editable	Description
Deadline to Submit changes for Current Spot Auction Month	Date	N	This is the “Deadline to select or deselect affiliate names for MONTH ICAP Market” defined in the ICAP Event Calendar for current month.
Next Spot Auction Month	Date	N	ICAP Spot Auction Month and Year of the next Spot Auction
Deadline to Submit Changes for Next Spot Auction Month	Date	N	This is the “Deadline to select or deselect affiliate names for MONTH ICAP Market” defined in the ICAP Event Calendar for next Obligation Procurement Period (month).

**Figure 72: MP Affiliate Form Screen Section (View and Update Existing Information)**

Screen Field	Type	Editable	Description
Affiliated Entity	Text	N	Market Participant’s identified Affiliate Organizations
Relationship of Affiliated Entity	Text	N	Market Participant’s designated Affiliate Organization Relationship Type. See <a href="#">Figure 74 - Relationship of Affiliated Entity Selection List</a> .
Affiliation Start Date	Date	Y	Date that the Market Participant’s affiliation with this organization started.
First Effective Spot Auction Month	Date	N	Month and Year of ICAP Spot Market Auction where this affiliation is effective.
Affiliation End Date	Date	Y	Date the Market Participant’s affiliation with this organization will end.
Last Effective Spot Auction Month	Date	N	Month and Year of the latest ICAP Spot Market Auction where this affiliation will still be effective.
Last Updated By	Text	N	Last User to update this affiliation.
Last Update Date	Text	N	Date affiliation was last changed.
<b>DELETE</b>	Checkbox	Y	Market Participant checks this box before executing SAVE to DELETE this affiliation. Record only has an active checkbox if the deadline to submit changes for the First Effective ICAP Spot Auction Month is in the future.

**Figure 73: MP Affiliate Form Screen Section (Insert New Information)**

Screen Field	Type	Editable	Description
Affiliated Entity	Text	Y	Market Participant selects existing Affiliate Organization Name from a pull-down list.
Relationship of Affiliated Entity	Text	Y	Market Participant selects the applicable Affiliated Entity Relationship Description from a pull-down list.  See <a href="#">Figure 74</a> - <i>Relationship of Affiliated Entity Selection List</i> .
Affiliation Start Date	Date	Y	Market Participant selects the Affiliation Relationship Start Date from a Calendar picker.
First Effective Spot Auction Month	Date	N	The AMS will calculate and display the First Effective ICAP Spot Market Auction Month when the Market Participant executes SAVE.
Affiliation End Date	Date	Y	Market Participant selects the Affiliation Relationship End Date if known. Otherwise, the field will be left null and relationship is in effect indefinitely.
Last Effective Spot Auction Month	Date	N	For a specified Affiliation End Date, the AMS will calculate and display the Last Effective ICAP Spot Market Auction Month when the Market Participant executes SAVE.  For a null Affiliation End Date, the Last Effective Spot Auction Month will be null.
Last Updated By	Text	N	Last User to update this affiliation.
Last Update Date	Text	N	Date affiliation was last changed.
<b>DELETE</b>	Checkbox	N	This field is null when the Market Participant inserts new information.

#### 4.11.2. Viewing MP Affiliate Information

The “MP Affiliate Form” screen can be accessed from the Mitigation Menu. The Market Participant may filter for Active or All Affiliations and clicks the “**DISPLAY**” button to view existing Affiliate Information.

In the Legal Information screen section, the Market Participant will find the Current ICAP Spot Market Auction Month and the associated Deadline to Submit Changes for the Current Spot Auction Month based

on the associated ICAP Event Calendar entry for the Current Spot Auction Month: "AFFILIATES - Deadline to select or de-select affiliate names for **Month** ICAP Market".

There are additional informational fields in the Legal Information screen section to guide the Market Participant as to what deadlines were associated with the most recent past ICAP Spot Market Auction and the next ICAP Spot Market Auction. This screen and the ICAP Event Calendar define for the Market Participant the deadline when Market Participant's Affiliation Information is locked down and the Market Participant can no longer insert or update Affiliate information for the next ICAP Spot Market Auction.

#### **4.11.3. Updating Existing MP Affiliate Information**

Once the Market Participant has used the "MP Affiliate Form" screen to View current information, an editable screen field is only available for the MP to update some of the Affiliate Information. For existing records, the Market Participant may change Affiliation Start Date, Affiliation End Date or may check the **DELETE** box to delete Affiliate Relationships. Successful updates will be saved to the database and Validation Errors will be displayed for unsuccessful updates.

#### **4.11.4. Inserting New MP Affiliate Information**

Once the Market Participant has used the "MP Affiliate Form" screen to view current information, the Market Participant may insert new Affiliate Information using the last row of the MP Affiliate Form Section of the "MP Affiliate Form" screen.

The Market Participant selects an Affiliated Entity from an Affiliated Entity Organization pull-down list. In the event that the Market Participant does not find the designed Affiliated Entity Organization in the pre-populated pull-down list, the Market Participant must submit a formal request to NYISO's SMS to trigger the process of adding a new Affiliate Entity Organization. The deadline to submit this formal request to SMS for the next ICAP Spot Market Auction is published in the ICAP Event Calendar. The Market Participant cannot enter this Affiliate Relationship until the Affiliated Entity appears in the pull-down list and must observe the deadline in the ICAP Event Calendar: "AFFILIATES - Deadline to request additions/deletions to affiliate list of new org names for **Month**".

The Market Participant selects the Relationship of Affiliated Entity from a list of pull-down descriptions on the "MP Affiliate Form" screen. See NYISO *Market Services Tariff – Attachment H*, in general, and *Market Services Tariff - Section 2.1* definition of Affiliated Entity and defined terms within the definition of Affiliated



Entity, in particular, for the full description of relationships. (The NYISO *Market Services Tariff* is available from the NYISO Web site at <https://www.nyiso.com/regulatory-viewer>.)

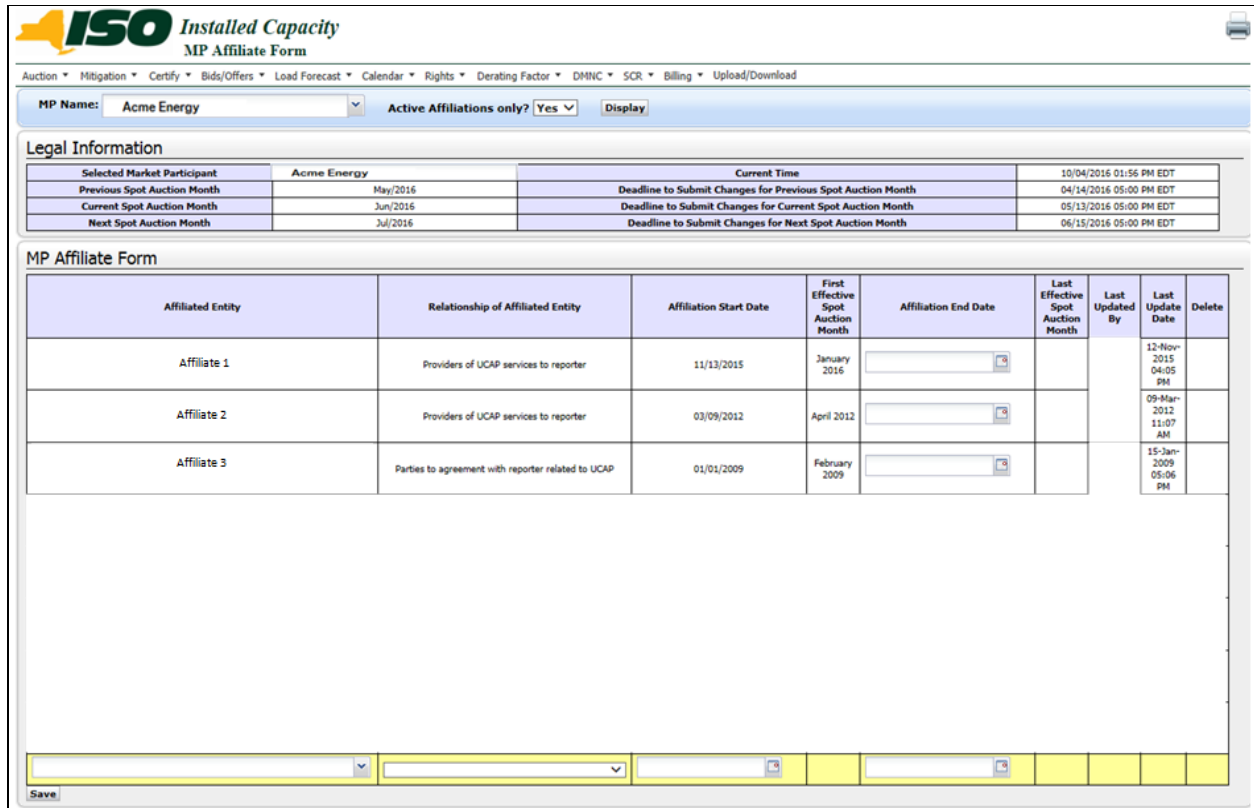
**Figure 74: Relationship of Affiliated Entity Selection List**

Relationship of Affiliated Entity Drop-Down List on “MP Affiliate Form” screen	Reference
Controlling Persons/Entities	See <i>Market Services Tariff – Attachment H</i> , Affiliated Entity §2.1(i) (available from the NYISO Web site at the following URL: <a href="https://www.nyiso.com/regulatory-viewer">https://www.nyiso.com/regulatory-viewer</a> ).
NYISO Market Participants under common control	See <i>Market Services Tariff – Attachment H</i> , Affiliated Entity §2.1(ii) (available from the NYISO Web site at the following URL: <a href="https://www.nyiso.com/regulatory-viewer">https://www.nyiso.com/regulatory-viewer</a> ).
Interests in Mitigated Capacity Zone ICAP Supplier	See <i>Market Services Tariff – Attachment H</i> , Affiliated Entity §2.1(ii) (available from the NYISO Web site at the following URL: <a href="https://www.nyiso.com/regulatory-viewer">https://www.nyiso.com/regulatory-viewer</a> ).
Providers of UCAP services to reporter	See <i>Market Services Tariff – Attachment H</i> , Affiliated Entity §2.1(iii) (available from the NYISO Web site at the following URL: <a href="https://www.nyiso.com/regulatory-viewer">https://www.nyiso.com/regulatory-viewer</a> ).
Parties to agreement with reporter related to UCAP	See <i>Market Services Tariff – Attachment H</i> , Affiliated Entity §2.1(iv) and definition of “control of unforced capacity” (Sheet 467) (available from the NYISO Web site at the following URL: <a href="https://www.nyiso.com/regulatory-viewer">https://www.nyiso.com/regulatory-viewer</a> ).

**Note:** The “Relationship of Affiliated Entity” in the table above represents the column on the “MP Affiliate Form” screen. In the event that *Market Services Tariff – Attachment H* (available from the NYISO Web site at <https://www.nyiso.com/regulatory-viewer>) is amended, as it may be from time to time, the descriptions in Attachment H, rather than the terms in the table above will control.

The Market Participant also must select the Affiliation Start Date and can optionally select the Affiliation End Date (if known). To insert the information into the database, the User must execute the "SAVE" button. If the insert is not successful, a Validation Error message will be displayed.

**Figure 75: MP Affiliate Form Screen Section**



## 4.12. How to View Buyer-Side Mitigation Floor Prices for Generators and UDRs

This screen will be used by the Market Participant to View Floor Prices.

The Market Participant navigates to the "Floor Prices" screen from the Buyer-Side Mitigation option on the Mitigation Menu. The Summer Capability Period and Winter Capability Period Floor Prices described in this section are applied as the Offer Floor.

### 4.12.1. Screen Descriptions

**Figure 76: PTIDs Subject to Floor Price Screen Section**

Screen Field	Type	Editable	Description
PTID Name	Text	N	PTID and UDR Generator Name that the Floor Prices apply to.
Start Month	Text	N	First Spot Auction Month when Floor Price is effective for this PTID.

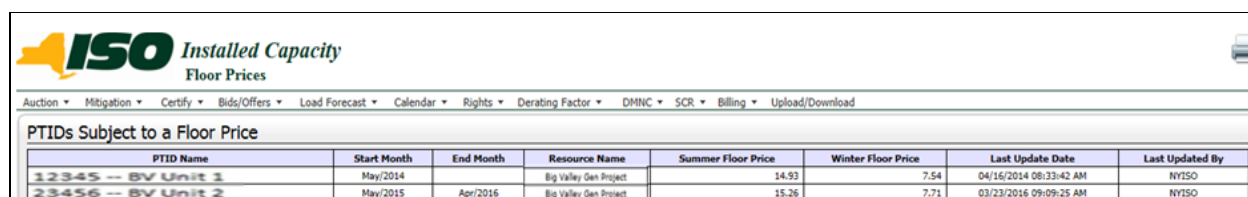
Screen Field	Type	Editable	Description
End Month	Text	N	Last Spot Auction Month when Floor Price is effective for this PTID.
Resource Name	Text	N	<p>Name of Generator or UDR Project.</p> <p>This Resource Name is used to track the Resource Current Exemption MW defined in the NYISO <i>Market Services Tariff – Attachment H, Section 23.4.5.7 as UCAP that has cleared pursuant to the BSM Clearing Rule</i>".</p> <p><i>Note:</i> See also the "Allocate Sales" screen in Section 4 and Spot Offer Price Validation described in Section 6 of this document.</p>
Summer Floor Price	Text	N	<p>The Floor Price applied to generator Subject to Floor Price during Summer Capability Period ICAP Spot Market Auction months. (See Section 6 - Offers To Sell UCAP.)</p> <p>(\$/kW/Month)</p> <p><i>Note:</i> For Summer, the <b>Offer Floor</b> term defined in the NYISO <i>Market Services Tariff - Attachment H</i> definitions is set from this price.</p>
Winter Floor Price	Text	N	<p>The Floor Price applied to generator Subject to Floor Price during Winter Capability Period Spot Auction months. (See Section 6 - Offers To Sell UCAP.)</p> <p>(\$/kW/Month)</p> <p><i>Note:</i> For Winter, the <b>Offer Floor</b> term defined in the NYISO <i>Market Services Tariff - Attachment H</i> definitions is set from this price.</p>
Last Updated By	Text	N	User who last updated the Floor Price record.
Last Update Date	Text	N	Date the Floor Price record was last changed.

#### 4.12.2. Viewing Floor Prices

The “Floor Prices” screen can be accessed from the Mitigation Menu via the Buyer-Side Mitigation option from Mitigation Menu. The Market Participant does not have filter or edit capability.

For each Generator and UDR Resource subject to Buyer-Side Mitigation, the associated PTIDs will be configured with Summer and Winter Floor Prices by NYISO.

**Figure 77: PTIDs Subject to Floor Price Screen Section**



PTID Name	Start Month	End Month	Resource Name	Summer Floor Price	Winter Floor Price	Last Update Date	Last Updated By
12345 – BV Unit 1	May/2014		Big Valley Gen Project	14.93	7.54	04/16/2014 08:33:42 AM	NYISO
23456 – BV Unit 2	May/2015	Apr/2016	Big Valley Gen Project	15.26	7.71	03/23/2016 09:09:25 AM	NYISO

**Note:** If the User has a Generator or UDR Resource Subject to Floor Price, the Resource Name will enable the user to track the Resource Current Exemption MW described for Generator and UDR Resources in Section 4.7 and the application of Offer Floor is described in Section 6 of this document. RIPs enrolling new SCR's that are subject to a Buyer-Side Mitigation analysis are not currently handled in the ICAP AMS.

#### 4.13. How to View Buyer-Side Mitigation Data for Aggregation PTIDs

This screen will be used by the Market Participant to View Buyer-Side Mitigation data for a Market Participant’s DER and SRT Aggregation Resources.

The Market Participant navigates to the "Aggregation Resource – Current Buyer Side Mitigation Exemption" screen from the Buyer-Side Mitigation option on the Mitigation Menu. Using the filters described below, the Market Participant may view information for DER and SRT Aggregations located in a Mitigated Capacity Zone who are subject to Buyer-Side Mitigation. If the Market Participant does not have such resources, no data will be displayed.

Data displayed includes applicable floor prices, and Exempt and Non-Exempt MWs for Aggregations that are subject to Buyer-Side Mitigation.

#### 4.13.1. Screen Descriptions

**Figure 78: Aggregation Resource – Current Buyer Side Mitigation Filter Section**

Screen Field	Type	Editable	Description
MP Name	Text	N	Defaults based on MP logged on.
Season	Text	Y	Capability Period.
Month	Date	Y	Month within the Season to be displayed.
PTID	Text	N	Aggregation’s PTID and PTID Name.

**Figure 79: View DER Aggregation Resource – Current Buyer Side Mitigation Screen Section**

Screen Field	Type	Editable	Description
Resource PTID	Text	N	Aggregation’s PTID
Resource Name	Text	N	Aggregation’s Name
Auction Month	Date	N	Auction Month for which the data applies.
Resource Current Exemption MW	Numeric	N	Aggregation’s Total MWs that are Exempt from BSM.
Resource Current Allocated Sales MW	Numeric	N	Aggregation’s Non-Exempt MWs that have been successfully allocated and stored.
Resource Current Exempt Spot Offer MW	Numeric	N	Aggregation’s Exempt MWs that have been successfully offered and stored.
Resource Current Exempt MW Remaining	Numeric	N	Aggregation’s remaining total Exempt MWs calculated as (Resource Current Exemption MW) – (Resource Current Exempt Spot Offer MW) – (Sale allocations)
Eastern Time	Time	N	Time of data request in Eastern Standard Time Zone.

**Figure 80: View DER Aggregation Resource –Buyer Side Mitigation Data Screen Section**


Screen Field	Type	Editable	Description
Agg PTID	Text	N	Aggregation’s PTID
MP Name	Text	N	MP’s Name. Defaults based on MP logged on.

Screen Field	Type	Editable	Description
AGG ID	Text	N	MP's Generator ID for the Aggregation
Resource Name	Text	N	Aggregation's Name
BSM Offer Floor \$	Numeric	N	Offer Floor Price applied to the Aggregation for the selected Auction Month.
BSM Non-Exempt MW	Numeric	N	Non-Exempt MWs available at the given BSM Offer Floor \$.
BSM Exempt MW	Numeric	N	Aggregation's Exempt MW available.

#### 4.13.2. Viewing Aggregation Resource BSM Data

The "Aggregation Resource – Current Buyer Side Mitigation Exemption" screen can be accessed from the Mitigation Menu via the Buyer-Side Mitigation option. The Market Participant may filter by Capability Season and Auction Month to view any applicable data for DER and SRT Aggregations that are subject to Buyer-Side Mitigation.

**Figure 81: Aggregation Resource – Current Buyer Side Mitigation Screen Section**



Resource PTID	99999	Resource Name	Aggregation 1
Auction Month	Sep/2023	Resource Current Exemption MW	5.0
Resource Current Exempt Allocated Sales MW	5.0	Resource Current Exempt Spot Offer MW	0.0
Resource Current Exempt MW Remaining	0.0	Eastern Time	15-Aug-2023 02:57 PM

AGG PTID	MP Name	AGG ID	Resource Name	BSM Offer Floor \$	BSM Non-Exempt MW	BSM Exempt MW
99999	ACME Energy	1111	Aggregation 1	5.00	13.8	5.0
Total						5.0

#### 4.14. How to View Deliverability Limits (CRIS)

This screen will be used by the Market Participant to View Deliverability Limits.

The Market Participant navigates to the "Deliverability Limits (CRIS)" screen from the Deliverability Limits option on the Certify Menu to view Summer CRIS Cap and either Winter CRIS% or Winter CRIS CAP that are configured for the generator.

The Market Participant may also navigate to the "View PTIDs" screen from the Certify Menu to see how deliverability limits affect the ICAP and UCAP calculations. Note: CRIS limits for Aggregation PTIDs may be viewed on the "View PTIDs" screen, in the PTID Details section under the "Adjusted ICAP" tab.

#### 4.14.1. Screen Descriptions

**Figure 82: Deliverability Limits (CRIS) Filter Screen Section**

Screen Field	Type	Editable	Description
MP Name	Text	N	Defaults based on Market Participant Logged On.
Active CRIS Only?	Text	Y	Defaults to "Yes" to display only Active deliverability limits. No is selected to show all deliverability limits records. [YES, NO]

**Figure 83: Selected Market Participant Screen Section**

Screen Field	Type	Editable	Description
Name	Text	N	Current Market Participant Displayed
Current Eastern Time	Numeric	N	Current Date and Time Format: 99-Month-9999 hr:mm:ss

**Figure 84: Maintain Deliverability Limits Screen Section**

Screen Field	Type	Editable	Description
PTID	Text	N	PTID and Generator Name that the deliverability limits apply to.
Summer CRIS_CAP (MW)	Text	N	The Summer deliverability limit. This limit is a MW value with precision to tenths of MW. This value is used to calculate the Summer Available ICAP and the Available For Sale UCAP column described in <a href="#">Figure 33</a> .



Screen Field	Type	Editable	Description
Winter CRIS_CAP (MW)	Text	N	<p>The Winter deliverability limit.</p> <p>This limit is a MW value with precision to tenths of MW.</p> <p>When this value is specified, Winter CRIS_% is not specified.*</p> <p>This value is used to calculate the Winter Available ICAP and the Available For Sale UCAP column described in <a href="#">Figure 33</a>.</p> <p>*Prior to Winter 2018-2019, the effective Winter Deliverability Limit is specified as a Winter CRIS_%. Starting in November 2018, the effective Winter Deliverability Limit is specified as a Winter CRIS_CAP (MW) value.</p>
Winter CRIS_%	Text	N	<p>The Winter deliverability limit, expressed as a percentage. The percentage is to hundredths of a percent.</p> <p>When this value is specified, Winter CRIS_CAP (MW) is not specified. *</p> <p>This value is used to calculate the Winter Available ICAP and the Available For Sale UCAP column described in <a href="#">Figure 33</a>.</p> <p>* Prior to Winter 2018-2019, the effective Winter Deliverability Limit is specified as a Winter CRIS_%. Starting in November 2018, the effective Winter Deliverability Limit is specified as a Winter CRIS_CAP (MW) value.</p>
First Effective Capacity Month	Date	N	<p>Auction Month/Year when deliverability limits are first used in the calculation of Available For Sale UCAP. (See <a href="#">Figure 33</a> )</p>
Last Effective Capacity Month	Date	N	<p>Auction Month/Year when deliverability limits are last used in the calculation of Available For Sale UCAP. (See <a href="#">Figure 33</a> ).</p>
Last Updated By	Text	N	<p>Last NYISO Employee User to update this generator's deliverability limits.</p>

Screen Field	Type	Editable	Description
Last Updated	Text	N	Date this generator's deliverability limits were last changed. Format: dd-Mon-yyyy hr:mm AM/PM
SAVE AS XLS	Button	Y	The Market Participant has access to the Save as XLS button to save the screen query as Excel Report to a location indicated by the user.

#### 4.14.2. Viewing Generator Deliverability Limits

The “Deliverability Limits” screen can be accessed from the Certify Menu. The Market Participant can filter for *Active* or *All* generator deliverability limits and clicks the “**DISPLAY**” button to view existing Summer and Winter parameters in the Maintain Deliverability Limits screen section.

*For each generator, the Summer CRIS\_CAP (MW) will indicate the maximum Available ICAP that can be used in the calculation of Available For Sale UCAP for a summer month in which deliverability limits are effective:*

$$\text{Available ICAP}_{\text{Summer}} = \text{MIN [ Summer\_CRIS\_CAP, Summer\_DMNC ]}$$

*For a generator, the Winter CRIS\_CAP (MW) will indicate the maximum Available ICAP that can be used in the calculation of Available For Sale UCAP for a winter month in which deliverability limits are effective. When Winter CRIS\_CAP (MW) is specified, the Available ICAP<sub>Winter</sub> is calculated as follows:*

$$\text{Available ICAP}_{\text{Winter}} = \text{MIN [ Winter\_CRIS\_CAP, Winter\_DMNC ]}$$

*For a generator, the Winter CRIS\_% will indicate the percentage of Winter DMNC that can be used as the maximum Available ICAP in the calculation of Available For Sale UCAP for a winter month*

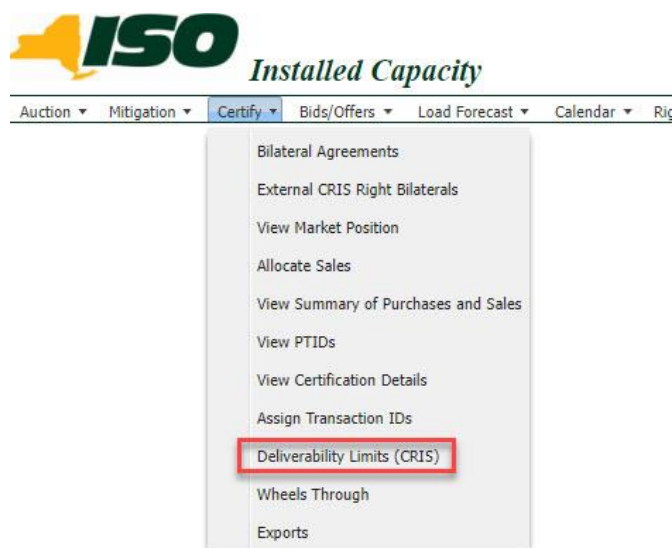
*in which deliverability limits are effective. When Winter CRIS\_% is specified, the Available ICAP Winter is calculated as follows:*

$$\text{Available ICAP}_{\text{Winter}} = [\text{WINTER\_CRIS\_}\% * \text{Winter\_DMNC}]$$

**Note:** Prior to Winter 2018-2019, the effective Winter Deliverability Limit is specified as a Winter CRIS\_%. Starting in November 2018, the effective Winter Deliverability Limit is specified as a Winter CRIS\_CAP (MW) value.

Users may view deliverability limits by selecting the Deliverability Limits option from the Certify Menu.

**Figure 85: CERTIFY Menu - Deliverability Limits (CRIS) Option**



The following "Deliverability Limits" screen displays Summer and Winter CRIS Limits with a Winter CRIS\_CAP (MW) specified and a First Effective Capacity Month set to November 2018 for the *Active* record. The records with Last Effective Delivery Month specified are the records that had Winter CRIS\_% specified and were *Active* in the past.

**Figure 86: Deliverability Limits with Effective Capacity Month**

Auction ▾ Mitigation ▾ Certify ▾ Bids/Offers ▾ Load Forecast ▾ Calendar ▾ Rights ▾ Derating Factor ▾ DMNC ▾ SCR ▾ Billing ▾ Upload/Download

MP Name: ACME Energy Active CRIS only? Yes ▾ Display

Selected Market Participant

Name	ACME Energy	Current Eastern Time	16-Aug-2023 14:31:40
------	-------------	----------------------	----------------------

Maintain Deliverability Limits

PTID	Summer CRIS_CAP (MW)	Winter CRIS_CAP (MW)	Winter CRIS_%	First Effective Delivery Month	Last Effective Delivery Month	Last Updated By	Last Updated
88888 -- Gen 1	100.0		100.00%	May/2023	Apr/2024	NYISO	09-Aug-2023 02:05 PM

Save as XLS

## 4.15. How to Enter, View, and Delete Export Transactions

The export feature is accessible via the Exports option in the Certify Menu. The screen enables the Users to enter, view, and delete export transactions. All export transactions are entered as UCAP values. In order to enter, view, or delete export transactions, Users must have “Certify” privileges and also be with an organization that has “Certify” privileges.

Exports require a PTID, either owned by the exporter or made available to the exporter via a "for export" Bilateral purchase which provides the PTID to the purchaser.

During an open Certification Period, the Users may export internal capacity which they own as an Export Bilateral Transaction (EBT) or export internal capacity which they have purchased as an Export Purchased Capacity (EPC) transaction.

### 4.15.1. Screen Descriptions

**Figure 87: Exports Filter Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on Market Participant Logged On.
Season	Text	N	Capability Period.
Month	Date	N	Month when the export transaction is effective. (Certification Period for this month must be open).

**Figure 88: Location Sales Summary Screen Section**

Screen Field	Data Type	Editable	Description
Location	Text	N	Internal and external locations.
Auction and Bilateral Sales	Numeric	N	Supplier's auction awards and confirmed bilateral sales from this location.
Unallocated Balance	Numeric	N	Supplier's capacity sales not yet allocated to PTIDs.
Remaining Balance After 2nd Party Confirmation	Numeric	N	Supplier's Unallocated Balance minus Bilateral Sales pending 2nd party confirmation for this location.
CSV	Control		Triggers the system to export displayed tabular data as a CSV file.

**Figure 89: Create Export Transaction Screen Section**

Screen Field	Data Type	Editable	Description
Source Location	Text	Y	Select internal source location.
Sink Location	Text	Y	Select external sink location.
UCAP MW	Text	Y	Amount of UCAP being exported from source location to sink location.
Type	Text	Y	Select EBT (Export Bilateral Transaction) to export own capacity or EPC (Export Purchased Capacity) to export purchased capacity.
PTID	Text	Y	The PTID and Name of the Generator, Load Modifier, Muni, or Aggregation associated with capacity owned or purchased.  Note: Capacity cannot be exported from a Generator PTID that is operating as an RMR, except and only to the extent if specifically identified and approved preexisting bilateral agreements

**Figure 90: View Export Transactions Screen Section**

Screen Field	Data Type	Editable	Description
Organization	Text	N	The Organization that is exporting capacity to an external location.
Source Location	Text	N	Internal source location.
Sink Location	Text	N	External sink location.

Screen Field	Data Type	Editable	Description
Export ID	Text	N	Unique identifier for the Export Transaction
UCAP MW	Numeric	N	Amount of UCAP being exported from source location to sink location.
PTID	Text	N	The PTID and Name of the Generator, Load Modifier, Muni, or Aggregation associated with capacity owned or purchased.
Export Type	Text	N	Export Type is EBT (Export Bilateral Transaction) if MP is exporting own capacity or EPC (Export Purchased Capacity) if MP is exporting purchased capacity.
Last Updated By	Text	N	Identifies user who last updated the export transaction.
Last Update Date	Date / Time	N	Date the Export transaction was last updated.
Delete			Icon enables the MP to delete the Export transaction.
CSV	Control		Triggers the system to export displayed tabular data as a CSV file.

**Figure 91: Exports Filter Screen Section**

Screen Field	Data Type	Editable	Description
Notice	Text	N	Informational Notice Text= "The Auction and Bilateral Sales and the Unallocated Balance values displayed do not include Zero Dollar MW Offer Projections."

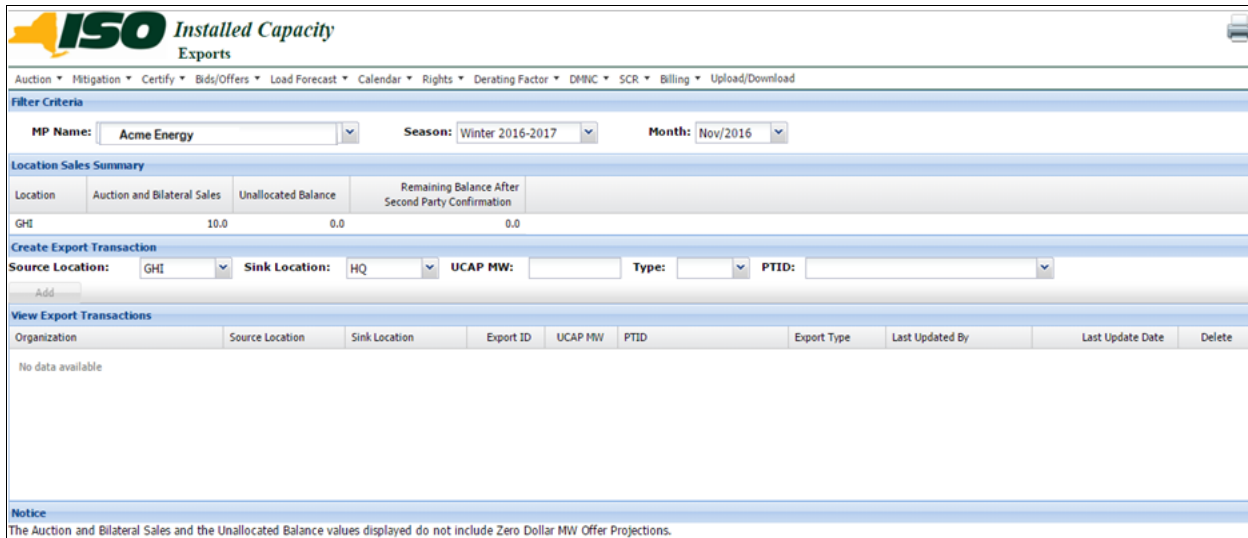
#### 4.15.2. View Export Transactions

Users may view Exports by selecting the appropriate Month in the filter. The system refreshes the Location Sales screen section and refreshes the View Export Transactions screen section with existing Export Transactions.

### 4.15.3. Enter Export Transactions

Users may enter an Export transaction via the Create Export Transactions screen section. User specifies internal Source Location, external Sink Location, UCAP MW, Export Type [EBT or EPC], and PTID. User clicks Add.

**Figure 92: Create Export Transactions Screen Section**



**ISO Installed Capacity Exports**

Auction ▾ Mitigation ▾ Certify ▾ Bids/Offers ▾ Load Forecast ▾ Calendar ▾ Rights ▾ Derating Factor ▾ DP/NC ▾ SCR ▾ Billing ▾ Upload/Download

**Filter Criteria**

MP Name:  Season:  Month:

**Location Sales Summary**

Location	Auction and Bilateral Sales	Unallocated Balance	Remaining Balance After Second Party Confirmation
GHI	10.0	0.0	0.0

**Create Export Transaction**

Source Location:  Sink Location:  UCAP MW:  Type:  PTID:

**View Export Transactions**

Organization	Source Location	Sink Location	Export ID	UCAP MW	PTID	Export Type	Last Updated By	Last Update Date	Delete
No data available									

**Notice**  
The Auction and Bilateral Sales and the Unallocated Balance values displayed do not include Zero Dollar MW Offer Projections.

### 4.15.4. Delete Export Transactions

Users may delete an Export transaction before the certification period closes via the View Export Transactions screen section. User clicks the Delete icon for the selected Export transaction and confirms record delete when prompted.

## 4.16. How to Enter, View, and Delete Wheels Through Transactions

This feature, accessible from the Certify Menu as the Wheels Through option, allows Users to enter, view, and delete Wheels Through transactions for ICAP-qualified External Resources only. In order to enter, view, or delete Wheels Through transactions, Users must have “Certify” privileges and also be with an organization that has “Certify” privileges.

#### 4.16.1. Screen Descriptions

**Figure 93: Wheels Through Filter Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	Y	Defaults based on Market Participant Logged On.
Season	Text	Y	Capability Period
Month	Date	Y	Month when the Wheel Through transaction is effective. (Certification Period for this month must be open).

**Figure 94: Add Wheel Through Screen Section**

Screen Field	Data Type	Editable	Description
Source Location	Text	Y	External Source Location
Sink Location	Text	Y	External Sink Location
PTID	Text	Y	PTID and Name of Resource
Capacity	Numeric	Y	Number of MW either purchased or sold on the Wheel Through transaction. (Format 9999.9; always positive) Sales and Purchases are entered and displayed as ICAP.

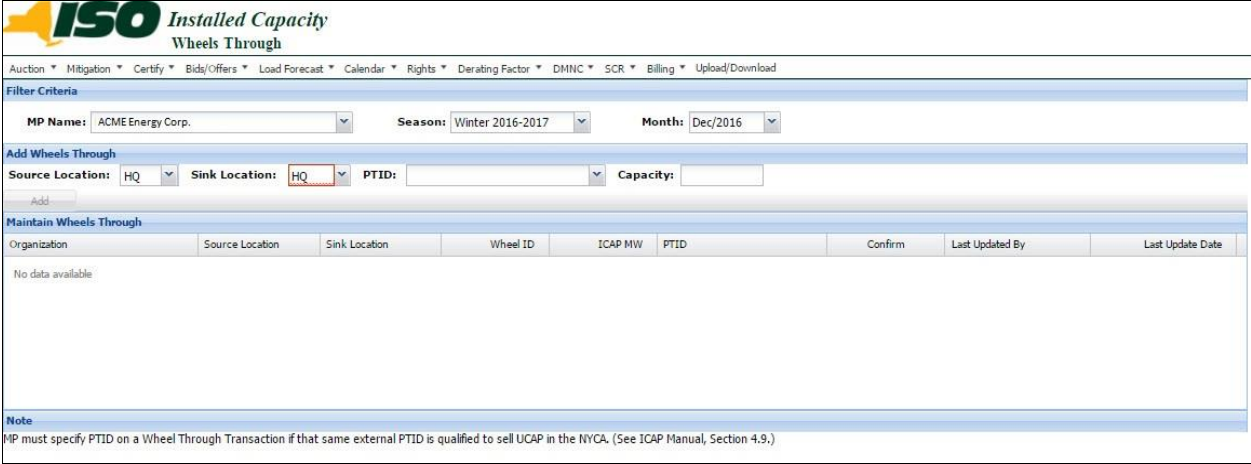
**Figure 95: Maintain Wheel Through Screen Section**

Screen Field	Data Type	Editable	Description
Organization	Text	N	The Organization that is exporting capacity to an External Control Area.
Source Location	Text	Y	External Source Location
Sink Location	Text	Y	External Sink Location
Wheel ID	Text	N	System generated Wheels Through transaction ID number
ICAP MW	Numeric	Y	Purchased or Sold MW. (Format 9999.9; always positive). Sales and Purchases are entered and displayed as ICAP.
PTID	Text	Y	PTID and Name of Resource



Screen Field	Data Type	Editable	Description
Confirm	Check Box	N	This field indicates whether NYISO has confirmed the Wheel Through transaction.  The field is only editable by the NYISO and only during open certification period.
Last Updated By	Text	N	Identifies who last updated the Wheel Through data.
Last Update Date	Date / Time	N	Date the Wheel Through data was last updated.
Delete	Check Box	Y	Used to mark record for deletion. Only the MP that created the Wheels Through can delete it, and only during the open certification period.
Note	Text	N	Informational Text  <b>MP must specify PTID on a Wheel Through Transaction if that same external PTID is qualified to sell UCAP in the NYCA. (See ICAP Manual, Section 4.9.)</b>
CSV	Control		Triggers the system to export displayed tabular data as a CSV file.

**Figure 96: Wheels Through Screen**



**ISO Installed Capacity**  
Wheels Through

Auction ▾ Mitigation ▾ Certify ▾ Bids/Offers ▾ Load Forecast ▾ Calendar ▾ Rights ▾ Derating Factor ▾ DMNC ▾ SCR ▾ Billing ▾ Upload/Download

**Filter Criteria**

MP Name: ACME Energy Corp. Season: Winter 2016-2017 Month: Dec/2016

**Add Wheels Through**

Source Location: HQ Sink Location: HQ PTID: Capacity:

Add

**Maintain Wheels Through**

Organization	Source Location	Sink Location	Wheel ID	ICAP MW	PTID	Confirm	Last Updated By	Last Update Date
No data available								

**Note**  
MP must specify PTID on a Wheel Through Transaction if that same external PTID is qualified to sell UCAP in the NYCA. (See ICAP Manual, Section 4.9.)

## 5. Bids to Purchase UCAP

This section describes how Market Participants who are bidding to purchase UCAP (also known as *Bidders* in the MST Section 2.2) may perform the follow functions:

- How to Enter Bids
- How to Maintain and View Bids
- How to Copy Bids
- How to View Buyer Awards

The functionality described in this section is also available through Upload/ Download templates. Users may refer to Section [14.2](#).

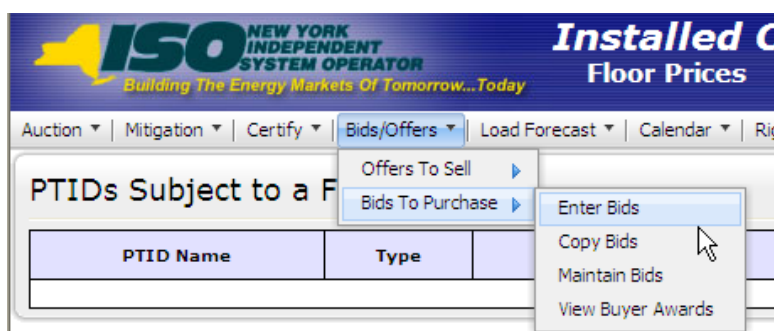
Users may only enter, modify, or delete bids while the Strip or Monthly bid period is open.

### 5.1. How to Enter Bids to Purchase UCAP

The functionality in this section is only available when an organization is Billing Qualified and the User has “Bid to Purchase” privileges.

Users may insert (enter) bids to purchase ICAP in a Strip or Monthly Auction by selecting Enter Bids from the Bids To Purchase option on the Bids/Offers Menu.

**Figure 97: Bids To Purchase Menu - Enter Bids Option**



Market Participants may create bids to purchase UCAP for the Capability Period (Strip), and Monthly Auction; the ICAP Spot Market Auction only accepts offers to sell UCAP. Each bid to purchase UCAP submitted into the Strip Auction is considered a bid to purchase UCAP in each month within the Capability Period corresponding to that Strip Auction. Each bid to purchase UCAP submitted into the Monthly Auction is considered a bid to purchase UCAP only in the month specified as the selected bid month. All bid MW

must be greater than 0.0 and must be entered to a tenth of a MW. The bid price (displayed in \$/kW/Month) must be greater than or equal to \$0.00 and must be entered to cents.

**Note:** Bids will only be accepted during open bid submittal periods as defined in the ICAP Event Calendar.

### 5.1.1. Screen Descriptions

**Figure 98: Insert Bids To Purchase Filter Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on MP Logged On.
Auction Type	Text	Y	Select from list of open auction types. List consists of Strip and Monthly.
Auction Month	Text	Y	If Strip Auction, selection list only consists of first month of open Season. (e.g., May/yyyy or Nov/yyyy) If Monthly Auction, selection list consists of open auction months.
Bid Month	Text	Y	For Strip Auction, cannot be modified. For Monthly Auction, selection list consists of open months within the Season, and selected Auction Month.

**Figure 99: Current Status Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on Market Participant Logged On.
Auction Type	Text	N	Select from list of open auction types. List consists of Strip and Monthly.
Auction Month	Text	N	If Strip Auction, selection list only consists of first month of open Season. (e.g., May/2003 or Nov/2003) If Monthly auction, selection list consists of open auction months.
Bid Month	Text	N	For Strip Auction, cannot be modified. For Monthly Auction, selection list consists of open months within the Season, and selected Auction Month.
Eastern Time	Date/Time	N	Current date and Eastern time when screen was last refreshed.

Screen Field	Data Type	Editable	Description
Bid Period Closes	Date/Time	N	Date and time the bid submittal period closes for the selected auction.
Total Bid Exposure for Month	Numeric	N	The maximum amount of money that could be owed for the bid month based upon saved bids for the selected bid month. For Strip Auctions, this value will be 1/6 of Total Bid Exposure for Auction.
Total Bid Exposure for Auction	Numeric	N	The maximum amount of money that could be owed based upon saved bids for the selected auction.

**Figure 100: Credit Status Screen Section**

Screen Field	Data Type	Editable	Description
Posted Collateral	Numeric	N	Posted Collateral as supplied by the NYISO Credit Department.
Unpaid Awarded Bids*	Numeric	N	Calculated as all awarded bids (from previous auctions) that have not been paid.
Total Bid Exposure*	Numeric	N	Equal to the sum of Total Bid Exposures of any open auctions minus any unpaid awarded offers, and also minus any additional adjustments from current unpaid invoices such as Load Shifting & True-Ups.
Available Collateral*	Numeric	N	Calculated as Posted Collateral – Unpaid Awarded Bids – Total Bid Exposure

**Figure 101: Add to Cart Screen Section**

Screen Field	Data Type	Editable	Description
Location	Text	Y	Select from a list of all internal locations.
Bid MW	Numeric	Y	Bid MW (format 9999.9)
Bid \$/kW/Month	Numeric	Y	Bid Price (format 999.99) Maximum amount bidder is willing to pay for Bid MW quantity.

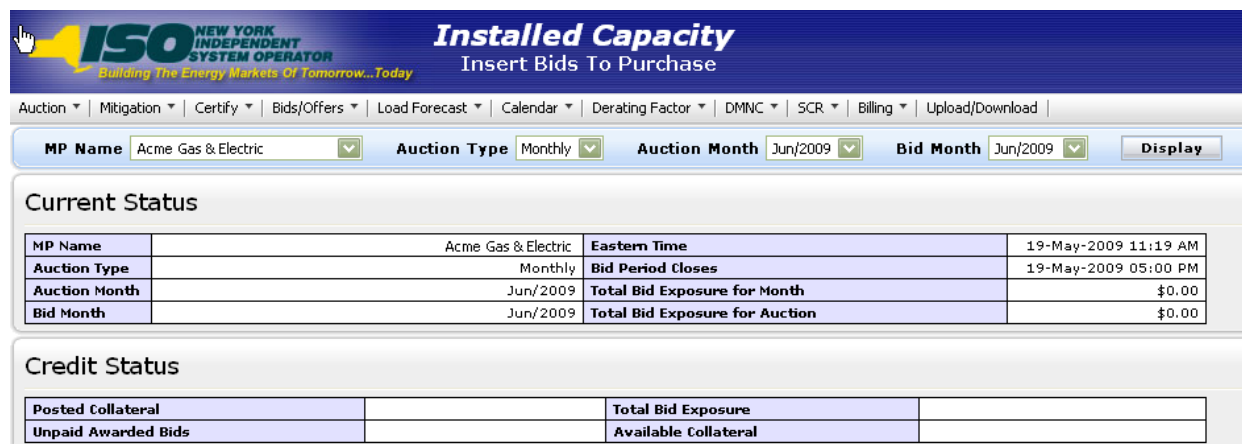
\* Financially Responsible Parties' collateral calculations include data pertaining to the MPs for which they are responsible.

**Figure 102: Insert Bids to Purchase Screen Section**

Screen Field	Data Type	Editable	Description
Location	Text	N	Select from a list of all internal locations.
Bid MW	Numeric	N	Bid MW (format 9999.9)
Bid \$/kW/Month	Numeric	N	Bid Price (format 999.99) Maximum amount bidder is willing to pay for Bid MW quantity.
Bid Total	Numeric	N	Calculated as Bid MW * Bid \$/kW/Month * 1,000
Delete From Cart	Trash Icon	Y	Click on Trash Icon and click Save button to delete a record from the Cart.

### 5.1.2. Entering Bids

Users can enter bids through the "Insert Bids To Purchase" screen, navigating from Bids/Offers Menu option Bids To Purchase which has an Enter Bids choice in the pull-down submenu. The "Insert Bids To Purchase" screen has Current Status Section, Credit Status Section, Add To Cart Section and Insert Bids To Purchase Section.

**Figure 103: Current Status and Credit Status Screen Sections**


The screenshot shows the 'Installed Capacity' screen with the following sections:

**Installed Capacity**  
Insert Bids To Purchase

Auction | Mitigation | Certify | Bids/Offers | Load Forecast | Calendar | Derating Factor | DMNC | SCR | Billing | Upload/Download

MP Name: Acme Gas & Electric | Auction Type: Monthly | Auction Month: Jun/2009 | Bid Month: Jun/2009 | Display

**Current Status**

MP Name	Acme Gas & Electric	Eastern Time	19-May-2009 11:19 AM
Auction Type	Monthly	Bid Period Closes	19-May-2009 05:00 PM
Auction Month	Jun/2009	Total Bid Exposure for Month	\$0.00
Bid Month	Jun/2009	Total Bid Exposure for Auction	\$0.00

**Credit Status**

Posted Collateral		Total Bid Exposure	
Unpaid Awarded Bids		Available Collateral	

**Figure 104: Add to Cart and Insert Bids to Purchase Screen Sections**

**Add to Cart**

Location	Bid MW	Bid \$/kW/Month
LI <input type="button" value="v"/>	<input type="text"/>	<input type="text"/>
<input type="button" value="Add to Cart"/>		

**Insert Bids To Purchase**

Location	Bid MW	Bid \$/kW/Month	Bid Total \$ (MW * \$/kW/Month * 1000)	Delete From Cart
Cart does not contain any bids.				

On this screen, Users may add up to 10 bids to a shopping cart before saving them in the System. Users must specify Auction Type [Strip, Monthly], Auction Month, and Bid Month (for Monthly auctions only). After selecting these bidding parameters, Users should click the “**DISPLAY**” button at the top of the screen:

The "Insert Bids To Purchase" screen will display the following information: a summary of auction data, Total Bid Exposure for Month for selected Auction and Bid Month, Total Bid Exposure for Auction for the selected Auction, Posted Collateral, Unpaid Awarded Bids, Total Bid Exposure, and Available Collateral. This data is displayed in the Current Status and Credit Status screen sections.

Market Participants cannot submit bids to purchase UCAP that could result in awards that exceed the available collateral displayed in Credit Status screen section shown in [Figure 103](#).

To enter a bid to purchase UCAP, Users must select the following parameters in the Add to Cart screen section; an internal location from the drop-down list, bid MW ( $\geq 0.1$  and entered to a tenth of a MW), and bid \$/ KW/ month ( $\geq 0.00$  and entered to the cent). The bid is added to the cart, but not yet permanently saved to the database, by clicking the “**ADD TO CART**” button:


**Figure 105: Add to Cart Screen Section**

**Add to Cart**

Location	Bid MW	Bid \$/kW/Month
LI <input type="button" value="v"/>	<input type="text"/>	<input type="text"/>
<input type="button" value="Add to Cart"/>		

The Insert Bids To Purchase screen section which appears at the bottom of the screen summarizes bid data not yet saved. Up to 10 bids can be added to the Insert Bids to Purchase shopping cart without saving.

**Figure 106: Insert Bids to Purchase**

Insert Bids To Purchase				
Location	Bid MW	Bid \$/kW/Month	Bid Total \$ (MW * \$/kW/Month * 1000)	Delete From Cart
LI	30.0	\$2.00	\$60,000.00	
Total			\$60,000.00	

After entering bids into the shopping cart, the User saves them in the System by clicking “**SAVE**”. A confirmation message will appear stating “Successfully saved xx records to the database” where xx is the number of records in the shopping cart. Following this, Available Collateral and Bid Exposure data is recalculated and redisplayed.

Before saving, Users may delete bids from the shopping cart by selecting the trash icon in the “Delete from Cart” column as displayed in [Figure 106](#). If Users attempt to leave the “Insert Bids to Purchase” screen with unsaved data in the cart, the System will confirm Users want to leave the page without saving the changes.

Users wishing to delete, maintain, or view bids after the bids are saved should refer to [Section 5.2](#).

## 5.2. How to View and Maintain Bids to Purchase UCAP

The screens described in this section will be read-only for non-billing qualified organizations and also for Users without “Bid to Purchase” privileges.

Users may modify, edit, and view bids that have been successfully saved by selecting Maintain Bids from the Bids To Purchase option of the Bids/Offers Menu. For instance, all bids entered as described in [Section 5.1](#) would appear and be available for editing using this functionality.

Figure 107: Bids To Purchase Menu - Maintain Bids Option



The following screen will appear:

Figure 108: Maintain Bids To Purchase Status Screen Sections

**Installed Capacity**  
Maintain Bids To Purchase

Auction ▾ Mitigation ▾ Certify ▾ Bids/Offers ▾ Load Forecast ▾ Calendar ▾ Rights ▾ Derating Factor ▾ DMNC ▾ SCR ▾ Billing ▾ Upload/Download

MP Name: Acme Energy Season: Winter 2013-2014 Auction Type: Monthly Auction Month: Nov/2013  
 Bid Month: Nov/2013

**Current Status**

MP Name	Acme Energy	Eastern Time	14-Oct-2013 11:49 AM
Auction Type	Monthly	Bid Period Closes	14-Oct-2013 05:00 PM
Auction Month	Nov/2013	Total Bid Exposure for Month	\$0.00
Bid Month	Nov/2013	Total Bid Exposure for Auction	\$0.00

**Credit Status**

Posted Collateral	\$16,666,666.66	Total Bid Exposure	\$0.00
Unpaid Awarded Bids	\$0.00	Available Collateral	\$16,666,666.66

**Maintain Bids to Purchase**

Location	Bid MW	Bid \$/kW/Month	Bid Total \$ (MW * \$/kW/Month * 1000)		Last Updated By	Last Update Date	Delete
ROS	10	2.85		.00	Billy Watts	10/11/2013 07:53:51 AM	
ROS	10	2.94		.00	Billy Watts	10/11/2013 07:53:51 AM	
ROS	35	2.99	\$	.00	Billy Watts	10/11/2013 07:53:51 AM	
ROS	75	3.14	\$	.00	Billy Watts	10/11/2013 07:53:51 AM	
ROS	100	3.28	\$	.00	Billy Watts	10/11/2013 07:53:51 AM	
ROS	150	3.42	\$	.00	Billy Watts	10/11/2013 07:53:51 AM	



### 5.2.1. Screen Descriptions

**Figure 109: Maintain Bids to Purchase Filter Screen Section**

Screen Field	Data Type	Editable	Rule
MP Name	Text	N	Defaults based on MP Logged on.
Season	Text	Y	Capability Period.
Auction Type	Text	Y	Select from list of auctions. List consists of Strip and Monthly Auctions. Bids are not submitted for the ICAP Spot Market Auction.
Auction Month	Text	Y	If Strip Auction, selection list only consists of first month of the selected Capability Period (e.g., May/2003 or Nov/2003) If Monthly Auction, select from list of all months within the selected Season
Bid Month	Text	Y	If Strip Auction, cannot be modified. If Monthly auction, select from list of all valid months within the applicable Capability Period and selected Auction Month.

**Figure 110: Current Status Screen Section**

Screen Field	Data Type	Editable	Rule
MP Name	Text	N	Defaults based on MP Logged on.
Auction Type	Text	N	Auction Type selected.
Auction Month	Text	N	Auction Month selected.
Bid Month	Text	N	Bid Month selected.
Eastern Time	Date/Time	N	Current date and Eastern time when screen was last refreshed.
Bid Period Closes	Date/Time	N	Date and time the bid submittal period closes for the selected auction.
Total Bid Exposure for Month	Numeric	N	The maximum amount of money that could be owed for the bid month based upon saved bids for the selected bid month. For Strip Auctions, this value will be 1/6 of Total Bid Exposure for Auction.
Total Bid Exposure for Auction	Numeric	N	The maximum amount of money that could be owed based upon saved bids for the selected auction.

**Figure 111: Credit Status Screen Section**

Screen Field	Data Type	Editable	Rule
Posted Collateral	Numeric	N	Posted Collateral ([then-current] amount identified by NYISO's Finance Department.)
Unpaid Awarded Bids*	Numeric	N	Calculated as all awarded bids that have not been paid
Total Bid Exposure*	Numeric	N	Equal to the sum of Total Bid Exposures of any open auctions minus any unpaid awarded offers, and also minus any additional adjustments from current unpaid invoices such as Load Shifting & True-Ups.
Available Collateral*	Numeric	N	Calculated as Posted Collateral – Unpaid Awarded Bids - Total Bid Exposure

**Figure 112: Maintain Bids to Purchase Screen Section**

Screen Field	Data Type	Editable	Rule
Location	Text	N	Select from a list of all internal locations.
Bid MW	Numeric	Y	Bid MW (format 9999.9) MP can edit only during an open Bid Period.
Bid \$/kW/Month	Numeric	Y	Bid Price (format 999.99) - Maximum amount Bidder is willing to pay for Bid MW quantity. MP can edit only during an open Bid Period.
Bid Total \$	Numeric	N	Calc. as Bid MW * Bid \$/kW/Month * 1000
Last Updated By	Text	N	Identification of last person that updated the bid row
Last Update Date	Date	N	Date bid row last updated.
Delete	Checkbox	Y	Delete Checkbox. MP can edit only during an open Bid Period.

### 5.2.2. Maintaining Bids to Purchase UCAP

Users may change Location, Bid MW, and Bid \$/kW/month for the selected auction as long as the period for submitting bids for the auction is not closed. Bids cannot be modified in a manner that could result in awards that exceed the available collateral displayed in the Current Status screen section.

\* Financially Responsible Parties' collateral calculations include data pertaining to the MPs for which they are responsible.

**Figure 113: Maintain Bids To Purchase Screen Section**

Maintain Bids To Purchase						
Location	Bid MW	Bid \$/kW/Month	Bid Total \$ (MW * \$/kW/Month * 1000)	Last Updated By	Last Update Date	Delete
LI <input type="button" value="v"/>	<input type="text" value="50.0"/>	<input type="text" value="6.00"/>	\$300,000.00	NYISO user	19-May-2009 11:28 AM	<input type="checkbox"/>
NYC <input type="button" value="v"/>	<input type="text" value="50.0"/>	<input type="text" value="7.00"/>	\$350,000.00	NYISO user	19-May-2009 11:28 AM	<input type="checkbox"/>
ROS <input type="button" value="v"/>	<input type="text" value="25.0"/>	<input type="text" value="5.00"/>	\$125,000.00	NYISO user	19-May-2009 11:28 AM	<input type="checkbox"/>

Users may save any edits to existing bids displayed in the Maintain Bids to Purchase screen section by clicking the “**SAVE**” button. The System will validate the edits. After edits have been successfully saved, the following confirmation message will appear: “Successfully updated xx records in the database,” where xx is the number of modified bids. Available collateral and bid exposure data is recalculated and redisplayed with the edited bid data. If Users modify bids and attempt to leave the screen without saving their changes, the AMS will notify for User to confirm the Users want to leave the page without saving the changes.

### 5.2.3. Deleting Bids

As long as the bid period is open, any bid that has been successfully saved through the ICAP Automated Market System may be deleted through the “Maintain Bids to Purchase” screen. Users should select the check box in the Delete column, as shown in [Figure 113](#), for all bids they wish to delete and click the “**SAVE**” button to confirm the deletion. After the deletion has been successfully processed, the following confirmation message will appear: “Successfully updated xx records in the database,” where xx is the number of modified bids.

## 5.3. How to Copy Bids to Purchase UCAP

The functionality described in this section is only available when an organization is Billing Qualified and the User has “Bid to Purchase” privileges.

Bids to purchase UCAP can be copied from any Bid Month in the prior or current Monthly auction to any bid month in the current Monthly Auction. This functionality, not available for the Strip Auction, is available through the Copy Bids option under Bid To Purchase on the Bids/Offers Menu.

### 5.3.1. Screen Descriptions

**Figure 114: Copy Bids to Purchase Filter Screen Section**

Screen Field	Data Type	Editable	Descriptions
MP Name	Text	N	Defaults based on MP Logged on.
Auction Month	Text	Y	If Monthly auction, select from list of remaining months within the selected Capability Period.
Bid Month	Text	Y	If Monthly auction, select from list of all valid months within the applicable Capability Period and selected Auction Month.

**Figure 115: Current Status Screen Sections**

Screen Field	Data Type	Editable	Descriptions
MP Name	Text	N	Defaults based on MP Logged on.
Copy From Auction Month	Text	N	Select from a list consisting of the previous or current Monthly auction months.
Copy From Bid Month	Text	N	Select from a list of bid months within the selected Copy from Auction Month.
Total Bid Exposure for Month (Copy from Auction Month/Bid Month)	Numeric	N	The maximum amount of money that could be owed for the bid month based upon saved bids for the selected Copy From Bid Month.
Eastern Time	Date/Time	N	Current date and Eastern time when screen was last refreshed.
Copy to Current Auction Month	Text	N	Current open monthly auction month and year.
Bid Period Closes	Date/Time	N	Date and time bid submittal period closes for current open auction month.
Total Bid Exposure for Auction (Copy to Auction Month)	Numeric	N	The maximum amount of money that could be owed based upon saved bids for the Current Open Auction Month.

**Figure 116: Credit Status Screen Section**

Screen Field	Data Type	Editable	Descriptions
Posted Collateral	Numeric	N	Posted Collateral as supplied by the credit department.
Unpaid Awarded Bids*	Numeric	N	Calculated as all awarded bids that have not been paid
Total Bid Exposure*	Numeric	N	Equal to the sum of Total Bid Exposures of any open auctions minus any unpaid awarded offers, and also minus any additional adjustments from current unpaid invoices such as Load Shifting and True-Ups.
Available Collateral*	Numeric	N	Calculated as Posted Collateral – Unpaid Awarded Bids - Total Bid Exposure.

**Figure 117: Copy to Bid Month Screen Section**

Screen Field	Data Type	Editable	Descriptions
Copy to Bid Month	Text	Y	This is the Bid Month to which the bids are copied. Select from a list of open bid months for the current open Auction Month.

**Figure 118: Copy Bids to Purchase Screen Section**

Screen Field	Data Type	Editable	Descriptions
Location	Text	N	Location of the bid.
Bid MW	Numeric	N	Bid MW
Bid \$/kW/Month	Numeric	N	Bid price- Maximum price bidder is willing to pay for Bid MW quantity.
Bid Total	Numeric	N	Calc. as Bid MW * Bid \$/kW/Month * 1000

### 5.3.2. Copying Bids

The following screen sections facilitate the User's ability to copy bids.

---

\* Financially Responsible Parties' collateral calculations include data pertaining to the MPs for which they are responsible.

Users can select the monthly auction month and bid month that bid data will be copied from the filter at the top of the screen as shown in [Figure 119](#).

**Figure 119: Copy Bids To Purchase Screen**

MP Name	Acme Energy	Eastern Time	25-Nov-2013 06:09 PM
Copy From Auction Month	Dec/2013	Copy To Current Auction Month	Dec/2013
Copy From Bid Month	Dec/2013	Bid Period Closes	25-Nov-2013 07:00 PM
Total Bid Exposure for Month	\$2: 0	Total Bid Exposure for Auction	\$1: 0

Posted Collateral	\$ 0	Total Bid Exposure	\$ 1
Unpaid Awarded Bids	\$ 0	Available Collateral	\$ 5

Copy To Bid Month (within Current Auction Month) | Dec/2013 | Save

Location	Bid MW	Bid \$/kW/Month	Bid Total
ROS	5.0	\$5.00	\$25.00
ROS	25.0	\$2.45	\$61.25
ROS	25.0	\$2.35	\$58.75
ROS	25.0	\$2.25	\$56.25
ROS	25.0	\$2.15	\$53.75
Total:			\$250.00

When the User clicks the “**DISPLAY**” button, all relevant data to be copied will appear. Users may then select the bid month in the current auction month they wish to copy the data to and press “**SAVE**” to confirm the request in the Copy to Bid Month screen section shown in [Figure 120](#). Any bids in the Copy to Bid Month will be overwritten. The copy bids request will not be allowed if the resulting bids could result in awards that exceed the available collateral displayed in the Credit Status screen section shown in [Figure 119](#).

**Figure 120: Copy To Bid Month Screen Section**

Copy To Bid Month

Copy to Bid Month (within current capability season) | Jul/2009

Save

After clicking “**SAVE**” in the Copy To Bid Month screen section, the following message will appear, “There may be unapproved entries in the selected month that will be overwritten. Is this OK?” After selecting OK, the System will then confirm the saved data with the message: “Your request to copy bids is

complete.” Following this, Available Collateral and Bid Exposure data is recalculated and redisplayed in the Credit Status screen section shown in the Credit Status screen section.

### 5.4. How to View Buyer Awards

Users may view total auction buyer awards for each month within a selected Season. The totals include buyer awards from all auctions (including Spot Market) that were executed during the selected Season. This functionality is available via the "View Buyer Awards" screen, accessible from the Bids To Purchase option on the Bids/Offers Menu:

**Figure 121: Bids To Purchase Menu - View Buyer Awards Option**



#### 5.4.1. Screen Descriptions

**Figure 122: View Buyer Awards Filter Screen Section**

Screen Field	Data Type	Editable	Rule
MP Name	Text	N	Defaults based on MP Logged on.
Season	Text	Y	Select from a list of Seasons.

**Figure 123: Current Status Screen Section**

Screen Field	Data Type	Editable	Rule
MP Name	Text	N	MP Logged on.
Bid Season	Text	N	Capability Period selected.

**Figure 124: Buyer Awards Screen Section**

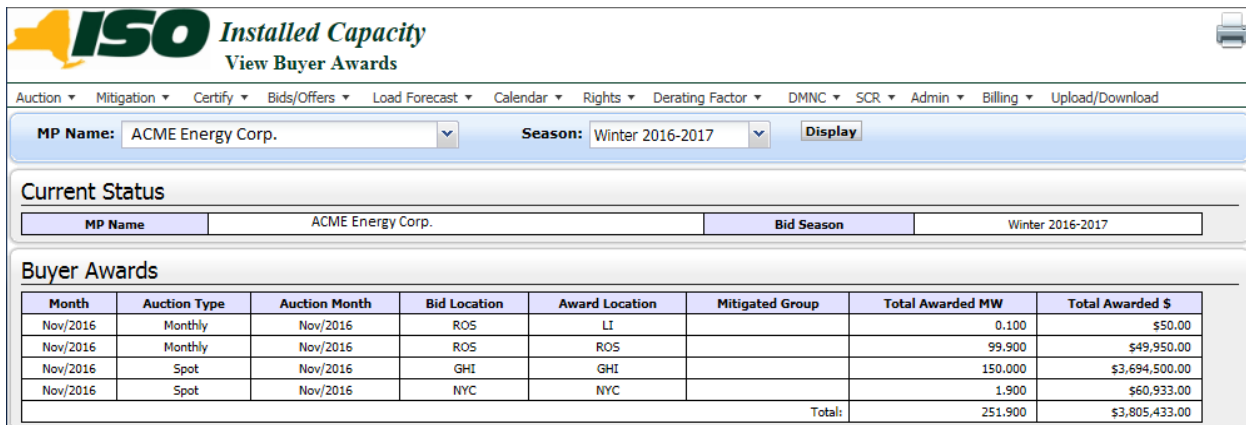
Screen Field	Data Type	Editable	Rule
Month	Text	N	Month within the selected Season. This is equivalent to the Bid Month of an auction.
Auction Type	Text	N	Strip, Monthly, or Spot
Auction Month	Text	N	The month that the auction was executed.
Bid Location	Text	N	Location that MW were bid on in the Season months.
Award Location	Text	N	Location that MW were awarded in the Season months.
Mitigated Group (Historic Divestiture)	Text	N	All Mitigation Groups for which MW were awarded in the Season months.  <i>Note:</i> As of May/2008, this parameter is obsolete. Supply-Side Mitigation replaced historic DGO Mitigation. This field is retained only to view historic DGO capacity.
Total Awarded MW	Numeric	N	Amount of MW awarded for the month and auction type, auction month, and location.
Total Awarded \$	Numeric	N	Total dollars owed for the awarded MW for the month in the auction.

#### 5.4.2. Viewing Buyer Awards

The following screen allows Users to view a summary of all UCAP purchased in a Season through the NYISO UCAP auctions:



**Figure 125: Buyer Awards Screen Section**



**ISO Installed Capacity**  
View Buyer Awards

Auction ▾ Mitigation ▾ Certify ▾ Bids/Offers ▾ Load Forecast ▾ Calendar ▾ Rights ▾ Derating Factor ▾ DMNC ▾ SCR ▾ Admin ▾ Billing ▾ Upload/Download

MP Name: ACME Energy Corp. Season: Winter 2016-2017 **Display**

**Current Status**

MP Name	Bid Season
ACME Energy Corp.	Winter 2016-2017

**Buyer Awards**

Month	Auction Type	Auction Month	Bid Location	Award Location	Mitigated Group	Total Awarded MW	Total Awarded \$
Nov/2016	Monthly	Nov/2016	ROS	LI		0.100	\$50.00
Nov/2016	Monthly	Nov/2016	ROS	ROS		99.900	\$49,950.00
Nov/2016	Spot	Nov/2016	GHI	GHI		150.000	\$3,694,500.00
Nov/2016	Spot	Nov/2016	NYC	NYC		1.900	\$60,933.00
<b>Total:</b>						<b>251.900</b>	<b>\$3,805,433.00</b>

Users may select a Season, and press “**DISPLAY.**” The screen will display buyer awards data for each month within the selected Season sorted by Month, Auction Type, Auction Month, and location.

## 6. Offers to Sell UCAP

This section describes the following functionality available to Market Participants who are selling UCAP:

- How to Enter Offers
- How to Maintain and View Offers
- How to Copy Offers
- How to View Seller Awards
- How to View Spot Offer Summary

The functionality described in this section is also available through Upload/ Download templates. Users may refer to Section [14.3](#).

Users may only enter, modify, or delete offers while the offer period is open.

### 6.1. How to Enter Offers to Sell UCAP

The functionality described in this section is only available when an organization is Billing Qualified and the User has “Offer to Sell” privileges.

Market Participants may create offers to sell UCAP for the Strip, Monthly, and ICAP Spot Market Auctions. Each offer to sell UCAP submitted into the Strip Auction is considered an offer to sell UCAP in each month within the Season of the current Strip Auction. Each offer to sell UCAP submitted into the Monthly auction is considered an offer to sell UCAP only in the month specified in the selected offer month. Each offer to sell UCAP submitted in the Spot Market Auction is considered an offer only for the current ICAP Spot Market Auction. All offered MW must be greater than or equal to 0.1 and must be entered to a tenth of a MW. The offer price (displayed in \$kW/Month) must be greater than or equal to \$0.00 and must be entered to cents.

**Note:** Offers will only be accepted during open offer submittal periods as defined in the ICAP Event Calendar.

An ICAP Spot Market Auction calculated ***UCAP Offer Reference Level*** will be calculated each month after Certification closes for each Mitigated Capacity Zone.

Additionally, Users entering offers to sell UCAP should note the following:

- An MP cannot interactively enter a Spot Market Auction Offer for an RMR generator. While operating as an RMR, the Offer Floor (if any) does not apply to the capacity, and the capacity is not included in an ICAP Supplier's portfolio under the Supply-Side Mitigation rules.
- Any ICAP Spot Market Auction Offer subject to Supply-Side Mitigation cannot include an offer price that exceeds the higher of the most restrictive (monthly-calculated) **UCAP Offer Reference Level** (defined in the NYISO Market Services Tariff - Attachment H) and the Adjusted Reference Price (set only if a Going Forward Cost (GFC) Determination by the NYISO is in effect for the PTID for that Spot Auction month) defined in the Market Services Tariff - Attachment H, Section 23.4.5.3.

**Note:** The NYISO *Market Services Tariff - Attachment H Section 23.4.5.2* defines the market rules that the Spot Offer validation test above is based on: "*Offers to sell Mitigated UCAP in an ICAP Spot Market Auction shall not be higher than the higher of (a) the UCAP Offer Reference Level for the applicable ICAP Spot Market Auction, or (b) the Going-Forward Costs of the Installed Capacity Supplier supplying the Mitigated UCAP. Where an Installed Capacity Supplier is a Pivotal Supplier in some, but not all, Mitigated Capacity Zones in which it has Resources, such Installed Capacity Supplier's offer to sell Mitigated UCAP in any ICAP Spot Market Auction for any Resource for which it is a Pivotal Supplier shall not be higher than the higher of (a) the lowest of the UCAP Offer Reference Levels for each Mitigated Capacity Zone in which such Installed Capacity Supplier has Resources; or (b) if an Offer for a Resource has an applicable Going-Forward Cost, such Going-Forward Cost.*"

- Any non-exempt ICAP Spot Market Auction Offer for a Generator, Aggregation, or UDR subject to Buyer-Side Mitigation cannot include an offer price less than the **Offer Floor** defined in the NYISO *Market Services Tariff - Attachment H*.
- A non-RMR generator can be subject to both Supply-Side and Buyer-Side Mitigation.
- Offers from an external location require an External PTID for all auctions. If the external location offer has a Right # specified, the offer will be applied to the Non-Contract External CRIS Right Obligation.
- Offers for internal locations can only specify PTIDs for the ICAP Spot Market Auction.
- Offers specifying the PTID cannot exceed the PTID's remaining available capacity.

### 6.1.1. Screen Descriptions

**Figure 126: Insert Offers To Sell Filter Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on MP Logged On.
Auction Type	Text	Y	Select from list of open auction types – Strip, Monthly, or Spot.
Auction Month	Text	Y	If Strip Auction, selection list consists of first month of open Season. (e.g., May/2003 or Nov/2003). If Monthly or Spot auction, selection list consists of open months.
Offer Month	Text	Y	For Strip Auction and Spot Market auction, cannot be modified. For Monthly Auction, selection list consists of open months within the applicable Season and the selected Auction Month.

**Figure 127: Insert Offers To Sell Current Status Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	MP Logged On.
Auction Type	Text	N	Auction Type selected.
Auction Month	Text	N	Auction Month selected.
Eastern Time	Date/Time	N	Current date and Eastern time when screen was last refreshed.
Offer Period Closes	Date/Time	N	Date and time the offer submittal period closes for the selected auction.
Offer Month	Text	N	Offer Month selected.

**Figure 128: View DER Aggregation – Buyer-Side Mitigation Data Screen Section**

<b>Note: This screen section displays conditionally, only when PTID selected in Add to Cart is an Aggregation in a MCZ subject to Buyer-Side Mitigation (BSM).</b>			
<b>Screen Field</b>	<b>Data Type</b>	<b>Editable</b>	<b>Description</b>
AGG PTID	Text	N	Aggregation PTID subject to BSM
MP Name	Text	N	MP Organization
AGG ID	Text	N	DER Aggregation System ID
Resource Name	Text	N	Aggregation Name
Offer Floor \$	Numeric	N	Aggregation’s applicable BSM Offer Floor for Capacity facilities in an Aggregation with common Offer Floor \$. Non-Exempt Offers with this BSM Offer Floor \$ must have Offer \$ >= BSM Offer Floor \$.
Non-Exempt MW	Numeric	N	Aggregation’s Non-Exempt MW subject to this Offer Floor \$.
Used Non-Exempt MW	Numeric	N	Aggregation’s Non-Exempt MW successfully offered and stored.
Remaining Total Non-Exempt MW	Numeric	N	Aggregation’s Remaining Total Non-Exempt MW calculated as (Non-Exempt MW – Used Non-Exempt MW)
Exempt MW	Numeric	N	Aggregation’s MWs that are Exempt from BSM Total is the sum of Aggregations Exempt MWs for all BSM Offer Floor Prices.

**Figure 129: Add to Cart Screen Section**

<b>Screen Field</b>	<b>Data Type</b>	<b>Editable</b>	<b>Description</b>
Location	Text	Y	Select from a list of all generation locations.

Screen Field	Data Type	Editable	Description
PTID	Text	Y	<p>Select from list of PTIDs tied to the MP and the selected Location.</p> <p>PTID values are required for external locations and required for internal and external locations in the Spot Market Auction.</p> <p>PTID values are not required for Strip and Monthly offers of internal capacity, and not for Spot offers of resale capacity.</p> <p>Note: Spot Market Auction Offers for PTIDs that are RMR Generators cannot be entered interactively by the MP.</p> <p>For Spot Offers, with the implementation of DER Participation, if selected PTID is an Aggregation in a Mitigated Capacity Zone (MCZ), the system displays a 'View DER Aggregation - Buyer-Side Mitigation Data' screen section to indicate the Non-Exempt MW and Exempt MW at each BSM Offer Floor \$. This view-only data informs the MP how to structure their Exempt and Non-Exempt Spot Market Auction Offers.</p>
Right #	Text	Y	<p>Select from list of unique External CRIS Rights held by the MP performing the insert. If specified, then the Offer MW will contribute to the Non-Contract External CRIS Right Obligation.</p>
DER BSM Exempt?	Text	Y	<p>For a PTID that is an Aggregation in an MCZ subject to Buyer-Side Mitigation, the MP must indicate 'Y' for Exempt MW and 'N' for Non-Exempt MWs.</p> <p>If 'N' is specified, then MP must also select the applicable DER BSM Offer Floor \$ attribute below.</p> <p>NULL for Non-BSM Aggregations and Non-Aggregation offers</p> <p>Range of Values [Y,N, NULL]</p>

Screen Field	Data Type	Editable	Description
DER BSM Offer Floor \$	Numeric	Y	For PTID that is an Aggregation in an MCZ subject to Buyer-Side Mitigation, the MP indicates the applicable Offer Floor only for Non-Exempt MWs. This drop-down list will be the BSM Offer Floor \$ values displayed in the 'View DER Aggregation - Buyer-Side Mitigation Data' screen section.  Offer Floor \$ (Format 999.99).  NULL for Non-BSM Aggregations and Non-Aggregation offers
Offer MW	Numeric	Y	Offer MW (Format 9999.9)
Offer \$/kW/Month	Numeric	Y	Offer Price (Format 999.99).  Minimum price the offering party is willing to accept for the Offer MW.  If the offer is submitted by a Pivotal Supplier, Spot Market Offer Price cannot exceed the higher of the most restrictive <b>UCAP Offer Reference Level</b> defined in the NYISO <i>Market Services Tariff - Attachment H</i> and the Adjusted Reference Price (if a GFC determination is in effect for this PTID as per the provisions in <i>Market Services Tariff - Attachment H, Section 23.4.5.3</i> ).  If offer is associated with an External CRIS Right, the offer price cannot exceed the External CRIS Right Offer Cap.  For non-exempt UCAP offers associated with Generators, Aggregations, or UDRs subject to Buyer-Side Mitigation, Spot Market Offer Price cannot be below the Offer Floor.  <i>Note:</i> See NYISO <i>Market Services Tariff, Attachment H, Section 23.4.5.7</i> .

**Figure 130: Insert Offers to Sell Screen Section**

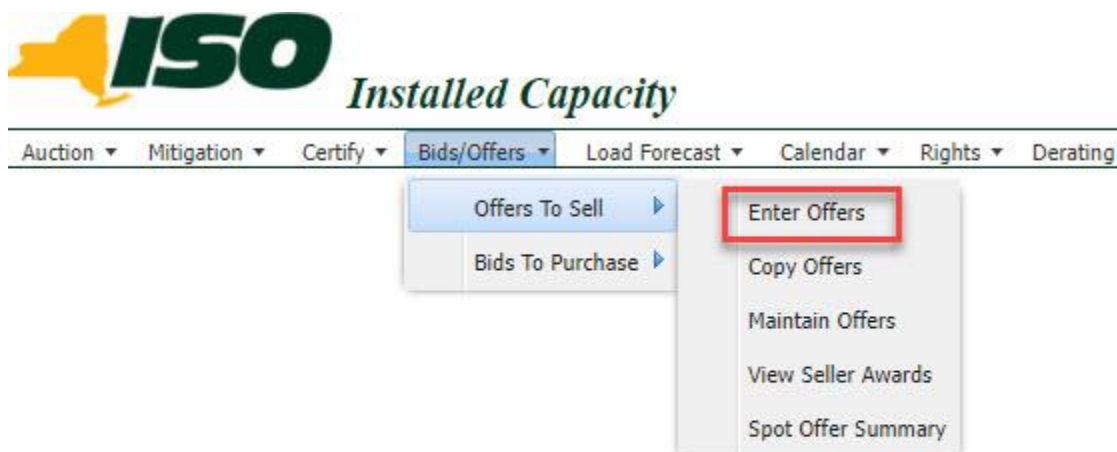
Screen Field	Data Type	Editable	Description
Location	Text	N	Selected generation location.
PTID	Text	N	Selected PTID tied to the MP and the selected Location (required for external locations).
Right #	Text	N	Selected External CRIS Right.
DER BSM Exempt?	Text	N	DER BSM Exempt is 'N' for Non-Exempt MWs and 'Y' for Exempt MWs, NULL for Non-BSM Aggregations and Non-Aggregation offers

Screen Field	Data Type	Editable	Description
DER BSM Offer Floor \$	Numeric	N	DER BSM Offer Floor \$ applicable to this Non-Exempt Offer
Offer MW	Numeric	N	Offer MW (Format 9999.9)
Offer \$/kW/Month	Numeric	N	Offer Price (Format 999.99). Minimum price the Offeror is willing to accept for the Offer MW.
Offer Total	Numeric	N	Calculated as Offer MW * Offer \$/kW/Month * 1000
Delete From Cart	Trash Icon	Y	Click on icon to delete this record on Save.

### 6.1.2. Entering Offers

Users may access all the Offers screens via the Bids/Offers Menu:

**Figure 131: Offers To Sell Menu - Enter Offers Option**



The following screen, through which Users can enter offers, will appear when 'Enter Offers' is selected:



**Figure 132: Insert Offers to Sell Screen**

Using this screen, Users may add up to 10 offers to the shopping cart before saving them in the System. After the User selects Auction Type [Strip, Monthly, Spot], Auction Month, and Offer Month (for monthly auctions only), the User clicks the “**DISPLAY**” button at the top of the screen.

The screen will then display, in the Current Status screen section, the offer submittal period for the selected auction:

**Figure 133: Current Status Screen Section**

Current Status					
MP Name	Acme Gas & Electric		Eastern Time	22-Oct-2010 05:19 PM	
Auction Type	Spot		Offer Period Closes	26-Oct-2010 05:00 PM	
Auction Month	Nov/2010		Offer Month	Nov/2010	

To enter an offer to sell UCAP, Users must enter a Location from the drop-down list, indicate PTID (which will remain blank if Strip or Monthly Auction are selected unless an external location is selected), and enter Offer MW ( $\geq 0.1$ ), and also enter Offer \$ (greater than or equal to \$0.00). The offer is added to the offer shopping cart by clicking the “**ADD TO CART**” button.

**Figure 134: Add to Cart Screen Section**

**Figure 135: Add to Cart (Spot Offer) Screen Section**

Location	PTID	Right #	DER BSM	DER BSM	Offer MW	Offer \$/kW/Month
Location: <input type="text"/>	PTID: <input type="text"/>	Right #: <input type="text"/>	Exempt?: <input type="text"/>	Offer Floor \$: <input type="text"/>	<input type="text"/>	<input type="text"/>

Add To Cart

For a Spot Offer using an AGG PTID in a MCZ subject to Buyer Side Mitigation, once the MP selects the AGG PTID, the ‘View DER Aggregation – Buyer-Side Mitigation Data’ screen section displays the BSM Data sourced from the Aggregation System to inform the MP when entering Non-Exempt Offers subject to various BSM Offer Floors and Exempt Offers not subject to BSM Offer Floor. In the example below, True North AGG has 25.0 Exempt MWs not subject of BSM Offer Floor, 7.0 Non-Exempt MWs subject to \$5.00 BSM Offer Floor \$ and 5.0 Non-Exempt subject to \$4.00 BSM Offer Floor\$. The MP indicates in Add To Cart if Offer is Exempt from BSM, and if not, indicates the desired DER BSM Offer Floor associated with the Non-Exempt MWs being offered. Here the MP entered all 7.0 Non Exempt MWs subject to \$5.00 Offer Floor \$ at a valid price \$5.25.

**Figure 136: Add to Cart (Spot Offer for AGG PTID in MCZ subject to BSM) Screen Section**

**ISO Installed Capacity**  
Insert Offers to Sell

Auction ▾ Mitigation ▾ Certify ▾ Bids/Offers ▾ Load Forecast ▾ Calendar ▾ Rights ▾ Derating Factor ▾ DMNC ▾ SCR ▾ Billing ▾ Upload/Download

MP Name:  Auction Type:  Auction Month:  Offer Month:

**Current Status**

MP Name	Acme Aggregator	Eastern Time	03-Jul-2023 05:37 PM
Auction Type	Spot	Offer Period Closes	26-Jul-2023 05:00 PM
Auction Month	Aug/2023	Offer Month	Aug/2023

**View DER Aggregation - Current BSM Exemption**

Resource PTID	800078	Resource Name	True North AGG
Current Auction Month	Aug/2023	Total Resource Current Exemption MW	25.0
Resource Current Exempt Allocated Sales MW	0.0	Resource Current Exempt Spot Offer MW	0.0
Resource Current Exempt MW Remaining	25.0	Eastern Time	03-Jul-2023 05:42 PM

**View DER Aggregation - Buyer-Side Mitigation Data**

AGG PTID	MP Name	AGG ID	Resource Name	Offer Floor \$	Non-Exempt MW	Used Non-Exempt MW	Remaining Total Non-Ex	Exempt MW
800078	Acme Aggregator	1095983	True North AGG	5.00	7.0	0.0	7.0	10.0
800078	Acme Aggregator	1095983	True North AGG	4.00	5.0	0.0	5.0	15.0
Total:								25.0

**Add To Cart**

Location	PTID	Right #	DER BSM	DER BSM	Offer MW	Offer \$/kW/Month
Location: <input type="text" value="GHI"/>	PTID: <input type="text" value="800078 -- True North AGG"/>	Right #: <input type="text"/>	Exempt?: <input type="text" value="N"/>	Offer Floor \$: <input type="text" value="5.00"/>	<input type="text" value="7.0"/>	<input type="text" value="5.25"/>

Add To Cart

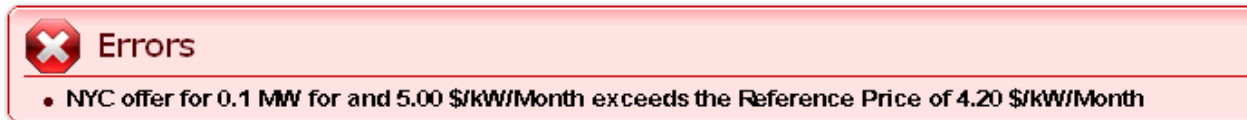
**Insert Offers to Sell**

Location	PTID	Right #	DER BSM Exempt?	DER BSM Offer Floor \$	Offer MW	Offer \$/kW/Month	Offer Total	Delete From Cart
Cart does not contain any offers.								

If a Spot Market Auction offer is subject to Supply-Side Mitigation and the offer price exceeds the higher of the most restrictive applicable UCAP Offer Reference Level and the Adjusted Reference Price if a GFC

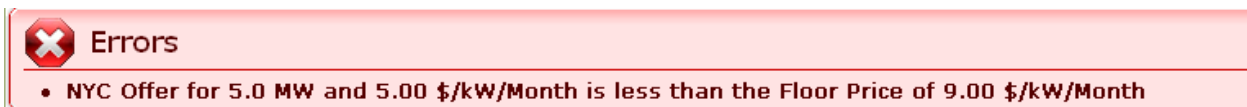
determination is in effect for that month, then the offer validation Error Message displayed below will appear once “**ADD TO CART**” is clicked.

**Figure 137: Supply-Side Offer Validation Error**



If a Spot Market Auction offer is subject to Buyer-Side Mitigation and the offer price is less than the Offer Floor, then the Offer Validation Error Message displayed below will appear once “**ADD TO CART**” is clicked.

**Figure 138: Buyer-Side Offer Validation Error Message**



If a BSM Non-Exempt MW Offer is submitted in the Spot Market Auction and the BSM Non-Exempt Offer MW exceeds the BSM Non-Exempt MW Remaining, then the Offer Validation Error Message displayed below will appear once “**SAVE**” is clicked.

**Figure 139: Buyer-Side Offer Validation Error Message**



If an offer is associated with an External CRIS Right and the offer price exceeds the External CRIS Right Offer Cap, then the Offer Validation Error Message displayed below will appear once “**ADD TO CART**” is clicked.

**Figure 140: External CRIS Right Offer Validation Error Message**


**✖ Errors**

- Loc offer for 9 MW and 15.00 \$/kW/Month is greater than the Price Cap 5.50 \$/kW/Month

**Current Status**

The Insert Offers To Sell screen section at the bottom of the screen summarizes offer data not yet saved. Up to 10 Offers can be added to Insert Offers to Sell Shopping Cart without saving. By clicking the “**SAVE**” button, Users may verify their offer submission and save it into the auction System:

**Figure 141: Insert Offers to Sell Screen Section**

Insert Offers to Sell									
Location	PTID	Right #	DER BSM Exempt?	DER BSM Offer Floor \$	Offer MW	Offer \$/kW/Month	Offer Total	Delete From Cart	
GHI	8000111 -- Acme Agg		N	5.00	8.0	\$5.50	\$44,000.00		
Total							\$44,000.00		

After “**SAVE**” is selected, a confirmation message will appear stating, “Successfully saved xx record(s) to the database,” where xx is the number of records in the shopping cart. Before saving, Users may delete offers by selecting the trash icon in the “Delete from Cart” column as displayed in [Figure 141](#).

If Users attempt to leave the “Insert Offers to Sell” screen with unsaved data in the cart, the System will confirm Users want to leave the page without saving the changes. Users wishing to delete, maintain, or view offers after the offers are saved should refer to Section [6.2](#)

## 6.2. How to Maintain and View Offers to Sell UCAP

The screens associated with the functionality described in this section will be read-only for non-billing qualified organizations and Users without “Offer to Sell” privileges.

Users may modify, edit, and view offers that have been successfully saved by selecting Maintain Offers from the Offers To Sell option of the Bids/Offer Menu. Users can view the Zero Dollar MW Offers on this screen, but can't edit. For instance, all offers entered as described in Section [6.1](#) would appear and be available for editing using this functionality.

**Figure 142: Offers To Sell Menu - Maintain Offers Option**



### 6.2.1. Screen Descriptions

**Figure 143: Maintain Offers to Sell Filter Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on MP Logged On.
Season	Text	Y	Select from a list of Seasons.
Auction Type	Text	Y	Select from list of Auction Types [Strip, Monthly, or Spot].
Auction Month	Text	Y	If Strip Auction, selection list only consists of first month of the selected Season. (e.g., May/yyyy or Nov/yyyy) If Monthly or ICAP Spot Market Auction, select from list of all months within the selected Season.
Offer Month	Text	Y	If Strip or ICAP Spot Market Auction, cannot be modified. If Monthly auction, select from list of all months within the selected Season and the selected Auction Month.

**Figure 144: Current Status Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	MP Logged On.
Auction Type	Text	N	Auction Type selected.

Screen Field	Data Type	Editable	Description
Auction Month	Text	N	Auction Month selected.
Eastern Time	Date/Time	N	Date and Eastern (prevailing) Time when screen was last refreshed.
Offer Period Closes	Date/Time	N	Date and time the offer submittal period closes for the selected auction.
Offer Month	Text	N	Offer Month selected.

**Figure 145: Maintain Offers to Sell Screen Section**

Screen Field	Data Type	Editable	Description
Offer Number	Decimal	N	System assigned unique sequence number. Can only be changed if ICAP Spot Market Auction selected (Offers with the same offer price will be processed in order of lowest to highest Offer Numbers in the Spot market Auction).
Location	Text	N	Location of capacity.
PTID	Text	N	PTID Number and Name for Generator, SCR, EDR,UDR, or Aggregation from which capacity is being offered.  Offers cannot be created or updated interactively by the MP for RMR PTIDs.
Right #	Text	N	External CRIS Right associated with the offer.
DER BSM Exempt?	Text	N	DER BSM Exempt is 'N' for Aggregation Offers with Non-Exempt MWs and 'Y' for Aggregation Offers with Exempt MWs  Range of Values [Y/N]
DER BSM Offer Floor \$	Numeric	N	DER BSM Offer Floor \$ applicable to this Non-Exempt Offer.
Offer MW	Numeric	Y	Offer MW (format 9999.9) <i>Note:</i> Offer MW can appear with three decimal places of precision, if the offer was automatically generated by the System for excess capacity purchased in NYC, LI, or GHI and offered back into the NYCA.  This field is editable only during an open Offer Period.

Screen Field	Data Type	Editable	Description
Offer \$/kW/Month	Numeric	Y	<p>Offer Price (format 999.99) minimum price the party making the offer is willing to accept for the Offer MW.</p> <p>This field is editable only during an open Offer Period.</p> <p>If the offer is submitted by a Pivotal Supplier, Spot Market Offer Price cannot exceed the higher of the most restrictive <b>UCAP Offer Reference Level</b> defined in the <i>Market Services Tariff - Attachment H</i> and the Adjusted Reference Price (if a GFC determination is in effect for this PTID as per the provisions in <i>Market Services Tariff - Attachment H, Section 23.4.5.3</i>).</p> <p>If offer is associated with an External CRIS Right, the offer price cannot exceed the External CRIS Right Offer Cap.</p> <p>For non-exempt UCAP offers associated with Generators or UDRs subject to Buyer-Side Mitigation, Spot Market Offer Price cannot be below the Offer Floor.</p> <p><i>Note:</i> See NYISO Market Services Tariff, Attachment H, Section 23.4.5.7.</p>
Offer Total	Numeric	N	Calculated as Offer MW * Offer \$/kW/Month * 1000
Last Updated By	Text	N	Identifies person that last modified the offer
Last Update Date	Date	N	Identifies date offer was last modified
Move After	Numeric	Y	Offer # to move row after (see Section <a href="#">6.2.4</a> ). Applies to Spot Market Auctions only
Delete	Checkbox	Y	<p>Delete checkbox.</p> <p>This field is editable only during an open Offer Period.</p>

**Figure 146: View Zero Dollar Offers to Sell Screen Section**

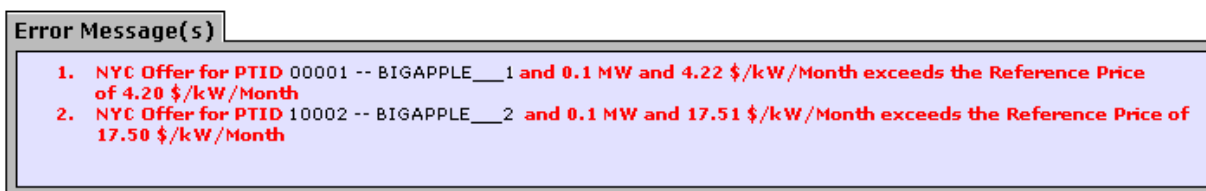
Screen Field	Data Type	Editable	Description
Location	Text	N	Location of capacity.
PTID	Text	N	PTID Number and Name for Generator, SCR, EDR, or UDR from which capacity is being offered. Null for Resale Zero Dollar offers.

Offer MW	Numeric	N	Zero Dollar MW Offer
Offer \$/kW/Month	Numeric	N	Zero Dollar MW Offer (always \$0.00)
ZDO Type	Text	N	Zero Dollar Offer Type  Range of values = [Credit, Spot Excess, FCFSR, RMR]

### 6.2.2. Maintaining Offers

Users may change Offer MW and Offer \$/kW/Month for the selected auction as long as the period for submitting offers for the auction is not closed. These parameters may be edited through the Maintain Offers to Sell screen section. For Spot Market Auction Offers subject to Supply-Side Mitigation, Offer Price cannot exceed the **higher of** the most restrictive **UCAP Offer Reference Level** defined in the *Market Services Tariff - Attachment H* and the Adjusted Reference Price if a GFC determination is in effect for this PTID, otherwise, an Offer Validation Error will be displayed.

**Figure 147: Supply-Side Offer Validation Error Message**



For a Spot Market Auction Offer subject to Buyer-Side Mitigation, Offer Price cannot be less than the Offer Floor or an Offer Validation Error will be displayed.

**Figure 148: Buyer-Side Offer Validation Error Message**



For an offer associated with an External CRIS Right, Offer Price cannot exceed the External CRIS Right Offer Cap or the following Offer Validation Error will be displayed:

**Figure 149: External CRIS Right Offer Validation Error Message**



**✖ Errors**

- Loc offer for 4 MW and 14.00 \$/kW/Month is greater than the Price Cap 6.50 \$/kW/Month

**Current Status**

**Figure 150: Maintain Offers to Sell Screen Section**

Offer Number	Location	PTID	Right #	DER Aggregation BSH Exempt?	DER Aggregation BSH Offer Floor \$	Offer MW	Offer \$/kW/Month	Offer Total	Last Updated By	Last Update Date	How After	Delete
1	QHC	PTID1				1.0	\$1.00			12-3-2023 04:59 PM		
2	QHC	PTID2				8.3	\$9.10			17-3-2023 00:13 PM		

Users may save any edits to existing offers displayed in the Maintain Offers to Sell screen section by clicking the “**SAVE**” button. The System will then validate the edits. After edits have been successfully saved, the following confirmation message will appear: “Successfully updated xx records in the database,” where xx is the number of modified records. If Users modify offers and attempt to leave the screen without saving their changes, the System will confirm Users want to leave the page without saving the changes.

After close of certification, Users with system-created Zero Dollar Offers in the Spot Market Auction may view but not edit these offers via the View Zero Dollar Offers to Sell screen section displayed below.

**Figure 151: View Zero Dollar Offers to Sell Screen Section**

View System Created Offers to Sell					
Location	PTID	Offer MW	Offer \$/kW/Month	ZDO Type	
LI	12345 -- ACME Energy_CC1	187.2	\$0.00	Credit	
LI	67890 -- ACME Energy_CC9	98.511	\$0.00	Spot Excess	

### 6.2.3. Deleting Offers

Any offer that has been successfully saved in the ICAP Automated Market System may be deleted through the “Maintain Offers to Sell” screen as long as the period for submitting offers for the auction is not closed. Users should select the check box in the Delete column in [Figure 150](#) for all offers they wish to delete and click the “**SAVE**” button to confirm the deletion. After the deletion has been successfully processed, the following confirmation message will appear: “Successfully updated xx records in the database,” where xx is the number of modified records.

### 6.2.4. Changing the Order of Offers (ICAP Spot Market Auction Only)

Unlike the Strip and Monthly Auctions, if offers submitted by the Market Participant into the ICAP Spot Market Auction at the same price are on the margin, a proration across the Market Participant's own offers will not be made across these offers. Sales by a Market Participant will be awarded to the offers in the order (lowest to highest) of their respective Offer Numbers (Sales on the margin across Market Participants are prorated).

To change the offer order, type in the Offer Number that the offer should appear immediately after in the Move After column. For example, to move an offer from Offer Number 9 to Offer Number 4, type the number 3 in the Move After column for Offer Number 9 then click the "SAVE" button. Offer Number 9 will be moved in the sequence to the place after Offer Number 3, thus making it Offer Number 4.

### 6.3. How to Copy Offers

Offers to sell UCAP can be copied from any Offer Month in the prior or current Monthly auction to the current Monthly auction month. This functionality is available through the Offers To Sell option on the Bids/Offers Menu. This screen does not apply to Strip or ICAP Spot Market Auctions and is only available when an organization is billing qualified and the User has "Offer to Sell" privileges.

**Figure 152: Offers To Sell Menu - Copy Offers Option**



#### 6.3.1. Screen Descriptions

**Figure 153: Copy Offers to Sell Filter Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on MP Logged On.

Screen Field	Data Type	Editable	Description
Copy from Auction Month	Text	Y	Select from a list consisting of the previous or current auction months.
Copy from Offer Month	Text	Y	Select from list of offer months within the selected Copy From Auction Month.

**Figure 154: Current Status Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on MP Logged On.
Copy from Auction Month	Text	N	Select from a list consisting of the previous or current auction months.
Copy from Offer Month	Text	N	Select from list of offer months within the selected Copy From Auction Month.
Eastern Time	Date/Time	N	Current date and Eastern time when screen was last refreshed.
Copy to Current Auction Month	Text	N	Current open Monthly Auction month and year.
Offer Period Closes	Date/Time	N	Date and time the offer submittal period closes for the current open auction month.

**Figure 155: Copy to Offer Month Screen Section**

Screen Field	Data Type	Editable	Description
Copy to Offer Month	Text	Y	This is the Offer Month to which bids are copied.

**Figure 156: Copy Offers to Sell Screen Section**

Screen Field	Data Type	Editable	Description
Offer Number	Decimal	N	Unique sequence number assigned by the System.
Location	Text	N	Location of capacity.
PTID	Text	N	PTID from which capacity is being offered.
Right #	Text	N	External CRIS Right associated with offer.
Offer MW	Numeric	N	Offer MW (format 9999.9)
Offer \$/kW/Month	Numeric	N	Offer Price (format 999.99). Minimum price the offering party will accept for the Offer MW.

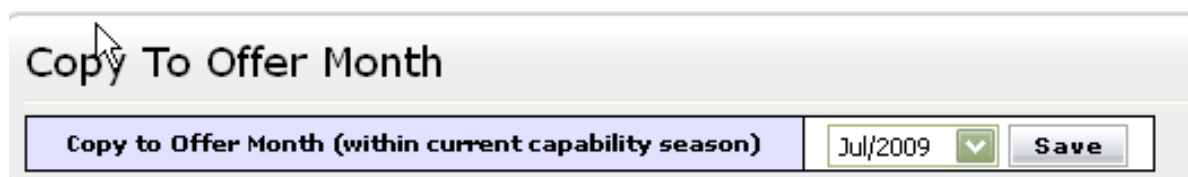
Screen Field	Data Type	Editable	Description
			<p>If the offer is submitted by a Pivotal Supplier, Spot Market Offer Price cannot exceed the higher of the most restrictive <b>UCAP Offer Reference Level</b> defined in the NYISO Market Services Tariff - Attachment H and the Adjusted Reference Price (if a GFC determination is in effect for this PTID as per the provisions in Market Services Tariff - Attachment H, Section 23.4.5.3).</p> <p>If offer is associated with an External CRIS Right, the offer price cannot exceed the External CRIS Right Offer Cap.</p> <p>For non-exempt UCAP offers, i.e., offers associated with Generators or UDRs for the amount of MW subject to Buyer-Side Mitigation, Spot Market Offer Price cannot be below the Offer Floor (i.e., offers that have not yet established "UCAP that has cleared pursuant to BSM Clearing Rule").</p> <p><i>Note:</i> See NYISO Market Services Tariff, Attachment H, Section 23.4.5.7.</p>
Offer Total	Numeric	N	Calculated as Offer MW * Offer \$/kW/Month * 1000

### 6.3.2. Copying UCAP Offers

Users may select the Copy from Auction Month and Copy from Offer Month from the filter at the top of the screen.

When the User clicks “**DISPLAY**” all relevant offer data to be copied will appear. The User may then select the offer month they wish to copy the data to and press “**SAVE**” to confirm the request in the Copy to Offer Month screen section:

**Figure 157: Copy To Offer Month Screen Section**



**Figure 158: Copy Offers to Sell Screen Section**

Copy Offers to Sell						
Offer Number	Location	PTID	Right #	Offer MW	Offer \$/kWh/Month	Offer Total
1	NYC	--	--	32.0		200.00
2	LI	--	--	0.3		\$1,275.00
3	ROS	--	--		\$3.40	
		--	--			
		--	--			
Total:						

After clicking “SAVE”, the following message will appear; “There may be unapproved entries in the selected month that will be overwritten. Is this OK?” After selecting OK, the System will then confirm the saved data with the message “Your request to copy bids is complete.”

## 6.4. How to View Seller Awards

Users may view total auction seller awards for each month within a selected Season. The totals include seller awards from all auctions that were executed during the selected Season and the results that were posted to the Web.

### 6.4.1. Screen Descriptions

**Figure 159: View Seller Awards Filter Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on MP Logged On.
Season	Text	Y	Select from a list of Seasons.

**Figure 160: Current Status Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on MP Logged On.
Offer Season	Text	N	Selected Season.

**Figure 161: Seller Awards Screen Section**

Screen Field	Data Type	Editable	Description
Month	Text	N	Month and year within the selected Season. This is equivalent to the Offer month of an auction.

Screen Field	Data Type	Editable	Description
Auction Type	Text	N	Auction Type [Spot, Monthly, Strip]
Auction Month	Text	N	The month and year that the auction was executed
Offer Location	Text	N	Internal or External location where MW were supplied from.
Award Location	Text	N	Internal location where MW were awarded.
Mitigated Group	Text	N	Mitigated Generation groups for which MW were awarded in the Season months. <i>Note:</i> As of May/2008, this parameter is obsolete. Supply-Side Mitigation replaced historic DGO Mitigation. This field is retained only to view historic DGO capacity.
Total Awarded MW	Numeric	N	Amount of MW awarded for each Month, Auction Type, Auction Month, Location, and Mitigated (generator) Group.
Total Awarded \$	Numeric	N	Total dollars paid for the awarded MW.

#### 6.4.2. Viewing Seller Awards

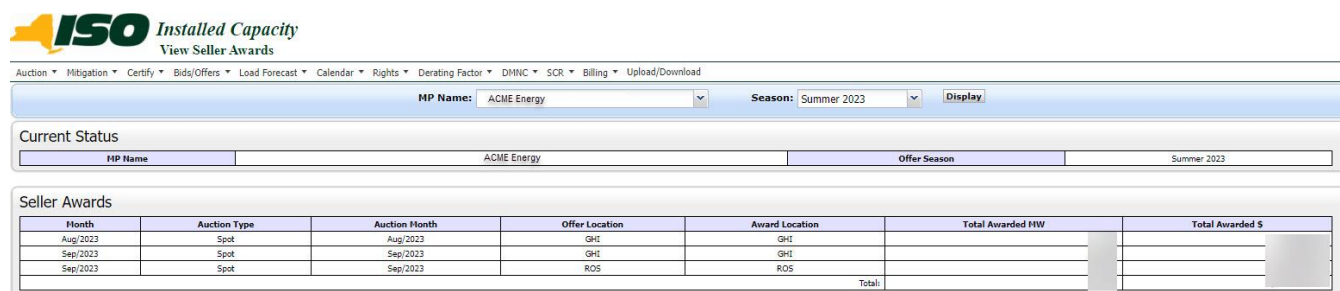
This functionality is available via View Seller Awards from the Offers To Sell option on the Bids/Offers Menu:

**Figure 162: Offers To Sell Menu - View Seller Awards Option**



The following "View Seller Awards" screen allows sellers to view a summary of all UCAP sold in a Season through the NYISO UCAP auctions:

**Figure 163: Seller Awards Screen Section**



Users may select Offer Season filter and then click “**DISPLAY**”. The screen will display offer awards data for each month within the selected Season sorted by month, auction type, auction month, and location.

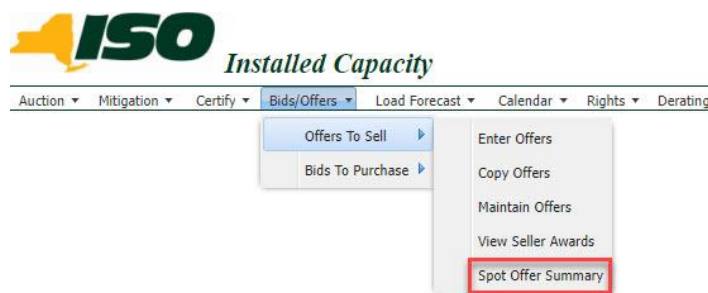
### 6.5. How to View Spot Offer Summary

Users may view their current Supply-Side Mitigation “must offer” position in order to manage their Spot Market Offer Requirements. This screen may be used to monitor any location.

The Capacity Un-Offered values decrement from the Zero Dollar MW Offers before close of certification and the initial Available For Offer position as offers are entered into the Spot Market Auction. The Must Offer field [Yes, No] indicates if capacity is subject to Supply-Side Mitigation “must offer” requirement. For capacity Subject to Supply-Side Mitigation with a Must Offer set to "Yes", the Capacity Un-Offered Total should be zero by the Spot Market Auction Close.

The User navigates from Bids/Offers Menu option Offers To Sell and selects the Spot Offer Summary option shown in [Figure 164](#).

**Figure 164: Offers To Sell Menu - Spot Offer Summary Option**



### 6.5.1. Screen Descriptions

**Figure 165: Spot Offer Summary Filter Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on MP Logged On.
Season	Text	Y	Offer Season - Select from a list of Seasons.
Month	Text	Y	Spot Auction Month
Location	Text	Y	Select from a list of all capacity locations.

**Figure 166: Search Criteria Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on MP Logged On.
Season	Text	N	Season
Current Eastern Time	Text	N	Current date and Eastern time when screen was last refreshed.
Location	Text	N	Location of available capacity.
Month	Text	N	Spot Auction Month/Year that Spot Offer Summary details.

**Figure 167: Spot Offer Summary Screen Section**

Screen Field	Data Type	Editable	Description
PTID --Name	Text	N	Gen, SCR, UDR/EDR, or Aggregation PTID and Name from which capacity is being offered.  Unallocated capacity acquired in prior Auctions or Bilateral Transactions is available for resale and will display as a row called "Resale".
Available For Offer	Text	N	The initial capacity available for offer prior to entering Offers to Sell in the Spot Market Auction. This value is static and will be greater than or equal to zero.  For the Mitigated Capacity Zone, if the MP is a Pivotal Supplier, these MW will have Must Offer displayed as "Yes", but rows that have a zero Available For Offer will display "No" for Must Offer.
Capacity Un-Offered	Text	N	The current capacity yet to be offered into the Spot Market Auction. This dynamic value decrements as corresponding Spot Auction Offers are entered. For capacity with a Must Offer set to "Yes", once all Capacity Un-Offered decrements to zero, the Total



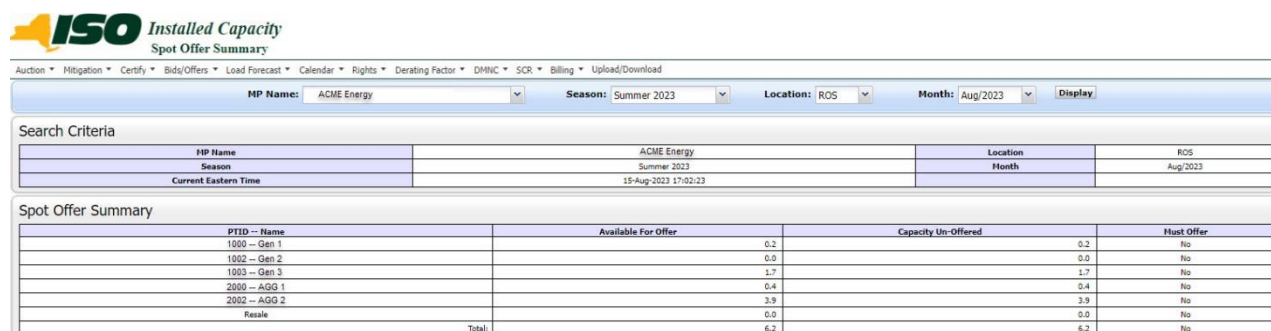
Screen Field	Data Type	Editable	Description
			Capacity Un-Offered will be zero and the Supply-Side Mitigation “must offer” requirement has been satisfied by this MP. Capacity Un-Offered will be greater than or equal to zero.
Must Offer	Text	N	For the Mitigated Capacity Zone, if a Pivotal Supplier has a non-zero Available For Offer Capacity, the Must Offer will display as "Yes". Rows with a zero Available For Offer will have a Must Offer set to "No" for that generator. If a supplier is not Pivotal in that Locality, the Must Offer will be set to "No". For each row with a Must Offer set to "Yes", the MP must offer capacity into the Spot Market Auction until Capacity Un-Offered decrements to zero.

### 6.5.2. Spot Offer Summary

The Spot Offer Summary functionality is available as one of the Offers To Sell options on the Bids/Offers Menu.

The following screen allows sellers to manage Spot Market Offers and to view their current Supply-Side Mitigation “must offer” status via the Must Offer column and current “must offer” MW position via the Capacity Un-Offered column.

**Figure 168: Spot Offer Summary Screen Section**



PTID -- Name	Available For Offer	Capacity Un-Offered	Must Offer
1000 -- Gen 1	0.2	0.2	No
1002 -- Gen 2	0.0	0.0	No
1003 -- Gen 3	1.7	1.7	No
2000 -- AGO 1	0.4	0.4	No
2002 -- AGO 2	3.9	3.9	No
Resale	0.0	0.0	No
<b>Total:</b>	<b>6.2</b>	<b>6.2</b>	<b>No</b>

## 7. Load Forecasts and UCAP Requirements

This section describes how all Market Participants may view ICAP and UCAP Calculations for each Month, how Transmissions Owners (TOs) may record and maintain Load Serving Entity (LSE) monthly load forecasts (see Billing Section [12](#) for recording daily loads), how LSEs can view their monthly load forecasts and UCAP requirements by Transmission District (TD) and Locality, and how TOs may maintain their lists of LSEs.

The functionality described in this chapter allows TO Users to interactively enter and manipulate data. The following functions are described:

- How to Record and Maintain LSE Load Forecasts
- How to Maintain Transmission Owner Lists of LSEs
- How to View ICAP and UCAP Calculations

Upload and Download Templates for load forecasts are described in Section [14.4](#) of this Users' Guide.

The requirements for the functionality described in this section are described in greater detail in the *NYISO Installed Capacity Manual* (available from the NYISO Web site at the following URL: <https://www.nyiso.com/manuals-tech-bulletins-user-guides>).

### 7.1. How to View and/or Record LSE Load Forecasts

The screens described in this section will be read-only for all Users except TO Users with the “Maintain T.O. Data” privilege. TOs are to record and maintain LSE load forecasts via the screens described in this section or via the corresponding Upload/Download functionality described in Section [14.4](#) of this document. LSEs may view their own forecast data and UCAP requirements by TD and Locality for a selected month and year using the screens described in this section. The screen functionality is accessed from the Load Forecast Menu option on the main menu by selecting the Record LSE Load Forecasts option:

**Figure 169: Load Forecast Menu - Record LSE Load Forecasts Option**



The following screen will appear:

**Figure 170: LSE Load Forecasts Screen Section**

Locational Data

Effective UCAP %  %

LSE Load Forecasts

LSE	Load Forecast (MW)	Fixed Load (MW)	Total Load (MW)	UCAP Requirements (MW)	Last Updated By	Last Update Date
	5.3	0.0	5.3	5.7		( AM
	239.5	0.0	239.5	256.9		( AM
	0.0	0.0	0.0	0.0		( AM
	0.0	59.5	59.5	63.8	Pete Morrison	( PM
	13.8	0.0	13.8	14.8		( AM
LL1A	4,997.4	0.0	4,997.4	5,361.1		( PM
	3.4	0.0	3.4	3.7		( AM
				9.1		( AM
				0.0		( AM
				0.0		( AM
				74.8	Pete Morrison	( PM
				0.0		( AM
				0.0		( AM
Total				55.5	Pete Morrison	( PM
Transmission Owner Load Forecast						

No actual data will be displayed until Transmission Owner, LSE, Location, Month / Year, and forecast Type are selected from the filter at the top of the screen and the “DISPLAY” button is clicked:

**Figure 171: Transmission Owner View of Record LSE Load Forecasts**



The screen depicted in [Figure 171](#) would appear if a User logged into the System as a TO. There are Event Calendar events to indicate True Up, Load Shift, and Estimated Load Submittal Periods. TOs recording their district load forecasts for TD and Localities through this screen are able to select from their full list of associated LSEs. LSEs viewing their load forecast data can only have their own organization name available in the LSE drop-down box on this menu and would also have to select which TOs they are associated with.

After the TO specifies the appropriate parameters and clicks “**DISPLAY**”, the following screen will appear:

**Figure 172: Record LSE Load Forecasts Screen Section**

Record LSE Load Forecasts						
LSE	Load Forecast	Fixed Load	Total Load	UCAP Requirements	Last Update Date	Last Updated By
XXXXXX	0.5	0.0	0.5	0.6	08-Sep-2004 12:12 PM	Dave McKay
Total	0.5	0.0	0.5			
Transmission Owner Load Forecast			1,140.1			
Save						

**Figure 173: Record LSE Load Forecasts - Transmission Owner View**

**ISO** NEW YORK INDEPENDENT SYSTEM OPERATOR  
Building The Energy Markets Of Tomorrow...Today

**Installed Capacity**  
Record LSE Load Forecasts

Auction ▾ Load Forecast ▾ Calendar ▾ Billing ▾ Upload/Download

Transmission Owner: Metering Authority - Lotsa Load ▾ LSE: All ▾ Season: Winter 2015-2016 ▾ Month: Dec/2015 ▾ Location: TD ▾

Type: Actual ▾ Display

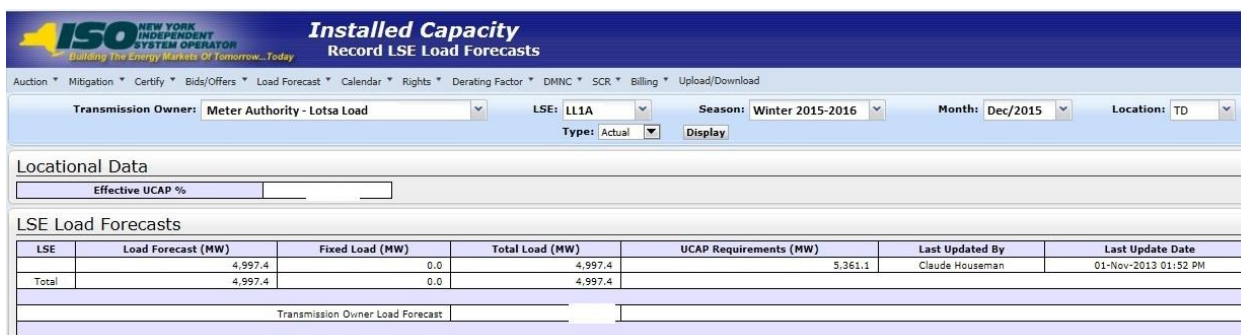
Locational Data

Effective UCAP %

LSE Load Forecasts

LSE	Load Forecast (MW)	Fixed Load (MW)	Total Load (MW)	UCAP Requirements (MW)	Last Updated By	Last Update Date
	5.3	0.0	5.3	5.7		( AM
	239.5	0.0	239.5	256.9		( AM
	0.0	0.0	0.0	0.0		( AM
	0.0	59.5	59.5	63.8	Pete Morrison	( PM
	13.8	0.0	13.8	14.8		( AM
LL1A	4,997.4	0.0	4,997.4	5,361.1		( PM
	3.4	0.0	3.4	3.7		( AM
				9.1		( AM
				0.0		( AM
				0.0		( AM
				74.8	Pete Morrison	( PM
				0.0		( AM
				0.0		( AM
				55.5	Pete Morrison	( PM
Total						
Transmission Owner Load Forecast						

**Figure 174: Record Load Forecasts - Load Serving Entity View**



LSE	Load Forecast (MW)	Fixed Load (MW)	Total Load (MW)	UCAP Requirements (MW)	Last Updated By	Last Update Date
LL1A	4,997.4	0.0	4,997.4	5,361.1	Claude Houseman	01-Nov-2013 01:52 PM
Total	4,997.4	0.0	4,997.4			

### 7.1.1. Screen Descriptions

**Figure 175: Record LSE Load Forecasts Filter Screen Section**

Screen Field	Data Type	Editable	Description
Transmission Owner	Text	Y	If User is a TO, no selection is needed. For LSEs, select from a list of TOs that the LSE is associated with.
LSE	Text	Y	LSE (short) name. TOs can select "ALL" to display all associated LSEs at once. For LSEs, no selection is needed.
Season	Text	Y	Select from a list of Seasons.
Month	Date	Y	Month and Year of Load Forecast (Mon/YYYY).
Location	Text	Y	Location of the load forecast specific to the TO for TD and Localities
Type	Text	Y	List consists of [Actual, Estimate]. Estimates are entered by the NYISO twice/year prior to the Strip Auctions. TOs will only submit Actual data.

**Figure 176: Locational Data Screen Section**

Screen Field	Data Type	Editable	Description
Effective UCAP %	Number	N	Effective UCAP percent for converting ICAP to UCAP for the selected location.

**Figure 177: LSE Load Forecasts Screen Section**

Screen Field	Data Type	Editable	Description
LSE	Text	N	LSE (short) name.
Load Forecast (MW)	Number	Y	LSE Load forecast for specified month and year (1 decimal).
Fixed Load (MW)	Number	N	LSE Fixed Load forecast as entered by the NYISO (1 decimal).
Total Load (MW)	Number	N	Sum of Load Forecast + Fixed Load.
UCAP Requirements (MW)	Number	N	Calculated UCAP requirement value (1 decimal).
Last Updated Date	Date	N	Date forecast requirement was last updated.
Last Update By	Text	N	Identifies User that last updated the forecast/requirement.

### 7.1.2. Entering and Maintaining LSE Load Forecasts

In the LSE Load Forecasts screen section depicted in [Figure 172](#), TOs may either enter forecast data or modify forecast data that has been entered previously either using the functionality described in this section or uploaded using the processes described in [Section 14](#) of this Users' Guide. Data is alphabetically sorted by LSE name.

TO Users may modify load forecast data by selecting the appropriate LSE, manually editing the data in the Load Forecast column, and clicking "**SAVE**". Load Forecasts must be greater than or equal to 0. TOs should note that load forecast data may only be edited during the Load Forecast Submittal Periods displayed in the Event Calendar. LSEs are able to view, but not edit, their own data.

Fixed Load data is entered and maintained by the NYISO; it is not entered by the TOs. The NYISO enters this data prior to the Load Forecast Submittal Period. The sum of the fixed load and the load forecast should always be equal to the Transmission Owner Load Forecast field at the bottom of the LSE Load Forecasts screen section.

Load Forecast numbers for TD and Localities must be the total load number for the Transmission District within NYCA. For example, if TO Metering Authority Consolidated Edison is reporting LSE1's portion of load and LSE1 has 10 MWs of the total load In-City and 2 MW outside NYC but still within the G-J Locality and another 3MW outside the G-J Locality (but still within the Consolidated Edison Transmission

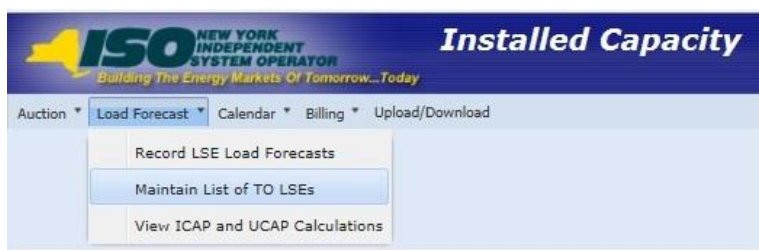
District), then the TO would use the "Record LSE Load Forecasts" screen to report 15 MW for TD, 10 MW for In-City and 12 MW for In-GHIJ, entering values in the Load Forecast (MW) column in the LSE1 row.

## 7.2. How to Maintain Transmission Owner Lists of LSEs

The functionality described in this section is only available for TOs and the screens described will be read-only unless the User has "Maintain T.O. Data" user privileges.

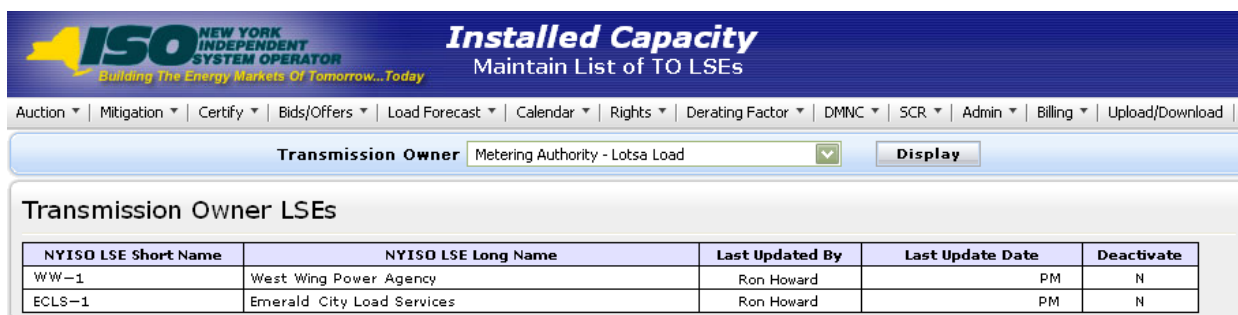
TOs may identify and maintain the entire list of LSEs associated with their Transmission District by selecting the Maintain List of TO LSEs option from the Load Forecast Menu:

**Figure 178: Load Forecast Menu**



The user selects a Transmission Owner name filter and clicks "**DISPLAY**" and the following screen will appear:

**Figure 179: Transmission Owner LSEs Screen Section**



NYISO LSE Short Name	NYISO LSE Long Name	Last Updated By	Last Update Date	Deactivate
WW-1	West Wing Power Agency	Ron Howard	PM	N
ECLS-1	Emerald City Load Services	Ron Howard	PM	N

New LSEs are entered by the TO using the Add LSEs screen section. Once "**SAVE**" is clicked, the LSE will appear in the Transmission Owner LSEs screen section.

**Figure 180: Add LSEs and Transmission Owner LSEs Screen Sections**

**Add LSE's**

LSE's: LSE1 Save

Transmission Owner LSEs					
NYISO LSE Short Name	NYISO LSE Long Name	Last Updated By	Last Update Date	Delete	Deactivate
LSE1	LSE Org One	Dave McKay	03-Feb-2006 03:19 PM	<input type="checkbox"/>	
LSE2	LSE Org Two	Dave McKay	03-Feb-2006 03:19 PM		<input type="checkbox"/>
LSE3	LSE Org Three	Dave McKay	03-Feb-2006 03:19 PM		<input type="checkbox"/>

Save

### 7.2.1. Screen Descriptions

**Figure 181: Maintain List of TO's LSE Filter Screen Section**

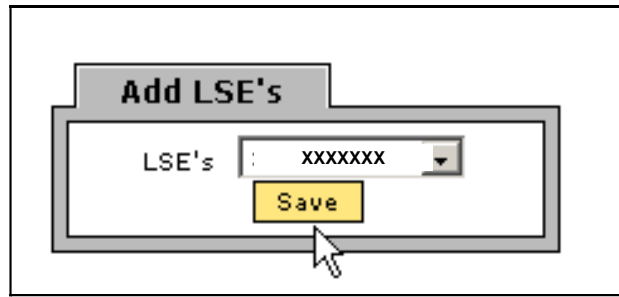
Screen Field	Data Type	Editable	Description
Transmission Owner	Text	N	TO organization that is currently logged in.
LSE's	Text	Y	Selection list contains all LSE Short Names from list maintained by NYISO.
NYISO LSE Short Name	Text	N	Selection list contains all LSE Short Names from list maintained by NYISO. LSE Short Name of the load within the Transmission District.
NYISO LSE Long Name	Text	N	LSE Long Name from MIS (Organization Name).
Last Updated By	Text	N	User that last updated the record.
Last Update Date	Text	N	Date the record last updated.

### 7.2.2. Adding a New LSE Name to the List of Transmission Owner LSEs

Transmission Owners (TO) can add LSEs to their list by selecting the desired LSE from the pull-down list available in the Add LSEs screen section and clicking the **“SAVE”** button. The screen will refresh and redisplay with the newly added LSE name in the Transmission Owner LSE's screen section.



**Figure 182: Add LSE Name Screen Section**



**7.2.3. Deactivating a LSE from Transmission Owner List of LSEs**

If a TO has added an LSE to its list and wants to deactivate the name, and load data exists for that LSE (either currently or historically), it may do so by checking the appropriate box, adjacent to the LSE name, in the deactivate column on the Transmission Owner LSEs screen section (Figure 183) and clicking the “SAVE” button. For example, if LSE1 is associated with Metering Authority Central Hudson and this TO Deactivates this association, then LSE1 will not appear as a row (in future months where load data is not yet configured for this LSE) on the "Record LSE Load Forecast" screen for this TO. The LSE1 data will still be visible as a row for months prior to the deactivation of this TO-LSE association on the "Record LSE Load Forecast" screen.

**7.2.4. Deleting a LSE from Transmission Owner List of LSEs**

If a TO has added an LSE to its list and wants to delete the name, and no load data exists for that LSE (either currently or historically), it may do so by checking the appropriate box, adjacent to the LSE name, in the delete column on the Transmission Owner LSEs screen section, and clicking the “SAVE” button. The screen will refresh with the selected name deleted from the list.

**Figure 183: Transmission Owner LSEs Screen Section**

Transmission Owner LSEs					
NYISO LSE Short Name	NYISO LSE Long Name	Last Updated By	Last Update Date	Delete	Deactivate
LSE1	LSE Org One	Dave McKay	03-Feb-2006 03:19 PM	<input type="checkbox"/>	
LSE2	LSE Org Two	Dave McKay	03-Feb-2006 03:19 PM		<input checked="" type="checkbox"/>
LSE3	LSE Org Three	Dave McKay	03-Feb-2006 03:19 PM		<input type="checkbox"/>

Save

### 7.3. How to View ICAP and UCAP Calculations

The public may view ICAP and UCAP calculations and the data used in the calculations. These calculations are described in greater detail in the *NYISO Installed Capacity Manual* (available from the NYISO Web site at the following URL: <https://www.nyiso.com/manuals-tech-bulletins-user-guides>) and [Section 5.12](#) of the *ISO Market Services Tariff* (available from the NYISO Web site at the following URL: <https://www.nyiso.com/regulatory-viewer>). This functionality is accessible from the View ICAP and UCAP Calculations from the Load Forecast Menu:

**Figure 184: Load Forecast Menu - View ICAP and UCAP Calculations**



#### 7.3.1. Screen Descriptions

**Figure 185: View UCAP and ICAP Calculations Screen Sections**

Screen Field	Data Type	Editable	Description
Season	Text	Y	Select from list containing all Seasons.
Month	Date	Y	Month and Year for which ICAP and UCAP Requirements are effective.
Effective Month			Month and Year selected.
Publish Date	Date	N	Date data was posted to the Web.
Published By	Text	N	Indicates that NYISO published data to the Web
Locational Calculations			
Location	Text	N	Locations for which data exists. (NYCA and Localities)
Forecasted Peak Load MW	Number	N	Forecasted Peak Load for the location (NYCA and Localities) for the Capability Year.
Requirement %	Number	N	Percent used to calculate ICAP requirements for the location (determined by the IRM Study).
Derating Factor %	Number	N	Percent used to calculate UCAP requirements for the location (seasonal translation factor).
ICAP MW Requirement	Number	N	Peak Load for Location* (Requirement %).


Screen Field	Data Type	Editable	Description
UCAP MW Requirement	Number	N	ICAP MW Requirement * (1 - Derating Factor %).
UCAP Effective %	Number	N	UCAP Requirement MW / Forecasted Peak Load.
Transmission District and Locality Loads			
Transmission Owner	Text	N	All TOs with Requirements in TD or Locality
Forecasted Peak Load MW	Number	N	NYISO-defined forecasted peak load for this TO in TD or Locality.
ICAP MW Requirement	Number	N	Forecasted Peak Load * (Requirement %) for this TO in TD or Locality.
UCAP MW Requirement	Number	N	ICAP MW Requirement * (1 - Derating Factor) for this TO in TD or Locality.

### 7.3.2. Viewing ICAP and UCAP Calculations

The screen in [Figure 186](#) is displayed after the selection of a Season and Month. Data will only display after Users click **“DISPLAY”**.


The screen is divided into four sections: Filter, Publish Data, Locational Calculations, and Transmission District Loads.

**Figure 186: View ICAP and UCAP Calculations Screen Sections**



**Installed Capacity**

View ICAP and UCAP Calculations



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Auction ▾ Mitigation ▾ Certify ▾ Bids/Offers ▾ Load Forecast ▾ Calendar ▾ Rights ▾ Derating Factor ▾ DMNC ▾ SCR ▾ Billing ▾ Upload/Download

Season: Summer 2015 ▾ Month: May/2015 ▾ Display

**Publish Data**

Effective Month	Publish Date	Published By
May/2015	18-Mar-2015 10:49 AM	NYISO

**Locational Calculations**

Location	Forecasted Peak Load MW	Requirement %	Derating Factor %	ICAP MW Requirement	UCAP MW Requirement	UCAP Effective %
G-J Locality	16,340.0	90.50%	5.77%	14,787.7	13,934.4	85.28%
LI	5,539.0	103.50%	7.83%	5,732.9	5,284.0	95.40%
NYC	11,929.4	83.50%	6.92%	9,961.0	9,271.7	77.72%
NYCA	33,567.3	117.00%	8.54%	39,273.7	35,919.8	107.01%

**Transmission District Loads G-J Locality**

Transmission Owner	Forecasted Peak Load MW	ICAP MW Requirement	UCAP MW Requirement
Metering Authority - Central Hudson Gas and Electr	1,098.1	993.8	936.4
Metering Authority - Consolidated Edison of NY	13,710.6	12,408.1	11,692.1
Metering Authority - New York State Electric & Gas	373.6	338.1	318.6
Metering Authority - Orange and Rockland Utilities	1,157.7	1,047.7	987.3
<b>Total</b>	16,340.0	14,787.7	13,934.4

**Transmission District Loads LI**

Transmission Owner	Forecasted Peak Load MW	ICAP MW Requirement	UCAP MW Requirement
Metering Authority - Long Island Power Authority	5,539.0	5,732.9	5,284.0
<b>Total</b>	5,539.0	5,732.9	5,284.0

**Transmission District Loads NYC**

Transmission Owner	Forecasted Peak Load MW	ICAP MW Requirement	UCAP MW Requirement
Metering Authority - Consolidated Edison of NY	11,929.4	9,961.0	9,271.7
<b>Total</b>	11,929.4	9,961.0	9,271.7

**Transmission District Loads NYCA**

Transmission Owner	Forecasted Peak Load MW	ICAP MW Requirement	UCAP MW Requirement
<b>Total</b>			

The Filter screen section allows the User to select desired Season and Month. The Publish Data screen section identifies the date the data for selected Month was posted to the Web. The Locational Calculations screen section details capacity requirements for NYCA and the Localities. The Transmission District Loads screen section enumerates forecast and requirement data for each of the eight Transmission Owners.

## 8. ICAP Event Calendar

Prior to the beginning of each Summer or Winter Capability Period the ICAP Event Calendar for that period will be created and the ICAP Market Participants are notified when it is posted to the NYISO's web site. Users should not expect dates or events appearing in the Event Calendar that are outside the current Capability Period to be finalized until such notice is sent just prior to the beginning of that Capability Period. However, the ICAP Event Calendar is at times revised during the Capability Period so Market Participants should monitor it for revised dates and entries as notification of revisions are not always sent. The Public may view ICAP scheduled events for a specified period of time using the Event Calendar feature of the ICAP AMS software. When Users select a start and end-date, the System displays all associated events in a sequential day order.

### 8.1. How to View the ICAP Event Calendar

In order to display the Event Calendar, Users must select the View Event Calendar option from the Calendar Menu.

**Figure 187: Calendar Menu - View Event Calendar Option**



#### 8.1.1. Screen Descriptions

**Figure 188: Event Calendar - Filter Screen Section**

Screen Field	Data Type	Editable	Rule
Start Date From	Date (MM/DD/YYYY)	Y	Defaults to current date. Specifies first day of calendar events to display.
To	Date (MM/DD/YYYY)	Y	Defaults to last day of current month/year. Specifies last day of calendar events to display. Must be greater than or equal to the From Day.

**Figure 189: Event Calendar - Events Screen Section**

Screen Field	Data Type	Editable	Rule
Legend	Text	N	Color Key for Event Calendar rows [Winter Season Event, Summer Season Event, and Season Change Event]
Calendar Date	Date	N	Date formatted: Day of Week, Mon dd, yyyy
Events	Text	N	ICAP Event Calendar entries: Event Time (hh:mm:ss AM/PM) Event Description text

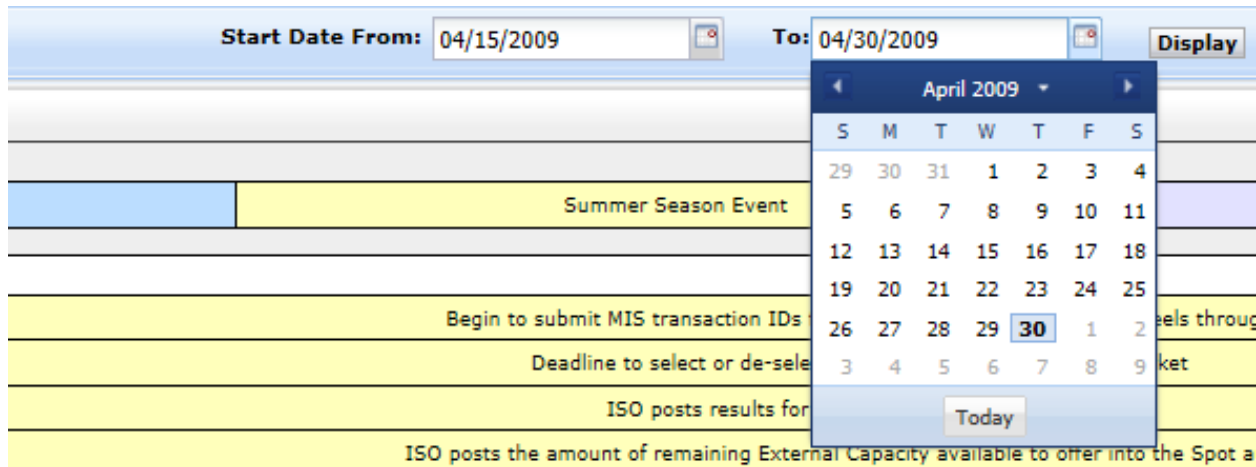
### 8.1.2. Viewing Event Calendar

The "Event Calendar" screen has a Filter screen section that allows the User to choose the date range. The screen also has a Legend screen section and Event Calendar entries listed for each day in the date range selected (that has one or more events scheduled).

Calendar Events are differentiated by Season: yellow denotes events related to the Summer Capability Period, aqua blue denotes events related to in the Winter Capability Period, and lavender denotes season change events. The legend, denoting the different colors associated with different Capability Period events, appears at the top of the Event Calendar screen.

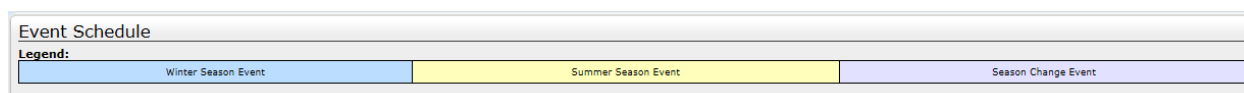
The Start Date From and To parameters may be selected by clicking the calendar icon to the right of the parameters:

**Figure 190: Event Calendar - Filter Screen Section**



Selecting the calendar icons adjacent to the Start Date From or To fields produces the calendar pop-up window. From this window, Users can change the date, by clicking directly on the desired value. Users may navigate back and forward by year by clicking on the down arrow (V) next to the calendar Year, and navigate by month by clicking on the single arrows (< or >). Clicking on a specific day (which closes the calendar window) will place the desired start or end day to appear in the Start Date From and To fields, respectively, when the User clicks the “**DISPLAY**” button.

**Figure 191: Event Calendar - Legend Screen Section**



**Figure 192: Event Calendar - Events Screen Section**

Start Date From: 11/01/2013 To: 01/18/2014 <span>Display</span>	
<b>Event Schedule</b>	
<b>Legend:</b>	
Winter Season Event	Summer Season Event
Season Change Event	
<b>Friday Nov 01, 2013</b>	
12:00 AM	LOAD SHIFT - TOs can begin to provide daily load shift (customer switching) for Nov
12:00 AM	TRUE-UP - TOs can begin to provide true-up load shift (actual data) for LSE activity 3 months prior
12:00 AM	CERTIFICATION - Certification Period Begins for LSEs and Suppliers for Dec
12:00 AM	DMNC - Winter DMNC Test Period Begins
12:00 AM	ESTIMATED LOAD - TOs can begin to provide estimated load position by LSE for Dec 1
12:00 AM	GADS - Suppliers can begin submitting GADS data for Oct activity
05:00 PM	UDR - Deadline for UDRs to submit each qualified resource I.D. with each MW amount for Dec
05:00 PM	SCR - New Aggregation ID Request Period for Dec Closes
05:00 PM	IMPORT RIGHTS - ISO will announce if Import Rights are fully allocated/returns allowed
05:00 PM	IMPORT RIGHTS - ISO notifies Requestors if Import Rights Requests were accepted or rejected
05:00 PM	ECR - Deadline to create bilaterals for External CRIS Rights and submit supporting docs for Dec ICAP
05:00 PM	ESTIMATED LOAD - Deadline for TOs to provide estimated load position by LSE for Dec 1
<b>Monday Nov 04, 2013</b>	
05:00 PM	ESTABLISH CREDIT - Deadline to establish credit to purchase in Dec Monthly Auction
05:00 PM	UCRs - ISO provides Unforced Capacity Requirements (UCRs) to LSEs
05:00 PM	DMNC - Deadline to submit DMNC data for Existing Generators to ensure can be used for Dec ICAP
<b>Tuesday Nov 05, 2013</b>	
12:00 PM	IMPORT RIGHTS - Deadline for Import Rights returns if ISO announced fully allocated
05:00 PM	AFFILIATES - Deadline to request additions/deletions to affiliate list of new org names for Dec
05:00 PM	SCR - Enrollment Period for auction month of Dec Closes
05:00 PM	SCR - Deadline to submit Offer Floor information for new Zone J SCRs for Dec ICAP month
05:00 PM	IMPORT RIGHTS - ISO posts the remaining available Import Rights



## 9. Auction Results

This section describes how to view bids, offers, and their respective awards, and auction summary information. The following functions are described:

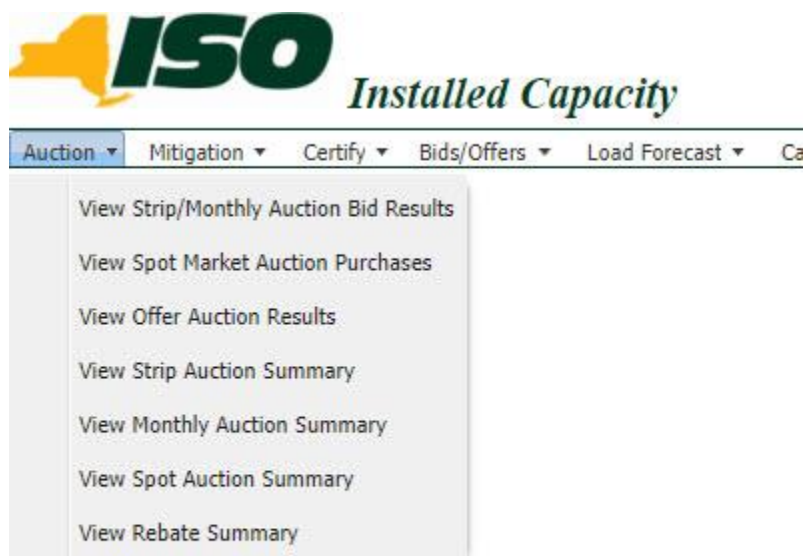
- How to View Strip/Monthly Bid Results
- How to View Spot Market Auction Purchases
- How to View Auction Offer Awards
- How to View Strip Auction Summary
- How to View Monthly Auction Summary
- How to View Spot Auction Summary
- How to View Rebate Summary

Auction results are not available until after the NYISO has posted the results.

### 9.1. How to View Strip / Monthly Auction Bid Results

Users may review bids and awards for Strip and Monthly Auctions by selecting the following View Strip/Monthly Auction Bid Results option from the Auction Menu:

**Figure 193: Auction Menu**



### 9.1.1. Screen Descriptions

**Figure 194: Auction Bid Results Filter Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on MP logged on.
Season	Text	Y	Capability Period.
Auction Type	Text	Y	Select from list of Auction Types [Strip, Monthly]
Auction Month/ Year	Text	Y	Select from available months within the Season selected. For Strip Auctions, selection list only consists of the first month of the Capability Period (e.g. - May/2003 or Nov/2003).
Bid Month/ Year	Text	Y	For Strip Auctions a selection cannot be made. For Monthly Auctions, the selection list consists of months within the Capability Period and the selected auction.

**Figure 195: Auction Bid Results Screen Section**

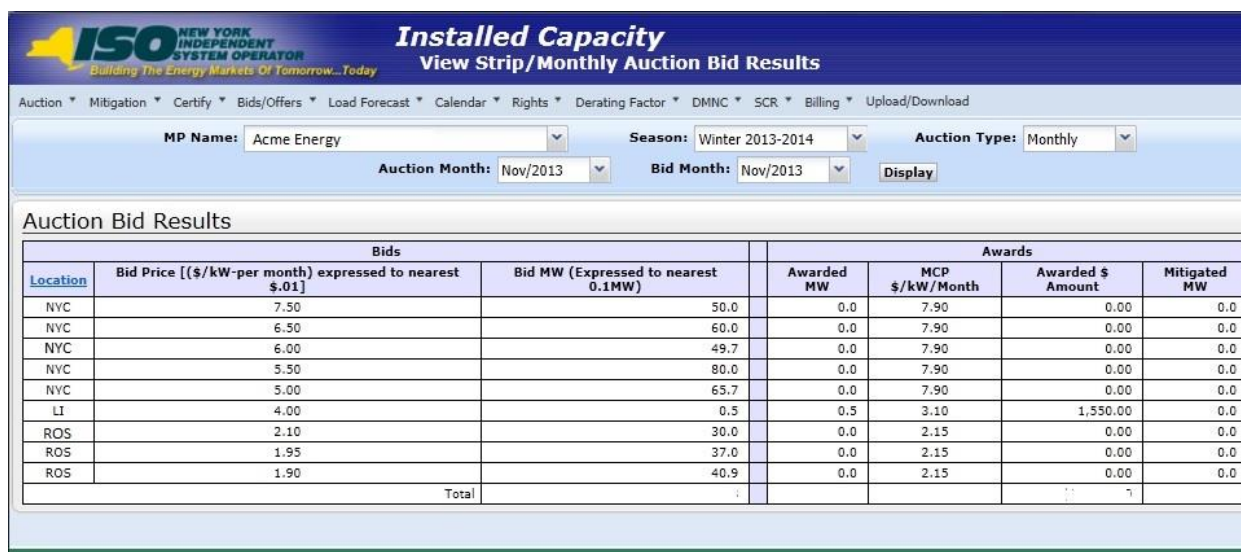
Screen Field	Data Type	Editable	Description
Location	Text	N	Location in the NYCA.
Bid Price	Numeric	N	Bid price per MW (\$/kW per month).
Bid MW	Numeric	N	Number of MW at the bid price.
Awarded MW	Numeric	N	Number of MW awarded.
MCP \$kW/month	Numeric	N	Market-Clearing Price for the location (weighted average for Rest-of-State)
Awarded \$ Amount	Numeric	N	Calculated as Awarded MW * Market-Clearing Price * 1000 (multiply again by 6 for Strip Auctions).

Screen Field	Data Type	Editable	Description
Mitigated MW (Historic Divestiture)	Numeric	N	Number of mitigated MW awarded.  <i>Note:</i> As of May/2008, Supply-Side Mitigation replaced historic DGO Mitigation and this field is retained only to view historic DGO capacity. Therefore, as of May/2008, this field will display 0.0 MW.

### 9.1.2. Viewing Strip or Monthly Auction Bid Results

The following screen, allowing Users to select a variety of parameters, will appear:

**Figure 196: Auction Bid Results Screen**



The screenshot shows the 'Installed Capacity View Strip/Monthly Auction Bid Results' screen. At the top, there is a navigation menu with options like Auction, Mitigation, Certify, Bids/Offers, Load Forecast, Calendar, Rights, Derating Factor, DMNC, SCR, Billing, and Upload/Download. Below the menu, there are filter fields: MP Name (Acme Energy), Season (Winter 2013-2014), Auction Type (Monthly), Auction Month (Nov/2013), and Bid Month (Nov/2013). A 'Display' button is present. The main content area is titled 'Auction Bid Results' and contains a table with two sections: 'Bids' and 'Awards'.

Bids			Awards			
Location	Bid Price [(\$/kW-per month) expressed to nearest \$.01]	Bid MW (Expressed to nearest 0.1MW)	Awarded MW	MCP \$/kW/Month	Awarded \$ Amount	Mitigated MW
NYC	7.50	50.0	0.0	7.90	0.00	0.0
NYC	6.50	60.0	0.0	7.90	0.00	0.0
NYC	6.00	49.7	0.0	7.90	0.00	0.0
NYC	5.50	80.0	0.0	7.90	0.00	0.0
NYC	5.00	65.7	0.0	7.90	0.00	0.0
LI	4.00	0.5	0.5	3.10	1,550.00	0.0
ROS	2.10	30.0	0.0	2.15	0.00	0.0
ROS	1.95	37.0	0.0	2.15	0.00	0.0
ROS	1.90	40.9	0.0	2.15	0.00	0.0
Total						

The Auction Bid Results screen section will not display any data until parameters in the filter are specified and “DISPLAY” is clicked. Season, Auction Type [Strip, Monthly], Auction Month, and Bid Month (if the auction type selected is Monthly) may be specified in the filter screen section at the top of the screen:

**Figure 197: Auction Bid Results Filter Screen Section**



The screenshot shows the filter section of the 'Installed Capacity View Strip/Monthly Auction Bid Results' screen. It includes the same navigation menu as Figure 196. The filter fields are: MP Name (Acme Energy), Season (Winter 2014-2015), Auction Type (Monthly), Auction Month (Nov/2014), and Bid Month (Nov/2014). A 'Display' button is present.

After clicking the “**DISPLAY**” button, the following screen will appear displaying all bids and awards based on the specified parameters. By default, bids are ordered by bid price descending:

**Figure 198: Auction Bid Results Screen Section**

Auction Bid Results							
Bids				Awards			
Location	Bid Price [(\$/kW-per month) expressed to nearest \$.01]	Bid MW (Expressed to nearest 0.1MW)		Awarded MW	MCP \$/kW/Month	Awarded \$ Amount	Mitigated MW
NYC	8.25	25.0		0.0	8.69	0	0.0
NYC	8.20	40.0		0.0	8.69	0	0.0
NYC					8.69	0	0.0
NYC					8.69	0	0.0
NYC					8.69	0	0.0
GHI					6.62	1	0.0
GHI					6.62	1	0.0
GHI					6.62	1	0.0
GHI					6.62	1	0.0
GHI					6.62	0	0.0
GHI					6.62	0	0.0
LI					2.85	0	0.0
ROS					2.24	0	0.0
ROS	2.15				2.24	0	0.0
ROS	2.05				2.24	0	0.0
Total			4.	1...		\$:	0

Bids and Awards are clearly demarcated in the Auction Bid Results screen section by a double vertical line as shown in [Figure 198](#). Also, bids may be sorted by location by clicking on the Location column heading.

A ROS Bid (i.e., NYCA) may be awarded from multiple offer locations including Rest of State ("ROS"), the G-J Locality (i.e., Load Zones G, H, or I,"GHI"), New York City ("NYC"), Long Island (LI"), and capacity from External Control Areas.

A GHI Bid may be awarded from multiple offer locations including GHI and NYC. The corresponding bid awards will be listed in the Auction Bid Results screen section following the original ROS or GHI Bid. The locational awards associated with a ROS Bid or GHI Bid will show only the location from which the capacity is awarded. The Bid MW and Bid Price will be left blank.

## 9.2. How to View Spot Market Auction Purchases

Users may review purchases, covering both deficient MW and MW awarded in excess of UCAP requirements, made in the Spot Market Auction.

### 9.2.1. Screen Descriptions

**Figure 199: Spot Market Auction Purchases Filter**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on MP logged on.
Season	Text	Y	Select from list of Capability Periods.
Month	Text	Y	Select from available months within season.

**Figure 200: Spot Market Auction Purchases Screen Section**

Screen Field	Data Type	Editable	Description
Excess / Deficient	Text	N	Specifies type of awarded MW, (excess or deficient).
Location	Text	N	Requirements location
Bid Price			Not used. There are no Bids in the Spot Auction.
Bid MW			Not used. There are no Bids in the Spot Auction.
Awarded MW	Numeric	N	Number of MW awarded
MCP (\$kW/Month)	Numeric	N	Market-Clearing Price for the location (weighted average for ROS).
Awarded \$ Amount	Numeric	N	Calculated as Awarded MW * Market-Clearing Price * 1000.
Mitigated MW (Historic Divestiture)			Supply-Side Mitigation replaced Historic Divestiture so starting in May/2008, this value is always 0.0 MW.

### 9.2.2. Viewing Spot Market Purchases

Users should select the View Spot Market Auction Purchases option from the Auction Menu in [Figure 193](#). Select Auction Type and Auction Month/Year filters and then click the “**DISPLAY**” button. The screen in [Figure 219](#) will appear.

**Figure 201: Spot Market Auction Purchases**



		Bids		Awards			
Excess / Deficient	Location	Bid Price [(\$/kW-per month) expressed to nearest \$.01]	Bid MW (Expressed to nearest 0.1 MW)	Awarded MW	MCP (\$/kW/Month)	Awarded \$ Amount	Mitigated MW
Excess	ROS			183.151	5.76	\$1,054,949.76	0.000
Deficient	ROS			42.324	5.76	\$243,786.24	0.000
Excess	LI			4.170	7.20	\$30,024.00	0.000
Deficient	LI				7.20		
Excess	NYC			60.006	16.29	\$977,497.74	0.000
Deficient	NYC			537.000	16.29	\$8,747,730.00	0.000
		Total					

### 9.3. How to View Offer Auction Results

Users may review offers and awards for any auction by selecting the View Auction Offer Results option from the Auction Menu, as displayed in [Figure 193](#).

#### 9.3.1. Screen Descriptions

**Figure 202: Auction Offer Results Filter Screen Section**

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on MP logged on.
Season	Text	Y	Select from list of Capability Periods.
Auction Type	Text	Y	Select from list of all auction type [Strip, Monthly or Spot].
Auction Month	Text	Y	Select from available months within the Season selected.  For Strip auctions, selection list only consists of the first month of Season selected (e.g. – May/2003 or Nov/2003)
Offer Month	Text	Y	For Strip and ICAP Spot Market Auctions, a selection cannot be made.  For Monthly Auctions, the selection list consists of months within the Capability Period and the selected Auction Type.

**Figure 203: Auction Offer Results Screen Section**

Screen Field	Data Type	Editable	Description
Offer #	Numeric	N	Unique identifier of offer.
Location	Text	N	Location of supply.
PTID	Text	N	Identifier of a Gen, RMR, LM, MUNI, SCR, UDR, EDR, BTM:NG, or Aggregation resource.
Right #	Text	N	External CRIS Right associated with offer.
Offer Price	Numeric	N	Offer price per MW (\$/kW per month).
Offer MW	Numeric	N	Number of MW at the offer price.
Awarded Location	Text	N	Location of demand
Awarded MW	Numeric	N	Number of MW awarded.
Awarded Price	Numeric	N	Market-Clearing Price for the location. For offers from internal locations, the Market-Clearing Price ("MCP") is for the auction award location. For offers from external locations, the Market-Clearing Price is for the offer location.
Awarded \$ Amount	Numeric	N	Calculated as Awarded MW * Awarded Price * 1000 (multiply again by 6 for Strip Auctions).
[Mitigated MW (Historic Divestiture)]	Numeric	N	Mitigated MW awarded.  <i>Note:</i> As of May/2008, when Supply-Side Mitigation replaced Historic Divestiture, this value will always be 0.0.

### 9.3.2. Viewing Offer Auction Results

The following filter screen facilitates User's ability to select a variety of parameters.

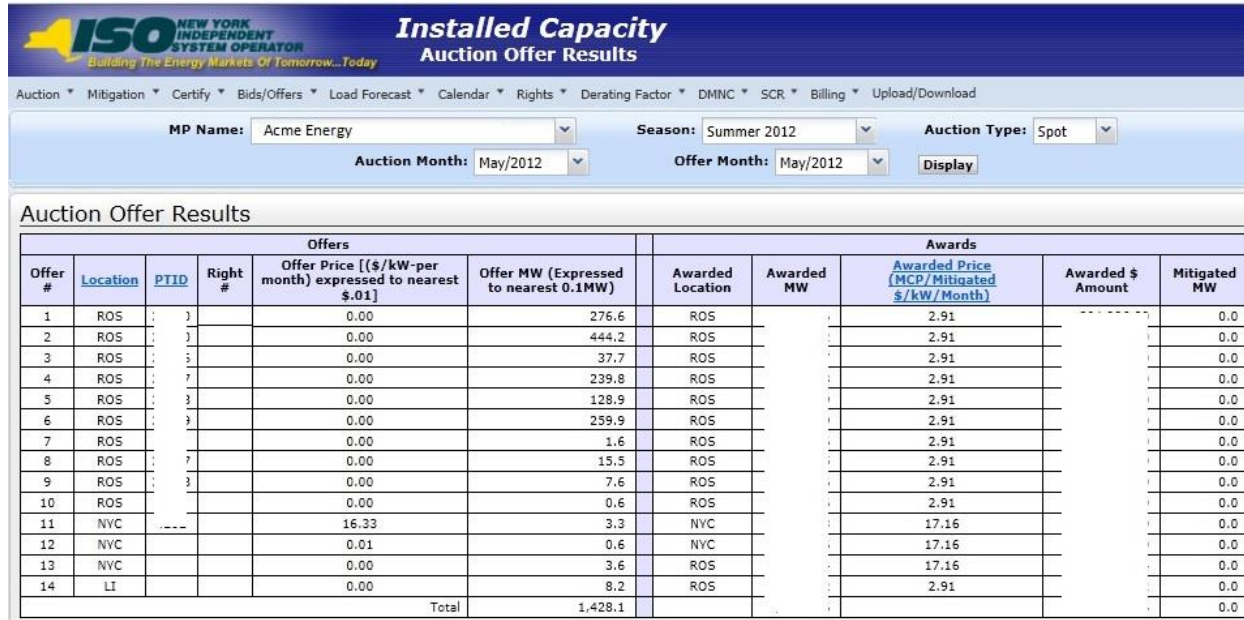
Users should note that the Auction Offer Results screen section will not display any data until parameters in the filter parameters are specified and **"DISPLAY"** is clicked. Season, Auction Type [Strip, Monthly, Spot], Auction Month/Year, and Offer Month (if the auction type selected is Monthly) may be specified in the filter section at the top of the screen.

**Figure 204: Auction Offer Results Filter Screen Section**



After Users click the “DISPLAY” button at the right-hand side of the screen, a refreshed screen will appear displaying all offers and awards based on the specified parameters. By default, offers are ordered by offer number:

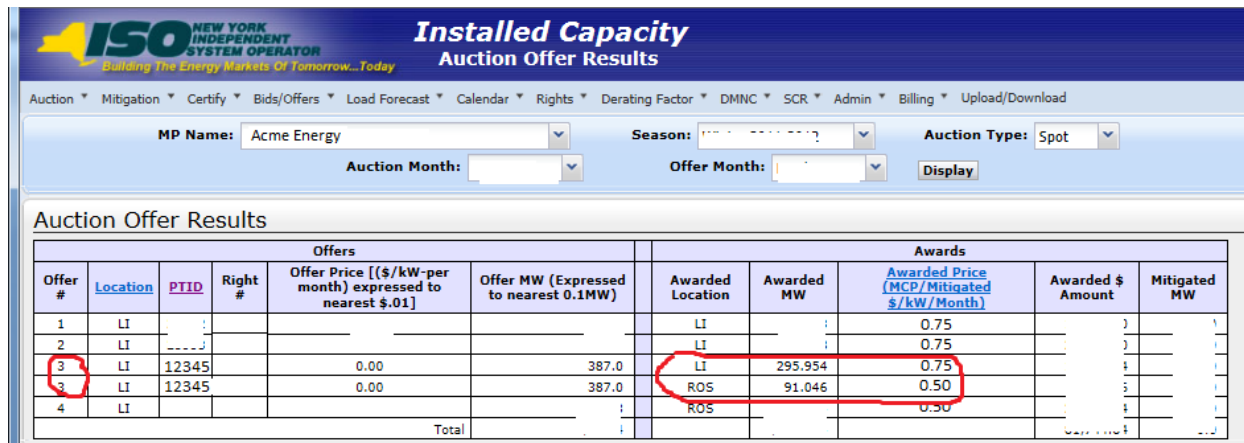
**Figure 205: Auction Offer Results Screen Section**



Installed Capacity Auction Offer Results										
Auction Offer Results										
Offers						Awards				
Offer #	Location	PTID	Right #	Offer Price [(\$/kW-per month) expressed to nearest \$.01]	Offer MW (Expressed to nearest 0.1MW)	Awarded Location	Awarded MW	Awarded Price (MCP/Mitigated \$/kW/Month)	Awarded \$ Amount	Mitigated MW
1	ROS			0.00	276.6	ROS		2.91		0.0
2	ROS			0.00	444.2	ROS		2.91		0.0
3	ROS			0.00	37.7	ROS		2.91		0.0
4	ROS			0.00	239.8	ROS		2.91		0.0
5	ROS			0.00	128.9	ROS		2.91		0.0
6	ROS			0.00	259.9	ROS		2.91		0.0
7	ROS			0.00	1.6	ROS		2.91		0.0
8	ROS			0.00	15.5	ROS		2.91		0.0
9	ROS			0.00	7.6	ROS		2.91		0.0
10	ROS			0.00	0.6	ROS		2.91		0.0
11	NYC			16.33	3.3	NYC		17.16		0.0
12	NYC			0.01	0.6	NYC		17.16		0.0
13	NYC			0.00	3.6	ROS		17.16		0.0
14	LI			0.00	8.2	ROS		2.91		0.0
Total					1,428.1					0.0

Offers may be sorted by Awarded Price, Location, and PTID. To resort data by any of these parameters, Users should click on the appropriate column heading.

**Figure 206: Auction Offer Results - Single Offer awarded in multiple locations**



Installed Capacity Auction Offer Results										
Auction Offer Results										
Offers						Awards				
Offer #	Location	PTID	Right #	Offer Price [(\$/kW-per month) expressed to nearest \$.01]	Offer MW (Expressed to nearest 0.1MW)	Awarded Location	Awarded MW	Awarded Price (MCP/Mitigated \$/kW/Month)	Awarded \$ Amount	Mitigated MW
1	LI					LI		0.75		
2	LI					LI		0.75		
3	LI	12345		0.00	387.0	LI	295.954	0.75		
3	LI	12345		0.00	387.0	ROS	91.046	0.50		
4	LI					ROS		0.50		
Total										



**Note:** Beginning with the Summer 2014 Capability Period, in the ICAP Spot Market Auction, any NYC offers that were not fully awarded in NYC will have their remaining offer MW available to be considered for award in GHI. Any NYC, GHI, and LI offers that were not fully awarded in those locations will have their remaining offer MW available to be considered for award in ROS (i.e., NYCA). The same offer number will then appear in multiple rows.

Example: Beginning with the Summer 2014 Capability Period, NYC offer of 12 MW is awarded 5 MW in NYC, 3 MW in GHI, 2 MW in ROS, and 2 MW is un-awarded. For a single Offer#, there will be 3 rows displayed. The first row will show an offer of 12 MW from NYC with 5 MW awarded in NYC at a NYC Market-Clearing Price, the second row will show an offer of 12 MW from NYC with 3 MW awarded in GHI at a GHI MCP, and the third row will show an offer of 12 MW awarded in ROS at the ROS Market-Clearing Price (the Market-Clearing Price will indicate where the capacity was awarded).

## 9.4. How to View Strip Auction Summary

Users may view summaries of bid awards and offer awards from strip auctions by selecting View Strip Auction Summary option from the Auction Menu displayed in [Figure 193](#).

**Note:** The data described in this section is non-confidential and can be viewed by the public (i.e., user name and password are not required).

### 9.4.1. Screen Descriptions

**Figure 207: View Strip Auction Summary Filter Screen Section**

Screen Field	Data Type	Editable	Description
Season	Text	Y	Select from list of available Capability Periods.

**Figure 208: View Strip Auction Summary Screen Section**

Screen Field	Data Type	Editable	Description
Posted Date	Date	N	Date report posted to the Web.
LI			Long Island locality
Awarded MW	Numeric	N	Sum of MW awarded to LI bids.
Price (\$/kW-Month)	Numeric	N	Market-Clearing Price for LI.
NYC			New York City locality
Awarded MW	Numeric	N	Sum of MW awarded to NYC bids.
Price (\$/kW-Month)	Numeric	N	Market-Clearing Price for NYC.

Screen Field	Data Type	Editable	Description
G-J Locality			The G-J Locality defined as Zones G,H,I, and J.
Awarded MW	Numeric	N	Sum of MW awarded to GHI bids.
Price (\$/kW-Month)	Numeric	N	Market-Clearing Price for GHI.
NYCA			New York Control Area
Awarded MW	Numeric	N	Sum of MW awarded to ROS bids.
Price (\$/kW-Month)	Numeric	N	Market-Clearing Price for ROS.
HQ			Hydro Quebec (external location)
Awarded MW	Numeric	N	Sum of MW awarded to HQ offers.
Price (\$/kW-Month)	Numeric	N	Market-Clearing Price for HQ offers.
IESO			Independent Electricity System Operator (Ontario) (external location)
Awarded MW	Numeric	N	Sum of MW awarded to IESO offers.
Price (\$/kW-Month)	Numeric	N	Market-Clearing Price for IESO offers.
NE			ISO-New England (external location)
Awarded MW	Numeric	N	Sum of MW awarded to NE offers.
Price (\$/kW-Month)	Numeric	N	Market-Clearing Price for NE offers.
PJM			PJM control area (external location)
Awarded MW	Numeric	N	Sum of MW awarded to PJM offers.
Price (\$/kW-Month)	Numeric	N	Market-Clearing Price for PJM offers.
Total ROS Awarded (MW)	Numeric	N	Sum of MW awarded to bids for ROS (i.e., sum of ROS, HQ, IESO, NE, and PJM awarded Offer MW).
Total Awarded (MW)	Numeric	N	Sum of MW awarded to bids for all offer locations.
ROS Price Paid by Bidders (Weighted Average)	Numeric	N	Weighted average of ROS, HQ, IESO, NE, and PJM Offer MCPs (price paid by ROS bidders)
Footnotes	Text	N	Optional text entered by the NYISO

#### 9.4.2. Viewing Strip Auction Summaries

The following screen, allowing Users to select parameters, will appear:

Figure 209: View Strip Auction Summary Filter Screen Section



The Strip Auction Summary screen section will appear after selecting the Season filter and clicking the “DISPLAY” button:

Figure 210: View Strip Auction Summary Screen Section

Winter 2013-2014 Strip Auction Results for UCAP, Auction Starting 11/2013 Posted Date: 10/02/2013 08:49 AM		
<b>G-J Locality</b>		
Awarded (MW)		20.5
Price (\$/kW - Month)		3
<b>LI</b>		
Awarded (MW)		5
Price (\$/kW - Month)		3
<b>NYC</b>		
Awarded (MW)		1
Price (\$/kW - Month)		4
<b>NYCA</b>		
Awarded (MW)		7
Price (\$/kW - Month)		3
<b>HQ</b>		
Awarded (MW)		3
Price (\$/kW - Month)		3
<b>IESO</b>		
Awarded (MW)		3
Price (\$/kW - Month)		3
<b>NE</b>		
Awarded (MW)		3
Price (\$/kW - Month)		3
<b>PJM</b>		
Awarded (MW)		3
Price (\$/kW - Month)		3
Total RDS Awarded (MW)		2.7
Total Awarded (MW)		2.4
RDS Price Paid By Bidders (Weighted Avg.)		\$...3

Footnotes:

This screen displays Strip Auction summarized data by the Season selected.

### 9.5. How to View Monthly Auction Summary

Users may view monthly auction awards by selecting View Monthly Auction Summary from the main Auction Menu displayed in [Figure 193](#).

**Note:** The data described in this section is non-confidential and can be viewed by the public (i.e., user name and password are not required).

### 9.5.1. Screen Descriptions

**Figure 211: View Monthly Auction Summary Filter Screen Section**

Screen Field	Data Type	Editable	Description
Season	Text	Y	Select from list of available Capability Periods.
Auction Month/Year	Text	Y	Select from list of auction months within the selected Season.

**Figure 212: View Monthly Auction Summary Screen Section**

Screen Field	Data Type	Editable	Description
Posted Date	Date	N	Date report posted to the Web.
LI			Long Island locality
Awarded MW	Numeric	N	Sum of MW awarded to LI bids.
Price (\$/kW-Month)	Numeric	N	Market-Clearing Price for LI.
NYC			New York City locality
Awarded MW	Numeric	N	Sum of MW awarded to NYC bids.
Price (\$/kW-Month)	Numeric	N	Market-Clearing Price for NYC.
G-J Locality			The G-J Locality defined as Zones G,H,I, and J.
Awarded MW	Numeric	N	Sum of MW awarded to GHI offers.
Price (\$/kW-Month)	Numeric	N	Market-Clearing Price for GHI.
NYCA			New York Control Area
Awarded MW	Numeric	N	Sum of MW awarded to ROS bids.
Price (\$/kW-Month)	Numeric	N	Market-Clearing Price for ROS.
HQ			Hydro Quebec (external location)
Awarded MW	Numeric	N	Sum of MW awarded to HQ offers.
Price (\$/kW-Month)	Numeric	N	Market-Clearing Price for HQ offers.
IESO			Independent Electricity System Operator (Ontario) (external location)
Awarded MW	Numeric	N	Sum of MW awarded to IESO offers.
Price (\$/kW-Month)	Numeric	N	Market-Clearing Price for IESO offers.
NE			ISO-New England (external location)
Awarded MW	Numeric	N	Sum of MW awarded to NE offers.
Price (\$/kW-Month)	Numeric	N	Market-Clearing Price for NE offers.
PJM			PJM control area (external location)

Screen Field	Data Type	Editable	Description
Awarded MW	Numeric	N	Sum of MW awarded to PJM offers.
Price (\$/kW-Month)	Numeric	N	Market-Clearing Price for PJM offers.
Total ROS Awarded (MW)	Numeric	N	Sum of MW awarded to ROS bids (i.e., sum of ROS, HQ, IESO, NE, and PJM awarded Offer MW).
Total Awarded (MW)	Numeric	N	Sum of MW awarded to bids for all locations.
ROS Price Paid by Bidders (Weighted Average)	Numeric	N	Weighted average of ROS, HQ, IESO, NE, and PJM offer MCPs (price paid by ROS bidders)
Footnotes	Text	N	Optional text entered by the NYISO.

**Note:** The column headings indicate the bid / offer months within the displayed auction month.

### 9.5.2. Viewing Monthly Auction Summaries

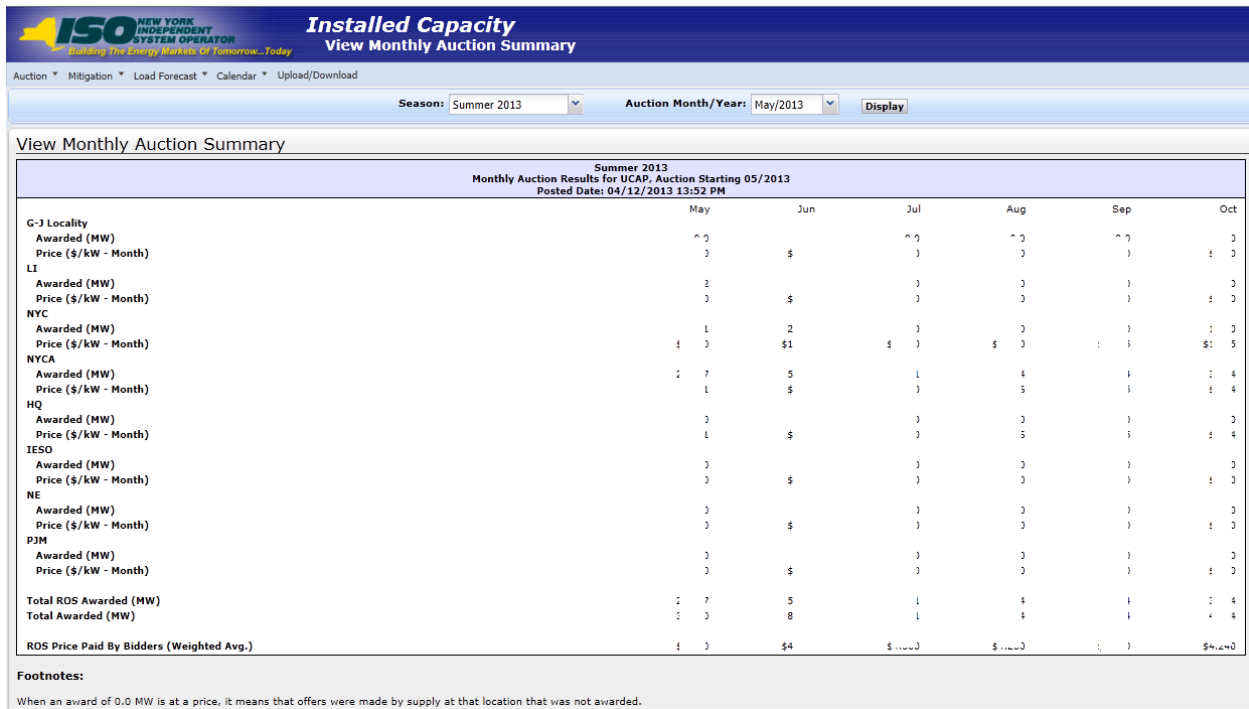
The following screen appears which allows Users to select a variety of parameters:

**Figure 213: View Monthly Auction Summary Filter Screen Section**



The View Monthly Auction Summary screen section will appear after selecting Season and Auction Month/Year filters and clicking the “**DISPLAY**” button:

**Figure 214: View Monthly Auction Summary Screen Section**



This screen displays total Monthly Auction Awards for bid/offer months within the month selected from filter.

## 9.6. How to View ICAP Spot Auction Summary

Users may view ICAP Spot Market Auction results by selecting View Spot Auction Summary option from the Auction Menu displayed in [Figure 193](#). The data described in this section is non-confidential and can be viewed by the public (i.e., user name and password are not required).

### 9.6.1. Screen Descriptions

**Figure 215: View Spot Auction Summary Filter Screen Section**

Screen Field	Data Type	Editable	Rule
Season	Text	Y	Select from list of available Capability Periods.
Month	Text	Y	Select from available months within Season selected.

**Figure 216: View Spot Auction Summary Screen Section**

Screen Field	Data Type	Editable	Rule
Posted Date	Date	N	Date report posted to the Web.
G-J Locality			Locality defined by G,H,I and J.
Awarded Deficiency (MW)	Numeric	N	Sum of deficiency MW awarded for G-J Locality.
Awarded Excess (MW)	Numeric	N	Sum of excess MW awarded for G-J Locality (awarded excess is credited to an LSE's ROS requirement).
% Excess Above Requirements	Numeric	N	Awarded Excess MW / UCAP Requirements for G-J Locality.
NYC			New York City locality
Awarded Deficiency (MW)	Numeric	N	Sum of deficiency MW awarded for NYC.
Awarded Excess (MW)	Numeric	N	Sum of excess MW awarded for NYC (awarded excess is credited to an LSE's GHI requirement).
% Excess Above Requirements	Numeric	N	Awarded Excess MW / UCAP Requirements for NYC
Price (\$/kW-M)	Numeric	N	Market-Clearing Price for NYC.
LI			Long Island locality
Awarded Deficiency (MW)	Numeric	N	Sum of deficiency MW awarded for LI.
Awarded Excess (MW)	Numeric	N	Sum of excess MW awarded for LI. (awarded excess is credited to an LSE's ROS requirement)
% Excess Above Requirements	Numeric	N	Awarded Excess MW / UCAP Requirements for LI.
Price (\$/kW-M)	Numeric	N	Market-Clearing Price for LI.
NYCA			New York Control Area

Screen Field	Data Type	Editable	Rule
Awarded Deficiency (MW)	Numeric	N	Sum of deficiency MW awarded for ROS/NYCA entities.
Awarded Excess (MW)	Numeric	N	Sum of excess MW awarded for the NYCA.
% Excess Above Requirements	Numeric	N	Awarded Excess MW / UCAP Requirements for NYCA.
Price (\$/kW-M)	Numeric	N	Market-Clearing Price for all of NYCA (excluding external locations).
NE			ISO-New England
Awarded as part of NYCA Def./ Exc. (MW)	Numeric	N	MW awarded to offers from NE (Included in NYCA deficiency/excess MW figures).
Price (\$/kW-M)	Numeric	N	Market-Clearing Price for NE offers.
IESO			Independent Electricity System Operator (Ontario)
Awarded as part of NYCA Def./ Exc. (MW)	Numeric	N	MW awarded to offers from IESO (Included in NYCA deficiency/excess MW figures).
Price (\$/kW-M)	Numeric	N	Market-Clearing Price for IESO offers.
PJM			PJM control area
Awarded as part of NYCA Def./ Exc. (MW)	Numeric	N	MW awarded to offers from PJM (Included in NYCA deficiency/excess MW figures).
Price (\$/kW-M)	Numeric	N	Market-Clearing Price for PJM offers.
HQ			Hydro Quebec
Awarded as part of NYCA Def./ Exc. (MW)	Numeric	N	MW awarded to offers from HQ (Included in NYCA deficiency/excess MW figures).
Price (\$/kW-M)	Numeric	N	Market-Clearing Price for HQ offers.

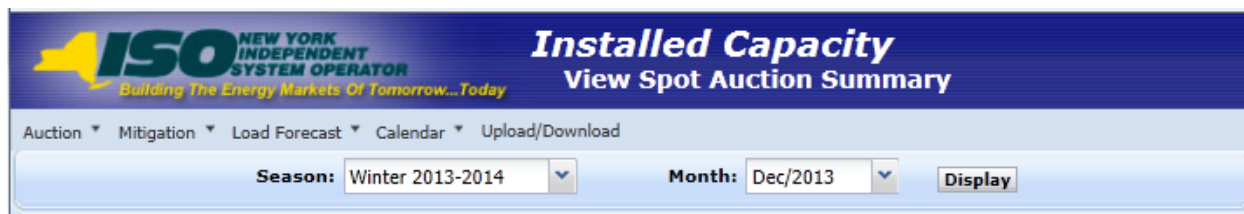


Screen Field	Data Type	Editable	Rule
Total Awarded Deficiency (MW)	Numeric	N	Sum of deficiency MW awarded for NYC, LI, GHI, and ROS (NYCA).
Total Awarded (MW)	Numeric	N	Sum of Total Awarded Deficiency MW plus NYCA Awarded Excess (MW).
ROS Price Paid by LSE's (Weighted avg price)	Numeric	N	Weighted average of ROS, HQ, IESO, NE, and PJM offer MCPs (price paid by NYCA LSEs).
Footnotes	Text	N	Optional footnoted text entered by the NYISO.

### 9.6.2. Viewing Spot Auction Summaries

The following screen appears, which allows Users to select a variety of parameters.

**Figure 217: View Spot Auction Summary Filter Screen Section**



The View Spot Auction Summary screen section will appear after selecting Season and Auction Month/Year filters and then clicking the “**DISPLAY**” button:

**Figure 218: View ICAP Spot Auction Summary Screen Section**

Winter 2013-2014 Capability Period 12/2013 Spot Market Auction Results - UCAP Posted Date: 11/26/2013 09:35 AM	
	12/2013
<b>G-J Locality</b>	
Awarded Deficiency (MW)	2,511
Awarded Excess (MW)	
% Excess Above Requirement	
Price (\$/kW-M)	
<b>NYC</b>	
Awarded Deficiency (MW)	.
Awarded Excess (MW)	
% Excess Above Requirement	
Price (\$/kW-M)	
<b>LI</b>	
Awarded Deficiency (MW)	
Awarded Excess (MW)	
% Excess Above Requirement	
Price (\$/kW-M)	
<b>NYCA</b>	
Awarded Deficiency (MW)	
Awarded Excess (MW)	
% Excess Above Requirement	
Price (\$/kW-M)	
<b>HQ</b>	
Awarded as part of NYCA Def./Exc. (MW)	
Price (\$/kW-M)	
<b>IESO</b>	
Awarded as part of NYCA Def./Exc. (MW)	
Price (\$/kW-M)	
<b>NE</b>	
Awarded as part of NYCA Def./Exc. (MW)	
Price (\$/kW-M)	
<b>PJM</b>	
Awarded as part of NYCA Def./Exc. (MW)	
Price (\$/kW-M)	
Total Awarded Deficiency (MW)	1
Total Awarded (MW)	1
*ROS Price Paid By LSE's (Weighted Avg.)	

**Footnotes:**

External CA MW are included in the NYCA MW Totals

This screen displays ICAP Spot Market Auction Awards and summarizes the awards, for the month selected, by location, awarded deficiency, and awarded excess.

**Figure 219: View ICAP Spot Auction Summary Footnote Section**

<p><b>Footnotes:</b></p> <p>When an award of 0.0 MW is at a price, it means that offers were made by supply at the location that was not awarded.</p>
---

## 9.7. How to View Rebate Summary

Users may view a summary of locational rebates due to the sale of mitigated capacity for Capability Periods prior to Summer/2008 (when Historic Divestiture rules were still in effect) by selecting View Rebate Summary option from the Auction Menu displayed in Figure 193.

### 9.7.1. Screen Descriptions

**Figure 220: View Rebate Summary Filter Screen Section**

Screen Field	Data Type	Editable	Description
Season	Text	Y	Select from list of available Capability Periods. <i>Note:</i> User will only view data for Seasons prior to Summer/2008. Supply-Side Mitigation replaced historic DGO Mitigation. This screen is retained only to view historic DGO capacity.
Location	Text	Y	Select from NYC, LI, and ROS locations. Currently only NYC has mitigated rebates and they exist only prior to Summer/2008).

**Figure 221: View Rebate Summary Screen Section**

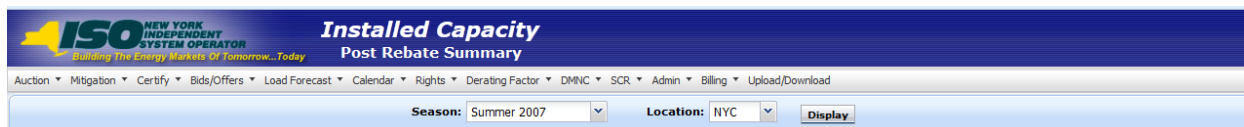
Screen Field	Data Type	Editable	Description
Auction			
Strip	Numeric	N	Sum of mitigated rebates by bid month in season for the strip auction (same amount for every month).
Monthly – Month1	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month1 auction.
Spot – Month1	Numeric	N	Sum of mitigated rebates for the Month1 month for the spot market auction.
Monthly – Month2	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month2 auction.
Spot – Month2	Numeric	N	Sum of mitigated rebates for the Month2 month for the spot market auction.

Screen Field	Data Type	Editable	Description
Monthly – Month3	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month3 auction.
Spot – Month3	Numeric	N	Sum of mitigated rebates for the Month3 month for the spot market auction.
Monthly – Month4	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month4 auction.
Spot – Month4	Numeric	N	Sum of mitigated rebates for the Month4 month for the spot market auction.
Monthly – Month5	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month5 auction.
Spot – Month5	Numeric	N	Sum of mitigated rebates for the Month5 month for the spot market auction.
Monthly – Month6	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month6 auction.
Spot – Month6	Numeric	N	Sum of mitigated rebates for the Month6 month for the spot market auction.
Supply Award Rebate	Numeric	N	Supplemental Award rebate for each month in season.
Total	Numeric	N	Sum of all rebates by month.
Footnotes	Text	N	Optional footnoted text entered by the NYISO.
Posted Date	Date	N	Date report posted to Web.

### 9.7.2. Viewing Rebate Summaries

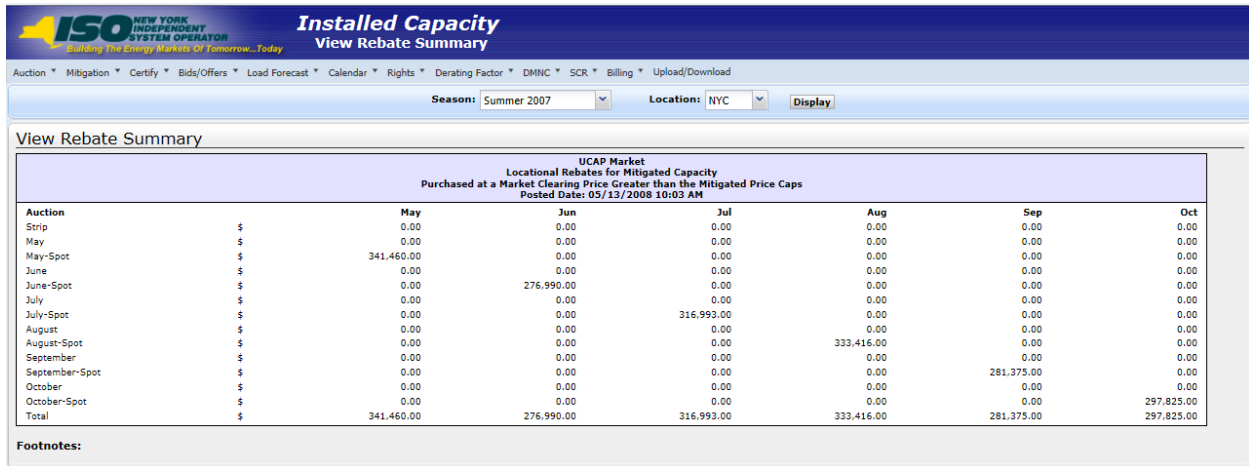
The following screen appears which enables Users to select Season and Location.

**Figure 222: View Rebate Summary Filter Screen Section**



The View Rebate Summary screen section will appear after selecting Season and Location filters and then clicking the “**DISPLAY**” button:

**Figure 223: View Rebate Summary Screen Section**



**Installed Capacity**  
View Rebate Summary

Season: Summer 2007 Location: NYC Display

**View Rebate Summary**

UCAP Market							
Locational Rebates for Mitigated Capacity							
Purchased at a Market Clearing Price Greater than the Mitigated Price Caps							
Posted Date: 05/13/2008 10:03 AM							
Auction		May	Jun	Jul	Aug	Sep	Oct
Strip	\$	0.00	0.00	0.00	0.00	0.00	0.00
May	\$	0.00	0.00	0.00	0.00	0.00	0.00
May-Spot	\$	341,460.00	0.00	0.00	0.00	0.00	0.00
June	\$	0.00	0.00	0.00	0.00	0.00	0.00
June-Spot	\$	0.00	276,990.00	0.00	0.00	0.00	0.00
July	\$	0.00	0.00	0.00	0.00	0.00	0.00
July-Spot	\$	0.00	0.00	316,993.00	0.00	0.00	0.00
August	\$	0.00	0.00	0.00	0.00	0.00	0.00
August-Spot	\$	0.00	0.00	0.00	333,416.00	0.00	0.00
September	\$	0.00	0.00	0.00	0.00	0.00	0.00
September-Spot	\$	0.00	0.00	0.00	0.00	281,375.00	0.00
October	\$	0.00	0.00	0.00	0.00	0.00	0.00
October-Spot	\$	0.00	0.00	0.00	0.00	0.00	297,825.00
<b>Total</b>	<b>\$</b>	<b>341,460.00</b>	<b>276,990.00</b>	<b>316,993.00</b>	<b>333,416.00</b>	<b>281,375.00</b>	<b>297,825.00</b>

Footnotes:

This screen displays rebates specific to Historic Divestiture for DGO mitigated capacity that was purchased at a Market-Clearing Price greater than the mitigated price cap and summarizes awards by Auction Type and Bid Month, within the Season through the most recently closed ICAP Spot Market Auction.

## 10. Derating Factors

This section describes how to view seasonal Derating Factors.

### 10.1. How to View Seasonal Derating Factors

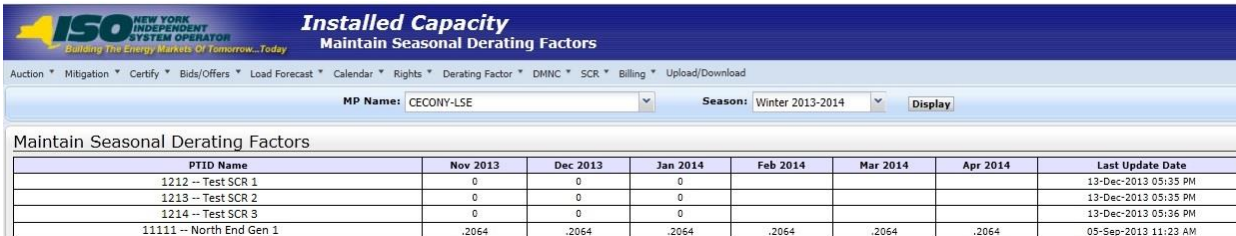
Suppliers may view the seasonal Derating Factors used to translate a generator's *DMNC* rating into a seasonal UCAP rating. This information is accessed from the Derating Factor option on the top level navigation bar:

**Figure 224: Derating Factor Menu**



By selecting the Maintain Seasonal Derating Factors option from the Derating Factor Menu, the following screen will appear:

**Figure 225: Maintain Seasonal Derating Factor Screen**



PTID Name	Nov 2013	Dec 2013	Jan 2014	Feb 2014	Mar 2014	Apr 2014	Last Update Date
1212 -- Test SCR 1	0	0	0				13-Dec-2013 05:35 PM
1213 -- Test SCR 2	0	0	0				13-Dec-2013 05:35 PM
1214 -- Test SCR 3	0	0	0				13-Dec-2013 05:36 PM
11111 -- North End Gen_1	.2064	.2064	.2064	.2064	.2064	.2064	05-Sep-2013 11:23 AM

#### 10.1.1. Screen Descriptions

**Figure 226: Maintain Seasonal Derating Factor - Filter Screen Section**

Screen Field	Data Type	Editable	Rule
MP Name	Text	Y	Defaults based on MP logged on.
Season	Text	Y	Select from list of Capability Period.

**Figure 227: Maintain Seasonal Derating Factor - Maintain Screen Section**

Screen Field	Data Type	Editable	Rule
PTID Name	Text	N	List of all Generator, SCR Aggregation, and Aggregation PTIDs and Names.
Months (6 column headings)	Text	N	The six months of the selected Capability Period.
Derating Factors per month	Numeric	N	<p>Seasonal Derating Factor rating.</p> <p>This value is used to calculate the UCAP rating of a Generator or SCR Aggregation PTID for a Capability Period.</p> <p>For SCR Aggregation PTIDs, this value is null for months where the corresponding DMNC has not yet been populated from the DRIS. All SCRs have a Seasonal Derating Factor rating value of zero in the ICAP AMS.</p> <p>DER Aggregation Derating Factor data is sourced from the Aggregation System. DER Aggregation Derating Factor data will be view-only, and users will be prohibited from editing DER Aggregation Derating Factor data in ICAP AMS.</p>
Last Update Date	Date	N	Date Derating Factor last updated.

### 10.1.2. Viewing Derating Factors

After selecting the appropriate Capability Period in the Season filter section at the top of the screen, Users should click the “**DISPLAY**” button.

**Figure 228: Maintain Seasonal Derating Factors Filter Screen Section**



PTID Name	Nov 2013	Dec 2013	Jan 2014	Feb 2014	Mar 2014	Apr 2014	Last Update Date
1212 -- Test SCR 1	0	0	0				13-Dec-2013 05:35 PM
1213 -- Test SCR 2	0	0	0				13-Dec-2013 05:35 PM
1214 -- Test SCR 3	0	0	0				13-Dec-2013 05:36 PM
11111 -- North End Gen 1	.2064	.2064	.2064	.2064	.2064	.2064	05-Sep-2013 11:23 AM

The resulting screen will display all PTIDs for the organization, with seasonal Derating Factors for every month of the selected Season.

For all Summer Capability Periods, Derating Factors for May through October will display, and for all Winter Capability Periods, values for November through April will display.

In general, the displayed values will be identical for all six months. Only in certain circumstances would the seasonal Derating Factor value of a PTID be changed within the months of a Capability Period. The seasonal Derating Factor value displayed is used to calculate the UCAP rating of a PTID for the respective months.

Derating Factor data for DER Aggregations and SRT Aggregations will be sourced from the Aggregation System, and be shown in ICAP AMS as view-only data.



## 11. Dependable Maximum Net Capability

This section describes how Dependable Maximum Net Capability (**DMNC**) and Dependable Maximum Gross Capability (DMGC- for Generators serving BTM:NG Resources) data is captured and used in the ICAP Automated Market System.

**Note:** Proven Maximum Production Capability (PMPC) data is not used in the ICAP System, so it is not entered via the screens described in this section.

The ICAP System uses the **DMNC/DMGC** Post-Test Rating in conjunction with other generator-type specific data (e.g., Derating Factor) to calculate the available UCAP for each generator. For Generators serving BTM:NG Resources, the election to perform either a DMNC or DMGC must be made in writing in the remark field per section 4.2.3 of the ICAP Manual. DMGC data will be entered into the AMS as if it were DMNC data. Details for generator-type specific DMNC and DMGC data are in ICAP Manual Sections 4.2 and 4.15. This User's Guide Section 11 will assume the terms DMNC and DMGC are interchangeable, insofar as the data is entered the same way for both tests.

The following functions are described:

- How to Maintain DMNC Results
- How to View Monthly DMNC Test Results

Capacity Suppliers must follow certain procedures and provide pertinent information to the NYISO in order to qualify as ICAP suppliers. Submitting DMNC data is one of the requirements necessary to qualify as an ICAP supplier. Supplier requirements and information about DMNC procedures that may have a direct bearing on DMNC data entry described herein are intermittently updated in Section 4 of the *NYISO Installed Capacity Manual* (available from the NYISO Web site at the following URL:

<https://www.nyiso.com/manuals-tech-bulletins-user-guides>) and [Section 5.12](#) of the *ISO Market Services Tariff* (available from the NYISO Web site at the following URL: <https://www.nyiso.com/regulatory-viewer>).

Upload/Download templates for DMNC test result data are described in [Section 14.6](#) of this User's Guide.

As of January 2012, the DMNC data for SCR Aggregation PTIDs is no longer entered interactively by the ICAP supplier via the DMNC Results screen. The DMNC data for SCR Aggregation PTIDs is sourced from the DRIS.

DMNC data for Aggregation resources (DER and SRT) may be viewed, but not edited in the AMS. DMNC data for Aggregation resources is maintained in the Aggregation System, Aggregation DMNC Data is

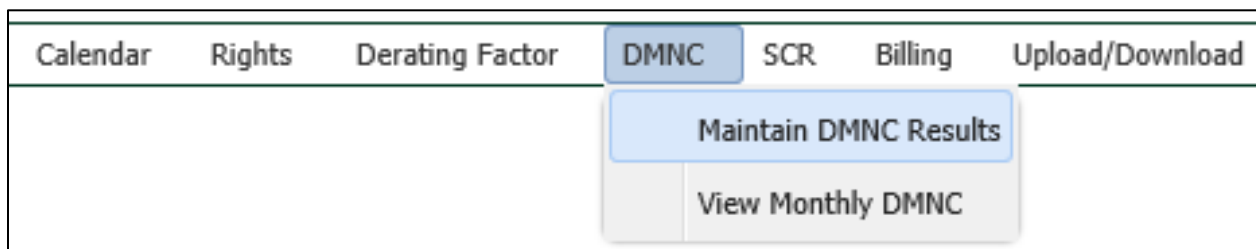
excluded from display on the Maintain DMNC Results Screen, but may be viewed on the “View Monthly DMNC Results” screen.

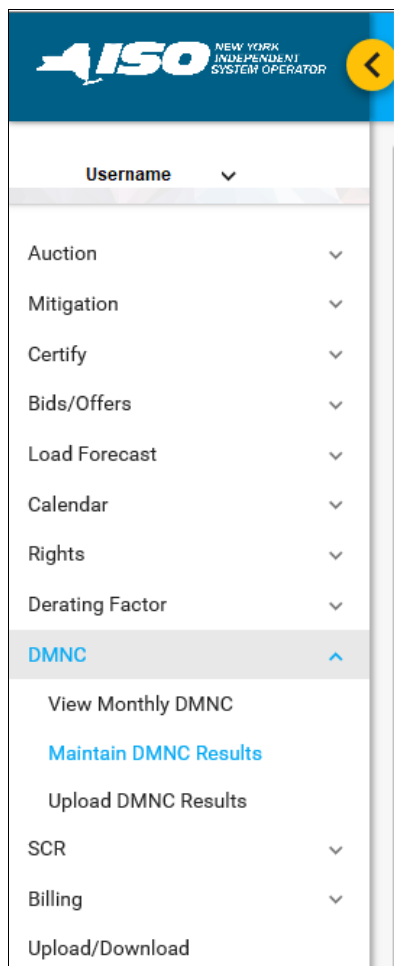
### 11.1. How to Maintain DMNC Results

Generation suppliers can enter, maintain, and view their DMNC data. The functionality and menus described in this section are not available to TO Users. In order to maintain the data associated with the screens described below, the user’s “DMNC” privilege flag must be checked – otherwise these screens will provide read-only access to users within an organization.

Users may access the Maintain DMNC Results option from the DMNC Menu located on the main menus:

**Figure 229: Maintain DMNC Results Navigation Menu**





### 11.1.1. Screen Descriptions

The DMNC Results screen enables the user to Search, Filter, Sort, and View DMNC Results. Only Users with the “DMNC” User privilege can add DMNC, update editable Remarks, or delete DMNC Results while a record has an ‘Undecided’ Status.

The fields and associated descriptions for Search/Filter/Sort, View Tabular, View Details, Add DMNC Result, and Edit DMNC Result are enumerated below:

**Figure 230: DMNC Results – Search/Filter/Sort Screen Section**

Screen Field	Data Type	Editable	Description
PTID	Number	Search/ Sort	PTID Number
PTID Name	Text	N	PTID Name

Generation Type	Text	Filter	<p>Filters DMNC Results. Select from a list of valid Generation Types.</p> <p>Range of Values includes Combined Cycle, Combustion, Energy Limited, Fossil Fuel, Hydro, LCRoR Hydro, Nuclear Steam, Other, Solar, Other Storage, Electrochemical Storage, Wind, or unspecified to view all.</p> <p><i>Note: DMNC Results does not currently display any Aggregation Resources, or Resources with Generation Type 'Energy Limited', or 'LESR'.</i></p> <p>For the purposes of this filter:</p> <ul style="list-style-type: none"> <li>• External Resource is Generation Type 'Other'</li> <li>• SCR Generation Type is unspecified</li> <li>• Run of River Hydro is Generation Type 'LCRoR Hydro'</li> <li>• Energy Storage Resource (ESR) is Generation Type 'Electrochemical Storage' or 'Other Storage'</li> <li>• Landfill Gas is Generation Type 'Combustion'.</li> </ul>
PTID Type	Text	Filter	<p>Filters DMNC Results. Select from a list of Internal, External, SCR, or unspecified to view all.</p>
Organization	Text	N	Defaults based on MP Logged on.
Date of Test	Date (Mon dd, yyyy)	N	<p>For Generator PTIDs, this is the date when test was executed.</p> <p>For SCR Aggregation PTIDs, this is the effective Auction Month published from DRIS.</p>
Effective Date	Date (Mon dd, yyyy)	Filter/ Sort	<p>Filters DMNC Results. Select from a list of Capability Seasons or unspecified to view all.</p>
Expiration Date	Date (Mon dd, yyyy)	Sort	For Generator PTIDs, this is the last date the DMNC Rating is valid. Once a DMNC Rating has expired, no MW will be available to Certify or Offer into the Spot Market Auction for this

			<p>generator. The initial Expiration Date will be validated and corrected by NYISO before it is approved.</p> <p>For SCR Aggregation PTIDs, this is the end of the Capability Period.</p>
Days to Expiration	Number	Sort	For Generator and SCR Aggregation PTIDs, the number of days until the DMNC Rating expires.
Post Test Rating	Number	N	Final DMNC Rating of unit (temperature adjusted, if required) to be effective for the PTID (ICAP MW for Generators, LMs, and Munis; UCAP for SCRs).
Status	Text	Filter	<p>Filters DMNC Results.</p> <p>Select from a list of Approved, Rejected, Undecided, or unspecified to view all.</p>

**Figure 231: DMNC Results – View Tabular Screen Section**

Screen Field	Data Type	Editable	Description
PTID	Number	N	PTID Number
PTID Name	Text	N	PTID Name
Generation Type	Text	N	<p>PTID's Generation Type.</p> <p>Range of Values includes Combined Cycle, Combustion, Electrochemical Storage, Fossil Fuel, Hydro, LCRoR Hydro, Nuclear Steam, Other, Other Storage, Solar, and Wind.</p>
PTID Type	Text	N	<p>PTID Type.</p> <p>Range of Values include: Internal, External, and SCR.</p>
Organization	Text	N	MP Organization Name
Date of Test	Date (Mon dd, yyyy)	N	For Generator PTIDs, this is the date when test was executed.

			<p>For SCR Aggregation PTIDs, this is the effective Auction Month published from DRIS.</p> <p>Blue information icon will indicate if this is an Out of Period Test.</p>
Effective Date	Date (Mon dd, yyyy)	N	Date when DMNC Rating is first effective.
Expiration Date	Date (Mon dd, yyyy)	N	<p>For Generator PTIDs, this is the last date the DMNC Rating is valid. Once a DMNC Rating has expired, no MW will be available to Certify or Offer into the Spot Market Auction for this generator. The initial Expiration Date will be validated and corrected by NYISO before it is approved.</p> <p>For SCR Aggregation PTIDs, this is the end of the Capability Period.</p>
Days to Expiration	Number	N	For Generator and SCR Aggregation PTIDs, the number of days until the DMNC Rating expires.
Post Test Rating	Number	N	<p>For Generator PTIDs, final DMNC ICAP Rating of unit (temperature adjusted, if required) to be effective for the PTID.</p> <p>For SCR Aggregation PTIDs, the UCAP value published from DRIS.</p> <p>Red information icon will indicate if the Pre-Test Rating &lt; Post-Test Rating.</p>
Status	Text	Filter	<p>DMNC Test Status.</p> <p>Range of Values include: Approved, Rejected, and Undecided.</p>

**Figure 232: DMNC Results – View Details Screen Section**

Screen Field	Data Type	Editable	Description
Begin Hour	Number	N	Hour when test began.  Range of Values: 0 through 23.
Average Ambient Temp (°F)	Number	N	The average of the ambient temperatures recorded at the time of the Transmission District's seasonal peak during the previous four like-Capability Periods, as recorded at the nearest weather station or on an auditable recording device at the generator site.  Value °F to tenths.
Test Temp (°F)	Number	N	For Generator PTIDs, this is the temperature measured at the top of the hour at the start of test.  For SCR Aggregation PTIDs, this value is null.  Value °F to tenths.
Per Curve (MW)	Number	Y	This value is calculated by temperature adjusting the 4 distinct MW readings, then averaging them. If a 1-hour test is required, then this field is the temperature-adjusted value. Optional additional information for generators that do not adjust their test data for temperature; enter the 1-hour test value.  Format 9999.9 (If specified, Valid values 0 to 9999.9)
Pre Test Rating (MW)	Number	N	Previous like-season Post Test Rating. If value is present from data within the ICAP Automated Market System, the value will be displayed automatically and cannot be modified.  Format 9999.9 (Valid values 0 to 9999.9)
Post Test Rating (MW)	Number	N	Final DMNC Rating of unit (temperature adjusted, if required) to be effective for the PTID.  Format 9999.9 (Valid values 0 to 9999.9)

Difference (MW)	Number	N	Difference between Post-Test Rating and Pre-Test Rating. Format 9999.9.
Test Begin SOC (MWh)	Number	N	Instantaneous measured State of charge data at the top of the hour for hour 1 Note: This field is only present for Energy Storage Resources.
Test End SOC (MWh)	Number	N	Instantaneous measured State of charge data at the end of the DMNC test. Note: This field is only present for Energy Storage Resources.
Total Storage Capability (MWh)	Number	N	Instantaneous measured Total Storage Capability at the top of the hour for hour 1. The energy injection capability of the facility (in MWh) when fully charged. Note: This field is only present for Energy Storage Resources.
Remarks	Text	N	Additional or informational text used by the supplier to contextualize the data (up to 100 characters).
Last Updated By	Text	N	User who made the last update.
Last Updated	Date  Mon dd, yyyy hh:mm:ss AM/PM	N	Date/Time of last update.
Demonstrated Capability (MW) – Hour 1	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 1. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Demonstrated Capability (MW) – Hour 2	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 2. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)



Demonstrated Capability (MW) – Hour 3	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 3. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Demonstrated Capability (MW) – Hour 4	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 4. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Demonstrated Capability (MW) – Hour 5	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 5. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 6	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 6. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 7	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 7. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 8	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 8. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 9	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 9. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 10	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 10. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).

Demonstrated Capability (MW) – Hour 11	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 11. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 12	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 12. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 13	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 13. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 14	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 14. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 15	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 15. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 16	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 16. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 17	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 17. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 18	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 18. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) –	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 19. The MW

Hour 19			net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 20	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 20. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 21	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 21. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 22	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 22. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 23	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 23. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) – Hour 24	Number	N	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 24. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9).
Demonstrated Capability (MW) - Average	Number	N	For Generator PTIDs, this is the average of the entered Demonstrated Capability values.  For SCR Aggregation PTIDs, this UCAP value is published from the DRIS.

The DMNC Results screen enables the User with the “DMNC” User privilege to Add DMNC Results for selected PTID Name, Test Date, and Effective Date,

**Figure 233: DMNC Results - Add DMNC Result Screen Section**

Screen Field	Data Type	Editable	Description
PTID Name	Text	Y	Select from list of Generator PTIDs and PTID Name. As of January 2012, DMNC for SCR Aggregation PTIDs will be sourced from the DRIS, not entered interactively by the RIP via this screen.
Test Date	Date	Y	Date when the test was executed (dd/mon/yyyy).
Effective Date	Date	Y	Date when the test is first effective (dd/mon/yyyy).  <ul style="list-style-type: none"> <li>▪ Effective Date cannot be for a month for which the Spot Market Auction has already been run.</li> </ul> <p>The DMNC Post Test Rating value is valid for this Auction date. Must be in the future and must be greater than the Date of Test. For example, if date of test = 07/15/2004, Effective Date could be set to 05/01/2005 to be effective for the May 2005 auction month. For an in-period test it must be in the future and greater than the existing Effective Date.</p> <p><b>Note:</b> If a second or subsequent test is entered for the same season, the effective date must be at least one day greater than the previous test date.</p> <p>Format (dd/Mon/yyyy)</p>
Begin Hour	Numeric	Y	Hour when test began. Select from list of values 0 through 23.
Starting Test Temperature (°F)	Number	Y	Temperature measured at the top of the hour at the start of the test period obtained from the applicable location (see above: Avg Amb Temp). Format 999.99 (Valid values -999.99 to 999.99)
Avg Amb Temperature (°F)	Number	Y	The average of the ambient temperatures recorded at the time of the Transmission District's seasonal peak during the previous four like-Capability Periods, as recorded at the nearest weather station or on an auditable recording device at the generator site.

Screen Field	Data Type	Editable	Description
Pre Test Rating (MW)	Number	Y	Previous like-season Post Test Rating. If value exists within the ICAP AMS, the value will be displayed automatically. Format 9999.9 (Valid values 0 to 9999.9)
Hour 1 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 1. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 2 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 2. This value can be omitted if the required test duration is only 1 hour. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 3 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 3. This value can be omitted if the required test duration is only 1 hour. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 4 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 4. This value can be omitted if the required test duration is only 1 hour. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 5 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 5. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)

Screen Field	Data Type	Editable	Description
Hour 6 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 6. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 7 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 7. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 8 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 8. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 9 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 9. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 10 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 10. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 11 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 11. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 12 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 12. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 13 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 13. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)

Screen Field	Data Type	Editable	Description
Hour 14 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 14. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 15 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 15. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 16 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 16. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 17 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 17. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 18 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 18. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 19 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 19. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 20 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 20. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 21 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 21. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)

Screen Field	Data Type	Editable	Description
Hour 22 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 22. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 23 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 23. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 24 (MW)	Number	Y	Integrated hourly average DMNC MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 24. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Per Curve (MW)	Number	Y	This value is calculated by temperature adjusting the 4 distinct MW readings provided above then averaging them. If a 1-hour test is required, then this field is the temperature-adjusted value. Optional additional information for generators that do not adjust their test data for temperature; enter the 1-hour test value. Format 9999.9 (If specified, Valid values 0 to 9999.9)
Test Rating (MW)	Number	Y	Final DMNC Rating of unit (temperature adjusted, if required) to be effective for the PTID. Format 9999.9 (Valid values 0 to 9999.9)
Test Begin SOC (MWh)	Number	N	Instantaneous measured State of charge data at the top of the hour for hour 1 Note: This field is only present for Energy Storage Resources.
Test End SOC (MWh)	Number	N	Instantaneous measured State of charge data at the end of the DMNC test. Note: This field is only present for Energy Storage Resources.
Total Storage Capability (MWh)	Number	N	Instantaneous measured Total Storage Capability at the top of the hour for hour 1. The energy injection capability of the facility (in MWh) when fully charged. Note: This field is only present for Energy Storage Resources.



Screen Field	Data Type	Editable	Description
Remarks	Text	Y	Additional or informational text used by the supplier to contextualize the data up to 100 characters).

The DMNC Results screen enables the User with the “DMNC” User privilege to update only the Remarks field for existing DMNC Results while Status is ‘Undecided’.

The DMNC Results screen displays Add, Edit, and Delete Controls. It also displays Download DMNC and Upload DMNC process triggers as follows:

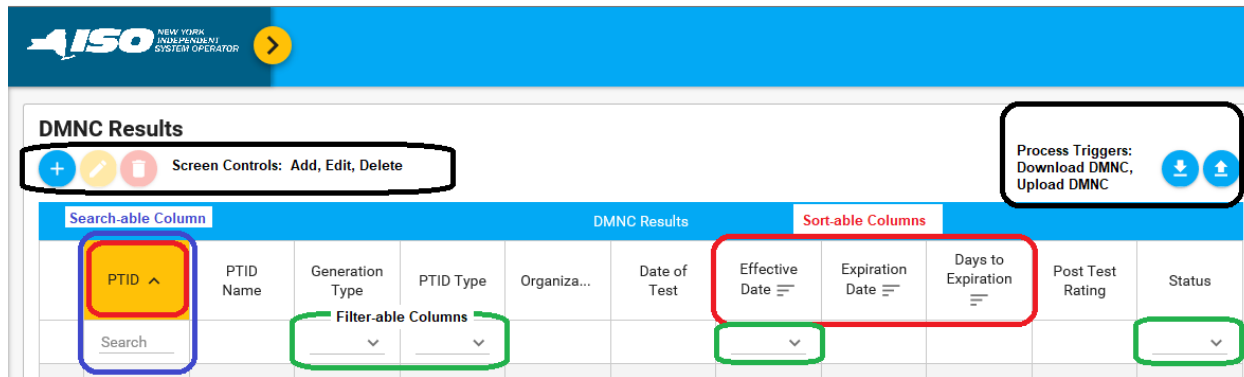
**Figure 234: DMNC Results - Edit DMNC Result Screen Section**

Screen Field	Data Type	Editable	Description
Remarks	Text	Y	For selected DMNC Result that has Status = ‘Undecided’, MP user with DMNC Role may edit the Remarks.
Add	Control		MP with DMNC Role can Add DMNC Result
Edit	Control		MP with DMNC Role can update Remarks on selected ‘Undecided’ DMNC Result
Delete	Control		MP with DMNC Role can Delete selected ‘Undecided’ DMNC Result
Download	Process Trigger		MP can Download DMNC Results for specified Capability Period.  See Section <a href="#">14.6</a> .
Upload	Process Trigger		MP with DMNC Role can Upload DMNC Results from specified DMNC Upload file.  See Section <a href="#">14.6</a> .

### 11.1.2. Filtering DMNC Test Results

The top field headers row of the DMNC Results tabular section can be used to Search, Filter, and Sort tabular DMNC Results. Screen Controls for Add, Edit, and Delete DMNC Results are displayed in the upper left above the tabular. Process Triggers for Download DMNC and Upload DMNC are displayed in the upper right above the tabular.

Figure 235: Filters and Controls Screen Sections



### 11.1.3. Viewing DMNC Results

Market Participants may view the View DMNC Result tabular and the DMNC Result Details for selected DMNC Result.

Figure 236: DMNC Results – View DMNC Result

DMNC Results										
PTID	PTID Name	Generation Type	PTID Type	Organization	Date of Test	Effective Date	Expiration Date	Days to Expiration	Post Test Rating	Status
Search		COMBINED				Winter 2018-2019				
> 12345	BV CC 1	COMBINED CYCLE	Internal	Big Valley Gen Co	Jan 16, 2018	Nov 1, 2018	Apr 30, 2019	-261	162.7	APPROVED
> 22222	BV CC 2	COMBINED CYCLE	Internal	Big Valley Gen Co	Jan 7, 2018	Nov 1, 2018	Apr 30, 2019	-261	260.0	APPROVED
> 34343	BV CC 3	COMBINED CYCLE	Internal	Big Valley Gen Co	Jan 17, 2018	Nov 1, 2018	Apr 30, 2019	-261	260.0	APPROVED

**Figure 237: DMNC Results – View DMNC Result Details for selected PTID**

12345	BV CC1	COMBINED CYCLE	Internal	Big Valley Gen Co	Jun 19, 2015	May 1, 2016	Oct 31, 2016	-100	135.5		APPROVED										
<b>Begin Hour:</b> 1 <b>Average Ambient Temp(°F):</b> 92 <b>Test Temp(°F):</b> 66 <b>Per Curve(MW):</b> 135.5 <b>Pre Test Rating(MW):</b> 133.8 <b>Post Test Rating(MW):</b> 135.5 <b>Difference(MW):</b> 1.7 <b>Remarks:</b> <b>Last Updated By:</b> NYISO		<b>Demonstrated Capability</b> <table border="1"> <thead> <tr> <th>Hour 1</th> <th>Hour 2</th> <th>Hour 3</th> <th>Hour 4</th> <th>Average</th> </tr> </thead> <tbody> <tr> <td>142</td> <td>142.7</td> <td>142.6</td> <td>142.1</td> <td>142.4</td> </tr> </tbody> </table>										Hour 1	Hour 2	Hour 3	Hour 4	Average	142	142.7	142.6	142.1	142.4
Hour 1	Hour 2	Hour 3	Hour 4	Average																	
142	142.7	142.6	142.1	142.4																	
<b>Last Updated:</b> Jul 7, 2015 02:12:24 PM																					

### 11.1.4. Entering DMNC Results

Market Participants with DMNC Role may Add DMNC Result by clicking the Add control and entering and saving data via the Add DMNC Result input panel.

**Figure 238: DMNC Results – Add DMNC Result**

**Add DMNC Result** ^

Select PTID v

Test Date

Effective Date

Begin Hour  
0 v

Starting Test Temperature (°F) \_\_\_\_\_

Average Ambient Temperature (°F) \_\_\_\_\_

Pre Test Rating (MW) \_\_\_\_\_

Hour 1 (MW) \_\_\_\_\_

Hour 2 (MW) \_\_\_\_\_

Hour 3 (MW) \_\_\_\_\_

Hour 3 (MW) \_\_\_\_\_

Hour 4 (MW) \_\_\_\_\_

Hour 5 (MW) \_\_\_\_\_

Hour 6 (MW)

---

Hour 7 (MW)

---

Hour 8 (MW)

---

Hour 9 (MW)

---

Hour 10 (MW)

---

Hour 11 (MW)

---

Hour 12 (MW)

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Hour 13 (MW)

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Hour 14 (MW)

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Hour 15 (MW)

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Hour 16 (MW)

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Hour 17 (MW)

---

Hour 18 (MW)

---

Hour 19 (MW)

---

Hour 20 (MW)

---

Hour 21 (MW)

---

Hour 22 (MW)

---

Hour 23 (MW)

---

Hour 24 (MW)

---

Per Curve (MW)

---

Post Test Rating (MW)

---

Remarks



The DMNC Result data will be validated according to the following validation rules:

- Effective Date is a required field. The date must be greater than the System date and cannot be for the same month as the Date of Test field month.
- Effective Date cannot be for a month for which the Spot Market Auction has already been run.
- PTID Name, Date of Test, Begin Hour, and Post Test Rating are required.
- Pre Test Rating is not required and system value can be overridden by the user.
- The number of entries of demonstrated MW test hours used to demonstrate MW must be equal to or greater than the Minimum Number of Test Hours required based on Generation Type (see [Figure 239](#)).
- Generation Type is used to determine if (Y/N) Average Ambient Temperature and Starting Test Temperature are required fields (see [Figure 239](#)).

**Figure 239: Generation Type to Test Hours Cross-Reference**

Generation Type	Minimum Number of Test Hours	Avg Amb Temp & Test Temp Required
Combined Cycle	4	Y
Combustion	1	Y
Electrochemical Storage	1	N
Fossil Fuel	4	N
Hydro	4	N
LCRoR	1	N
Nuclear Steam	4	N
Other	Varies	N
Other Storage	4	N
Solar	1	N
Wind	1	N

Market Participants with the DMNC Role must enter all generator DMNC Results into the System via the DMNC Results screen or via the DMNC Upload. Results that have been saved and successfully validated will appear in the DMNC Results screen section. However, the NYISO will not automatically approve all test results for use in an upcoming auction. DMNC Results have visual indications if they violate either of two

conditions. If the Post Test Rating is greater than the Pre Test Rating, a red icon is displayed in the Post Test Rating field. If Market Participants enter “Out-of-Period” DMNC Results, a blue icon is displayed in the Date of Test field. Only tests results that have been approved by the NYISO will be used in the certification process. Note that Pre Test Rating is not required and can be overridden by the user.

The initial DMNC submission for each Energy Duration Limited Resources must contain a number of test hours equal to the duration limit that the resource has elected. After Approval, subsequent DMNC submissions must contain a minimum number of hours as determined by a resource’s Generation Type (see [Figure 239](#)). Energy Duration Limited Resources must test within their Seasonal Peak Load Window. Non-Energy Duration Limited resources may test at any time of day.

#### **11.1.5. Entering DMNC Result for an SCR**

As of January 2012, DMNC for SCR Aggregation PTIDs will be sourced automatically from the DRIS, not entered interactively by the RIP via the DMNC Results screen. However, the RIP may still view SCR Aggregation PTID DMNC UCAP values via the DMNC Results and Monthly DMNC screens.

#### **11.1.6. Entering DMNC Result for an Aggregation**

DMNC for Aggregation PTIDs will be sourced automatically from the Aggregation System, and will not be entered interactively by the Aggregator via the DMNC Results screen. However, the Aggregator may still view DER Aggregation PTID DMNC values via the View Monthly DMNC screen.

#### **11.1.7. Entering Effective Dates**

Users may enter an Effective Date in the future by selecting the calendar icon directly adjacent to the Effective Date field on the Add DMNC Result input screen.

#### **11.1.8. Entering Pre-Test Ratings**

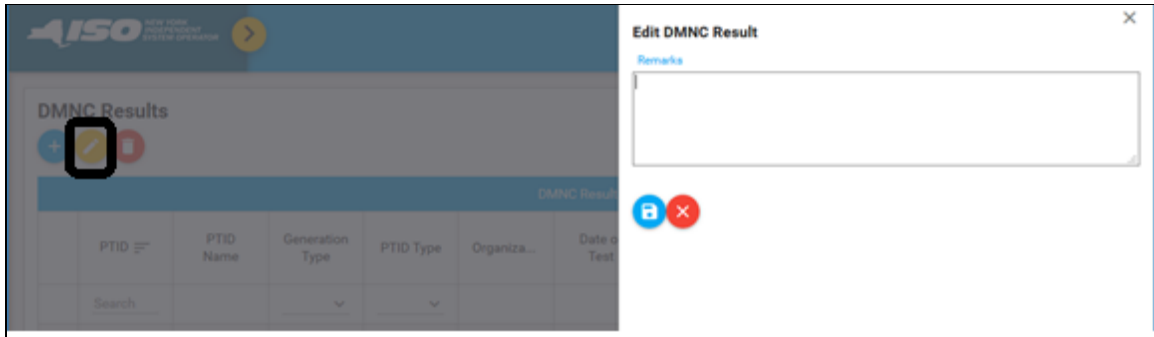
If a previous like Capability Period Post-Test Rating does not exist, the Pre-Test Rating field on the Add DMNC Result input screen will be blank and editable. Market Participants must manually enter this data into the field. A new generator's Pre Test Rating will be 0.0.

If a previous like Capability Period Post-Test Rating does exist, the Pre-Test Rating field will be automatically populated by the system on the Add DMNC Result input screen.

### 11.1.9. Modifying Remarks

After Market Participants with DMNC Role enter and save DMNC data, they can view data and modify and save the Remarks field using the Edit control and the Edit DMNC Results screen section for DMNC Results that have not been Approved or Rejected by the NYISO.

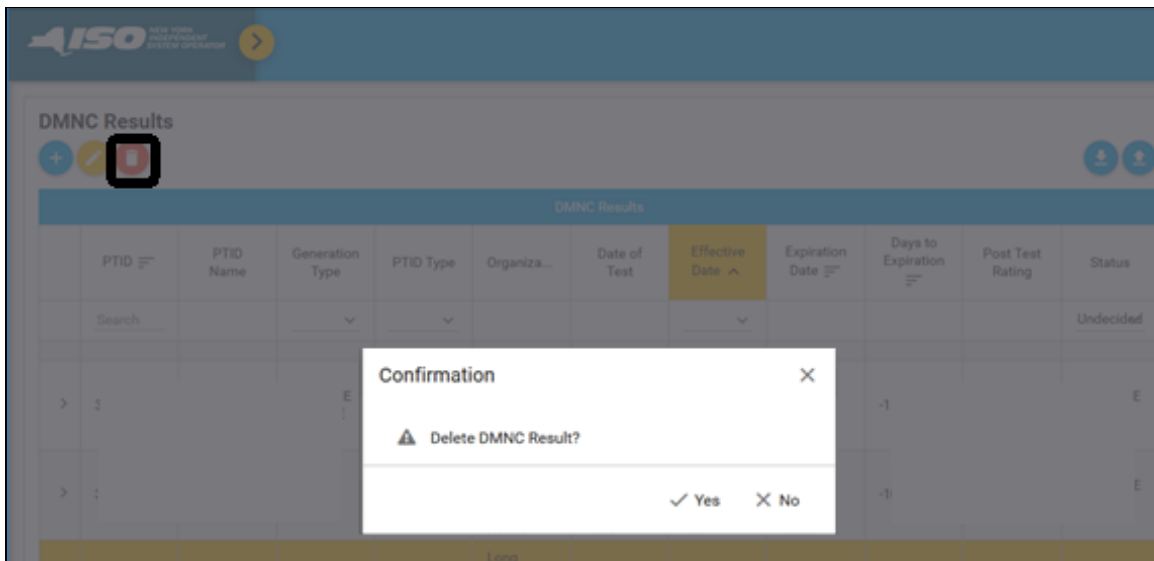
**Figure 240: DMNC Results –Edit DMNC Result**



### 11.1.10. Deleting DMNC Results

Users may delete DMNC Results data directly from the DMNC Results screen using the Delete control if the NYISO has not Approved or Rejected the selected test results.

**Figure 241: DMNC Results –Delete DMNC Result**



### 11.1.11. Upload/Download DMNC Results - Navigation Menus

User navigates either to the Upload/Download screen or the DMNC Results screen.

Note: For Energy Duration Limited Resources and Energy Storage Resources, DMNC upload and download requests must be submitted on the 'DMNC Results' screen.

Note: For all other resources, DMNC upload and download requests can be submitted on either the 'DMNC Results' screen or via the 'Upload/Download' screen.

**Figure 242: DMNC Results – Navigate to Upload/Download or DMNC Result screens**





- Auction ▼
- Mitigation ▼
- Certify ▼
- Bids/Offers ▼
- Load Forecast ▼
- Calendar ▼
- Rights ▼
- Derating Factor ▼
- DMNC ▲
- View Monthly DMNC
- Maintain DMNC Results
- Upload DMNC Results
- SCR ▼
- Billing ▼
- Upload/Download


**DMNC Results**

+ -

DMNC Results											
PTID <span style="float: right;">▲</span>	PTID Name	Generation Type	PTID Type	Organiza...	Date of Test	Effective Date <span style="font-size: small;">📅</span>	Expiration Date <span style="font-size: small;">📅</span>	Days to Expiration <span style="font-size: small;">📅</span>	Post Test Rating	Status	
Search <input type="text"/>		<span style="float: right;">▼</span>	<span style="float: right;">▼</span>			<span style="float: right;">▼</span>				<span style="float: right;">▼</span>	

**Figure 243: DMNC Results –Upload or Download DMNC Result Request**

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[Auction](#)   [Mitigation](#)   [Certify](#)   [Bids/Offers](#)   [Load Forecast](#)   [Calendar](#)   [Rights](#)   [Derating Factor](#)   [DMNC](#)   [SCR](#)   [Billing](#)   [Upload/Download](#)

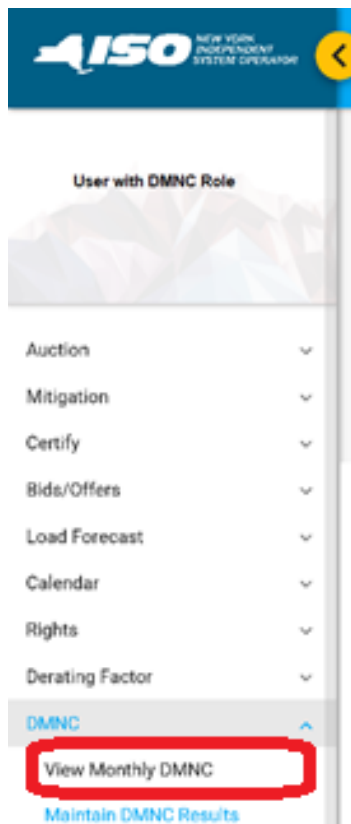
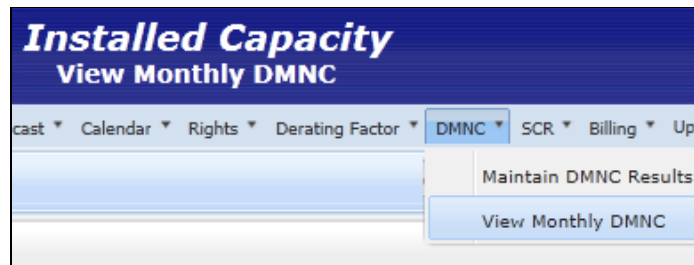
---

File name:

## 11.2. How to View Monthly DMNC Test Results

This functionality allows Users to view **DMNC** “active” data (“active” denoting test results that are in effect) for each month in a selected Capability Period. Users may access the View Monthly DMNC option from the DMNC Menu:

**Figure 244: View Monthly DMNC – Navigation Menus**



**11.2.1. Screen Descriptions**

The Monthly DMNC screen described in this section allows the user to Filter, Sort, and View Monthly DMNC. The fields and associated descriptions for the filter and the Filter and Sort screen sections are listed below:

**Figure 245: Monthly DMNC - Filter Screen Section**

Screen Field	Data Type	Editable	Description
Season	Text	Filter	Select from a list of Capability Periods. Indicates the Season in which the DMNC data is effective.
Organization	Text	N	Market Participant's name.
PTID Type	Text	Filter/ Sort	<p>Select PTID Type.</p> <p>Range of values: "Internal", "External", "SCR", "DER". Leave unspecified to select "All".</p> <p>As of January 2012, ICAP values for SCR Aggregation PTIDs are sourced from the DRIS System, but can be viewed by the RIP via this screen for any period during which it is/was authorized.</p> <p>DER Aggregation DMNC data is sourced from the Aggregation System, and may be viewed by the Aggregator via this screen.</p>
Generation Type	Text	Filter/ Sort	<p>Select from a list of valid Generation Types.</p> <p>Range of values: "Combined Cycle", "Combustion", "Electrochemical Storage", "Fossil Fuel", "Hydro", "LCRoR Hydro", "Nuclear Steam", "Other", "Other Storage", "Solar", "Wind". Leave unspecified to select "All".</p> <p>For the purpose of this filter, SCR is Generation Type "Other", and Landfill Gas is Generation Type "Combustion".</p>
PTID	Number	N	PTID Number
PTID Name	Text	N	PTID Name
Monthly DMNC for Auction Months (Mon/yyyy) of Selected Season			
Month 1 (Header)			First Auction Month of Selected Season
Month 2 (Header)			Second Auction Month of Selected Season

Screen Field	Data Type	Editable	Description
Month 3 (Header)			Third Auction Month of Selected Season
Month 4 (Header)			Fourth Auction Month of Selected Season
Month 5 (Header)			Fifth Auction Month of Selected Season
Month 6 (Header)			Sixth Auction Month of Selected Season

**Figure 246: Monthly DMNC – View Monthly DMNC Tabular Screen Section**

Screen Field	Data Type	Editable	Description
Organization	Text	N	Market Participant name.
PTID Type	Text	N	PTID Type Range of values: 'Internal', 'External', 'SCR', 'DER'
Generation Type	Text	N	Generation Type associated with the Generator PTID. Range of values: "Combined Cycle", "Combustion", "Electrochemical Storage", "Fossil Fuel", "Hydro", "LCRoR Hydro", "Nuclear Steam", "Other", "Other Storage", "Solar", and "Wind".  For the purpose of this filter, External Resource is Generation Type "Other", Run of River Hydro is Generation Type "Hydro", ESR is Generation Type "Storage", and Landfill Gas is Generation Type "Combustion".  This will be null for SCR Aggregation PTIDs.
PTID	Number	N	PTID Number
PTID Name	Text	N	Gen, SCR Aggregation, DER Aggregation or SRT Aggregation PTID Name.
Auction Month (Header)	Date Mon/yyyy	N	All Auction Months in selected season
Date of Test	Date Mon dd, yyyy	N	For Generator PTIDs, this is the date test was executed.

			<p>For SCR Aggregation PTIDs, this is the DRIS Aggregation Management Close Date for the Effective Auction Month published from DRIS.</p> <p>For DER Aggregation and SRT Aggregation PTIDs, this is the Date that the AGG DMNC data was brought over from the Aggregation System.</p>
Rating	Number	N	DMNC Post-Test Rating (ICAP MW for Generators, LMs, and Munis; UCAP for SCRs)

### 11.2.2. Viewing and Filtering Monthly DMNC Results

Market Participants may select Season (Capability Period in which DMNC Ratings are to be effective). The Monthly DMNC screen is populated with existing data for each month of the selected season. For example, if “Summer 2003” is selected, the System would display data for May 2003 through October 2003.

**Figure 247: Monthly DMNC - Filter Screen Section**

Monthly DMNC Results										
Organization	PTID Type	Generation Type	PTID	PTID Name	Season <u>Winter 2018-2019</u> ▼					
	<u>Internal</u> ▼	▼			Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	Apr 2019

Market Participants may Filter by PTID Type and Generation Type. If a filter is not selected by the user, then the System displays all Monthly DMNC for all PTID Types and all Generation Types.

The Monthly DMNC data includes the Date of Test and the DMNC Rating. In the example below, the DMNC Test effective for May/2018 and Jun/2018 Auction Months was performed on Aug 1, 2017. The DMNC Test effective for Jul/2018 - Oct/2018 was performed on June 2, 2018.

**Figure 248: Monthly DMNC - View Monthly DMNC Screen Section**

Monthly DMNC Results										
Organizat...	PTID Type	Generation Type	PTID	PTID Name	Season <u>Summer 2018</u> ▼					
▼	<u>Internal</u> ▼	▼			May 2018	Jun 2018	Jul 2018	Aug 2018	Sep 2018	Oct 2018
<b>Big Valley Gen Co</b>	Internal	<b>COMBINED CYCLE</b>	<b>12345</b>	<b>BV CC1</b>	Aug 1, 2017	<b>Date of Test</b>	Jun 2, 2018			
					334.7	334.7	335.4	335.4	335.4	335.4

## 12. Billing

This section describes how to view and maintain billing information related to consolidated billing.

The following functions are described:

- How to Maintain Daily Forecasted Load and Actual True-Up Load
- How to View Daily Forecasted Load and True-up Load
- How to View Load Shift Billing Adjustments
- How to View Consolidated Billing

Upload/download templates for daily load data are described in Section [14.2](#) of this Users' Guide.

### 12.1. How to Maintain Daily Forecasted Loads and Actual True-Up Loads

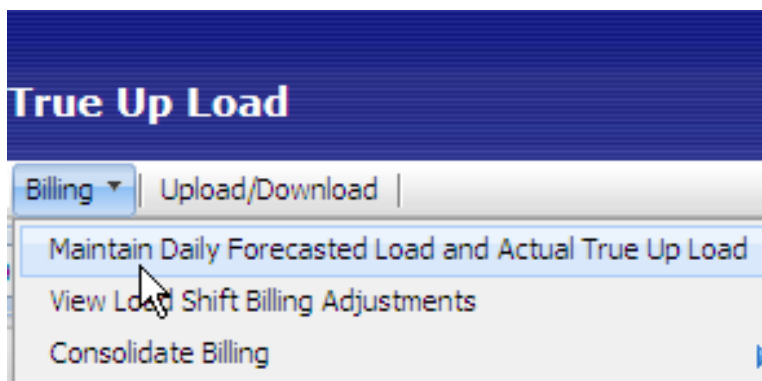
The upload template detailed in Section [14.4](#) allows Transmission Owners (TOs) to record and maintain load shift and true-up load shift in the ICAP Automated Market.

LSEs may also view their own daily loads for a selected month and year using the screens described in this section. Users may also enter and maintain this daily load data directly through the Web interface.

**Note:** The screen described in this section will be read-only for all non-TO Users and also TO Users without the “Maintain TO Data” privilege.

Users may access the “Maintain Daily Forecasted Load and Actual True Up Load” screen from the Billing Menu:

**Figure 249: Maintain Daily Forecasted Load and Actual True Up Load**



### 12.1.1. Screen Descriptions

**Figure 250: Maintain Daily Forecasted Load - Filter Screen Section**

Screen Field	Data Type	Editable	Description
Transmission Owner	Text	Y	For TOs, displays the currently logged in organization (not modifiable). For LSEs, select from a list of associated TOs.
LSE	Text	Y	For TOs, select from a list of valid LSEs associated with the TO. For LSEs, displays the currently logged-in LSE (not modifiable)
Season	Text	Y	Select from a list of Seasons.
Load Month	Text	Y	Select from a list of months.
Location	Text	Y	Select from a list of locations (some TO/LSE Location combinations may not be valid).

**Figure 251: Maintain Daily Forecasted Load Daily Loads Screen Section**

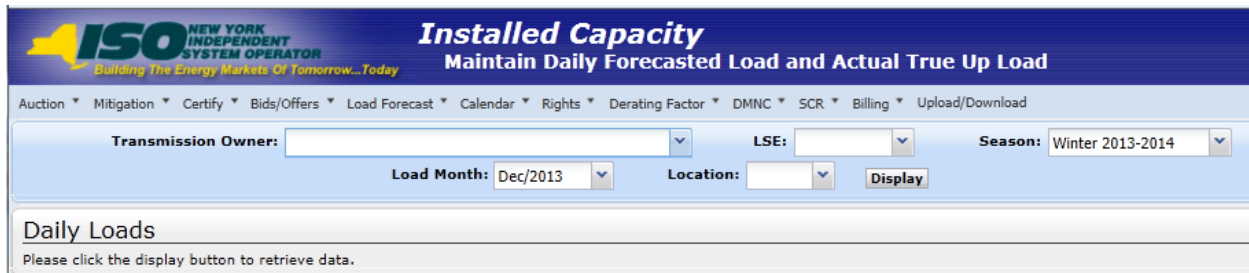
Screen Field	Data Type	Editable	Description
Day	Number	N	Displays all days of the selected month
Forecast MW	Number	Y	Daily load value (MW) for each day for the location for the selected month to be used for initial load-shift adjustments (3 decimals).
True-up MW	Number	Y	Daily load value (MW) MW for each day for the location for the selected month to be used for final true-up load-shift (3 decimals).
Last Updated By	Text	N	User that last updated row.
Last Update Date	Date	N	Date row was last updated.

### 12.1.2. Maintaining LSE Daily Forecasted Load and Actual True-Up Load

Users select Transmission Owner, LSE, Season, Load Month, and Location filters and then click the “DISPLAY” button:



**Figure 252: Maintain Daily Forecasted Load and Actual True Up Load Filter Screen Section**



The following screen, showing daily forecasted load and true-up load, sorted chronologically, will display:

**Figure 253: Daily Loads Screen Section**

Daily Loads				
Day	Forecast	Trueup	Last Updated By	Last Update Date
1				02-Mar-2009 04:19 PM
2				02-Mar-2009 04:19 PM
3				02-Mar-2009 04:19 PM
4				02-Mar-2009 04:19 PM
5				02-Mar-2009 04:19 PM
6				02-Mar-2009 04:19 PM
7				02-Mar-2009 04:19 PM
8				02-Mar-2009 04:19 PM

TOs may enter and modify daily forecasted and true-up load forecasts (excluding fixed loads) through this screen. Fixed-load data is entered and maintained by the NYISO and should not be reported by the TOs.

**Note:** This screen is “view-only” access for LSEs.

If the load forecast submittal period is open, the TOs can enter and maintain this data. If the true-up submittal period is open, then the TOs can enter and maintain this data. Users may save any changes by clicking the “SAVE” button after entering modifications. The “SAVE” button is displayed in [Figure 254](#).

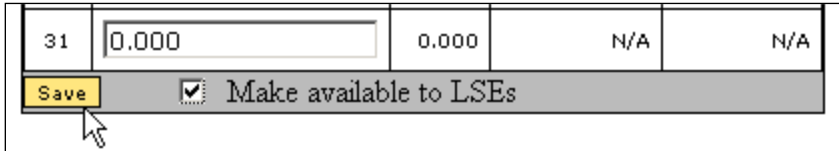
Load data numbers for “TD” Locations must be the total load number for the Transmission District (not just the load that resides outside a Locality (In-City, On-Island or In-GHI)). For example, if an LSE has 10 MW of total load In-City and 2 MW outside of NYC but still in the Consolidated Edison Transmission District, the load data would be reported as TD = 12 MW, In-City = 10 MW.

Transmission District data should be entered before Location data as the System ensures TD values are greater or equal to the sum of Location values.

### 12.1.3. Transmission Owners Can Allow LSEs to View Data

TOs can allow LSEs to view daily forecasted and actual true-up load data. In order to do so, TOs should select the Make Available to LSEs check box and then click the “SAVE” button, as shown in [Figure 254](#).

**Figure 254: TO Allow LSEs to View Load Data**



31	0.000	0.000	N/A	N/A
<input type="button" value="Save"/> <input checked="" type="checkbox"/> Make available to LSEs				

However, TOs cannot selectively block one or more individual LSEs from viewing the data; the TO can either allow all or allow none of the LSEs associated with it to view the LSEs own data. If the TO allows LSEs to view data, each LSE can only view its own data.

## 12.2. How to View Daily Forecasted Load and True-up Load

### 12.2.1. Screen Descriptions (Screen is accessible Only to Transmission Owners)

**Figure 255: View Load Adjustments Filter Screen Section**

Screen Field	Data Type	Editable	Description
Transmission Owner	Text	N	Displays the TO organization currently logged-in.
Type	Text	Y	Select from list of Forecasted and True Up.
Season	Text	Y	Selection list of Capability Periods.
Load Month	Text	Y	Select from list of months.
Location	Text	Y	Select from list of applicable locations (“TD”, “In-City”, “In-GHIJ”, “On-Island”).

**Figure 256: View Load Adjustments Screen Section**

Screen Field	Data Type	Editable	Description
LSE	Text	N	All LSE’s associated with the TO.
Location	Text	N	Location of LSE load forecast.
Total Load MW	Number	N	Total adjusted load MW. (Load forecast (excluding fixed load) plus weighted average load shift or weighted average true-up load shift.)

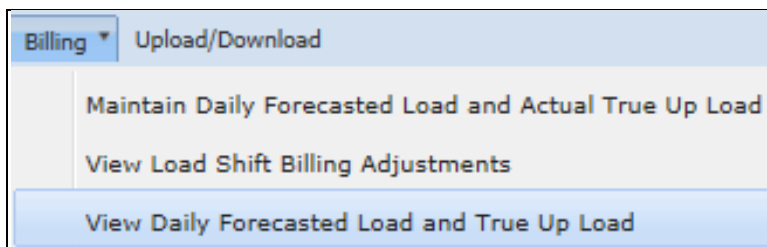
Screen Field	Data Type	Editable	Description
Total Load Shift MW	Number	N	Monthly forecast load minus load for last day of month, (not the shift).

### 12.2.2. Viewing Daily Forecasted Load and True-Up Load Summary

The functionality described in this section allows TOs to verify that the sum of all load adjustments (forecasted load or true-up) for all their LSE's within each location net to zero. As described in Section [12.1](#), the TO can only enter and view forecasted loads and true-up loads by LSE and location. This screen's functionality can be used to verify that the information entered and displayed on the "Maintain Daily Forecasted Load and Actual True-up Load" screen is accurate and complete. TOs may confirm that their daily forecasted load adjustments and their True-up Load adjustments are in balance by location before the billing process is executed.

Transmission Owner Users can select this screen from the Billing Menu:

**Figure 257: Billing Menu**



The following screen will appear:

**Figure 258: View Daily Forecasted Load and True Up Load**

Users should select Type, Season, Load Month, and Location filters, and then click the “**DISPLAY**” button. The resulting screen will display MW adjustments for the LSE, Type, Load Month, and Location selected.

### 12.3. How to View Load Shift Billing Adjustments Details

TOs and Load Serving Entities can view load shift data that is used to calculate billing adjustments. TOs may view data for all associated LSEs, whereas LSEs may only view data for their own organization. This functionality is available through the following Billing Menu option:

**Figure 259: Load Shift Billing Adjustment Details**

### 12.3.1. Screen Descriptions

**Figure 260: Load Adjustment Billing Details Filter Screen Section**

Screen Field	Data Type	Editable	Description
Transmission Owner	Text	Y	For TOs, displays the currently logged in organization (not modifiable). For LSEs, select from a list of associated Transmission Owners.
LSE	Text	Y	For TOs, select from a list of valid LSEs associated with the TO. For LSEs, displays the currently logged-in LSE (not modifiable)
Type	Text	Y	Select from list of Forecasted and True-up.
Season	Text	Y	Selection list of Capability Periods.
Month	Text	Y	Select from a list of months within the selected Season.
Location	Text	Y	Select from list of locations (TD, In-City, On-Island, or In-GHIJ). Some TO/LSE/Location combinations may not be valid.

**Figure 261: Load Adjustment Billing Details Screen Section**

Screen Field	Data Type	Editable	Description
Day	Date	N	List of days within the selected month.
Load MW	Number	N	Daily Load for the day of the selected month for the selected LSE for the selected location and Type (display 3 decimals).
Load Adjustment MW	Number	N	Change in load from previous day.
Weighted Load Adjustment MW	Number	N	Weighted average load shift or true-up load shift.

### 12.3.2. Viewing Load Shift Billing Adjustments Details

After selecting View Load Shift Billing Adjustments from the Billing Menu option displayed in [Figure 259](#), the following screen will appear:

**Figure 262: View Load Shift Billing Adjustments Details Filter Screen Section**



To display data, Users should select TO, LSE, the Type of load shift (Forecasted or True-up), Season, Month, and the Location, and click the “**DISPLAY**” button. The following screen will display load shift details ordered chronologically:

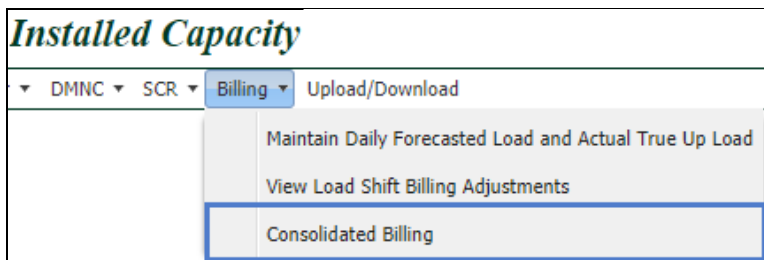
**Figure 263: Load Adjustment Billing Details Screen Section**

Load Adjustment Billing Details				
Day	Load MW	Load Adjustment MW		Weighted Load Adjustment MW
01-May-2013	3,014.291		7.191	222.921
02-May-2013	3,014.458		0.167	5.010
03-May-2013	3,014.259		-0.199	-5.771
04-May-2013	3,014.296		0.037	1.036
05-May-2013	3,014.327		0.031	0.837
06-May-2013	3,014.021		-0.306	-7.956
07-May-2013	3,014.232		0.211	5.275

## 12.4. How to View Consolidated Billing

Market Participants may view the ICAP portion of their monthly Consolidated Invoice (CI) through the ICAP Market Automation interface. Where the CI displays ICAP charges as a single amount, the consolidated billing screens in the ICAP market automation display all intermediary charges including auction results, and calculated billing adjustments due to Load Shifting, True-ups, and manual adjustments. Data may be viewed in either summary or detailed modes. Each option is available from the Consolidate Billing option located on the Billing Menu:

**Figure 264: Consolidated Billing**



### 12.4.1. Screen Descriptions

**Figure 265: Consolidated Billing Summary Screen Section**

Screen Field	Data Type	Editable	Description
Delivery Month	Text	N	Delivery Month of the Summary row Default filter is to the current month/year User may search Delivery Month by typing in search field in column header.
Billing Organization	Text	N	Organization that will be billed. User may search Billing Org by typing in search field in column header.
Billing Organization ID	Number	N	Organization ID associated with the Billing Organization for the Month of the Summary row User may search Billing Org ID by typing in search field in column header.
Market Participant	Text	N	MP Name that is the Billing Org. If the MP selected is a Billing Org, all MPs are shown that have the MP Name as its parent Billing Org. User may search Market Participant by typing in search field in column header.
Strip Auction	Number	N	Net Strip auction award amount for the MP for the month (purchases – sales).
Monthly Auction	Number	N	Net Monthly auction award amount for the MP for the month (purchases – sales).
Spot Auction	Number	N	Net Spot auction award amount for the MP for the month (purchases – sales).
Supplemental Auction	Number	N	Supplemental auction amount for the MP for the month. (0 - sales).
Auction Total	Number	N	Total auction award amount for the MP for the month. Sum of Strip, Monthly, Spot, and Supplementary.
Load Shift Adjustments	Number	N	Total forecasted load shift billing adjustment for the MP for the month.
Load True-up Adjustments	Number	N	Total true-up load shift billing adjustment for the MP for the month (Adj. Is calculated for the 3 months prior).
LS Rebates	Number	N	Sum of load shift mitigated rebates for the MP for the selected month. Displays only for historic dates prior to Summer 2008.

Screen Field	Data Type	Editable	Description
TU Rebates	Number	N	Sum of adjusted TU mitigated rebates for the MP (for the month that is 3 months prior to the selected month). Displays only for historic dates prior to Summer 2008.
Adjustments Total	Number	N	Manual adjustments for the MP for the month.
Total Billed	Number	N	Total amount billed to the MP for the month.
Action	Button	N	PDF button allows the Consolidated Billing Details for the month to be downloaded as a PDF. Download button allows the Consolidated Billing Report for the Capability Period to be downloaded as an Excel document.

**Figure 266: Consolidated Billing Detail Screen Sections for Excel and PDF document**

Screen Field	Data Type	Editable	Rule
MP Name	Text	N	MP Name of the downloaded MP's Consolidated Billing Details PDF file.
Date Generated	Text	N	Date the PDF file was generated.
Delivery Month	Text	N	Delivery month details that are in the Consolidated Billing PDF file that was generated for.

**Figure 267: For each Auction (Strip, Monthly, Spot, and Supplemental) for Excel and PDF document**

Screen Field	Data Type	Editable	Rule
Purchased \$	Number	N	$\text{Purchased MW} * \text{Clearing } \$/\text{KW} * 1000$ (does not appear for the Supplemental Auction).
Sold \$	Number	N	$\text{Sold MW} * \text{Clearing } \$/\text{KW} * 1,000 * -1$ .
Total Auction \$	Number	N	$\text{Purchased } \$ + \text{Sold } \$$ (sold \$ always negative).

**Figure 268: Load Shift for Excel and PDF document**

Screen Field	Data Type	Editable	Rule
MW	Number	N	Load Shifted Adjusted UCAP MW.
Clearing \$/kW	Number	N	MCP of the spot auction of the load shift month
Total Load Shift \$	Number	N	$\text{MW} * \text{Clearing } \$/\text{kW} * 1000$ .



**Figure 269: Load Shift True Up for Excel and PDF document**

Screen Field	Data Type	Editable	Rule
TU MW	Number	N	True-up Load Shifted adjusted UCAP MW for the month 3 months prior to the selected month.
Org MW	Number	N	Load Shifted adjusted UCAP MW for the month 3 months prior to selected month.
Shift MW	Number	N	TU MW – Org MW
Clearing \$/kW	Number	N	MCP of the spot auction for the month 3 months prior to the selected month
Total Load Shift True Up \$	Number	N	Shift * Clearing \$/kW * 1000.

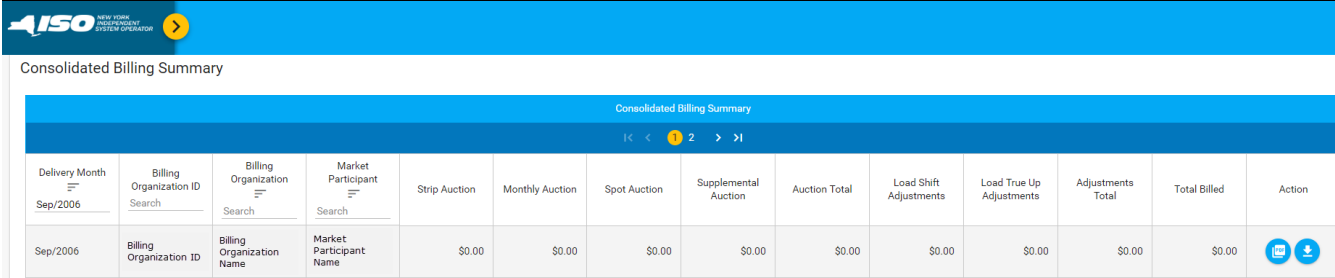
**Figure 270: Special Adjustments for Excel and PDF document**



Screen Field	Data Type	Editable	Rule
Mitigated Capacity Rebate	Number	N	Sum of mitigated capacity rebates for the MP for the selected month.
Mitigated Rebate TU Adjustment	Number	N	TU mitigated rebate for the MP for the month that is 3 months prior to the selected month minus the LS Rebate for the month that is 3 months prior to the selected month.
Manual Adjustments	Number	N	Total Manual Adjustments amount (Shown under the ROS column.)
Total Special Adjustment \$	Number	N	Mitigated Capacity Rebate + Mitigated Rebate TU Adjustment + Manual Adjustments.
GRAND TOTAL	Number	N	Sum of all subtotal dollar amounts.

#### 12.4.2. Viewing the Consolidated Billing Summary

Selecting the Consolidate Billing option from the Billing Menu will display the Consolidated Billing Summary screen within the Billing Module.

**Figure 271: Consolidated Billing Summary**



Delivery Month	Billing Organization ID	Billing Organization Name	Market Participant Name	Strip Auction	Monthly Auction	Spot Auction	Supplemental Auction	Auction Total	Load Shift Adjustments	Load True Up Adjustments	Adjustments Total	Total Billed	Action
Sep/2006				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	 

### 12.4.3. Searching Consolidated Billing Summary

On the Consolidated Billing Summary screen, Users may search by Delivery Month, Billing Organization ID, Billing Organization name, or Market Participant name, as shown below in [Figure 272](#) Consolidated Billing Summary Screen – Searchable Fields.

In order to search by Delivery Month, Users must first click on the Delivery Month search field circled in red below in [Figure 272](#), which defaults to display the current calendar month and year. Once selected, the search field will be underlined in blue. If displayed, Users must clear the existing Mon/YYYY in the search field. Users may now type the desired month and year in the search field using the following format: Mon/YYYY. The search feature requires the first three letters of the desired Month (Mon) followed by a slash (/) and then all four numbers of the desired year (YYYY) The search feature is not case-sensitive and the User should not include spaces.

In order to search by Billing Organization ID, Billing Organization name, or Market Participant name, Users will follow the same initial steps described above for searching by Delivery Month. For both the Billing Organization name and the Market Participant name, Users are not required to use a specific format when typing in the search field and the search feature is not case-sensitive. For the Billing Organization ID search, Users must enter numbers into the search field.

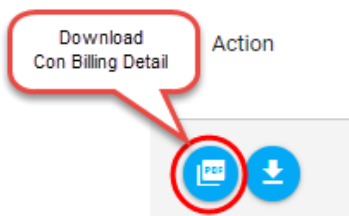
**Figure 272: Consolidated Billing Summary Screen – Searchable Fields**

Consolidated Billing Summary			
Delivery Month <input type="text" value="Sep/2006"/>	Billing Organization ID <input type="text" value="Search"/>	Billing Organization <input type="text" value="Search"/>	Market Participant <input type="text" value="Search"/>
Sep/2006	Billing Organization	Billing Organization Name	Market Participant Name

**12.4.4. Download the Consolidated Billing Details**

Detailed reports may be downloaded as a PDF file from the Consolidated Summary Screen by clicking the PDF button in the Action column, shown in [Figure 273](#) below circled in red. After clicking on it, the consolidated billing detail PDF file will be downloaded for the selected MP and Delivery Month (see [Figure 274](#)).

**Figure 273: Download Consolidated Billing Details**



**Figure 274: Consolidated Billing Detail**

		GHI	LI	NYC	ROS	Total
Strip Auction	Purchased	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	Sold	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
Monthly Auction	Purchased	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	Sold	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
Spot Auction	Purchased	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	Sold	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
Load Shift	MW					
	Clearing \$/kW					
	<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
Load Shift True Up	TU MW					
	Orig MW					
	Shift MW					
	Clearing \$/kW					
	<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
Special Adjustments	Manual Adjustments	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
<b>Grand Total</b>		<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

**12.4.5. Save Consolidated Billing Report**

The Consolidated Billing Report may be saved in Excel format for a given Billing Organization or MP that is not a Billing Organization by clicking the download button in the Action column on the Consolidated Billing Summary screen, shown below in [Figure 275](#) circled in red.

**Figure 275: Download Consolidated Billing Report**



The User will select a save location and will then open and view the saved report in Excel.

The report will display the six month period for the selected Capability Period (Summer or Winter). At the top of the report a header will contain:

- The name of the report "Billing Detail Report"
- The selected MP Organization name
- The selected Season/Year
- The date the report was generated in Eastern Time

The Billing Detail report contains the following sections in the order specified:

1. Strip Auction
2. Monthly Auctions
3. Spot Auctions
4. Supplemental Auction
5. Load Shift
6. Load Shift True-Up
7. Special Adjustments
8. Grand Total

The following captures sample Consolidated Billing Report content:

**Figure 276: Consolidated Billing Report**

<b>Billing Detail Report</b>									
Market Participant:	Market Participant Name								
Capability Season/Year:	Winter 2017-2018								
Date Generated:	Apr 9 2018 12:42 PM								
Auctions		November	December	January	February	March	April	Total	
Strip Auction		November	December	January	February	March	April	Total	
GHI	Purchase MW	0	0	0	0	0	0	0	0
	Purchase Clearing Price	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	Purchase Extended Award Value	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	Sold MW	0	0	0	0	0	0	0	0
	Sold Clearing Price	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	Sold Extended Award Value	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

## 13. Special Case Resources (SCRs), Municipal Generation, and Load Modifiers

This section describes how RIPs may view information related to the Special Case Resources (SCRs). Municipal Generation (Muni), and Load Modifiers (LM) are also displayed in the SCR section even though they are not SCRs. This is merely a common screen to display them because, like SCRs, they are not modeled in the MIS and are therefore administered by IMO in ICAP AMS using the same screen.

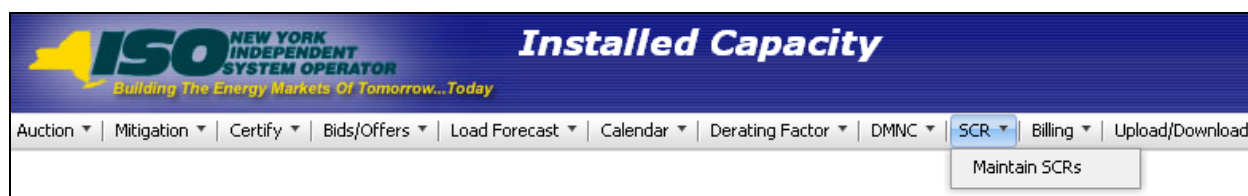
### 13.1. How to View SCRs, Load Modifiers and Municipal Generation

The functionality in this section is only available when an organization is Billing Qualified.

Responsible Interface Parties (RIPs) may view SCRs. Market Participants with Load Modifiers and Munis may view information regarding these resources, but they are not SCRs. Although the screen is titled "Maintain SCRs", this screen is read-only for MPs. The data on this screen is maintained by the NYISO staff. Once configured by NYISO, SCR, Load Modifier, and Muni PTIDs are available to the ICAP AMS, but only SCR Aggregation PTIDs are treated as Special Case Resources. Load Modifiers and Munis are treated as Generators.

This informational screen is accessed from the "SCR" option on the top level navigation bar:

**Figure 277: SCR Menu**



#### 13.1.1. Screen Descriptions

**Figure 278: Maintain SCR/EDRP Filter Screen Section**

Screen Field	Data Type	Editable	Rule
MP Name	Text	N	Displays the MP that is currently logged in.
Program	Text	Y	Select from a list of Program Types ("SCR", "EDRP", "All").

Screen Field	Data Type	Editable	Rule
			<p>All records have <i>Program Type</i> = "SCR", however, only the records with <b>Supplier Type</b> = "S" are treated as Special Case Resources.</p> <p><i>Note:</i> The "EDRP" program is currently not supported through the ICAP Automated Market System application.</p>
Status	Text	Y	<p>Resource Activation Status.</p> <p>Range of Values include: All, Active, Inactive</p>

**Figure 279: Maintain SCR/EDRP - Maintain Screen Section**

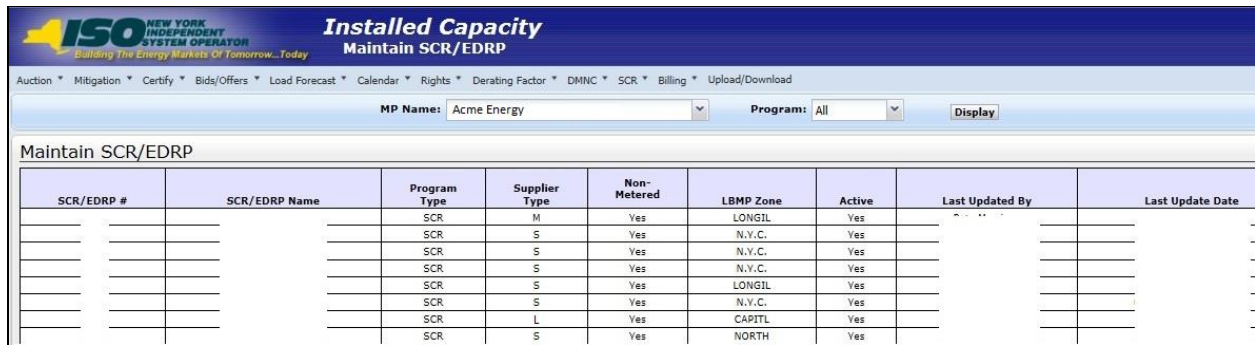
Screen Field	Data Type	Editable	Rule
SCR/EDRP #	Numeric	N	<p>Unique System generated identification number assigned to the resource (replaces the SCR numbers used prior to the introduction of the ICAP Automated Market System application).</p> <p>The EDRP program is not currently implemented in ICAP AMS.</p>
SCR/EDRP Name	Text	N	Text name of the resource.
Program Type	Text	N	Program Type ("SCR" or "EDRP").
Supplier Type	Text	N	<p>Supplier Type: "MUNI", "SCR", or "LM"</p> <p><i>Note:</i> Only Supplier Type "S" is treated as Special Case Resources. The "L" and "M" modeled here are treated by ICAP AMS as Generation.</p>
Non-Metered	Text	N	A "Yes" or "No" status indicating whether the resource is metered or not. "Yes" indicates the resource is non-metered.
LBMP Zone	Text	N	LBMP Zone where the resource is located ("WEST", "CENTRL", "MHK VL", "CAPITL", "HUD VL", "GENESE", "LONGIL", "NORTH", "N.Y.C.", "MILLWD", "DUNWOD").
Active	Text	N	Activation Status of the Resource ("Yes" indicates the resource is active; "No" indicates an inactive resource).
Last Updated By	Text	N	User that last updated the record. This user will always be a NYISO employee.
Last Update Date	Date	N	Date the record was last updated.

### 13.1.2. Viewing SCRs, Load Modifiers, and Municipal Generation

After selecting the Program type and Status filters, Users should click the “**DISPLAY**” button at the top of the screen. The resulting screen will display all SCRs with a Supplier Type = "S".

**Note:** MPs with Load Modifiers can display records with Supplier Type "L" and MPs with Munis can display records with Supplier Type ="M", but these are Generators, not Special Case Resources.

**Figure 280: Maintain SCR/EDRP Screen Section**



SCR/EDRP #	SCR/EDRP Name	Program Type	Supplier Type	Non-Metered	LBMP Zone	Active	Last Updated By	Last Update Date
		SCR	M	Yes	LONGIL	Yes		
		SCR	S	Yes	N.Y.C.	Yes		
		SCR	S	Yes	N.Y.C.	Yes		
		SCR	S	Yes	N.Y.C.	Yes		
		SCR	S	Yes	LONGIL	Yes		
		SCR	S	Yes	N.Y.C.	Yes		
		SCR	L	Yes	CAPITL	Yes		
		SCR	S	Yes	NORTH	Yes		



## 14. Upload / Download

Section 14 Upload/Download Revision History	
Date	Additions, deletions, modifications
October 7, 2016	<p><b>Updated the Upload/Download templates for Oct/2016 Release.</b></p> <ul style="list-style-type: none"> <li>➤ Section 14.3.4 Offers</li> <li>➤ Section 14.5.2 Bilaterals</li> <li>➤ Section 14.5.5 PTID Capacity</li> </ul>
October 28, 2015	<p><b>Download Offer:</b></p> <ul style="list-style-type: none"> <li>➤ Added Zero Dollar MW Offer download template</li> </ul>
October 1, 2004	Distributed and posted
October 21, 2004	Updated required fields for Upload DMNC. Status removed, per_curve now optional, separate rules for SCR
February 23, 2005	<p>CHARs in Upload/Download responses now surrounded by " "</p> <p>Updated examples for accuracy</p> <p>TIME_STAMP format updated (removed the seconds field "ss")</p> <p>LAST_UPDATE_DATE format updated</p> <p>Download Internal Sales Allocations template removed (no longer valid)</p> <p><b>Download Offers:</b></p> <ul style="list-style-type: none"> <li>➤ PTID_TYPE field added to response parameters</li> </ul> <p><b>Upload/Download Load Forecasts:</b></p> <ul style="list-style-type: none"> <li>➤ FORECAST_DATE format updated</li> </ul> <p><b>Download Bilaterals, Download Certification Details:</b></p> <ul style="list-style-type: none"> <li>➤ TYPE and SEC_PARTY formats updated</li> </ul>
July 8, 2005	<p>Clarified rule of ampersand usage in Section <a href="#">Q</a></p> <p><b>Upload Load Forecasts:</b></p> <ul style="list-style-type: none"> <li>➤ New rule requiring In-City or On-Island data to be uploaded at the same time as or after the TD data</li> </ul> <p><b>Download Load Forecasts:</b></p> <ul style="list-style-type: none"> <li>➤ TRANS_OWNER field added to response</li> </ul> <p><b>Download Certification Details:</b></p> <ul style="list-style-type: none"> <li>➤ TYPE format updated</li> </ul> <p><b>Download PTID Capacity:</b></p> <ul style="list-style-type: none"> <li>➤ EFORd format updated</li> </ul>
October 13, 2005	<p><b>Upload bids</b></p> <ul style="list-style-type: none"> <li>➤ New rule requiring one Bid_Month_Year per upload file.</li> </ul> <p><b>Upload Offers:</b></p> <ul style="list-style-type: none"> <li>➤ New rule requiring one Offer_Month_Year per upload file</li> </ul> <p><b>Upload DMNC:</b></p> <ul style="list-style-type: none"> <li>➤ New Required parameter: POST_TEST_RATING</li> <li>➤ At least one hour of DMNC data no longer required for SCRs</li> </ul> <p><b>Download DMNC:</b></p>

Section 14 Upload/Download Revision History	
	➤ New parameter; POST_TEST_RATING
June 23, 2006	Insert “&” at end of MONTH parameter in the example in Section <a href="#">14.5.3.2</a> .
October 2007 (Phase 2)	Inserted Expiration Date and Days-to-Expiration date at end of UCAP_DOWNLOAD_DMNC, added missing ampersands.
April 2008 (Supply-Side Mitigation)	As of May/2008, the “MIT_GEN_GROUP” parameter, formerly used for DGO Mitigation, will be ignored. Added new Section <a href="#">14.3.2.4</a> “Response File Example for Offer Validation Error” in the Upload Offers Template Section <a href="#">14.3.2</a> .
June 11, 2008 (Supply-Side Mitigation)	New data parameter added to Section <a href="#">14.5.3</a> Upload Certification Detail Transactions. This data parameter indicates Mitigated Capacity Zone Bilateral Sales that are marked as manually excluded from MP’s Adjusted Market Position for the purpose of assessing a Portfolio’s MW Controlled in Supply-Side Mitigation. The parameter is called EXCLUDED_FROM_INCITY_MITIGATION and is included in Section <a href="#">14.5.1</a> Certify Data Dictionary.
March 2009 (Implementation of Internal Deliverability Limits)	Added CRIS_DMNC to Data Dictionary in Section <a href="#">14.5.1</a> . Added CRIS_DMNC to Sections <a href="#">14.5.5.2</a> and <a href="#">14.5.5.4</a> .
October 2009 (Implementation of Buyer-Side Mitigation)	Renamed former EFORD to Derating Factor in Section <a href="#">14.5.1</a> Data Dictionary and Section <a href="#">14.5.5.2</a> .
December 2013	Added GHI to list of Locations in Bid to Purchase Data Dictionary. Added GHI to list of Locations in Offers to Sell Data Dictionary. Added In-GHIJ to existing In-City, On-Island, and TD Locations in Record Load Forecast Data Dictionary. Added GHI to list of Locations and Second Party Locations in the Certify Data Dictionary. Added details to DMNC Upload/Download specific to SCR Aggregation PTIDs to indicate changes implemented with ICAP-DRIS Integration implementation. Also removed references to ‘PMPC’ as obsolete.
February 2020	Updated <a href="#">14.5.5.2</a> DMNC Upload/Download to include new RESOURCE_TYPE parameter and new GEN_TYPE = ‘STORAGE’. Updated Figure 277, Sections <a href="#">14.6.1</a> , <a href="#">14.6.2</a> , and <a href="#">14.6.4</a> .
February 2021	Added DMNC5, DMNC6, DMNC7, DMNC8, TEST_BEGIN_SOC, TEST_END_SOC, and TOTAL_STORAGE_CAPABILITY parameters for DMNC upload/download sections; added DMNC Upload notes and rules for Expanding Capacity Eligibility and Energy Storage Resources; replaced ‘CRIS DMNC’ with ‘Available ICAP’; created new sections for DMNC Upload and Downloads performed on the ‘Maintain DMNC’ screen.
August 2023	Update to 14.3.1

Section 14 Upload/Download Revision History	
	<ul style="list-style-type: none"> <li>UPDATE parameters to include: INCLUDE_AGG_PTID_IN_MCZ, BSM_EXEMPT, BSM_OFFER_FLOOR\$</li> </ul> <p>Update to 14.3.2</p> <ul style="list-style-type: none"> <li>Language added to clarify where Aggregators can/cannot Upload Offers</li> </ul> <p>Update to 14.3.3</p> <ul style="list-style-type: none"> <li>Download example templates include new DER BSM fields</li> </ul> <p>Update to 14.5.1</p> <ul style="list-style-type: none"> <li>Added Aggregation PTID Types, CRIS_MW, CRIS_PERCENT, WHEEL_ICAP, FCFS_ICAP, REDUCED_AVAILABLE_ICAP, ENERGY_DURATION_LIMIT, ADJUSTED_ICAP to Data Dictionary</li> </ul> <p>Update to 14.5.2.4</p> <ul style="list-style-type: none"> <li>Added Bilateral ID to Response File Example</li> </ul> <p>Update to 14.5.5</p> <ul style="list-style-type: none"> <li>Updated Response File Examples with new fields</li> </ul> <p>Update to 14.6.2.1</p> <ul style="list-style-type: none"> <li>Aggregations may not upload DMNC data language added</li> </ul> <p>Update to 14.6.3.1</p> <ul style="list-style-type: none"> <li>Aggregations may not upload DMNC data language added</li> </ul>
November 2023	<p>Update to 14.5.1</p> <ul style="list-style-type: none"> <li>CAF added to Data Dictionary</li> <li>Adjusted ICAP updated for CAF usage</li> </ul> <p>Update to 14.5.5</p> <ul style="list-style-type: none"> <li>Updated to Derating Factor definition to reflect that LCROR/IPR Derating Factors may be negative values</li> <li>Added CAF to Download PTID Capacity File Example</li> </ul> <p>Update to 14.6</p> <ul style="list-style-type: none"> <li>Updates to DMNC Upload Template, Download Template and example files to reflect the ability to submit of 24 hours of data</li> </ul>

Where previous sections in this User’s Guide have described using the Web interface to enter data into the ICAP Automated Market System (AMS), this section describes functionality that uses programmatic interfaces that have been developed by ICAP Market Participants (MPs). This upload/download functionality facilitates the quick and efficient transfer of large sets of data between ICAP MPs and the NYISO.

The data that is prepared by the MP or is returned by the ICAP AMS in response to a Market Participant’s bid or a query in a text file consisting of multiple records, each with one or more comma separated value fields, for example. This type of file is known as comma separated value, or “CSV.”

This section assumes prior knowledge in the use of NYISO MIS upload/download batch procedures. For additional information on the upload/download batch procedures, and the related Digital Certificate requirements, please refer to the *NYISO Market Participant User's Guide*, available from the NYISO Web site at the following URL:

<https://www.nyiso.com/manuals-tech-bulletins-user-guides>

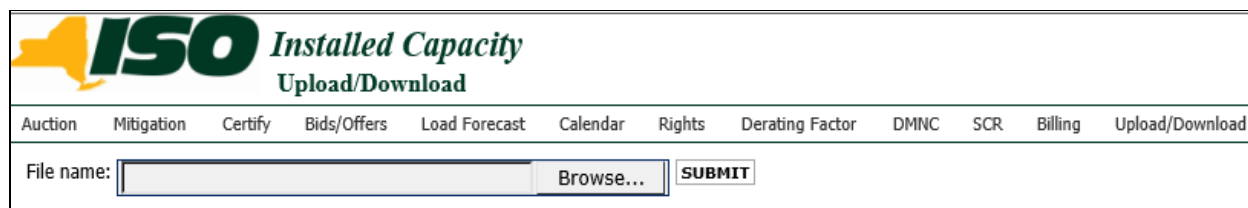
### 14.1. How to Send and Receive Upload Download Files


Using the Upload/Download Batch interface requires selecting Upload/Download through a series of hyperlinks from the ICAP AMS home page. A Web Browser or a customer application that supports authentication and encryption is required to gain access.

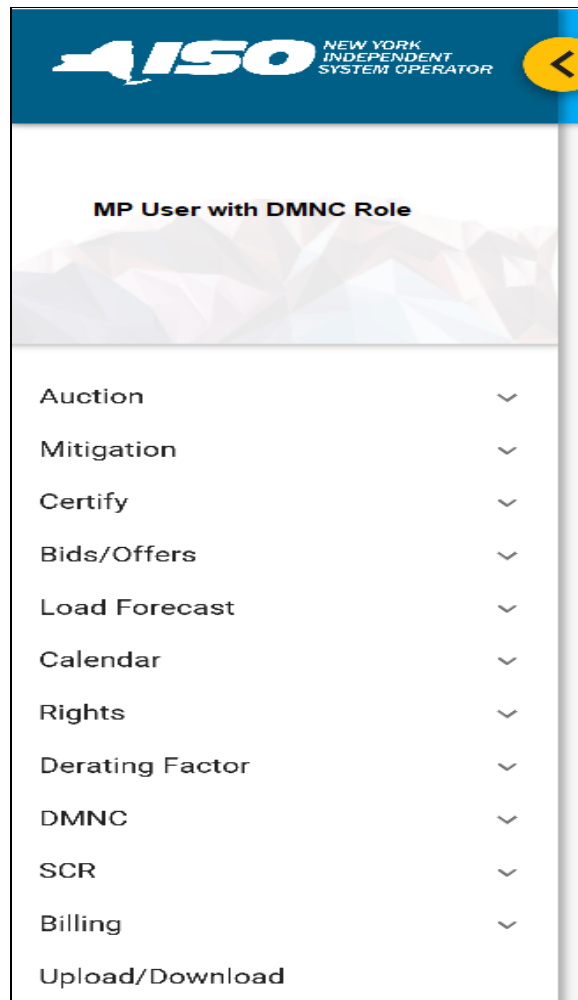
From the ICAP AMS home page, select the "Upload/Download" option at the right of the horizontal menu bar.

With the proper Digital Certificate, the ICAP "Upload/Download" screen appears:

**Figure 281: Upload/Download Menus**



 <b>Installed Capacity</b> <b>Upload/Download</b>												
Auction	Mitigation	Certify	Bids/Offers	Load Forecast	Calendar	Rights	Derating Factor	DMNC	SCR	Billing	Upload/Download	
File name:		<input type="text"/>					Browse...	SUBMIT				



The User then selects a file from his/her local disk by typing a file name or using the (file selection) "**BROWSE**" button. When the User clicks on the "**SUBMIT**" button, the input file is sent to the Web server where it is received by the ICAP AMS interface program.

An application processes the information in the template and generates a response. The browser receives and displays the CSV text response, which can then be saved as a file, if desired, on the Market Participant's local computer.

There are four upload templates and eight download templates available to MP Users in the ICAP AMS:

**Upload Templates:**

- Bids
- Offers
- Load Forecasts
- DMNC Results

**Download Templates:**

- Bids
- Offers
- Load Forecasts
- Bilaterals
- Certification Detail Transactions
- Summary of Purchases and Sales
- PTID Capacity
- DMNC Results

These templates are described in the following five sections: Templates for Bids to Purchase, Templates for Record Load Forecasts, Templates for Certify, and Templates for DMNC. The template descriptions are organized in the manner in which batch templates are presented in the MPUG: template body (i.e., upload bids), data dictionary, template body submission fields, template body response fields, input file example, and output file example.

For each parameter used in a request or returned with a response, the *parameter's* definition is supplied. Two data type formats are provided:

- The CHAR(x) format indicates a variable length string with maximum number of characters equal to 'x'. A CHAR format without 'x' indicates a string of unrestricted length.
- The NUM(x,y) format indicates a maximum of 'x' digits excluding decimal point and sign, with 'y' digits of precision. For example, NUM(5,1) has limits of -9999.9 to 9999.9. A NUM format without 'x' and 'y' indicates an unrestricted numeric.

The Data Dictionary sections, included below within their corresponding template definitions, are not designed to show the order of the parameters. An ordered list of parameters that the program expects and returns is provided in the templates under the Request and Response sections. Required parameters are shown in bold under the Request section of the template. For download templates, non-required fields in the Request template provide for the ability to further filter the response.

Certain fields are common to all the UCAP templates. The data dictionary below lists these fields.

Parameter	Data Type	Description
TRAN_TYPE	CHAR	Name of template.
USERID	CHAR	UCAP User account name.

Parameter	Data Type	Description
		Used only in upload and download request headers. USERID is not required for DMNC Uploads performed on the 'DMNC Results' screen. Instead, the identity of the user who logged in is used.
PASSWORD	CHAR	UCAP User account password. Used only in upload and download request headers. PASSWORD is not required for DMNC Uploads performed on the 'DMNC Results' screen. Instead, the identity of the user who logged in is used.
DATA_ROWS	NUM(4)	Number of rows uploaded or downloaded. Used only in upload request headers and upload and download response headers.
MESSAGE	CHAR	Error Message. Used only in upload and download response headers when there is an error message. Field will be blank otherwise.
TIME_STAMP	CHAR	Time the request was processed, in prevailing Eastern Time: MM/DD/YYYY hh:mm MM = 01 – 12 (month) DD = 01 – 31 (day) YYYY = 0000 – 9999 (year) hh = 00 – 23 (hour) mm = 00 – 59 (minute)  Indicates time request was processed (ex: "02/09/2004 14:34"). Used only in upload and download response headers.

#### 14.1.1. Request File Format

Each request file is comprised of both a header and detail component. The header for each request file is identical, while the detail format is unique to each template. The one exception is DATA\_ROWS, which only should be used for upload templates.

The names of the fields in the headers (TRAN\_TYPE, USERID, etc.) are case-sensitive and must be capitalized. This applies to both upload and download templates headers. The values of parameters in upload /download requests are not case-sensitive.

The different name/value pairs in the header must be separated by a '&'. The use of the '&' after the last name/value pair is not needed in Download requests.

Each upload template defines the order in which the detail fields must be submitted. For the request to be processed successfully, these parameters must be submitted in the specified order. Spaces in the detail rows between fields should be avoided. See example below for reference.

Note: Please use the ANSI encoding format when creating upload and download template files.

The example below is a sample request file for an upload template:

```

TRAN_TYPE=UCAP_UPLOAD_BID&
USERID=webuser&
PASSWORD=webuser&
DATA_ROWS=1&
strip,05/2004,05/2004,ROS,50.1,123.45
  
```

} Header  
} Detail

The example below is a sample request file for a download template:

```

TRAN_TYPE=UCAP_DOWNLOAD_BID&
USERID=webuser&
PASSWORD=webuser&
AUCTION_TYPE=monthly&
AUCTION_MONTH_YEAR=05/2004&
BID_MONTH_YEAR=07/2004&
  
```

} Header  
} Detail

#### 14.1.2. Response File Format

Similar to requests, each response file has a header and detail component. However, the different name/value pairs in the header are no longer separated by a '&'. The header for each response is identical and is listed below. The message field only appears if there was an error processing the template.

The example below is a sample response file after a successful request:

```

TIME_STAMP=03/05/2004 15:20
TRAN_TYPE=UCAP_UPLOAD_BID
DATA_ROWS=1
strip,05/2004,05/2004,ROS,50.1,123.45
  
```

} Header  
} Detail

The example below is a sample response file after an error has occurred in processing a request:



TIME\_STAMP=03/05/2004 15:20  
 TRAN\_TYPE=UCAP\_UPLOAD\_BID  
 DATA\_ROWS=0  
 MESSAGE=Error-specific message.

} Header

## 14.2. Templates for Bids to Purchase

### 14.2.1. Data Dictionary

Parameter	Data Type	Description
AUCTION_TYPE	CHAR(8)	STRIP or MONTHLY
AUCTION_MONTH_YEAR	CHAR(8)	MM/YYYY
BID_MONTH_YEAR	CHAR(8)	MM/YYYY When AUCTION_TYPE = STRIP, BID_MONTH_YEAR must be the same as AUCTION_MONTH_YEAR (e.g. 05/2005, 11/2007) Only one BID_MONTH_YEAR can be specified per Upload template (e.g. when bidding into the May and June Bid Months of a May Monthly auction, two separate Upload templates must be submitted: one for the May Bid Month and one for the June Bid Month)
LOCATION	CHAR(3)	NYC, LI, GHI, or ROS
BID_MW	NUM(7,1)	Bid megawatts
BID_AMOUNT	NUM(8,2)	Bid \$/kW/Month
LAST_UPDATE_USER	CHAR	Last person to update row.
LAST_UPDATE_DATE	CHAR	DD-Mon-YYYY hh:mm AM/PM DD = 01 – 31 (day) Mon = Jan – Dec (month) YYYY = 0000 – 9999 (year) hh = 01 – 12 (hour) mm = 00 – 59 (minute) Date row last updated (ex: "09-Feb-2004 02:34 PM").

### 14.2.2. Upload Bids Template

TRAN\_TYPE=UCAP\_UPLOAD\_BID

#### 14.2.2.1. Request Parameters

AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, BID\_MONTH\_YEAR, LOCATION, BID\_MW, BID\_AMOUNT

#### 14.2.2.2. Response Parameters

The response to an upload consists of a header that describes which upload was requested, when it was processed and how many rows were successfully processed. A message will also appear if an error occurred. Following the header will be the detail, which will consist of one row per row successfully processed.

AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, BID\_MONTH\_YEAR, LOCATION, BID\_MW, BID\_AMOUNT

#### 14.2.2.3. Request File Example

```
TRAN_TYPE=UCAP_UPLOAD_BID&  
USERID=webuser&  
PASSWORD=webuser&  
DATA_ROWS=1&  
strip,05/2004,05/2004,ROS,50.1,123.45
```

#### 14.2.2.4. Response File Example

```
TIME_STAMP=03/05/2004 15:20:49  
TRAN_TYPE=UCAP_UPLOAD_BID  
DATA_ROWS=1  
strip,05/2004,05/2004,ROS,50.1,123.45
```

### 14.2.3. Download Bids Template

```
TRAN_TYPE=UCAP_DOWNLOAD_BID
```

#### 14.2.3.1. Request Parameters

**AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, BID\_MONTH\_YEAR**

#### 14.2.4. Response Parameters

AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, BID\_MONTH\_YEAR, LOCATION, BID\_MW, BID\_AMOUNT,  
LAST\_UPDATE\_USER, LAST\_UPDATE\_DATE

#### 14.2.4.1. Request File Example

```
TRAN_TYPE=UCAP_DOWNLOAD_BID&  
USERID=webuser&  
PASSWORD=webuser&  
AUCTION_TYPE=monthly&
```

AUCTION\_MONTH\_YEAR=05/2004&  
BID\_MONTH\_YEAR=07/2004&

**14.2.4.2. Response File Example**

TIME\_STAMP=07/26/2003 14:10

TRAN\_TYPE=UCAP\_DOWNLOAD\_BID

DATA\_ROWS=2

"monthly","05/2004","07/2004","ROS",100.1,50.00,"webuser","04-Apr-2004 09:30 AM"

"monthly","05/2004","07/2004","NYC",17.8,14.78,"webuser","04-Apr-2004 03:11 PM"

## 14.3. Templates for Offers to Sell

### 14.3.1. Data Dictionary

Parameter	Type	Description
AUCTION_TYPE	CHAR(8)	STRIP, MONTHLY, or SPOT
AUCTION_MONTH_YEAR	CHAR(8)	MM/YYYY
OFFER_MONTH_YEAR	CHAR(8)	MM/YYYY When AUCTION_TYPE = STRIP or SPOT, OFFER_MONTH_YEAR must be the same as AUCTION_MONTH_YEAR Only one OFFER_MONTH_YEAR can be specified per Upload template (e.g. when offering into the May and June Offer Months of a May Monthly auction, two separate Upload templates must be submitted: one for the May Offer Month and one for the June Offer Month)
LOCATION	CHAR(4)	NYC, LI, GHI, ROS, PJM, HQ, IESO or NE
OFFER_MW	NUM(7,1)	Offer megawatt. [Format for upload requests and responses.]
	NUM(9,3)	Offer megawatt. [Format for download responses.]
OFFER_AMOUNT	NUM(8,2)	Offer \$/kW/Month
ZDO_TYPE	CHAR	Zero Dollar Offer Type associated with system-created Spot Market Auction. Range of Values [FCFSR, CREDIT, SPOT EXCESS, RMR]
PTID_TYPE	CHAR(12)	Required if specifying PTID. Valid values are GEN, SCR, DER AGG, SRT AGG ESR, SRT AGG GEN, SRT AGG LFG, SRT AGG LESR, SRT AGG SOLAR, SRT AGG WIND.
PTID	NUM(8)	Required if PTID_TYPE is specified.
MIT_GEN_GROUP	CHAR(50)	Mitigated generator group Can only be specified when PTID is not specified (i.e. if a PTID is specified, the ICAP Automated Market System will determine whether the unit is mitigated or not) <i>Note:</i> As of May/2008, this parameter is obsolete. Supply-Side Mitigation replaced historic DGO Mitigation. This parameter will now be ignored. Only historic data can be viewed.
RIGHT#	NUM(8)	External CRIS Right or Import Right associated with Offer. This field will be NULL for all offers that are not associated with External CRIS Rights.

Parameter	Type	Description
INCLUDE_AGG_PTID_IN_MCZ	CHAR(1)	Excludes/Includes Spot Offers for AGG PTIDs in MCZ. Required 'Y' to receive BSM_Exempt and BSM_Offer_Floor\$ data. Default 'N'. Range of Values [Y/N]
BSM_Exempt	CHAR(1)	MWs exempt from Buyer-Side Mitigation. Required for Aggregation PTIDs in Mitigated Capacity Zones. Range of Values [Y/N]
BSM_OFFER_Floor\$	NUM(8,2)	Offer Floor Price for Aggregation PTID.
LAST_UPDATE_USER	CHAR	Last person to update row.
LAST_UPDATE_DATE	CHAR	DD-Mon-YYYY hh:mm AM/PM DD = 01 – 31 (day) Mon = Jan – Dec (month) YYYY = 0000 – 9999 (year) hh = 01 – 12 (hour) mm = 00 – 59 (minute)Date row last updated (ex: "09-Feb-2004 02:34 PM").

### 14.3.2. Upload Offers Template

TRAN\_TYPE=UCAP\_UPLOAD\_OFFER

As of May/2008, for new offers submitted, the historic DGO Mitigation parameter “MIT\_GEN\_GROUP” will be ignored. Historic DGO Mitigation has been deactivated and the parameter is retained only to view history.

As of August 2023, Aggregators may not upload Spot Offers for Aggregation PTIDs in Mitigated Capacity Zones. Aggregators may upload Offers for Aggregation PTIDs that are NOT in a Mitigated Capacity Zone like they would for Traditional Generator PTIDs.

#### 14.3.2.1. Request Parameters

There are two main scenarios by which offers to sell can be submitted. The difference lies in whether the location is external or internal. The response to both will always have the same format.

##### *Internal Location*

If the specified offer is for an internal then PTID\_TYPE and PTID can only be entered (optional) if auction type is ‘SPOT’, otherwise they have to be null.

**AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, OFFER\_MONTH\_YEAR, LOCATION, OFFER\_MW,  
OFFER\_AMOUNT, PTID\_TYPE, PTID, MIT\_GEN\_GROUP**

##### *External Location*

If the specified offer is for an external offer then PTID\_TYPE and PTID are required.

**AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, OFFER\_MONTH\_YEAR, LOCATION, OFFER\_MW,  
OFFER\_AMOUNT, PTID\_TYPE, PTID, RIGHT#**

#### 14.3.2.2. Response Parameters

The response to an upload consists of a header that describes which upload was requested, when it was processed and how many rows were successfully processed. A message will also appear if an error occurred. Following the header will be the detail, which will consist of one row per row successfully processed.

**AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, OFFER\_MONTH\_YEAR, LOCATION, OFFER\_MW,  
OFFER\_AMOUNT, PTID\_TYPE, PTID, RIGHT#**

#### 14.3.2.3. Request File Example

```
TRAN_TYPE=UCAP_UPLOAD_OFFER&  
USERID=webuser&  
PASSWORD=webuser&  
DATA_ROWS=1&  
strip,05/2004,05/2004,ROS,50.1,123.45,GEN,99999,111
```

#### 14.3.2.4. Response File Example

```
TIME_STAMP=03/05/2004 15:20:49  
TRAN_TYPE=UCAP_UPLOAD_OFFER  
DATA_ROWS=1  
"strip","05/2004","05/2004","ROS",50.1,123.45,"GEN",99999,111
```

#### 14.3.2.5. Response File Example for Offer Validation Error

```
TIME_STAMP=04/07/2008 12:51:00  
TRAN_TYPE=UCAP_UPLOAD_OFFER  
DATA_ROWS=0  
MESSAGE=NYC Offer for 0.1 MW and 4.22 $/kW/Month exceeds the Reference Price of 4.20  
$/kW/Month.
```

### 14.3.3. Download Offers Template

```
TRAN_TYPE=UCAP_DOWNLOAD_OFFER
```

#### Request Parameters

**AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, OFFER\_MONTH\_YEAR, INCLUDE\_AGG\_PTID\_IN\_MCZ**

#### 14.3.3.1. Response Parameters

AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, OFFER\_MONTH\_YEAR, LOCATION, OFFER\_MW,  
OFFER\_AMOUNT, PTID\_TYPE, PTID, MIT\_GEN\_GROUP, LAST\_UPDATE\_USER, LAST\_UPDATE\_DATE,  
RIGHT#, BSM\_EXEMPT, BSM\_OFFER\_FLOOR\$

#### 14.3.3.2. Request File Example

```
TRAN_TYPE=UCAP_DOWNLOAD_OFFER&  
USERID=webuser&  
PASSWORD=webuser&  
AUCTION_TYPE=monthly&
```

AUCTION\_MONTH\_YEAR=07/2023&  
OFFER\_MONTH\_YEAR=07/2023&  
INCLUDE\_AGG\_PTID\_IN\_MCZ=N&

**14.3.3.3. Response File Example**

TIME\_STAMP=07/26/2003 14:10  
TRAN\_TYPE=UCAP\_DOWNLOAD\_OFFER  
DATA\_ROWS=1  
"monthly","07/2023","07/2023","ROS",50.1,123.45,"GEN",99999,"GEN\_GROUP\_A","webuser","14--  
Jun 2023 02:09 PM",111,“,”

**14.3.4. Download Zero Dollar Offers Template**

TRAN\_TYPE= UCAP\_DOWNLOAD\_ZDO\_OFFER

Beginning with Dec/2015 Spot Market Auction, any system-created un-editable Zero Dollar MW Offers can be viewed via the View Zero Dollar Offers To Sell screen section on the "Maintain Offers To Sell" screen or via the Download described below.

**14.3.4.1. Request Parameters**

AUCTION\_TYPE\_AUCTION\_MONTH\_AUCTION\_YEAR\_OFFER\_MONTH\_YEAR

**14.3.4.2. Response Parameters**

AUCTION\_TYPE, AUCTION\_MONTH\_YEAR, OFFER\_MONTH\_YEAR, LOCATION, OFFER\_MW,  
OFFER\_AMOUNT,ZDO\_TYPE, PTID\_TYPE, PTID, LAST\_UPDATE\_USER, LAST\_UPDATE\_DATE, RIGHT#

**14.3.4.3. Request File Example**

TRAN\_TYPE=UCAP\_DOWNLOAD\_ZERO\_DOLLAR\_OFFER&  
USERID=USERID&  
PASSWORD=PASSWORD&  
DATA\_ROWS=1&  
AUCTION\_MONTH\_YEAR=08/2015&

**14.3.4.4. Response File Example**

TIME\_STAMP=09/22/2015 07:43



TRAN\_TYPE=UCAP\_DOWNLOAD\_ZDO\_OFFER

DATA\_ROWS=2

"SPOT","07/2016","07/2016","LI",183.7,0,"Credit","GEN","23650","NYISO","06/22/2016 17:01",""

"SPOT","07/2016","07/2016","LI",138.168,0,"Spot Excess","","","NYISO","06/27/2016 17:05",""

## 14.4. Templates for Record Load Forecasts

### 14.4.1. Data Dictionary

Parameter	Type	Description
LSE	CHAR(8)	Load Serving Entity (LSE) organization short name. <i>Note:</i> A single upload file must contain LSE data for every LSE, not a subset of the TOs LSEs.
LOCATION	CHAR(10)	In-City, In-GHIJ, On-Island, or TD <i>Note:</i> A single upload file specifies one and only one LOCATION [In-City, In-GHIJ, On-Island, or TD]
FORECAST_DATE	CHAR(10)	For Upload Requests & Responses and Download Responses: If FORECAST_TYPE=ESTLOAD: MM/01/YYYY If FORECAST_TYPE=LOADSHIFT or TRUEUP: MM/DD/YYYY For Download Requests: MM/YYYY <i>Note:</i> A single upload file specifies one and only one FORECAST_DATE. That is, Nov/2011 and Dec/2011 cannot be uploaded in a single file.
LOAD_FORECAST_TYPE	CHAR(8)	For Upload Requests and Responses: ACTUAL For Download Requests and Responses: ESTIMATE or ACTUAL. ESTIMATE indicates an estimated forecast used to estimate an LSE's UCAP requirement before each Capability Period's Strip Auction. <i>Note:</i> A single upload file specifies one and only one LOAD_FORECAST_TYPE [ESTIMATE or ACTUAL]

Parameter	Type	Description
FORECAST_TYPE	CHAR(10)	ESTLOAD (monthly forecasted load), LOADSHIFT (initial daily load), TRUEUP (final daily load). A single upload file specifies one and only one FORECAST_TYPE [ESTLOAD, LOADSHIFT or TRUEUP]
FORECAST	NUM(9,3)	Depending on FORECAST_TYPE, this field could represent a load forecast, initial daily load or final daily load value. Cannot have more than 1 decimal place when FORECAST_TYPE=ESTLOAD.
TRANS_OWNER	CHAR(50)	Transmission Owner
FIXED_LOAD	NUM(7,1)	LSE fixed load forecast for the TO and LSE combination as set by the NYISO.
UCAP_REQ	NUM(7,1)	UCAP Requirements
LOAD_FORECAST	NUM(7,1)	Monthly load forecast number.
DAILY_LOAD	NUM(9,3)	Initial Daily Load (Load Shift) numbers.
TRUE_UP	NUM(9,3)	Final Daily Load (True Up) numbers.
LAST_UPDATE_USER	CHAR	Last person to update row.
LAST_UPDATE_DATE	CHAR	DD-Mon-YYYY hh:mm AM/PM DD = 01 – 31 (day) Mon = Jan – Dec (month) YYYY = 0000 – 9999 (year) hh = 01 – 12 (hour) mm = 00 – 59 (minute) Date row last updated (ex: "09-Feb-2004 02:34 PM").

#### 14.4.2. Upload Load Forecasts

TRAN\_TYPE=UCAP\_UPLOAD\_LOADFORECAST

The TO will submit the monthly forecast (ESTLOAD) data for *all of their LSE's for a single month* at one time. They must submit forecast data for all LSE's in a single upload file for one location per upload file. Additionally, the upload will allow TOs to update previously submitted data, as long as submittal period is still open. The TO must include data for all of their LSEs since the upload file replaces the previously upload data.

**Note:** For this monthly forecast (ESTLOAD) data, the system will validate that the sum of the monthly forecast values in the file plus the fixed loads already in the database for this Transmission Owner, Location, and Month equals the TO Forecast Peak Load values for this Location and Month.

Additionally, this template will support uploading initial (LOADSHIFT) and final (TRUEUP) daily load data. Again, this will be allowed as long as their respective submittal periods are still open. For initial and

final daily load data, however, the User must submit data for **every day** of the submittal month. Also, initial and final daily load data can only be submitted for months that already have actual (ACTUAL) monthly forecasted load entered.

A TO can only upload one location and one forecast month per upload file.

#### 14.4.2.1. Request Parameters

**LSE, LOCATION, FORECAST\_DATE, FORECAST\_TYPE, LOAD\_FORECAST\_TYPE, FORECAST**

#### 14.4.2.2. Response Parameters

The response to an upload consists of a header that describes which upload was requested, when it was processed, and how many rows were successfully processed. A message will also appear if an error occurred. Following the header will be the detail, which will consist of one row per row successfully processed.

LSE, LOCATION, FORECAST\_DATE, FORECAST\_TYPE, LOAD\_FORECAST\_TYPE, FORECAST

#### 14.4.2.3. Request File Example

```
TRAN_TYPE=UCAP_UPLOAD_LOADFORECAST&  
USERID=webuser&  
PASSWORD=webuser&  
DATA_ROWS=1&  
lse_1,TD,04/01/2004,ESTLOAD,ACTUAL,123.5
```

#### 14.4.2.4. Response File Example

```
TIME_STAMP=03/05/2004 15:20  
TRAN_TYPE=UCAP_UPLOAD_LOADFORECAST  
DATA_ROWS=1  
"lse_1","TD","04/01/2004","ESTLOAD","ACTUAL",123.5
```

#### 14.4.3. Download Load Forecasts

TRAN\_TYPE=UCAP\_DOWNLOAD\_LOADFORECAST

Request Parameters

**FORECAST\_DATE, LSE, LOCATION, LOAD\_FORECAST\_TYPE**

#### 14.4.3.1. Response Parameters

TRANS\_OWNER, LSE, LOCATION, FORECAST\_DATE, LOAD\_FORECAST\_TYPE, LOAD\_FORECAST, FIXED\_LOAD, UCAP\_REQ, DAILY\_LOAD, TRUE\_UP, LAST\_UPDATE\_USER, LAST\_UPDATE\_DATE

#### 14.4.3.2. Request File Example

```
TRAN_TYPE=UCAP_DOWNLOAD_LOADFORECAST&
USERID=webuser&
PASSWORD=webuser&
FORECAST_DATE=05/2004&
LSE=lse_1&
LOCATION=TD&
LOAD_FORECAST_TYPE=actual&
```

#### 14.4.3.3. Response File Example

```
TIME_STAMP=07/26/2004 14:10
TRAN_TYPE=UCAP_DOWNLOAD_LOADFORECAST
DATA_ROWS=31
"Metering Authority - MA3","lse_1","TD","05/01/2004","Actual",100.1,120.1,246.4,100.218,
100.192,"webuser","10-Apr-2004 12:31 PM"
"Metering Authority - MA3","lse_1","TD","05/02/2004","Actual",100.1,120.1,246.4,100.228,
100.193,"webuser","10-Apr-2004 12:31 PM"
"Metering Authority - MA3","lse_1","TD","05/03/2004","Actual",100.1,120.1,246.4,100.219,
100.193,"webuser","10-Apr-2004 12:31 PM"
"Metering Authority - MA3","lse_1","TD","05/04/2004","Actual",100.1,120.1,246.4,100.218,
100.194,"webuser","10-Apr-2004 12:31 PM"
"Metering Authority - MA3","lse_1","TD","05/05/2004","Actual",100.1,120.1,246.4,100.218,
100.195,"webuser","10-Apr-2004 12:31 PM"
"Metering Authority - MA3","lse_1","TD","05/06/2004","Actual",100.1,120.1,246.4,100.218,
100.189,"webuser","10-Apr-2004 12:31 PM"
"Metering Authority - MA3","lse_1","TD","05/07/2004","Actual",100.1,120.1,246.4,100.234,
100.192,"webuser","10-Apr-2004 12:31 PM"
"Metering Authority - MA3","lse_1","TD","05/08/2004","Actual",100.1,120.1,246.4,100.218,
100.167,"webuser","10-Apr-2004 12:31 PM"
```

"Metering Authority – MA3","lse\_1","TD","05/09/2004","Actual",100.1,120.1,246.4,100.218,100.167,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/10/2004","Actual",100.1,120.1,246.4,100.218,100.167,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/11/2004","Actual",100.1,120.1,246.4,100.218,100.178,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/12/2004","Actual",100.1,120.1,246.4,100.200,100.192,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/13/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/14/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/15/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/16/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/17/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/18/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/19/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/20/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/21/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/22/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/23/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/24/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/25/2004","Actual",100.1,120.1,246.4,100.218,100.200,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/26/2004","Actual",100.1,120.1,246.4,100.218,100.199,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/27/2004","Actual",100.1,120.1,246.4,100.257,100.198,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/28/2004","Actual",100.1,120.1,246.4,100.257,100.195,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/29/2004","Actual",100.1,120.1,246.4,100.218,100.191,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/30/2004","Actual",100.1,120.1,246.4,100.218,100.192,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3","lse\_1","TD","05/31/2004","Actual",100.1,120.1,246.4,100.232,100.192,"webuser","10-Apr-2004 12:31 PM"

## 14.5. Templates for Certify

### 14.5.1. Data Dictionary

Parameter	Type	Description
MONTH	CHAR(8)	Name of month within Season. (MM/YYYY)
TYPE	CHAR(50)	For Download Bilaterals, indicates type of bilateral: PURCHASE or SALE  For Download Certification Details: F (First-Come, First-served Import Right), G (Grandfathered import right), or U (UDR or EDR)  For Download Summary of Purchases and Sales: "Purchase – Bilateral Agreements", "Sale – Bilateral Agreements", "Purchase – Monthly Auction Purchases – <i>Mon</i> ", "Sale – Monthly Auction Sales – <i>Mon</i> ", "Purchase – Strip Auction Purchases", "Sale – Strip Auction Sales", "Purchase – Spot Auction Purchases", or "Sale – Spot Auction Sales" where: <i>Mon</i> = JAN – DEC (auction month)
LOCATION	CHAR(3)	NYC, LI, GHI, ROS, HQ, PJM, IESO, NE
SEC_PARTY_LOCATION	CHAR(3)	NYC, LI, GHI, ROS, HQ, PJM, IESO, NE

Parameter	Type	Description
SEC_PARTY	CHAR(100)	For Download Bilaterals: Name of second party to bilateral For Download Certification Details: Name of second party to bilateral, or Auction type: "Strip Auction", "Mon Monthly Auction", "Spot Auction" where: Mon = Jan – Dec (auction month)
RIGHT_NBR	NUM(8)	Number associated with either an Import Right, ECR, EDR, or UDR.
MIT_GEN_GROUP	CHAR(50)	Name of Mitigated Generator Group tied to location selected. <i>Note:</i> As of May/2008, this parameter is obsolete and is only retained to view historical information. Supply-Side Mitigation replaced historic DGO Mitigation.
MW	NUM(9,3)	Number of MW either purchased or sold on the bilateral agreement or through an auction.
PURCHASED_MW	NUM(9,3)	Purchased MW for bilateral agreements or auctions.
SOLD_MW	NUM(9,3)	Sold MW for bilateral agreements or auctions.
CONF_MP	CHAR(1)	Indicates if the MP has confirmed the bilateral. (Y or N)
CONF_SEC_PARTY	CHAR(1)	Indicates if the second party has confirmed the bilateral. (Y or N)
PTID	NUM(8)	Uniquely identifies a Resource.
PTID_NAME	CHAR(20)	Name of the Resource.
AVAIL_SALE	NUM(7,1)	Available for sale UCAP. Unforced Capacity of the PTID for the month specified.
PTID_SALES	NUM(7,1)	Allocated Auction and Bilateral Sales. Amount of UCAP Sales to allocate to the PTID for the month.
DMNC	NUM(7,1)	Dependable Maximum Net Capacity of the PTID
AVAILABLE_ICAP	NUM(7,1)	Installed Capacity of the PTID adjusted for deliverability limit Formerly CRIS_DMNC
DERATING_FACTOR	NUM(5,2)	Derating Factor for the PTID for the month selected (value between 0.00 and 100.00 for non-IPR and non-LCRoR Resources, value may be negative for IPR and LCRoR Resources, and AGGs containing IPR and/or LCRoR Resources)
EDL_HRS	NUM(2)	Energy Duration Limitation Hours, Values = (Null, 2,4,6,8)
DAF%	NUM(7,1)	Duration Adjustment Factor % Values = (Null, 37.5, 45.0, 75.0, 90.0, 100.0) See MST Section 5.12.14

Parameter	Type	Description
CAF%	NUM(5,2)	Capacity Accreditation Factor% Values = (0.00-100.00)
SUPP_SALES	NUM(7,1)	Supplemental Sales entered by the NYISO in the auction module.
UNSOLD	NUM(7,1)	Calculated as (Available for Sale UCAP) minus (Auction and Bilateral Sales plus Supplemental Sales).
ICAP_DAM	NUM(7,1)	ICAP Sold for DAM, Calculated as (Auction and Bilateral Sales plus Supplemental Sales) divided by (1 minus the decimal equivalent of the Derating Factor).
BILATERAL ID	CHAR	Unique identifier associated with Bilateral Agreement
FOR EXPORT	CHAR	Indicates if the Purchaser intends to subsequently Export the capacity. Range of Values [Y,N]
ZONE_LETTER	CHAR	Physical Zone Location of Resource. Range of Values [A, B, C, D, E, F, G,H, I, J, K, M, N, O, P]
EDR_UDR_ICAP	NUM(7,1)	Generator's ICAP associated with an External-to-ROS Deliverability Right (EDR) or Unforced Capacity Deliverability Right (UDR) for the Month.
CRA_ICAP	NUM(7,1)	Generator's ICAP associated with a Customer Registration Agreement for the Month.
CSR	CHAR(1)	Co-located Storage Resource indicator Set to Y when resource is participating as a Co-Located Storage Resource. Range of Values [Y, N]
PTID_TYPE	CHAR(3)	Required if specifying PTID. Range of Values [Valid values are GEN, SCR, LM, Muni, EDR, UDR, BTM:NG, RMR, DER AGG, SRT AGG ESR, SRT AGG GEN, SRT AGG LFG, SRT AGG LESR, SRT AGG SOLAR, SRT AGG WIND].
CRIS_MW	NUM(7,1)	CRIS MW Value for Resource
CRIS_PERCENT	NUM(5,2)	CRIS MW value shown as percentage.
WHEEL_ICAP	NUM(7,1)	For External PTID only, the PTID's total ICAP associated with Wheels Through from this Location for this Month
FCFS_ICAP	NUM(7,1)	For External PTID only, the PTID's total ICAP associated with FCFS Import Rights for the month.
REDUCED_AVAILABLE ICAP	NUM(7,1)	Calculated as (Available ICAP) minus (Wheel ICAP) minus (CRA ICAP) minus (EDR ICAP) minus (UDR ICAP).
ENERGY_DURATION_LIMIT	NUM(1)	Resource's elected Energy Duration Limit. [Range of Values: Valid values are 2, 4, 6, 8]



Parameter	Type	Description
ADJUSTED_ICAP	NUM(7,1)	<p>For Capability Seasons prior to Summer 2024:            Calculated as (Reduced Available ICAP) multiplied by (Duration Adjustment Factor).            If no DAF exists, Calculate Adjusted ICAP as (Reduced Available ICAP) multiplied by 1.</p> <p>For Capability Seasons starting with Summer 2024:            Calculated as (Reduced Available ICAP) multiplied by the Resource's applicable Capacity Accreditation Factor.</p>
LAST_UPDATE_USER	CHAR	Last person to update row. [Can be blank in Download Certification Details for auction capacity purchases and sales.]
LAST_UPDATE_DATE	CHAR	DD-Mon-YYYY hh:mm AM/PM DD = 01 – 31 (day) Mon = Jan – Dec (month) YYYY = 0000 – 9999 (year) hh = 01 – 12 (hour) mm = 00 – 59 (minute) Date row last updated (ex: "09-Feb-2004 02:34 PM"). [Can be blank in Download Certification Details for auction capacity purchases and sales.]
EXCLUDED_FROM_INCITY _MITIGATION	CHAR	Null, Y, N Indicates Mitigated Capacity Zone Bilateral Sales Manually Excluded from MP's Adjusted Market Position for the purpose of determining Portfolio's MW Controlled in Mitigated Capacity Zones. This exclusion value is only set to Y or N for Mitigated Capacity Zones. Otherwise, it is null. This value is only set to Y for approved MP Requests to rebut presumption of control.

#### 14.5.2. Download Bilaterals

TRAN\_TYPE=UCAP\_DOWNLOAD\_BILATERALS

This Download will return only unconfirmed bilaterals. Details on confirmed bilaterals can be retrieved with the Download Certification Detail Transactions template.

As of May/2008, bilaterals inserted into the System will not include "MIT\_GEN\_GROUP" associated with historic DGO Mitigation. "MIT\_GEN\_GROUP" will be ignored by DOWNLOAD BILATERALS. This parameter is retained only to view history.

##### 14.5.2.1. Request Parameters

**MONTH**

#### 14.5.2.2. Response Parameters

MONTH, TYPE, LOCATION, SEC\_PARTY, RIGHT\_NBR, MIT\_GEN\_GROUP, MW, CONF\_MP,  
CONF\_SEC\_PARTY, LAST\_UPDATE\_USER, LAST\_UPDATE\_DATE, BILATERAL\_ID, FOR\_EXPORT, PTID

#### 14.5.2.3. Request File Example

```
TRAN_TYPE=UCAP_DOWNLOAD_BILATERALS&  
USERID=webuser&  
PASSWORD= webuser&  
MONTH=06/2004&
```

#### 14.5.2.4. Response File Example

```
TIME_STAMP=11/26/2004 14:10  
QUERY_TYPE=UCAP_DOWNLOAD_BILATERALS  
DATA_ROWS=1  
"10/2016","Sale","NE","Bobs Training Company",29522,"",9.6,"Y","Y","NYISO","09/02/2016 10:44",  
1111111,"N",2510
```

### 14.5.3. Download Certification Detail Transactions

```
TRAN_TYPE=UCAP_DOWNLOAD_CERT_DETAIL
```

#### 14.5.3.1. Request Parameters

**MONTH**, LOCATION

#### 14.5.3.2. Response Parameters

MONTH, LOCATION, SEC\_PARTY\_LOCATION, RIGHT\_NBR, TYPE, MIT\_GEN\_GROUP, PURCHASED\_MW,  
SOLD\_MW, LAST\_UPDATE\_USER, LAST\_UPDATE\_DATE, EXCLUDED\_FROM\_INCIITY\_MITIGATION

#### 14.5.3.3. Request File Example

```
TRAN_TYPE=UCAP_DOWNLOAD_CERT_DETAILS&  
USERID=webuser&  
PASSWORD=webuser&  
MONTH=06/2004&  
LOCATION=ROS&
```

#### 14.5.3.4. Response File Example

```
TIME_STAMP=07/26/2004 14:10  
TRAN_TYPE=UCAP_DOWNLOAD_CERT_DETAILS
```

DATA\_ROWS=2

"06/2004","ROS","Party A","","",100.1,"webuser","10-Apr-2004 12:31 PM"

"06/2004","ROS","Strip Auction","","",,312.3,,,,,""

#### **14.5.4. Download Summary of Purchases and Sales**

TRAN\_TYPE=UCAP\_DOWNLOAD\_PURCHASES\_SALES

This template will return data in the same order that it is presented on its corresponding Web page – sales data first, followed by purchases data. The value of the TYPE column will identify whether the row in the CSV response is a sale or purchase.

##### **14.5.4.1. Request Parameters**

**MONTH**

##### **14.5.4.2. Response Parameters**

MONTH, TYPE, LOCATION, MIT\_GEN\_GROUP, MW

##### **14.5.4.3. Request File Example**

TRAN\_TYPE=UCAP\_DOWNLOAD\_PURCHASES\_SALES&

USERID=webuser&

PASSWORD=webuser&

MONTH=06/2004&

##### **14.5.4.4. Response File Example**

TIME\_STAMP=07/26/2004 14:10

TRAN\_TYPE= UCAP\_DOWNLOAD\_PURCHASES\_SALES

DATA\_ROWS=2

"06/2004","Purchase – Bilateral Agreements","ROS","Mit Gen Group A",100.1

"06/2004","Sale – Strip Auction Sales","ROS","",",312.3

#### **14.5.5. Download PTID Capacity**

TRAN\_TYPE=UCAP\_DOWNLOAD\_PTID\_CAPACITY

##### **14.5.5.1. Request Parameters**

**MONTH**

#### 14.5.5.2. Response Parameters

MONTH, PTID, PTID\_NAME, LOCATION, ZONE\_LETTER, MIT\_GEN\_GROUP, DMNC, DERATING\_FACTOR, AVAIL\_SALE, PTID\_SALES, SUPP\_SALES, UNSOLD, ICAP\_DAM, AVAILABLE\_ICAP, EDR\_UDR\_ICAP, CRA\_ICAP, PTID TYPE, EDL\_HRS, DAF%, CAF, CSR, CRIS\_MW, CRIS\_PERCENT, WHEEL\_ICAP, FCFS\_ICAP, REDUCED\_AVAILABLE\_ICAP, ENERGY\_DURATION\_LIMIT, ADJUSTED\_ICAP

#### 14.5.5.3. Request File Example

```
TRAN_TYPE=UCAP_DOWNLOAD_PTID_CAPACITY&
USERID=webuser&
PASSWORD=webuser&
MONTH=07/2021&
```

#### 14.5.5.4. Response File Example

```
TIME_STAMP=06/22/2021 15:34
QUERY_TYPE=UCAP_DOWNLOAD_PTID_CAPACITY
DATA_ROWS=4
"07/2023","359","Acme_Ext_Gen","NE","N","",538.0,0.47,214.1,0,0,0.0,214.1,0,0,538.0,322.9,0.0,"Gen"
,,95.66,"N",,0,0,214.1,,214.1
"07/2023","12345","BetaGen","ROS","D","",856.0,0.26,853.8,853.8,0.0,0.0,856.0,856.0,0.0,0.0,"Gen"
,,97.25,"N",860,0,0.0,0.0,860.0,0,860.0
"07/2023","333","UDR Interface -- NewEnergy","NYC","J","",322.9,0.00,313.5,313.5,0.0,0.0,315.0,322.9,
0.0,0.0,"UDR",,,,,"N",0,0,0.0,0.0,313.5,0,313.5
"07/2023","381","EDR Interface -- BigEnergy","ROS","D","",500.0,"",409.0,0.0,0.0,409.0,0.0,500.0,0.0,
0.0,"EDR",,,,,"N",0,0,0.0,0.0,409.0,0,409.0
```

## 14.6. Templates for DMNC

### 14.6.1. Data Dictionary

Parameter	Type	Description
SEASON	CHAR(6)	Season when the DMNC test was performed: SUMMER or WINTER

Parameter	Type	Description
CAP_YEAR	NUM(4)	Capability year (YYYY) when the DMNC test was performed. The combination of SEASON and CAP_YEAR together specify a unique season, for example, WINTER 2004, which represents the winter season of 2004/2005.
TEST_TYPE	CHAR(4)	This is always DMNC. The PMPC Test Type has been disabled.
PTID	NUM(8)	Uniquely identifies a generation unit.
RESOURCE_TYPE	CHAR(4)	Type of Resource: GEN, LM, or MUNI  Note: Will only be displayed on downloads from the 'Maintain DMNC' screen.
TEST_DATE	CHAR(10)	Date of test. MM/DD/YYYY  For SCR Aggregation PTIDs, this date is set to the Aggregation Management Close Date for the specified Effective Date published from DRIS.
BEG_HR	NUM(2)	Beginning hour of test. 00 - 23
AVG_AMB_TEMP	NUM(5,2)	The four year average temperature for a generator for the peak day and hour (of like-seasons) of the TO where the generator resides.
PRE_TEST_RATING	NUM(7,1)	Previous like season post-test rating
TEST_TEMP	NUM(5,2)	Temperature when DMNC test was performed.
DMNC1	NUM(7,1)	Hour 1 test output (positive number).
DMNC2	NUM(7,1)	Hour 2 test output (positive number).
DMNC3	NUM(7,1)	Hour 3 test output (positive number).
DMNC4	NUM(7,1)	Hour 4 test output (positive number).
DMNC5	Type NUM(7,1)	Hour (5) test output (positive number).  Note: Hour (5) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC6	Type NUM(7,1)	Hour (6) test output (positive number).  Note: Hour (6) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC7	Type NUM(7,1)	Hour (7) test output (positive number).  Note: Hour (7) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC8	Type NUM(7,1)	Hour (8) test output (positive number).  Note: Hour (8) values will only be displayed on downloads from the 'DMNC Results' screen.

Parameter	Type	Description
DMNC9	Type NUM(7,1)	Hour (9) test output (positive number). Note: Hour (9) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC10	Type NUM(7,1)	Hour (10) test output (positive number). Note: Hour (10) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC11	Type NUM(7,1)	Hour (11) test output (positive number). Note: Hour (11) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC12	Type NUM(7,1)	Hour (12) test output (positive number). Note: Hour (12) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC13	Type NUM(7,1)	Hour (13) test output (positive number). Note: Hour (13) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC14	Type NUM(7,1)	Hour (14) test output (positive number). Note: Hour (14) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC15	Type NUM(7,1)	Hour (15) test output (positive number). Note: Hour (15) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC16	Type NUM(7,1)	Hour (16) test output (positive number). Note: Hour (16) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC17	Type NUM(7,1)	Hour (17) test output (positive number). Note: Hour (17) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC18	Type NUM(7,1)	Hour (18) test output (positive number). Note: Hour (18) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC19	Type NUM(7,1)	Hour (19) test output (positive number). Note: Hour (19) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC20	Type NUM(7,1)	Hour (20) test output (positive number). Note: Hour (20) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC21	Type NUM(7,1)	Hour (21) test output (positive number). Note: Hour (21) values will only be displayed on downloads from the 'DMNC Results' screen.

Parameter	Type	Description
DMNC22	Type NUM(7,1)	Hour (22) test output (positive number). Note: Hour (22) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC23	Type NUM(7,1)	Hour (23) test output (positive number). Note: Hour (23) values will only be displayed on downloads from the 'DMNC Results' screen.
DMNC24	Type NUM(7,1)	Hour (24) test output (positive number). Note: Hour (24) values will only be displayed on downloads from the 'DMNC Results' screen.
PER_CURVE	NUM(7,1)	DMNC rating determined using manufacturer's temperature adjustment curves.
EFF_DATE	CHAR(10)	Date (of auction month) to begin using the DMNC data (ex: for the test to be effective starting with the May 2004 auctions held in April 2004, specify 05/01/2004). MM/DD/YYYY  For SCR Aggregation PTIDs, this will be the effective Auction Month published from DRIS.
REMARKS	CHAR(100)	Free Format Comments (cannot contain commas or an odd number of double quotation marks)
POST_TEST_RATING	NUM(7,1)	Post Test Rating – desired test rating to be applied as of the effective date (positive number).
TEST_BEGIN_SOC	NUM(7,1)	Instantaneous measured State of charge data at the top of the hour for hour 1  This field is only present for Energy Storage Resources, and will only display on downloads from the 'DMNC Results' screen.
TEST_END_SOC	NUM(7,1)	Instantaneous measured State of charge data at the end of the DMNC test.  This field is only present for Energy Storage Resources, and will only display on downloads from the 'DMNC Results' screen.
TOTAL_STORAGE_CAPABILITY	NUM(7,1)	Instantaneous measured Total Storage Capability at the top of the hour for hour 1. The energy injection capability of the facility (in MWh) when fully charged. This field is only present for Energy Storage Resources, and will only display on downloads from the 'DMNC Results' screen.

Parameter	Type	Description
GEN_TYPE	CHAR(50)	Generation type associated with the PTID: COMBUSTION, COMBINED CYCLE, Electrochemical Storage, FOSSIL FUEL, HYDRO, LCRoR Hydro, NUCLEAR STEAM, SOLAR, Other Storage, WIND, or OTHER  <i>Note:</i> GEN_TYPE will be null in the Download Response when PTID_TYPE is equal to "SCR"
PTID_TYPE	CHAR(8)	PTID type: INTERNAL, EXTERNAL, or SCR
STATUS	CHAR(10)	Test approval status (performed by the NYISO): APPROVED, REJECTED, UNDECIDED For SCR Aggregation PTIDs, this will always be set to APPROVED.
LAST_UPDATE_USER	CHAR	Last person to update row. For SCR Aggregation PTIDs, the data is published from DRIS and this user will be set to NYISO.
LAST_UPDATE_DATE	CHAR	DD-Mon-YYYY hh:mm AM/PM DD = 01 – 31 (day) Mon = Jan – Dec (month) YYYY = 0000 – 9999 (year) hh = 01 – 12 (hour) mm = 00 – 59 (minute) Date row last updated (ex: "09-Feb-2004 02:34 PM").
EXP_DATE	CHAR (10)	Date the DMNC Rating is no longer valid (in MM/DD/YYYY format) For SCR Aggregation PTIDs, this date is the end of the Capability Period.
DAYS_TO_EXP	NUM (5)	Number of Days to Expiration Date. A negative number means date has passed.

#### 14.6.2. Upload DMNC Results – From ‘DMNC Results’ screen

TRAN\_TYPE=UCAP\_UPLOAD\_DMNC

##### 14.6.2.1. Upload Request Parameters – From ‘DMNC Results’ screen

***PTID is SCR Aggregation (As of January 2012, the user cannot upload any SCR data. The data for SCR Aggregation PTIDs will be published from DRIS.)***

Not all fields are required when the specified PTID is for a SCR. The required fields are listed below in bold.



**SEASON, CAP\_YEAR, TEST\_TYPE, PTID, RESOURCE\_TYPE, TEST\_DATE, BEG\_HR,  
AVG\_AMB\_TEMP, PRE\_TEST\_RATING, TEST\_TEMP, DMNC1, DMNC2, DMNC3, DMNC4,  
PER\_CURVE, EFF\_DATE, REMARKS, POST\_TEST\_RATING**

***PTID is DER Aggregation or SRT Aggregation***

User may not upload DMNC data for DER or SRT Aggregation PTIDs. This data will be published from the Aggregation System to ICAP AMS.

***PTID is Generator***

The Number of hours of test data required and whether the two temperature fields are required (AVG\_AMB\_TEMP and TEST\_TEMP) vary by the Generation Type of the unit:

GEN\_TYPE = COMBUSTION (only **1 hour** of testing data is **required**; AVG\_AMB\_TEMP and TEST\_TEMP are **required**):

**SEASON, CAP\_YEAR, TEST\_TYPE, PTID, RESOURCE\_TYPE, TEST\_DATE, BEG\_HR,  
AVG\_AMB\_TEMP, PRE\_TEST\_RATING, TEST\_TEMP, DMNC1, DMNC2, DMNC3, DMNC4,  
DMNC5, DMNC6, DMNC7, DMNC8, DMNC9, DMNC10, DMNC11, DMNC12, DMNC13, DMNC14,  
DMNC15, DMNC16, DMNC17, DMNC18, DMNC19, DMNC20, DMNC21, DMNC22, DMNC23,  
DMNC24, PER\_CURVE, EFF\_DATE, REMARKS, POST\_TEST\_RATING, TEST\_BEGIN\_SOC,  
TEST\_END\_SOC, TOTAL\_STORAGE\_CAPABILITY**

GEN\_TYPE = COMBINED CYCLE (**4 hours** of testing data are **required**; AVG\_AMB\_TEMP and TEST\_TEMP are **required**):

**SEASON, CAP\_YEAR, TEST\_TYPE, PTID, RESOURCE\_TYPE, TEST\_DATE, BEG\_HR,  
AVG\_AMB\_TEMP, PRE\_TEST\_RATING, TEST\_TEMP, DMNC1, DMNC2, DMNC3, DMNC4,  
DMNC5, DMNC6, DMNC7, DMNC8, DMNC9, DMNC10, DMNC11, DMNC12, DMNC13, DMNC14,  
DMNC15, DMNC16, DMNC17, DMNC18, DMNC19, DMNC20, DMNC21, DMNC22, DMNC23,  
DMNC24, PER\_CURVE, EFF\_DATE, REMARKS, POST\_TEST\_RATING, TEST\_BEGIN\_SOC,  
TEST\_END\_SOC, TOTAL\_STORAGE\_CAPABILITY**

GEN\_TYPE = HYDRO, FOSSIL FUEL, NUCLEAR STEAM, INTERMITTENT, ENERGY LIMITED, or OTHER (**4 hours** of testing data are **required**; AVG\_AMB\_TEMP and TEST\_TEMP are **optional**):

**SEASON, CAP\_YEAR, TEST\_TYPE, PTID, RESOURCE\_TYPE, TEST\_DATE, BEG\_HR,  
AVG\_AMB\_TEMP, PRE\_TEST\_RATING, TEST\_TEMP, DMNC1, DMNC2, DMNC3, DMNC4,  
DMNC5, DMNC6, DMNC7, DMNC8, DMNC9, DMNC10, DMNC11, DMNC12, DMNC13, DMNC14,**

DMNC15, DMNC16, DMNC17, DMNC18, DMNC19, DMNC20, DMNC21, DMNC22, DMNC23, DMNC24, PER\_CURVE, **EFF\_DATE**, REMARKS, **POST\_TEST\_RATING**, **TEST\_BEGIN\_SOC**, **TEST\_END\_SOC**, **TOTAL\_STORAGE\_CAPABILITY**

Note: Energy Duration Limited resources must submit their initial DMNC hours equal to their Energy Duration Limited hour duration, and subsequent submissions should follow their generation type hour requirements.

Note: TEST\_BEGIN\_SOC, TEST\_END\_SOC, and TOTAL\_STORAGE\_CAPABILITY fields are only required for Energy Storage Resource uploads.

#### 14.6.2.2. Upload Response Parameters – From ‘DMNC Results’ screen

The response to an upload consists of a header that describes which upload was requested, when it was processed, and how many rows were successfully processed. A message will also appear if an error occurred. Following the header will be the detail, which will consist of one row per row successfully processed.

SEASON, CAP\_YEAR, TEST\_TYPE, PTID, RESOURCE\_TYPE, TEST\_DATE, BEG\_HR, AVG\_AMB\_TEMP, PRE\_TEST\_RATING, TEST\_TEMP, DMNC1, DMNC2, DMNC3, DMNC4, DMNC5, DMNC6, DMNC7, DMNC8, DMNC9, DMNC10, DMNC11, DMNC12, DMNC13, DMNC14, DMNC15, DMNC16, DMNC17, DMNC18, DMNC19, DMNC20, DMNC21, DMNC22, DMNC23, DMNC24, PER\_CURVE, EFF\_DATE, REMARKS, POST\_TEST\_RATING, TEST\_BEGIN\_SOC, TEST\_END\_SOC, TOTAL\_STORAGE\_CAPABILITY

Upload Request File Example – From ‘DMNC Results’ screen

TRAN\_TYPE=UCAP\_UPLOAD\_DMNC&

USERID=webuser&

PASSWORD=webuser&

DATA\_ROWS=1&

Winter,2004,DMNC,123456,GEN,01/01/2004,06,30.01,100,38.45,100.1,,,,,,,,,,,,,,,,,,,,,100.5,04/22/2004,abc,100.9

#### 14.6.2.3. Upload Response File Example – From ‘DMNC Results’ screen

TIME\_STAMP=03/05/2004 15:20

TRAN\_TYPE=UCAP\_UPLOAD\_DMNC

DATA\_ROWS=1

"Winter",2004,"DMNC",123456,"GEN","01/01/2004",06,30.01,100,38.45,100.1,,,,,,,,,,,,,,,,,,,,,100.5,"04/22/2004","abc",100.9

**14.6.3. Upload DMNC Results – From ‘Upload/Download’ screen.**

TRAN\_TYPE=UCAP\_UPLOAD\_DMNC

**14.6.3.1. Upload Request Parameters – From ‘Upload/Download’ screen.**

***PTID is SCR Aggregation (As of January 2012, the user cannot upload any SCR data. The data for SCR Aggregation PTIDs will be published from DRIS.)***

Not all fields are required when the specified PTID is for a SCR. The required fields are listed below in bold.

**SEASON, CAP\_YEAR, TEST\_TYPE, PTID, RESOURCE\_TYPE, TEST\_DATE, BEG\_HR, AVG\_AMB\_TEMP, PRE\_TEST\_RATING, TEST\_TEMP, DMNC1, DMNC2, DMNC3, DMNC4, PER\_CURVE, EFF\_DATE, REMARKS, POST\_TEST\_RATING**

***PTID is DER Aggregation or SRT Aggregation***

User may not upload DMNC data for DER or SRT Aggregation PTIDs. This data will be published from the Aggregation System to ICAP AMS.

***PTID is Generator***

The Number of hours of test data required and whether the two temperature fields are required (AVG\_AMB\_TEMP and TEST\_TEMP) vary by the Generation Type of the unit:

GEN\_TYPE = COMBUSTION (only **1 hour** of testing data is **required**; AVG\_AMB\_TEMP and TEST\_TEMP are **required**):

**SEASON, CAP\_YEAR, TEST\_TYPE, PTID, TEST\_DATE, BEG\_HR, AVG\_AMB\_TEMP, PRE\_TEST\_RATING, TEST\_TEMP, DMNC1, DMNC2, DMNC3, DMNC4, DMNC5, DMNC6, DMNC7, DMNC8, DMNC9, DMNC10, DMNC11, DMNC12, DMNC13, DMNC14, DMNC15, DMNC16, DMNC17, DMNC18, DMNC19, DMNC20, DMNC21, DMNC22, DMNC23, DMNC24, PER\_CURVE, EFF\_DATE, REMARKS, POST\_TEST\_RATING**

GEN\_TYPE = COMBINED CYCLE (**4 hours** of testing data are **required**; AVG\_AMB\_TEMP and TEST\_TEMP are **required**):

**SEASON, CAP\_YEAR, TEST\_TYPE, PTID, TEST\_DATE, BEG\_HR, AVG\_AMB\_TEMP, PRE\_TEST\_RATING, TEST\_TEMP, DMNC1, DMNC2, DMNC3, DMNC4, DMNC5, DMNC6, DMNC7, DMNC8, DMNC9, DMNC10, DMNC11, DMNC12, DMNC13, DMNC14, DMNC15,**

DMNC16, DMNC17, DMNC18, DMNC19, DMNC20, DMNC21, DMNC22, DMNC23, DMNC24,  
 PER\_CURVE, **EFF\_DATE**, REMARKS, **POST\_TEST\_RATING**

GEN\_TYPE = HYDRO, FOSSIL FUEL, NUCLEAR STEAM, INTERMITTENT, ENERGY LIMITED, or OTHER  
 (**4 hours** of testing data are **required**; AVG\_AMB\_TEMP and TEST\_TEMP are **optional**):

**SEASON, CAP\_YEAR, TEST\_TYPE, PTID, TEST\_DATE, BEG\_HR, AVG\_AMB\_TEMP,**  
 PRE\_TEST\_RATING, TEST\_TEMP, **DMNC1, DMNC2, DMNC3, DMNC4,** DMNC5, DMNC6, DMNC7,  
 DMNC8, DMNC9, DMNC10, DMNC11, DMNC12, DMNC13, DMNC14, DMNC15, DMNC16,  
 DMNC17, DMNC18, DMNC19, DMNC20, DMNC21, DMNC22, DMNC23, DMNC24, PER\_CURVE,  
**EFF\_DATE, REMARKS, POST\_TEST\_RATING**

#### 14.6.3.2. Upload Response Parameters – From 'Upload/Download' screen

The response to an upload consists of a header that describes which upload was requested, when it was processed, and how many rows were successfully processed. A message will also appear if an error occurred. Following the header will be the detail, which will consist of one row per row successfully processed.

SEASON, CAP\_YEAR, TEST\_TYPE, PTID, TEST\_DATE, BEG\_HR, AVG\_AMB\_TEMP, PRE\_TEST\_RATING,  
 TEST\_TEMP, DMNC1, DMNC2, DMNC3, DMNC4, DMNC5, DMNC6, DMNC7, DMNC8, DMNC9, DMNC10,  
 DMNC11, DMNC12, DMNC13, DMNC14, DMNC15, DMNC16, DMNC17, DMNC18, DMNC19, DMNC20,  
 DMNC21, DMNC22, DMNC23, DMNC24, PER\_CURVE, EFF\_DATE, REMARKS, POST\_TEST\_RATING

#### 14.6.3.3. Upload Request File Example – From 'Upload/Download' screen

```
TRAN_TYPE=UCAP_UPLOAD_DMNC&
USERID=webuser&
PASSWORD=webuser&
DATA_ROWS=1&
Winter,2004,DMNC,123456,01/01/2004,06,30.01,100,38.45,100.1,,,,,,,,,,,,,,,,,,,,,100.5,04/22/2004,abc,
100.9
```

#### 14.6.3.4. Upload Response File Example – From 'Upload/Download' screen

```
TIME_STAMP=03/05/2004 15:20
TRAN_TYPE=UCAP_UPLOAD_DMNC
DATA_ROWS=1
"Winter",2004,"DMNC",123456,"01/01/2004",06,30.01,100,38.45,100.1,,,,,,,,,,,,,,,,,,,,,100.5,"04/22/20
04","abc",100.9
```

#### 14.6.4. Download DMNC Results – From ‘DMNC Results’ screen

User selects the Season and Year after selecting the ‘Download DMNC results’ icon on the ‘DMNC Results’ screen

##### 14.6.4.1. Download Response Parameters – From ‘DMNC Results’ screen

SEASON, CAP\_YEAR, GEN\_TYPE, PTID\_TYPE, TEST\_TYPE, PTID, RESOURCE\_TYPE, TEST\_DATE, BEG\_HR, AVG\_AMB\_TEMP, PRE\_TEST\_RATING, TEST\_TEMP, DMNC1, DMNC2, DMNC3, DMNC4, DMNC5, DMNC6, DMNC7, DMNC8, DMNC9, DMNC10, DMNC11, DMNC12, DMNC13, DMNC14, DMNC15, DMNC16, DMNC17, DMNC18, DMNC19, DMNC20, DMNC21, DMNC22, DMNC23, DMNC24, PER\_CURVE, POST\_TEST\_RATING, EFF\_DATE, REMARKS, STATUS, LAST\_UPDATE\_USER, LAST\_UPDATE\_DATE, EXP\_DATE, DAYS\_TO\_EXP, TEST\_BEGIN\_SOC, TEST\_END\_SOC, TOTAL\_STORAGE\_CAPABILITY

##### 14.6.4.2. Download Response File Example – From ‘DMNC Results’ screen

TIME\_STAMP=01/27/2021 23:47

TRAN\_TYPE=UCAP\_DOWNLOAD\_DMNC

DATA\_ROWS=1

"Winter",2020,"Other

Storage","INTERNAL","DMNC",665600,"GEN","09/01/2020",12,70,70,70,100,100,100,100,100,100,100,100,100,100,100,100,"02/01/2021","Remarks go here","APPROVED","NYISO","01/24/2021 20:40","04/30/2021",93,1000,100,100

#### 14.6.5. Download DMNC Results – From ‘Upload/Download’ screen

TRAN\_TYPE=UCAP\_DOWNLOAD\_DMNC

Request Parameters

**SEASON, CAP\_YEAR, PTID\_TYPE, TEST\_TYPE, GEN\_TYPE**

##### 14.6.5.1. Download Request Parameters – From ‘Upload/Download’ screen

SEASON, CAP\_YEAR, GEN\_TYPE, PTID\_TYPE, TEST\_TYPE, PTID, TEST\_DATE, BEG\_HR, AVG\_AMB\_TEMP, PRE\_TEST\_RATING, TEST\_TEMP, DMNC1, DMNC2, DMNC3, DMNC4, DMNC5, DMNC6, DMNC7, DMNC8, DMNC9, DMNC10, DMNC11, DMNC12, DMNC13, DMNC14, DMNC15, DMNC16, DMNC17, DMNC18, DMNC19, DMNC20, DMNC21, DMNC22, DMNC23, DMNC24, PER\_CURVE, POST\_TEST\_RATING, EFF\_DATE, REMARKS, STATUS, LAST\_UPDATE\_USER, LAST\_UPDATE\_DATE, EXP\_DATE, DAYS\_TO\_EXP

**14.6.5.2. Download Request File Example – From 'Upload/Download' screen**

TRAN\_TYPE=UCAP\_DOWNLOAD\_DMNC&

USERID=webuser&

PASSWORD=webuser&

SEASON=WINTER&

CAP\_YEAR=2004&

**14.6.5.3. Download Response File Example – From 'Upload/Download' screen**

TIME\_STAMP=07/26/2004 14:10

TRAN\_TYPE=UCAP\_DOWNLOAD\_DMNC

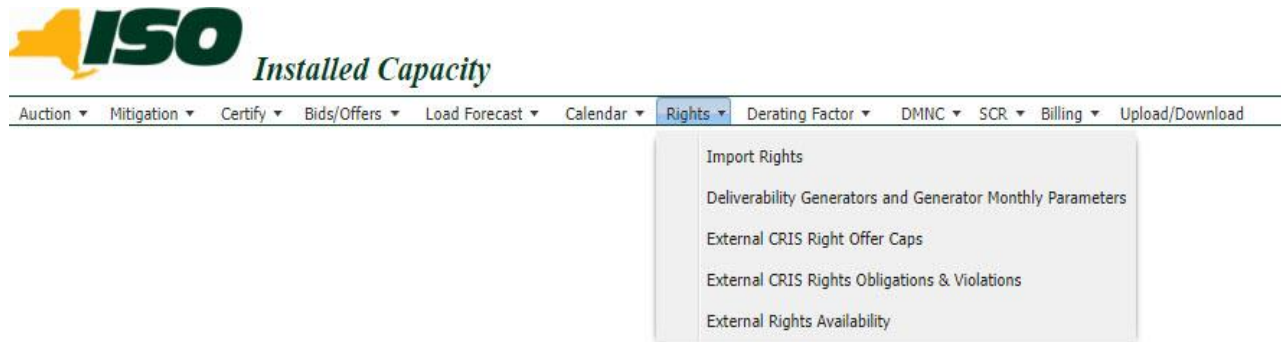
DATA\_ROWS=1

"WINTER",2004,"HYDRO","Internal","DMNC",123456,"01/01/2004",06,30.01,100,38.45,100.1,,,,,,,,,,,,,  
,,,,,100.5,100.5,"04/22/2004","Test","APPROVED","webuser","05-Mar-2004 03:20 PM",  
"04/30/2005",270

## 15. Rights

This section describes how to view Unforced Capacity Deliverability (UDR) Rights, External-to-ROS Deliverability Rights (EDR), and External CRIS Rights (ECR). The Rights Menu appears as follows:

**Figure 282: Rights Menu**



### 15.1. How to View Deliverability Generators Monthly Parameters

An ICAP Supplier may hold Unforced Capacity Deliverability Rights (UDRs) or External-to-ROS Deliverability Rights (EDR) which is associated with a specific controllable and Scheduled Line. This ICAP Supplier, "Rights Supplier" with such controllable and Scheduled Line with UDRs or EDRs can view the "Scheduled Line" as a UDR/EDR Interface on the "Deliverability Rights and Generator Monthly Parameters" screen. There may be one or more suppliers with UDRs/EDRS associated with the UDR or EDR Interface at any given time, but each supplier may only view its own portion of the Interface ICAP Election MW, tracked via a UDR/EDR PTID as capacity in the Scheduled Line's sink location.

The ICAP Automated Market System will use the current effective UDR/EDR PTID to "Behind-the-UDR/EDR" Generator PTID mappings for the calculation of an UDR PTID or EDR PTID's associated UCAP. The Rights Supplier may register multiple generators associated with each UDR/EDR Right (Rights Supplier PTID).

As an example, assume a UDR/EDR Interface has a Total Interface ICAP Election MW of 300 MW, Total Interface Losses 3.00 %, and Interface Unavailability 1.00%. Assume that this UDR/EDR has three Rights Suppliers: Rights Suppliers A, B, and C. For the Total UDR/EDR Interface ICAP Election MW of 300 MW, assume Rights Supplier A has 100 MW of the UDR/EDR, Rights Supplier B has rights to 50 MW and Rights Supplier C is awarded 150 MW. The CAF percentage to be applied for the calculation of the Rights

Supplier's Generator UCAP will be determined on the Generator's CARC and the sink location of the Interface (Note: CAF is not applied for calculation of Rights Supplier's Generator UCAP prior to Summer 2024 Capability Season). For this example, the generators registered as associated with the UDR/EDR for each Rights Supplier are configured as follows:

**Figure 283: Example UDR / EDR Rights Supplier "A"**

Example UDR Parameters				
Interface ICAP MW (ICAP MW)	300			
Interface Losses (%)	3.00%			
Interface Unavailability (%)	1.00%			
	Rights Holder A	Rights Holder B	Rights Holder C	Total
Rights (Generator ICAP MW)	100	50	150	300
Losses (ICAP MW)	3.1	1.5	4.6	9.3
Generator associated with the UDR (ICAP MW)	103.1	51.5	154.6	309.3
Generator CARC	CARC1	CARC1	CARC1	
Generator CAF %	98.00	98.00	98.00	

In the table below, Rights Supplier A designates Unit1 and Unit2.



**Figure 284: Example UDR / EDR Rights Supplier "A" Generator PTIDs**

UDR / EDR Parameters	Sample Values
Unit 1	
Generator ICAP(MW)	40
Interface Unavailability (%)	3.00%
Generator Portion of Losses (MW)	1.2
Generator CAF%	98.00
Generator UCAP (MW)	36.5
Unit2	
Generator ICAP(MW)	63.1
Interface Unavailability (%)	5.00%
Generator Portion of Losses (MW)	1.893
Generator CAF%	98.00
Generator UCAP (MW)	56.4
Installed Capacity Supplier Organization Total UCAP MW	92.9

Using the table above, the Generator associated with the UDR/EDR for Rights Supplier "A" is 103.1 MW, distributed as ICAP MW = 40 on Unit 1 and ICAP MW = 63.1 on Unit 2. Each unit's Unavailability (%) is their unit Derating Factor. Each unit's Portion of Losses (MW) is calculated to kW or thousandths of MW as follows:

**Portion of Losses (MW) =**

**[ ICAP (MW) / Supply Behind UDR/EDR ICAP (MW) ] \* Rights Holder's Losses MW**

For Unit 1 above:

**Portion of Losses (MW) = [ 40 /103.1 ] \* 3.1 = 1.2 MW**

For each Unit PTID:

$$\text{UCAP (MW)} = \text{TRUNCATE} [ ( \text{ICAP(MW)} - \text{Portion of Losses (MW)} ) * (1 - \text{UDR/EDR Unavailability}\%) * (1 - \text{Unit Derating Factor } \%) * \text{CAF} , 1 ]$$

UDR/EDR PTID UCAP is calculated as follows:

$$\text{UDR/EDR UCAP} = \sum \text{Unit UCAP MW for all units associated with the UDR PTID}$$

For Unit 1 above:

$$\text{UCAP (MW)} = \text{TRUNCATE} [ (40 - 1.2) * (1 - 0.01) * (1 - 0.03) * 0.98, 1 ] = 36.5 \text{ MW}$$

Total UCAP for Rights Holder A is calculated as follows:

$$\text{UCAP} = \text{UCAP Unit 1} + \text{UCAP Unit 2} = 36.5 + 56.4 = 92.9$$

### 15.1.1. Screen Descriptions

**Figure 285: Deliverability Rights Screen Section**

Screen Field	Data Type	Editable	Rule
Interface Type	Text	N	Searchable for either a UDR or EDR Interface Type.
Interface	Text	N	Searchable UDR/EDR Interface List. The UDR/EDR Interface associated with the UDR/EDR PTID. There may be multiple UDR/EDR PTIDs and multiple Installed Capacity Supplier Organizations associated with a single UDR/EDR Interface.
Rights Supplier PTID	Numeric	N	Unique PTID for each MP's Unforced Capacity Deliverability Right or External-to-ROS Deliverability Right on the associated UDR/EDR Interface.
Supplier Organization	Text	N	Right Supplier Organization name.
Start Month	Date	N	Searchable
End Month	Date	N	Searchable
Interface ICAP Election MW	Numeric	N	Value of Election by UDR/EDR owner submitted to the NYISO before each season, measured in ICAP MW.
Interfaces Losses MW	Numeric	N	Market Participant's MW share of UDR/EDR Interface Losses for the specified UDR/EDR Interface.

Interface Unavailability %	Numeric	N	UDR/EDR Interface Unavailability Percent
Supplier ICAP Award MW	Numeric	N	Market Participant's Total UDR/EDR Award on this UDR/EDR Interface, measured in ICAP MW.
Supplier Portion of Losses MW	Numeric	N	Interface Losses MW * Supplier ICAP Awarded MW / Interface ICAP Election MW
Supplier ICAP Behind Interface MW	Numeric	N	Supplier ICAP Awarded MW + Supplier Portion of Losses MW,

**Figure 286: Monthly Parameters Screen Section**

Screen Field	Data Type	Editable	Rule
Auction Month	Date	N	Searchable Auction Month when designated PTID is associated with this UDR/EDR PTID.
Generator PTID	Numeric	N	
Generator Name	Text	N	
Generator ICAP MW	Numeric	N	<p>This is the amount of generator ICAP associated with this UDR/EDR PTID.</p> <p>Once any portion of a generator is associated with a UDR/EDR, this ICAP value is subtracted from the Generator PTID's Available ICAP prior to calculating the Generator PTID's Available UCAP. This value is displayed on the 'View PTIDs' screen, in the 'PTID Details' section, in the 'UDR ICAP' or 'EDR ICAP' field.</p> <p>This is the "Behind the UDR/EDR" MW amount reserved to supply one or more UDR/EDRs.</p> <p>Organizational Totals UDR/EDR ICAP = <math>\sum</math> Unit ICAP MW for all generator PTIDs associated with the UDR/EDR PTID and is displayed as an Organizational Totals row ICAP MW. This value is also displayed on the "View PTIDs" screen as the Capacity (DMNC) and Available ICAP columns.</p> <p>(See also Footnote field described below.)</p>
Generator Portion of Losses MW	Numeric	N	<p>Portion of Losses MW is calculated as follows: (ICAP MW / ICAP MW Behind UDR/EDR Interface) * ICAP Losses MW.</p> <p><b>Note: Due to rounding and display precision, the total of all 'Generator Portion of Losses MW' amounts may not sum exactly to the 'Supplier Portion of Losses'. Therefore, the sum is not displayed in the Organizational Totals row.</b></p>

Generator CAF (%)	Numeric	N	<p>The applicable Capacity Accreditation Factor, expressed as a percentage, for a Generator.</p> <p>The applicable CAF for a Generator backing an EDR/UDR shall be determined based on the sink location of the EDR/UDR, and the CARC assigned to the Generator.</p>
Generator Derating Factor	Numeric	N	The associated generator PTID's Derating Factor percentage.
Generator UCAP MW	Numeric	N	<p>When a generator PTID's DMNC tests are current, UCAP MW is calculated as follows for that portion of the UDR/EDR UCAP. The System performs the following calculation for each PTID associated with the UDR/EDR PTID:</p> $UCAP = TRUNCATE [ ( (ICAP MW - Portion of Losses MW) * (1 - UDR/EDR Unavailability \%) * (1 - PTID Derating Factor \%) ) * CAF , 1 ]$ <p>Note: Prior to Summer 2024 Capability Season, CAFs were not applied to the Generator UCAP MW calculation.</p> <p>Organizational Totals</p> <p>UDR/EDR UCAP = <math>\sum</math> Unit UCAP MW for all generator PTIDs associated with the UDR/EDR PTID and is displayed as an Organizational Totals row UCAP MW. This value is also displayed on the "View PTIDs" screen as the Available For Sale UCAP column.</p> <p>When a generator PTID's DMNC Test or Derating Factor are not yet specified, the UCAP value for that generator's portion of the UDR/EDR UCAP will be 0.0.</p>
Organizational Totals	Numeric	N	Total of Columns
Last Updated By	Text	N	Last user that inserted/updated record.
Last Updated Date	Date and Time	N	Last Date and Time when record was inserted/updated.
Footnote	Text	N	<p>Informational Text</p> <p><b><i>If Interface sinks in Mitigated Capacity Zone, Monthly Organization Total UCAP MW are subject to Mitigation Rules unless physical generator associations are removed by the ICAP Event Calendar Deadline.</i></b></p> <p>This screen footnote will indicate that the Installed Capacity Supplier has until the ICAP Event</p>

			<p>Calendar Deadline to request any changes to the UDR/EDR to generator associations which affect the UCAP calculations displayed for their view on this screen.</p> <p>As long as the UDR/EDR to generator association is in effect, the UDR/EDR ICAP sum is deducted from the associated generator’s CRIS-Adjusted DMNC and the “View PTIDs” screen will show resultant calculated UCAP for that Generator PTID on “View PTIDs”.</p>
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### 15.1.2. Viewing Deliverability Generators and Monthly Parameters

Suppliers may view the UDR/EDR Generators and Monthly Parameters. This feature is accessible from the Rights Menu as the Deliverability Generators and Monthly Parameters option. The User may search by Interface Type, Interface, Start Month and End Month. The following screen will display for the Organization.

**Figure 287: View Deliverability Generators and Monthly Parameters**

Deliverability Rights											
Interface Type	Interface	Rights Supplier PTID	Supplier Organization	Start Month	End Month	Interface ICAP Election MW	Interface Losses MW	Interface Unavailability %	Supplier ICAP Award MW	Supplier Portion of Losses MW	Supplier ICAP Behind Interface MW
UDR	Interface1	1234	ACME Energy	Nov/2023	Dec/2024	500.0	0.850	0.10	50.0	0.150	200.0

Generators							
Auction Month	Generator PTID	Generator Name	Generator ICAP MW	Generator Portion of Losses MW	Generator CAF	Generator Derating Factor	Generator UCAP MW
Nov/2023	123432	GEN1	75.0	5.500	95.00%	0.2500	44.5
Organization Totals							

Last Updated By: Example User      Last Updated: Oct 9, 2023 11:51:10 AM

### 15.1.3. How to Add, Update, and Delete a Generator Rights Association

Rights Suppliers may register multiple generators associated with each Rights Supplier PTID for which they are the Supplier Organization. The Deliverability Generators and Monthly Parameters screen accessible from the Rights Menu provides Suppliers with the ability to add, update, and delete their own Generator PTID associations.

15.1.3.1. How to Add a Generator Rights Association

Rights Suppliers may add their own Generator PTIDs association on a Rights Holder PTID for which they are the Supplier Organization using the functionality described in this section. In order to add a Generator PTID association Rights Supplier must have “Certify” privileges and also belong to an organization that has “Certify” privileges. The Rights Supplier may add a generator association to an existing deliverability right for the current or future months where the certification deadline has not passed.

In order to add a generator association, the Rights Supplier must first navigate to the Deliverability Generators and Monthly Parameters screen and select the drop down arrow next to the desired deliverability right to view the associated generator details section.

Figure 288: Adding a Generator Rights Association

**Deliverability Generators and Monthly Parameters**

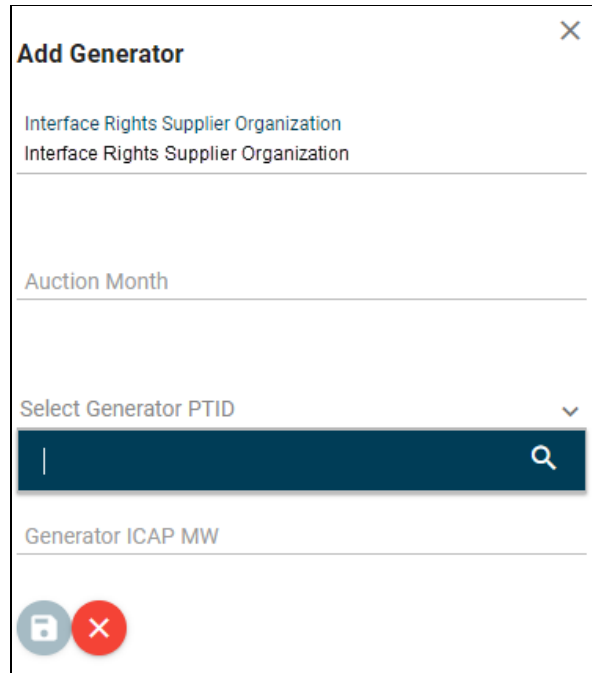
Deliverability Rights							
	Interface Type	Interface	Rights Supplier PTID	Supplier Organization	Start Month ▾	End Month	Interface Electric
	<input type="text" value="Search"/>	<input type="text" value="Search"/>			<input type="text" value="Search"/>	<input type="text" value="Search"/>	
<input type="checkbox"/>	Interface Type	Interface	Rights Supplier PTID	Supplier Organization	Jul/2021	Oct/2021	

**Generators**


Auction Month ▾	Generator PTID	Generator Name	Generator ICAP MW
<input type="text" value="Search"/>			

The Rights Supplier may then select the add button,  , which will then open the Add Generator window on the right side of the screen, as shown in the figure below.

**Figure 289: Adding a Generator Rights Association – Add Generator**



The Rights Supplier may then enter all of the fields required for adding a generator association. The Figure below lists all of the required fields along with the associated descriptions.

Once entered, the Rights Supplier may select the save button, , and the generator association will be displayed in the drop down view of the Auction Month it was added to.

The Rights Supplier may select the close button, , to stop adding a generator association and close the Add Generator window.

**Figure 290: Add Generator Association – Field Descriptions**


Field	Description
Interface Rights Supplier Organization	Auto populated and is the concatenation of the Rights Supplier PTID, Interface Name, and Supplier Organization Name.
Auction Month	Must be within the Start – End Month time period of the Rights Supplier PTID it is being added to.  Must be a current or future month where the certification deadline has not passed.

Generator PTID	<p>Must select from the searchable drop down list of Generator PTIDs the Rights Supplier owns in the Interface Source Location.</p> <p>On save, validates that the Generator PTID has capacity reported in ICAP.</p>
Generator ICAP MW	<p>Must be between 0 and 9999.9 and may only have one decimal place.</p> <p>On save, the following is validated:</p> <ol style="list-style-type: none"> <li>1. Sum of existing Generator ICAP MW for the selected season/month plus the newly added Generator ICAP MW <math>\leq</math> Supply Behind the EDR/UDR</li> <li>2. Generator ICAP MW does not cause the Gen PTID's Adjusted Available ICAP to be exceeded</li> <li>3. Generator ICAP MW <math>\leq</math> [Gen PTID's Adjusted Available ICAP – (Gen PTID's CRA ICAP + Gen PTID's existing EDR/UDR ICAP + Granted Import Rights on the Gen PTID)]</li> </ol>

### 15.1.3.2. How to Update a Generator Rights Association

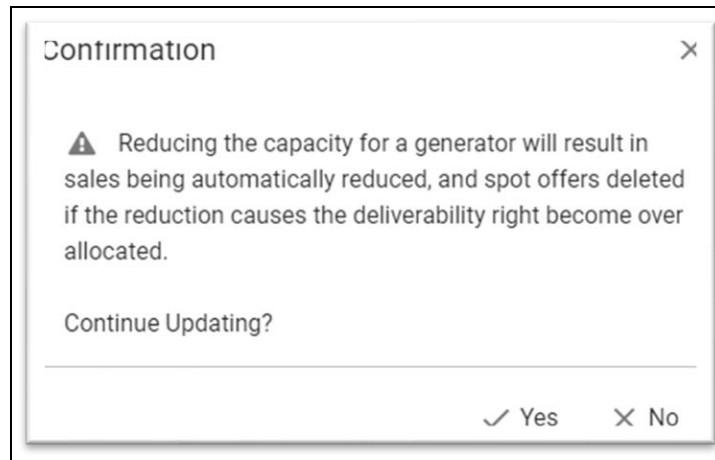
Rights Suppliers may update their own existing Generator PTIDs association on a Rights Holder PTID for which they are the Supplier Organization using the functionality described in this section. In order to update an existing Generator PTID association Rights Suppliers must have “Certify” privileges and also belong to an organization that has “Certify” privileges. The Rights Supplier may update an existing generator association for the current or future months where the certification deadline has not passed.


In order to update an existing generator association the Rights Supplier must first navigate to the Deliverability Generators and Monthly Parameters screen and select the drop down arrow next to the desired deliverability right to view the associated generator details section. The Rights Supplier must then select the drop down arrow next to the desired Auction month to view the generator details section for that month. The Rights Supplier may then select the generator association they wish to update by clicking on the row to highlight it.

Once a row is highlighted the updated button,  , may be selected which will then open the Edit Generator window on the right side of the screen, shown in the figure below. The Rights Supplier may then enter all of the fields required for updating a generator association. The Interface Rights Supplier Organization is auto populated and is the concatenation of the Rights Supplier PTID, Interface Name, and Supplier Organization Name. The Generator ICAP MW value may not exceed the Supplier ICAP Award MW less the sum of the existing Generator ICAP MW for the selected Auction Month. When the Generator ICAP MW value is reduced the user is prompted with the following message and asked to select Yes to confirm.



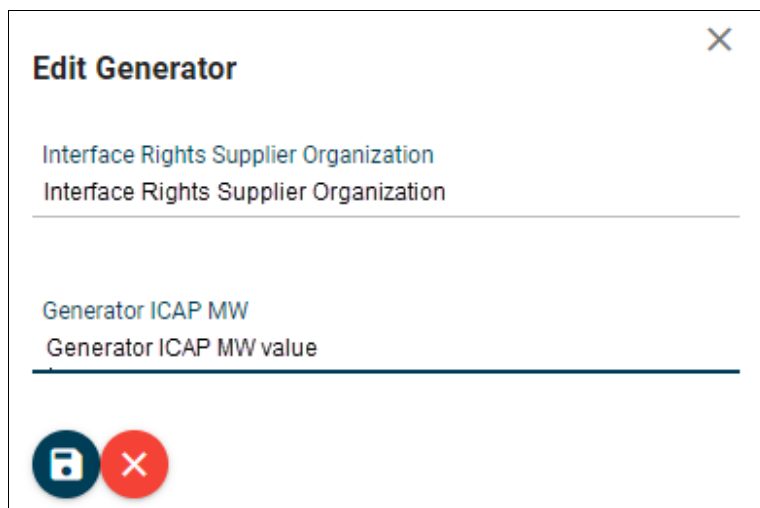
**Figure 291: Updating a Generator Rights Association**



Once entered, the Rights Supplier may select the save button, , and the updated generator association will be displayed in the drop down view of the Auction Month it was added to.

The Rights Supplier may select the close button, , to stop updating the generator association and close the Edit Generator window.

**Figure 292: Updating a Generator Rights Association**




**15.1.3.3. How to Delete a Generator Rights**

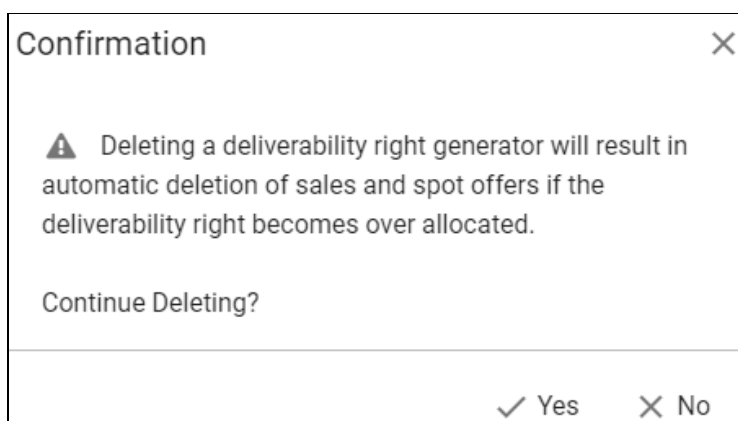
Rights Suppliers may delete their own existing Generator PTIDs association on a Rights Holder PTID for which they are the Supplier Organization using the functionality described in this section. In order to delete an existing Generator PTID association Rights Suppliers must have “Certify” privileges and also

belong to an organization that has “Certify” privileges. The Rights Supplier may delete an existing generator association for the current or future months where the certification deadline has not passed.

In order to delete an existing generator association the Rights Supplier must first navigate to the Deliverability Generators and Monthly Parameters screen and select the drop down arrow next to the desired deliverability right to view the associated generator details section. The Rights Supplier must then select the drop down arrow next to the desired Auction month to view the generator details section for that month. The Rights Supplier may then select the generator association they wish to delete by clicking on the row to highlight it.

Once a row is highlighted the delete button, , may be selected which will then display the user prompt in the figure below. The Rights Supplier may select yes to continue to delete the generator association.

**Figure 293: Deleting a Generator Rights Association**



## 15.2. How to View External CRIS Right Offer Caps

The business rules specific to External CRIS Rights are described in the *ICAP Manual* as follows:

- New Rights - Section 4.10.2
- Renewals - Section 4.10.3
- Transfers - Section 4.10.4
- Contract Rights - Section 4.10.5
- Non-Contract Must Offer Requirement - Section 4.10.6
- Offer Caps - Section 4.10.7

- Supply Failures - Section 4.10.8
- Terminations - Section 4.10.9

The AMS will calculate and display the External CRIS Right Offer Cap components used in the calculation of the resultant Offer Cap applied to External CRIS Right Offers.

### 15.2.1. Screen Descriptions

**Figure 294: External CRIS Right Offer Caps Filter Screen Section**

Screen Field	Data Type	Editable	Rule
Season	Text	Y	Capability Period.

**Figure 295: Maintain External CRIS Rights - NYCA Internal Offer Caps Screen Section**

Screen Field	Data Type	Editable	Rule
Auction Type	Text	N	Auction associated with the Month and Internal Offer Cap displayed. [Strip, Monthly, Spot]
Month/Year	Text	N	Month/Year Internal Offer Cap is effective for the Season Selected
NYCA Offer Cap (\$ /kW-month)	Numeric	N	Applicable Internal Offer Cap for NYCA. Strip and first Monthly NYCA Internal Offer Cap are based on Load and Capacity Data report (Gold Book). Spot and Monthly NYCA Internal Offer Caps are calculated by the AMS at close of certification each month.
1.1 * NYCA Offer Cap (\$ /kW-month)	Numeric	N	System calculated as 1.10 times NYCA Offer Cap.
Last Updated By	Text	N	Identifies who last updated the data.
Last Update Date	Date	N	Date the NYCA Offer Cap data was last updated.

**Figure 296: Maintain External CRIS Rights - External Offer Caps Screen Section**

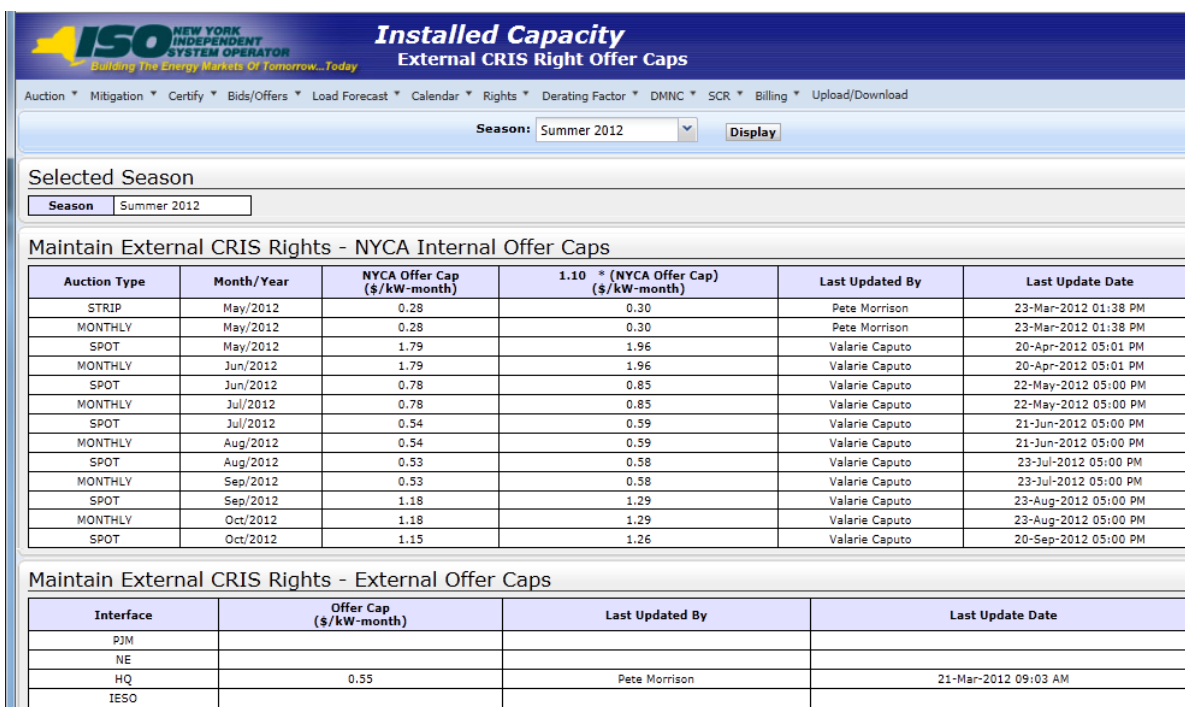
Screen Field	Data Type	Editable	Rule
Interface	Text	N	Import Interface [IESO, HQ, NE, PJM]
Offer Cap	Numeric	N	External Offer Cap applicable for the Import Interface for the selected season. This value is effective for the selected Season and is based on the External Location Market-Clearing Prices.

Last Updated By	Text	N	Identifies who last updated the data.
Last Update Date	Date	N	Date the External Offer Cap data was last updated.

### 15.2.2. Viewing External CRIS Right Offer Caps

For each season, the all MPs may view the Internal and External Offer Cap components used by the AMS to determine the resultant applicable External CRIS Right Offer Cap for each auction.

**Figure 297: View External CRIS Right Offer Caps - Internal and External Components**



**Installed Capacity External CRIS Right Offer Caps**

Season: Summer 2012

Selected Season: Summer 2012

Maintain External CRIS Rights - NYCA Internal Offer Caps

Auction Type	Month/Year	NYCA Offer Cap (\$/kW-month)	1.10 * (NYCA Offer Cap) (\$/kW-month)	Last Updated By	Last Update Date
STRIP	May/2012	0.28	0.30	Pete Morrison	23-Mar-2012 01:38 PM
MONTHLY	May/2012	0.28	0.30	Pete Morrison	23-Mar-2012 01:38 PM
SPOT	May/2012	1.79	1.96	Valarie Caputo	20-Apr-2012 05:01 PM
MONTHLY	Jun/2012	1.79	1.96	Valarie Caputo	20-Apr-2012 05:01 PM
SPOT	Jun/2012	0.78	0.85	Valarie Caputo	22-May-2012 05:00 PM
MONTHLY	Jul/2012	0.78	0.85	Valarie Caputo	22-May-2012 05:00 PM
SPOT	Jul/2012	0.54	0.59	Valarie Caputo	21-Jun-2012 05:00 PM
MONTHLY	Aug/2012	0.54	0.59	Valarie Caputo	21-Jun-2012 05:00 PM
SPOT	Aug/2012	0.53	0.58	Valarie Caputo	23-Jul-2012 05:00 PM
MONTHLY	Sep/2012	0.53	0.58	Valarie Caputo	23-Jul-2012 05:00 PM
SPOT	Sep/2012	1.18	1.29	Valarie Caputo	23-Aug-2012 05:00 PM
MONTHLY	Oct/2012	1.18	1.29	Valarie Caputo	23-Aug-2012 05:00 PM
SPOT	Oct/2012	1.15	1.26	Valarie Caputo	20-Sep-2012 05:00 PM

Maintain External CRIS Rights - External Offer Caps

Interface	Offer Cap (\$/kW-month)	Last Updated By	Last Update Date
PJM			
NE			
HQ	0.55	Pete Morrison	21-Mar-2012 09:03 AM
IESO			

The resultant Offer Cap for Strip, Monthly or Spot Auction applied to each External CRIS Right Offer is the higher of ( 1.1 \* Offer Cap Internal Component) and (Offer Cap External Component) for that auction. For example, using the Summer/2012 values from the screen above, for ECR Rights Holders on the HQ Interface, in the May/2012 Monthly Auction, the resultant Offer Cap is set to \$0.55 since (external component) \$0.55 is higher than \$0.30 (1.1 \* internal component). In the July/2012 Monthly Auction, the resultant Offer Cap is set to \$0.85 since \$0.85 (1.1 \* internal component) is higher than \$0.55 (external component).

For a given Strip, Monthly or Spot Auction, if an External CRIS Right Offer includes an Offer Price that exceeds this Resultant Offer Cap, then the External CRIS Right Offer submitted by the ECR Rights Holder will fail offer validation.

### 15.3. How to View External CRIS Right Obligations and Violations

The System will use the configured External CRIS Rights to display the External CRIS Rights Holders' Contract and Non-Contract Obligations and their "Supply Failure" Violations. If the MP has no External CRIS Rights, no data will be displayed.

#### 15.3.1. Screen Descriptions

**Figure 298: External CRIS Right Obligations & Violations Filter Screen Section**

Screen Field	Data Type	Editable	Rule
MP Name	Text	Y	Defaults based on Market Participant Logged On.
Year	Text	Y	Calendar Year Selected. The Obligations will be displayed for May Year n through April Year n+1.

**Figure 299: External CRIS Rights - ICAP Obligations & Violations Screen Section**

Screen Field	Data Type	Editable	Rule
Right #	Text	N	Selected External CRIS Right # held by the Seller MP Organization.
Interface	Text	N	Import Interface associated with the External CRIS Right. [IESO, HQ, NE, PJM]
Organization	Text	N	MP Organization that holds the External CRIS Right.
Start Month	Text	N	First Month/Year that this External CRIS Right is effective for the selected Year. All External CRIS Rights are effective on seasonal boundaries.
End Month	Text	N	Last Month/Year that this External CRIS Right is effective for the selected Year. All External CRIS Rights are effective on seasonal boundaries.
Contract Commitment	Numeric	N	Monthly ICAP MW Obligation for this Right # for the specified Month for Obligation Type = "Contract".

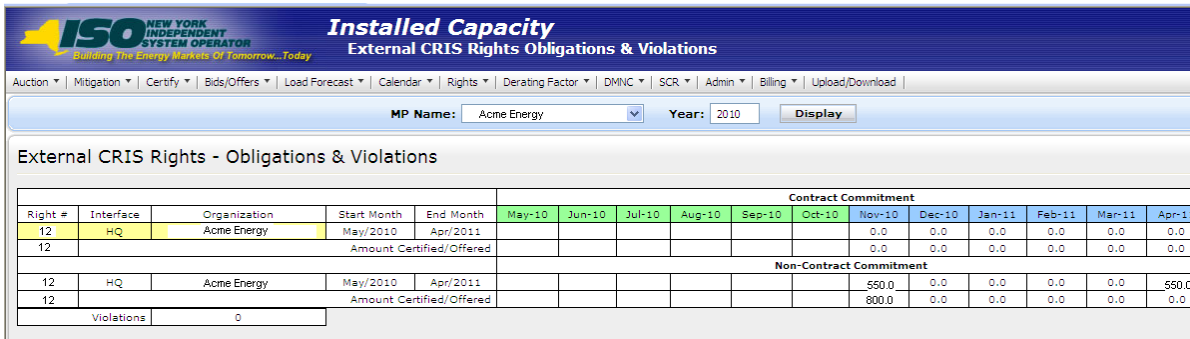
<p>ICAP (Actual) Amount Certified/Offered ("Contract")</p>	<p>Numeric</p>	<p>N</p>	<p>Total Actual Monthly ICAP MW certified as External CRIS Right Bilaterals of Obligation Type "Contract".</p> <p>To avoid a "Contract" Supply-Failure (described in the <i>ICAP Manual Sections 4.10.5 and 4.10.8</i>), for a non-zero Contract Commitment, this ICAP "Contract" Amount Certified (by the MP via ECR Bilaterals) cannot be less than the Contract Commitment by close of certification.</p>
<p>Non-Contract Commitment</p>	<p>Numeric</p>	<p>N</p>	<p>Monthly ICAP MW Obligation for this Right # for the specified Month for Obligation Type = "Non-Contract".</p>
<p>ICAP (Actual) Amount Certified/Offered ("Non-Contract")</p>	<p>Numeric</p>	<p>N</p>	<p>Total Actual Monthly ICAP MW certified as External CRIS Right Bilaterals of Obligation Type "Non-Contract" and the ICAP equivalent of External CRIS Right [Strip/Monthly/Spot] Offers.</p> <p>Because of the UCAP to ICAP conversion on External CRIS Right Offers, it is possible for the MP to have an ICAP equivalent Amount Certified/Offered which is greater than their ICAP Non-Contract Commitment in order to meet their Non-Contract Obligation. The System will then limit UCAP Auction ECR Offer Awards to the ICAP equivalent Non-Contract Right.</p> <p><i>Note:</i> The Amount Certified/Offered is determined using the Spot Auction "Must Offer" Requirement calculated as follows by the MP. Note that the value displayed to the MP changes when ECR Bilaterals are approved by NYISO, when ECR Strip Offers are submitted and awarded, and when ECR Monthly or ECR Spot Offers are submitted.</p> <p style="text-align: center;">             Spot Auction Must Offer Requirement (Non-Contract Obligation) ICAP MW =              [MW External CRIS Commitment] –              { MW Strip Offer +              MAX [ 0, MW Monthly Offer –              ( MW Strip Offer - MW Strip Award ) ] }         </p> <p>Where MW External CRIS Commitment is the MP's Non-Contract Right (ICAP) minus any ECR Bilateral (ICAP) approved by NYISO by close of certification.</p> <p>To avoid a "Non-Contract" Supply Failure (described in the <i>ICAP Manual Sections 4.10.6 and 4.10.8</i>) for a non-zero Non-Contract Commitment, this ICAP "Non-Contract" Amount, applied as ICAP using the equation above as a combination of ECR Bilaterals and/or ECR Offers, cannot be less than the Non-Contract Commitment by Close of Spot Offer Period.</p>

Violations	Numeric	N	<p>System-calculated running sum of all "Must Offer" Supply Failures associated with this MP on this Right # for the period the External CRIS Right is effective.</p> <p>This value is [0 : 4]. On the 4th violation, this External CRIS Right is terminated. The MP may only incur a single "Supply Failure" Violation per month on any Right #, even if the MP fails to satisfy both their Contract and Non-Contract Obligation for this month.</p>
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### 15.3.2. Viewing External CRIS Rights Obligations & Violations

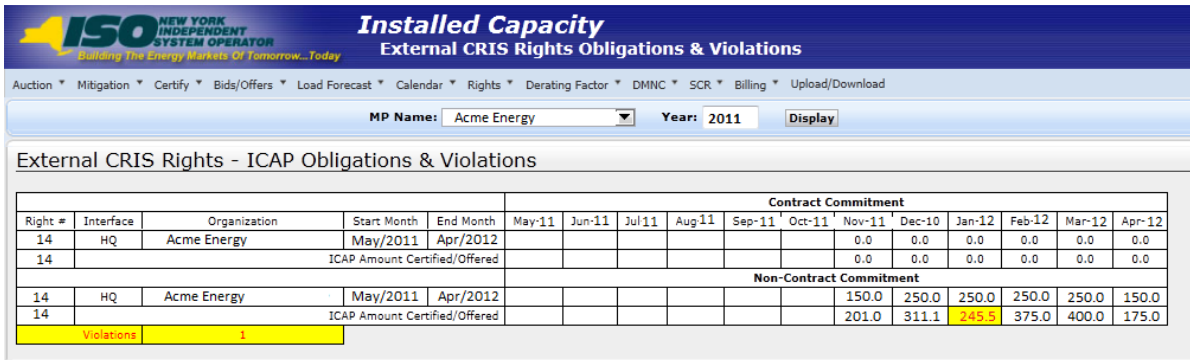
After selecting the Year filter, Users should click the “**DISPLAY**” button at the top of the screen. The resulting screen will display all Contract and Non-Contract ICAP Obligations and the Actual Sum of ICAP Amount Certified/Offered for each External CRIS Right. In the following example, Acme Energy has an External CRIS Right # 12 on the HQ Interface and selected Year=2010 to display Summer 2010 and Winter 2010-2011 monthly obligations and actual monthly sum of ICAP amount certified via External CRIS Right Bilaterals and/or ICAP equivalent of External CRIS Right Offers. In this example, for Right # 12, this MP has a Non-Contract Obligation 550.0 MW (ICAP) for November and 550.0 MW (ICAP) for April. This MP has a current running sum of zero "Supply Failure" Violations.

**Figure 300: External CRIS Right Obligations and Violations**



Installed Capacity External CRIS Rights Obligations & Violations																
Right #	Interface	Organization	Start Month	End Month	Contract Commitment											
					May-10	Jun-10	Jul-10	Aug-10	Sep-10	Oct-10	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11
12	HQ	Acme Energy	May/2010	Apr/2011							0.0	0.0	0.0	0.0	0.0	
			Amount Certified/Offered								0.0	0.0	0.0	0.0	0.0	
					Non-Contract Commitment											
12	HQ	Acme Energy	May/2010	Apr/2011							550.0	0.0	0.0	0.0	0.0	
12			Amount Certified/Offered								800.0	0.0	0.0	0.0	0.0	
Violations		0														

**Figure 301: External CRIS Right Obligations and Violations – Violation**



**Installed Capacity**  
External CRIS Rights Obligations & Violations

MP Name:  Year:

External CRIS Rights - ICAP Obligations & Violations

Right #	Interface	Organization	Start Month	End Month	Contract Commitment												
					May-11	Jun-11	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-10	Jan-12	Feb-12	Mar-12	Apr-12	
14	HQ	Acme Energy	May/2011	Apr/2012								0.0	0.0	0.0	0.0	0.0	0.0
14	ICAP Amount Certified/Offered											0.0	0.0	0.0	0.0	0.0	0.0
					Non-Contract Commitment												
14	HQ	Acme Energy	May/2011	Apr/2012								150.0	250.0	250.0	250.0	250.0	150.0
14	ICAP Amount Certified/Offered											201.0	311.1	245.5	375.0	400.0	175.0
Violations		1															

To avoid "Supply Failure" Violations, the MP should view their Contract and Non-Contract Commitments for each month.

For each Contract Commitment, the Contract Commitment (ICAP) amount must be entered as External CRIS Right Bilaterals with Obligation Type "Contract".

For each Non-Contract Commitment, the Non-Contract Commitment (ICAP) amount must be entered as External CRIS Right Bilaterals with Obligation Type "Non-Contract" and/or External CRIS Right Auction Offers. The Non-Contract Spot Auction "Must Offer" Obligation is calculated below from Non-Contract External CRIS Right Bilaterals (ICAP) and ICAP equivalent of External CRIS Right Offers.

**Note:** Auction Offers that do not have an External CRIS Right # specified on the Strip, Monthly or Spot offer will not satisfy a Non-Contract Obligation.

**Spot Auction Must Offer Requirement (Non-Contract Obligation) ICAP MW =**

**[MW External CRIS Commitment] –**

**{ MW Strip Offer + MAX [ 0, MW Monthly Offer –**

**( MW Strip Offer - MW Strip Award ) ] }**

**Where:** *MW External CRIS Commitment = (Non-Contract Commitment ICAP MW - Confirmed Non-Contract External CRIS Right Bilateral ICAP MW)*

**Note:** Note: Offers & Offer Awards are converted from UCAP to ICAP before calculating the Spot Auction Non-Contract "Must Offer" Obligation.



For example, if an MP has a 100.0 MW Non-Contract ICAP Right and already has 20.0 MW Confirmed External CRIS Right Bilateral ICAP, then the MW External CRIS Commitment used in the equation below is 100.0 minus 20.0. The following is a sample Spot Auction Must Offer Requirement (Non-Contract Obligation) ICAP MW calculation when an ECR Rights Holder has a combination of External CRIS Right Bilateral and Auction Offers to meet a Non-Contract Obligation:

**Spot Auction Must Offer Requirement (Non-Contract Obligation) ICAP MW =**

$$\begin{aligned}
 & \text{[MW External CRIS Commitment]} - \\
 & \{ \text{MW Strip Offer} + \text{MAX} [ 0, \text{MW Monthly Offer} - \\
 & \quad ( \text{MW Strip Offer} - \text{MW Strip Award} ) ] \}
 \end{aligned}$$

**Spot Auction Must Offer Requirement (Non-Contract Obligation) ICAP MW =**

$$\begin{aligned}
 & \text{[80.0 MW External CRIS Commitment]} - \\
 & \{ 50.0 \text{ ICAP MW Strip Offer} + \text{MAX} [ 0, 8.0 \text{ ICAP MW Monthly Offer} - \\
 & \quad ( 50.0 \text{ MW Strip Offer} - 30.0 \text{ MW Strip Award} ) ] \} = 30.0 \text{ ICAP MW}
 \end{aligned}$$

If ICAP Equivalent Spot ECR Offer MW < 30.0, the ECR Rights Holder will not meet their Non-Contract Must Offer Obligation and will incur a Supply Failure Violation.

If ICAP Equivalent Spot ECR Offer MW >= 30.0, the ECR Rights Holder will satisfy their Non-Contract Must Offer Obligation and will not incur a Supply Failure Violation that month on that External CRIS Right.

**Note:** In the case that the MP exceeds ECR Non-Contract Obligation, the System will limit the ICAP equivalent ECR Offer Awards to their Non-Contract Right.

## 15.4. First-Come, First-Served (FCFS) Import Rights

This section describes how Market Participants may request, confirm, unconfirm, alter or delete, and return FCFS Import Rights in the System. In order to request, confirm, unconfirm, alter or delete, and return FCFS Import Rights in the System, Users must have “Certify” privileges and also belong to an organization that has “Certify” privileges. The Installed Capacity Supplier that will have the obligation to supply the External Installed Capacity, referred to in this section of the *ICAP AMS UG* as the “seller”, can request the FCFS Import Right in the ICAP AMS and must identify the counterparty that will be the purchaser (*i.e.*, the LSE or the Installed Capacity Marketer that is not an Affiliate of the seller), referred to in this section of the *ICAP AMS UG* as the “buyer”. The ICAP Manual Section 4.9.2.5 includes details related to FCFS Import Rights. The following functionality is included in the System and will be covered in this section:

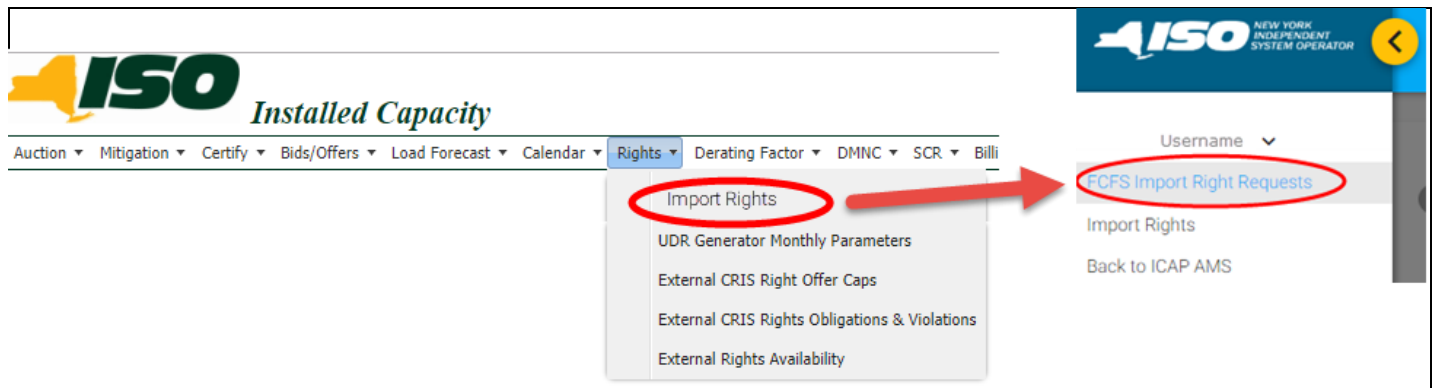
- How to Request a FCFS Import Right:
  - How to Create and Download a FCFS Import Right Request file
  - How to Upload a FCFS Import Right Request file
  - How to Test a FCFS Import Right Request form
  - How to Submit a FCFS Import Right Request form
- How to View a Submitted Request
- How to Buyer Confirm a Submitted Request

### 15.4.1. How to Request FCFS Import Rights

Only the seller may request FCFS Import Rights using the functionality described in this section. In order to create, upload, submit, and view FCFS Import Rights requests, Users must have “Certify” privileges and also belong to an organization that has “Certify” privileges. The seller may create, download, upload, and test FCFS Import Right requests for the current or future months where the certification deadline has not passed

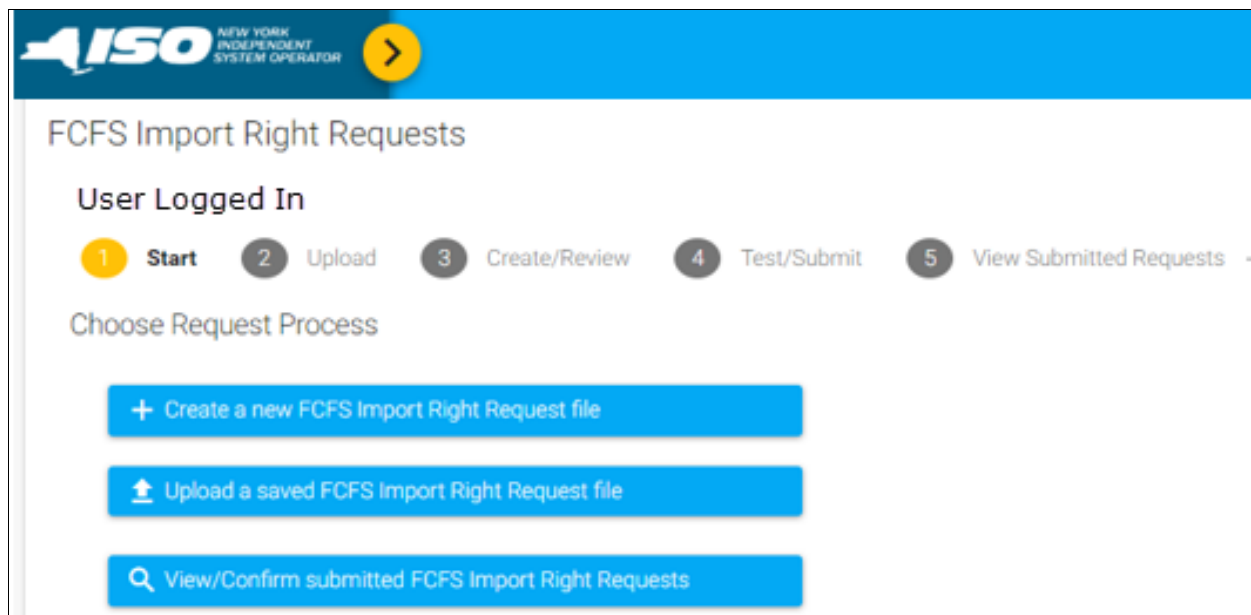
The user may navigate from the ICAP AMS (displayed in the left menu below) to the FCFS Import Right Requests module (displayed in the right menu below). All functionality described in this section is accessible from the FCFS Import Right Requests module link on the main menu on the upper-left part of the screen, displayed in the menu to the right below in [Figure 302](#).

**Figure 302: Link to FCFS Import Right Requests Module Menu**



The FCFS Import Right Requests menu option allows Users to navigate through the different screens in order to create, download, upload, test, submit, and view FCFS Import Right Requests. Selecting FCFS Import Right Requests option from the menu will display the FCFS Import Right Requests – Start screen, shown in [Figure 303](#) Figure 303below.

**Figure 303: FCFS Import Right Requests – Start Screen**



Users may navigate through the different FCFS Import Right Requests screens by utilizing the section on top of the screen that displays steps one through five in the request process. This menu, shown in [Figure 303](#), is displayed on top of each screen in the FCFS Import Right Requests module. Clicking on the number next to the process step will display the corresponding screen, as shown in [Figure 304](#) below.

**Figure 304: FCFS Import Right Requests – Request Process Navigation Menu**



**Figure 305: FCFS Import Right Requests – Request Process Navigation Screen Section**

Screen Field	Data Type	Editable	Description
Start	Button	N	Displays Start screen
Upload	Button	N	Displays Upload screen
Create/Review	Button	N	Displays Create/Review screen
Test/Submit	Button	N	Displays Test/Submit screen
View Submitted Requests	Button	N	Displays View Submitted Requests screen

[Figure 306](#) below describes the parameters displayed on the FCFS Import Right Requests – Start screen, Choose Request Process.

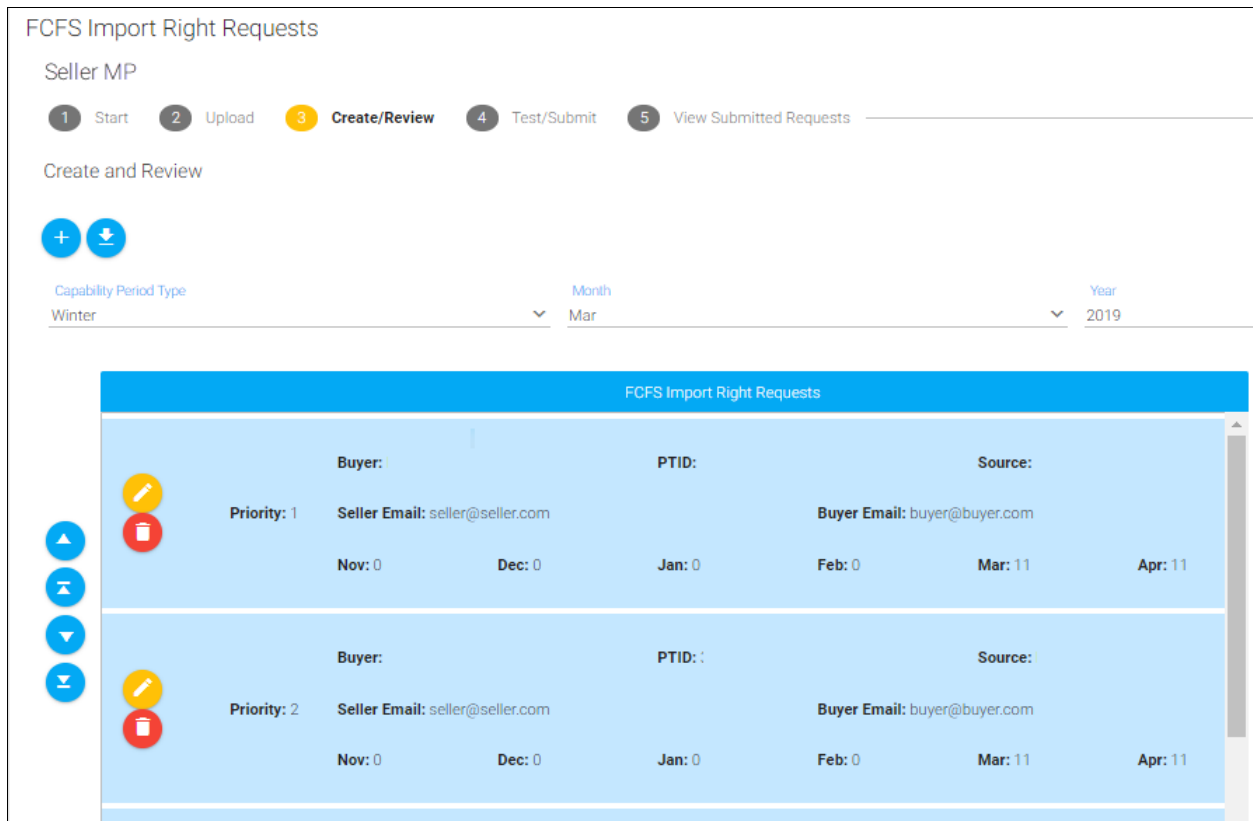
**Figure 306: FCFS Import Right Requests – Start screen, Choose Request Process**


Screen Field	Data Type	Editable	Description
Create a new FCFS Import Right Request form	Button	N	Displays Create/Review screen
Upload a saved FCFS Import Right Request file	Button	N	Displays Upload screen
View/Confirm submitted FCFS Import Right	Button	N	Displays View Submitted Requests screen


#### 15.4.1.1. How to Create and Download a FCFS Import Right Request File

Users may navigate to the Create and Review screen by clicking the Create option on the Start screen or by clicking the “3” button directly to the left of “Create/Review” in the menu at the top of the screen. The Create/Review screen section will be displayed, shown in [Figure 307](#) below.

**Figure 307: FCFS Import Right Requests – Create/Review Screen Section**



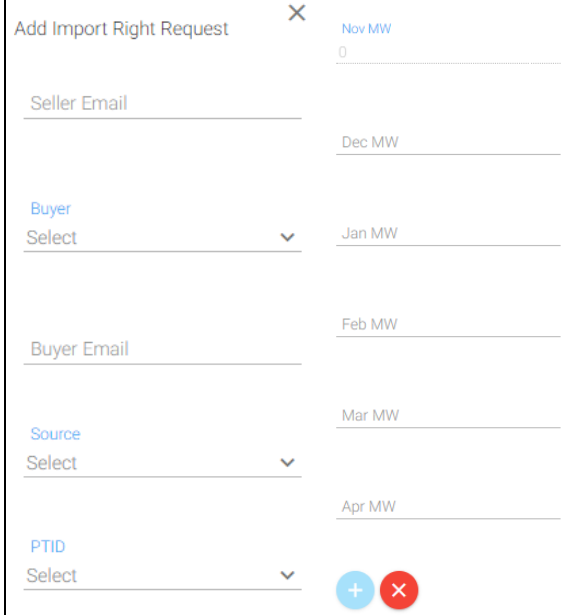
The seller may create one or more FCFS Import Right Requests for months where the certification deadline has not passed. Un-submitted FCFS Import Right Request forms are not saved and will be lost if the User navigates away or refreshes the webpage. After creating one or more FCFS Import Right Requests forms, the User may Download the FCFS Import Right Request into a file by clicking on the download button, , below the “Create and Review” screen header. This will allow the seller to Upload the file for later use.

In order to create a FCFS Import Right Request, Users must first select the desired Capability Period Type, Month, and Year. Once entered, the User will be able to select the Add button , which will then open the Add Import Right Request window on the right side of the screen, shown in [Figure 308](#) below. The User will then be able to enter all of the necessary fields for creating a FCFS request.


When all the necessary fields have been entered, the user must select the Add button on the bottom of the window in order to populate the Create/Review screen. It is important to note that there is no notification for successfully adding a request. A duplicate request is added every time the user clicks the Add button. This functionality allows User to create numerous similar requests without having to reenter

fields that are the same. In order to close the Add Import Right Request window and view the request on the Create/Review screen the user must select the red X button, as shown below in [Figure 308](#).

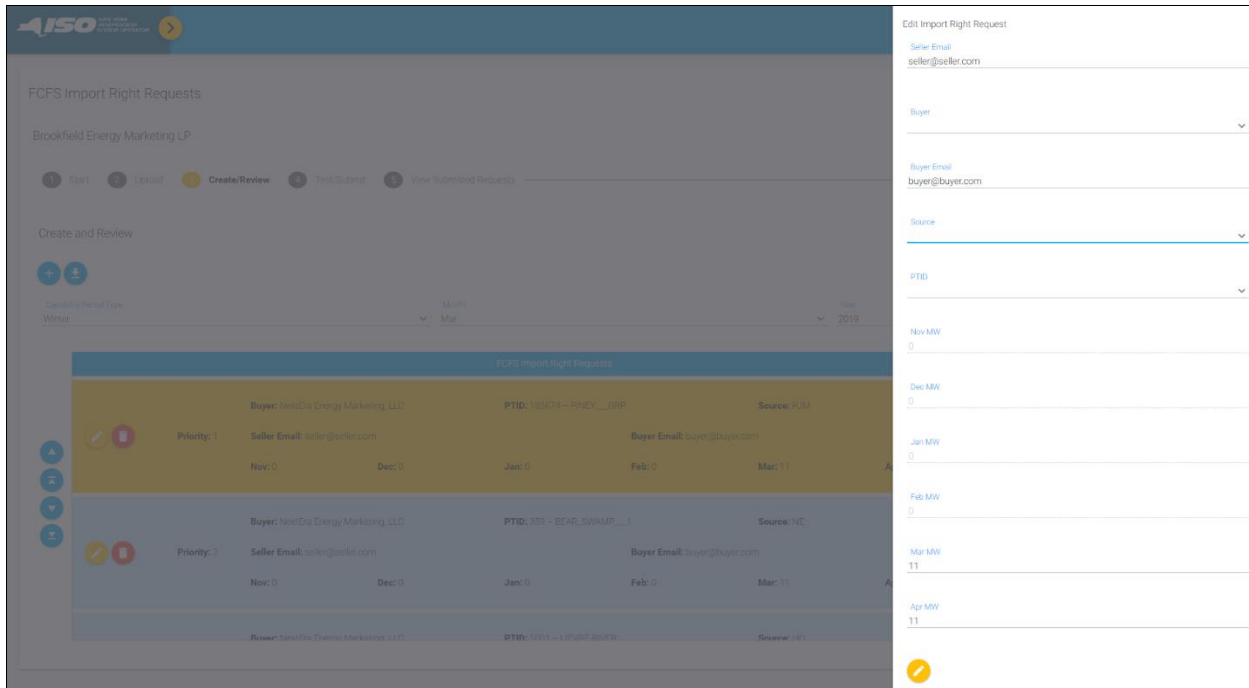
**Figure 308: Add Import Right Request window**







After adding an Import Right Request to the form, it will be displayed on the Create/Review Screen in the FCFS Import Right Requests section. Once displayed here, the User may select a request by clicking on it. The selected request will be highlighted in yellow, and the User will be able to edit, delete and prioritize the requests.

When editing a request, the user must click the yellow edit button, , on the request to be edited, in order to re-open the Add Import Right Request window. In order to save the updates and return to the Create/Review screen the User must click on the edit button on the bottom of the Add Import Right Request window, as shown in [Figure 309](#) below.

**Figure 309: FCFS Import Right Requests – Edit FCFS Import Right Requests**



When prioritizing requests within the request form, the User must first select the request to be prioritized by clicking on it. The selected request will be highlighted yellow and the User may then click the arrows to the left side of the “FCFS Import Right Requests” display in order to move the request within the list. Listed from top to bottom the arrows move the selected request up one in the list , to the top of the list , down one in the list , and to the bottom of the list when clicked .

[Figure 310](#) below describes the parameters displayed on the Create/Review screen. [Figure 311](#) below describes the parameters displayed on the Add Import Right Request window.

**Figure 310: FCFS Import Right Requests – Create/Review screen description**

Screen Field	Data Type	Editable	Description
Capability Period Type	Text	Yes	Select Capability Period Type [Summer, Winter] from a drop down list.
Month	Text	Yes	Select Month from a drop down list. If Summer CP selected: May, June, July, August, September, October If Winter CP selected: November, December, January, February, March, April
Year	Number	Yes	Enter Year by typing in format YYYY. Increase or decrease one year by clicking on the arrows to the right of the line.

			Years not included in the current Capability Period will not pass validation to become FCFS Import Right requests.
Add	Button	No	Click to create an Import Right Request. Opens the Add Import Right Request window.
Download	Button	No	Click to Download a Request File containing all created requests displayed
Edit	Button	No	Click to Edit a request. Opens the Edit Import Right Request window. Save updates and return to the Create/Review screen by clicking on the edit button on the bottom of the Add Import Right Request window.
Delete	Button	No	Click to delete a request.
Move Up arrow	Button	No	Reprioritize selected request by moving it up one in the list
Move to Top arrow	Button	No	Reprioritize selected request by moving it to the top of the list
Move Down arrow	Button	No	Reprioritize selected request by moving it down one in the list
Move to Bottom arrow	Button	No	Reprioritize selected request by moving it to the bottom of the list

**Figure 311: FCFS Import Right Requests – Add/Edit Import Right Request window description**

Screen Field	Data Type	Editable	Description
Seller Email	Text	Yes	Enter a valid seller email. Must have a different email domain (e.g., sell-entity.com) than the buyer.
Buyer	Text	Yes	Select buyer from a drop down list
Buyer Email	Text	Yes	Enter a valid buyer email. Must have a different email domain (e.g., buy-entity.com) than the seller.
Source	Text	Yes	Select Source (i.e., External Control Area) from a drop down list of external interfaces
PTID	Number	Yes	Select PTID from a drop down list. Seller must own selected PTID. Selected PTID must be within the selected External Source Control Area
Capacity MW	Number	Yes	Capacity MW amount requested for the months where certification has not closed – past months grayed out (i.e., unavailable). At least one month must be non-zero, none can be negative or null. Must be in valid MW format (positive number, tenths of a MW (i.e., one decimal point), no letters or other special characters).
Add	Button	No	Click to add Import Right Request  Note: There is no notification for successfully adding a request. A duplicate request is added every time the user clicks the Add button.
Close	Button	No	Click to close window and return to the Create/Review screen

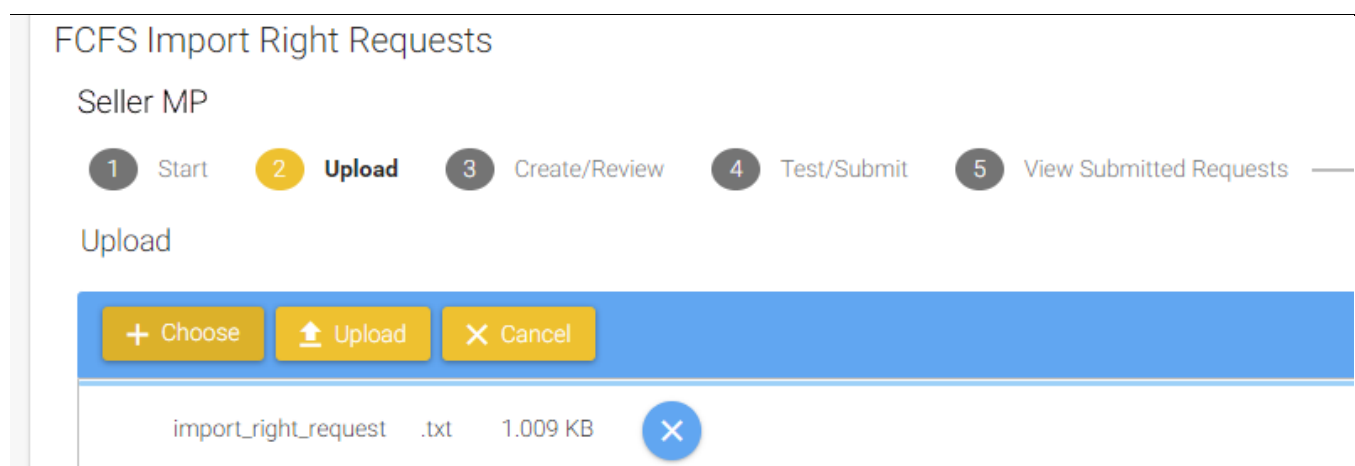



### 15.4.1.2. How to Upload a FCFS Import Right Request File

The seller may upload one or more FCFS Import Right Request files through the functionality described in this section. The Seller may upload previously created FCFS Import Right Request files that were downloaded and saved.

User may navigate to the Upload screen by clicking the “2” button directly to the right of “Start” in the menu at the top of the screen. The Upload screen will be displayed, shown in [Figure 312](#) below.

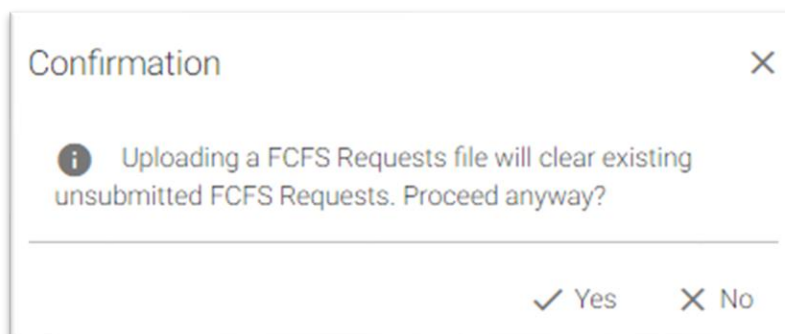
**Figure 312: FCFS Import Right Requests – Upload Screen Section**



In order to upload a request file, the User must first click on the “Choose” button, prompting the User’s filer browser to open. The User must then select the file to be uploaded in order to populate the Upload screen. Finally, the User must click on the “Upload” button in order to upload the request file. If the User does not select the “Upload” button, , the file will be lost when the User navigates away from the page.

Uploading request files will clear existing un-submitted requests from the Create/Review screen and the ICAP AMS will prompt the confirmation displayed below in [Figure 313](#). Users are only able to upload one request file at a time.

**Figure 313: FCFS Import Right Requests – Confirmation on Upload Screen Section**



As shown in [Figure 312](#), the “Choose”, “Upload”, and “Cancel” buttons displayed on the Upload screen are grayed out when the User is unable to perform the action

[Figure 314](#) below describes the parameters displayed on the Upload screen.

**Figure 314: FCFS Import Right Requests – Upload Screen Section description**

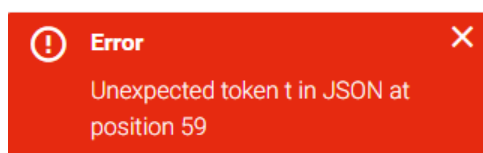
Screen Field	Data Type	Editable	Description
Choose	Button	No	Click to select a previously downloaded and saved file
Upload	Button	No	Click to upload the file displayed
Cancel	Button	No	Click to remove the selected file from the Upload screen
X	Button	No	Displayed to the right of the Request File name. Removes file from the Upload screen

Upon Upload, the Request file is validated to determine if it conforms to the rules. If all upload validations pass, the file is successfully uploaded and displayed on the Create/Review screen, [Figure 315](#) below displays the success message. If any of the validations fail, the file will not be uploaded and an error message will be displayed, similar to the example shown in [Figure 316](#) below. [Figure 317](#) below lists all of the validations performed on upload.

**Figure 315: FCFS Import Right Requests – Upload Success**



**Figure 316: FCFS Import Right Requests – Upload Error**



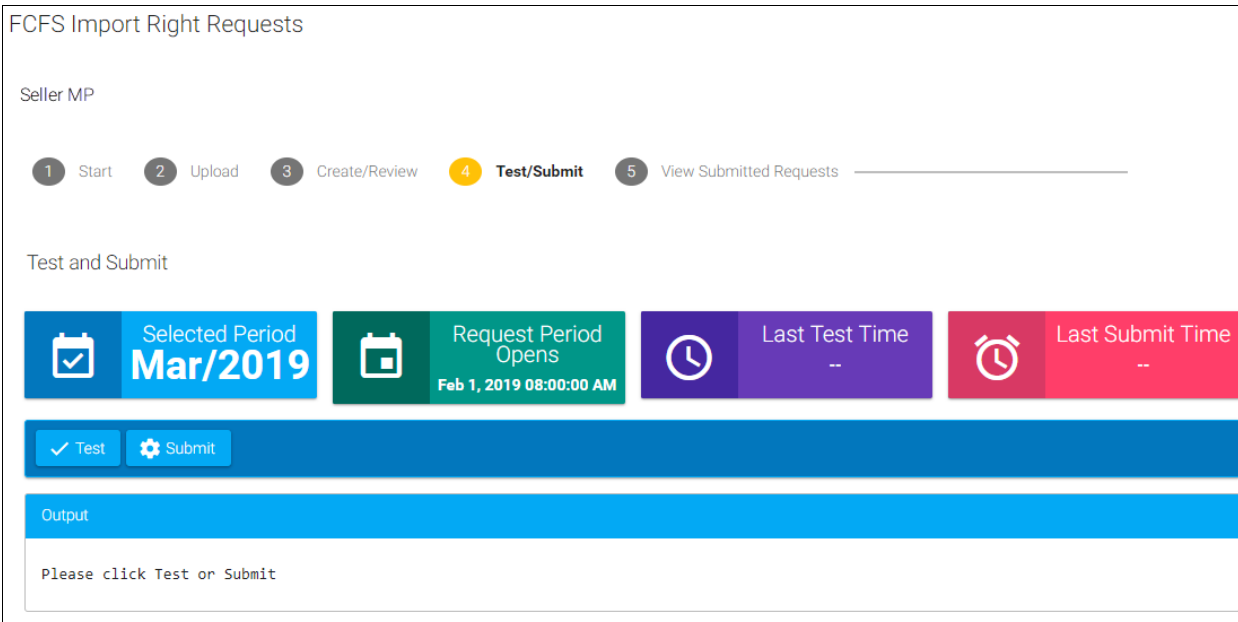
**Figure 317: FCFS Import Right Requests – Upload Validations**

Validation	Description
All fields must be entered	
At least one month has a non-zero MW amount specified	
Valid MW format	Must be a positive number Only numbers are allowed Specify to only one decimal point No letters or other special characters
Capacity MW for at least one month must have a non-zero MW amount specified None can be left blank	Capacity MW amount for current or future months
Valid email address	Format <code>*@*.*</code> Seller email domain does not equal Buyer email domain
Source	Valid Source location External Interface = HQ, IESO, NE, PJM

#### 15.4.2. How to Test and Submit FCFS Import Right Requests

The “Test/Submit” screen allows Users to test and submit FCFS Import Right Requests. Users may navigate to the Test and Submit screen by clicking the “4” button directly to the right of “Create/Review” in the menu at the top of the screen. The Test and Submit screen section will be displayed, as shown in [Figure 318](#).

**Figure 318: FCFS Import Right Requests – Test and Submit Screen Section**



[Figure 319](#) below describes the parameters displayed on the Test and Submit screen.

**Figure 319: FCFS Import Right Requests – Test and Submit Screen Section description**

Screen Field	Data Type	Editable	Description
Selected Period	Text	No	Month/Year selected on Create/Review screen
Request Period Opens	Date/Time	No	Start date and time of the upcoming FCFS Import Right Request Period
Last Test Time	Date/Time	No	Date and Time of last test
Last Submit Time	Date/Time	No	Date and Time of last Submission attempt
Test	Button	No	Click to test Request form
Submit	Button	No	Click to submit Request form
Output	Text	No	Displays results from Test and Submit Displays any errors in request form if Test or Submit unsuccessful

Users may test a FCFS request form that has been created/uploaded by selecting the “Test” button on the Test and Submit screen at any time in order to ensure the request file will be successfully validated.

Users will have the ability to submit a FCFS Import Right Request form only within the begin and end times of the FCFS Import Right Request Period, as identified in the ICAP Event Calendar

Upon test and submit the Request form values are validated as described in [Figure 317](#). The same validations that are performed on submit are performed on test in order to allow the User to verify that the request form will be successfully submitted. On test, if all validations pass, a success message will be

displayed. If any of the validations fail on test, a warning message and an output list of errors will be displayed. On submit, if all validations pass, the form is successfully submitted and displayed on the View Submitted Requests screen. If any of the validations fail on submit, the entire request form will not be submitted and an error message will be displayed. [Figure 320](#) below lists all of the validations performed on test and submit.

**Figure 320: FCFS Import Right Requests – Test and Submit Validations**

Validation	Description
All fields must be entered	
Valid email address	Format *@*. * Seller email domain is different from buyer email domain
PTID	Seller owns PTID PTID within the selected Source
Source must be an External Location	
Capacity MW	Capacity MW for at least one month must have a non-zero MW amount specified None can be left blank Capacity MW amount for current or future months where the Certification period has not closed – past months grayed out
Valid MW format	Must be a positive number Only numbers are allowed Specify to only one decimal point No letters or other special characters
Avail for Sale UCAP	Validate there is sufficient Available for Sale UCAP on the selected PTID for the MW amount requested
ICAP Validation	For each External Gen PTID, validate that the resource's Reduced Available ICAP MW is not exceeded
Offer period validation	Validate that the offer period is currently open (only on Submit)

### 15.4.3. How to View Submitted FCFS Import Right Requests

The “View Submitted Requests” screen displays all of the User’s submitted FCFS Import Right Requests for a given month, year, and request period. Users may navigate to the View Submitted Requests screen by clicking the “5” button directly to the right of “Test/Submit” in the menu at the top of the screen.

The User may select to view the screen as either a seller or a buyer by choosing the appropriate option from the “Choose a view” drop down list. In order to view the details of a given request, the User may click on the arrow to the right of the request to display the collapsible detailed view.

The View Submitted Requests Screen Seller view is displayed in [Figure 321](#). The View Submitted Requests Screen Buyer view is displayed in [Figure 322](#). [Figure 323](#) describes the parameters displayed on the View Submitted Requests screen.

**Figure 321: FCFS Import Right Requests – View Submitted Requests Screen Seller View**

FCFS Import Right Requests

Seller MP

1 Start
2 Upload
3 Create/Review
4 Test/Submit
5 View Submitted Requests

Choose a view: Seller ▾

Month: Mar ▾     
 Year: 2019     
 Request Period: All ▾     
 🔍

🗑️

Submitted Requests								
	Submission Time	Priority	Buyer	Seller	Source	PTID	Gen	Confirmed
▾	Jan 30, 2019 02:24:21 PM	1	Buyer	Seller	Source	PTID	Gen Name	-

**Seller Email:** seller@seller.com     
 **Buyer Email:** buyer@buyer.com

**Nov:** 0.0     
 **Dec:** 0.0     
 **Jan:** 0.0     
 **Feb:** 0.0     
 **Mar:** 11.0     
 **Apr:** 11.0

**Figure 322: FCFS Import Right Requests – View Submitted Requests Screen Buyer View**

FCFS Import Right Requests

NextEra Energy Marketing, LLC

1 Start 2 Upload 3 Create/Review 4 Test/Submit 5 **View Submitted Requests**

Choose a view: Buyer

Month: Mar Year: 2019 Request Period: All

**Submitted Requests**

	Submission Time	Priority	Buyer	Seller	Source	Confirmed	Nov	Dec	Jan	Feb	Mar	Apr
▼	Jan 30, 2019 02:24:21 PM	1	Buyer	Seller	Source		0.0	0.0	0.0	0.0	11.0	11.0

**Buyer Email:** buyer@buyer.com  
**Seller Email:** seller@seller.com

**Figure 323: FCFS Import Right Requests – View Submitted Requests Screen**

Screen Field	Data Type	Editable	Description
Choose a View	Text	Yes	User may Select either seller or buyer view. Seller view only displays requests created by a User for the (Installed Capacity Supplier) seller. Buyer view only displays requests to which the User is a buyer (purchaser/ counterparty).
Month	Text	Yes	Select Month from a drop down list.
Year	Number	Yes	Enter Year by typing in format YYYY. Increase or decrease one year by clicking on the arrows to the right of the line.
Request Period	Date	Yes	Select Request Period from a drop down list. Displays all submitted requests during the selected request period.



Screen Field	Data Type	Editable	Description
Search	Button	No	Click to display all submitted requests for the given User, month, year, and request period selected.
Delete	Button	No	Only displayed on seller view Click to delete the selected request. Deletes the entire submitted request. Seller is only able to delete a request that is not buyer Confirmed.
Confirm/Un-confirm	Button	No	Only displayed on Buyer view. Click to confirm/un-confirm the selected request. buyer is only able to confirm during the buyer FCFS Confirmation Period (as identified in the ICAP Event Calendar).
Drop Down Arrow	Button	No	Click to display the collapsible view of the submitted FCFS request details
Submission Time	Date/Time	No	Recorded date and time stamp of when the request form record was received in the ICAP AMS.
Priority	Number	No	Relative priority of the individual requests submitted in a request form. All requests submitted in a single request form will have the same submission timestamp. Priority among requests in a single request form is defined by their relative priority defined by the seller.
Buyer	Text	No	Buyer organization (i.e., LSE or Installed Capacity Marketer that is not an Affiliate of the seller) that is the purchasing party to the bilateral transaction.
Seller	Text	No	Seller organization (i.e., Installed Capacity Supplier) that is the supplying party to the bilateral transaction.
Source	Text	No	External Control Area in which the qualified External Resource is located.
PTID	Number	No	Only displayed on Seller view. PTID of the qualified External Resource.
Gen	Text	No	Only displayed on Seller view. Generator Name of the qualified External Resource.
Confirmed	Icon	No	Buyer Confirm status for the request Red Circle = Buyer Un-confirmed Green Check = Buyer Confirmed
Months [1-6] in Capability Period	Number	No	ICAP MW amount requested for each month in the Capability Period.
Seller Email	Text	No	E-mail address of the contact for the seller organization to the bilateral transaction in the ICAP AMS that will be associated with the request.



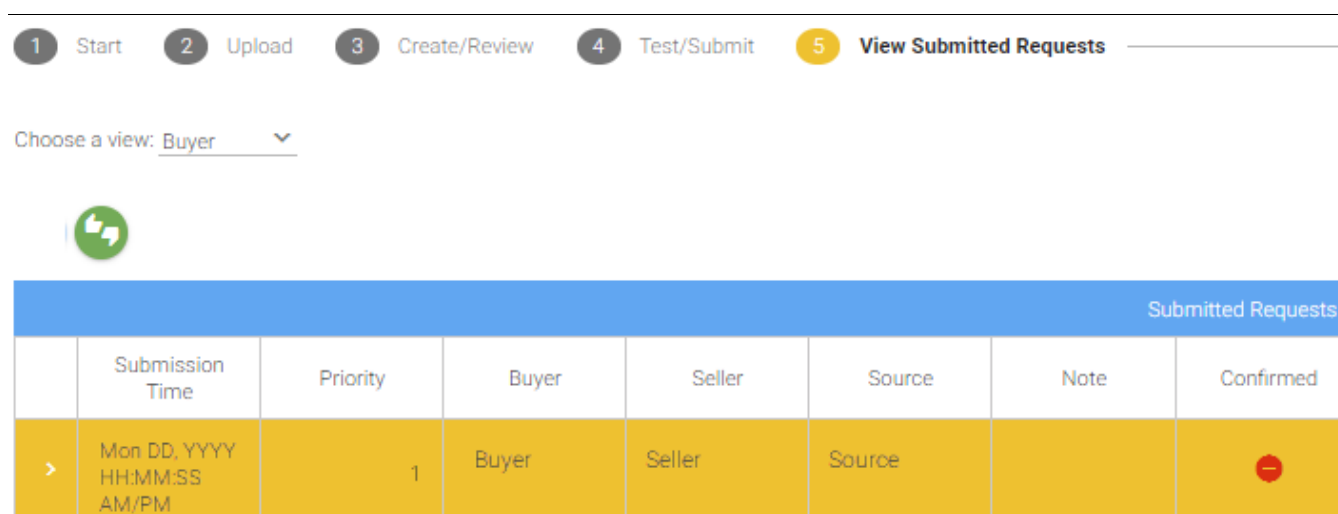
Screen Field	Data Type	Editable	Description
Buyer Email	Text	No	E-mail address of the contact for the buyer organization to the bilateral transaction in the ICAP AMS that will be associated with the request.

#### 15.4.4. How Buyers Confirm Submitted FCFS Import Right Requests

This feature, accessible from the Buyer view of the “View Submitted Requests” screen through the FCFS Import Right Requests module link on the main menu, enables Users that are the buyer to a FCFS Import Right Request to view and confirm a request.


The functionality described in this section can be seen in [Figure 324](#) below. In order for the buyer to confirm a right, the User must first select to view the screen as a buyer by choosing “Buyer” from the “Choose a view” drop down list. Next, the User must select the appropriate month, year, and request period and click the search button, , to display submitted requests. The User then selects the desired request by clicking on it. The selected request will be highlighted yellow and the User will be able to click on the green circle, , above the “Submitted Requests” table. The Buyer Confirm button is grayed out when the User is unable to confirm/un-confirm the request.


**Figure 324: FCFS Import Right Requests – View Submitted Requests Screen Buyer Confirm**



1 Start 2 Upload 3 Create/Review 4 Test/Submit 5 **View Submitted Requests**

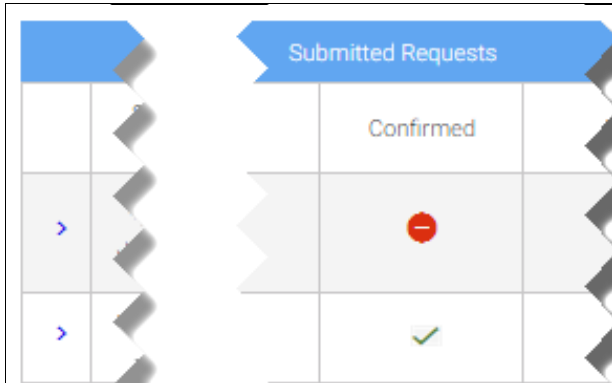
Choose a view: Buyer ▾



Submitted Requests							
	Submission Time	Priority	Buyer	Seller	Source	Note	Confirmed
>	Mon DD, YYYY HH:MM:SS AM/PM	1	Buyer	Seller	Source		

Users may view the buyer confirmation status for each request in the “Confirmed” column, a red circle indicates that the request is Buyer Un-confirmed, and a green check indicates that the request is Buyer Confirmed (displayed in [Figure 325](#) below).

**Figure 325: FCFS Import Right Requests – View Submitted Requests Screen – Confirmed Column**

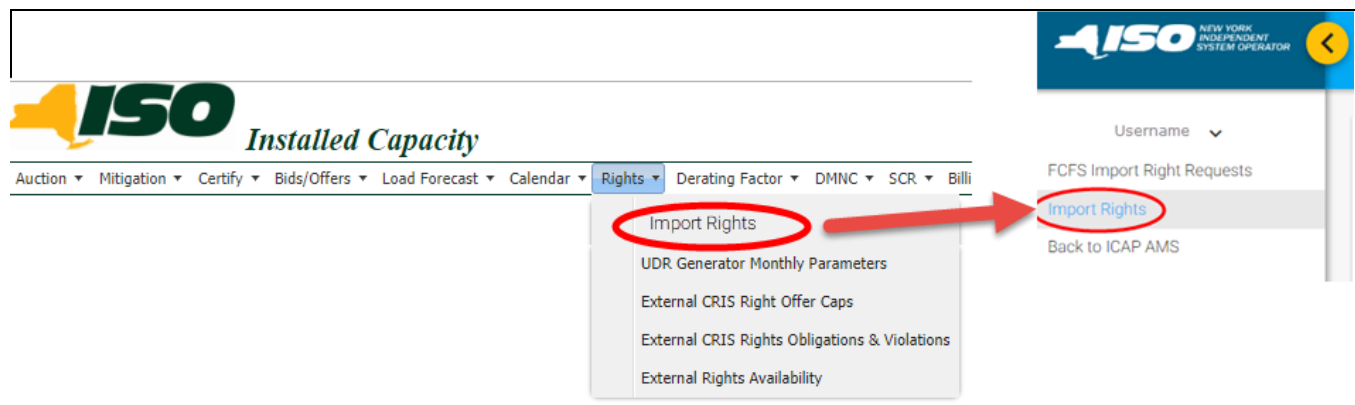


## 15.5. Import Rights

The “Import Rights” screen displays all of the User’s Granted Import Rights, including historical, as well as the Available Remaining information for each External Interface and NYCA for a given month and year. The Available Remaining information is recalculated as the User makes changes, and may be different than what is shown in the public External Rights Availability screen until updates are published to the public screen. In order to view, return, and (un)confirm FCFS Import Rights Users must have “Certify” privileges and also be with an organization that has “Certify” privileges. The ICAP Manual Section 4.9.2.5 includes details related to Import Rights.

The user may navigate from the ICAP AMS (displayed in the left menu below) to the Import Rights module (displayed in the right menu below). All functionality described in this section is accessible from the Import Rights module link on the main menu, displayed in the menu to the right below in [Figure 326](#).

**Figure 326: Import Rights Module Menu**



### 15.5.1. How to View Available Remaining

The “Available Remaining” section on the “Import Rights” screen, as shown in [Figure 327](#), displays parameters associated with the NYCA and with each Interface for a given month and year. The User must first click the arrow on the far right of the blue “Available Remaining” title bar. This will drop down the display. Next the User must select one of their Import Rights displayed in the “Import Rights” screen section below by clicking on an Import Right, the selected right will then be highlighted yellow. Once an Import Right is selected the “Available Remaining” display will populate. The User may view the different months in the selected Capability Period by clicking on the Month/Year at the top.

[Figure 327](#) below displays the “Available Remaining” screen section.

[Figure 328](#) below describes the parameters displayed on the “Available Remaining” screen section.

**Figure 327: Import Rights – Available Remaining (Tabular) screen section**

Available Remaining						
<a href="#">May/2014</a> <a href="#">Jun/2014</a> <a href="#">Jul/2014</a> <a href="#">Aug/2014</a> <a href="#">Sep/2014</a> <a href="#">Oct/2014</a>						
Location	Import Right ICAP Limit (ICAP MW)	Granted Import Rights (ICAP MW)	Non-ECR External Offer Awards (Equiv ICAP MW)	ETCNL (ICAP MW)	External CRIS Rights (ICAP MW)	Available Remaining
HQ	1110	20	0	0	1090	0
IESO	0	0	0	0	0	0
NE	300	93	0	0	0	207
PJM	1043	0	0	0	0	1043
Total NYCA	2453	0	0	0	0	1250

**Figure 328: Import Rights – Available Remaining screen section**

Screen Field	Data Type	Editable	Description
Location	Number	No	Displays each External Location and NYCA Total.
Import Right ICAP Limit (ICAP MW)	Number	No	For NYCA: maximum NYCA ICAP Import Right capacity allowed for all external interfaces for each month in the Capability Period. For a given External Interface: maximum ICAP Import Right capacity allowed for the given external interface for each month in the Capability Period.
Granted Import Rights (ICAP MW)	Number	No	Value is calculated as the sum of all FCFS and GFR (Import Rights) for a given External interface.
Non-ECR External Offer Awards (Equiv. ICAP MW)	Number	No	Value is calculated as the ICAP Equivalent of all Non-ECR Auction Offer Awards for a given External interface.
ETCNL (ICAP MW)	Number	No	Value is the elected ETCNL (ICAP MW) values for a given External interface.
External CRIS Rights (ICAP MW)	Number	No	Value is calculated as the total of all External CRIS Rights (Contract & Non-Contract) ICAP MWs for a given External interface.
Available Remaining	Number	No	Value is calculated as the Import Right ICAP Limit less all other values for a given External interface.

**15.5.2. How to View Import Rights**

The “Import Rights” screen, accessible from the Import Rights module link on the main menu, shown in [Figure 326](#) in Section [15.5](#). [Figure 329](#) below displays the view Import Rights screen section. [Figure 330](#) below describes the parameters displayed on the Import Rights screen section.

**Figure 329: Import Rights – View Import Rights Screen Section**

Import Rights

Available Remaining
▼

Import Rights

⏪ < 1 2 3 4 5 > ⏩

	Right Id	Type	Capability Period	Source	Seller	Buyer	PTID	Generator Name
	<input type="text" value="Search"/>	<input type="text" value="Search"/>	<input type="text" value="Search"/>	<input type="text" value="Search"/>	<input type="text" value="Search"/>	<input type="text" value="Search"/>	<input type="text"/>	
▼	3789	FCFS	Summer 2006	Source	Seller	Buyer	PTID	Gen Name

🗑️
✎️

👉👈
Toggle Confirm

Month	Capacity	Seller Confirm	Buyer Confirm
May/2006	107.5	✓	✓
Jun/2006	107.5	✓	✓
Jul/2006	107.5	✓	✓
Aug/2006	107.5	✓	✓
Sep/2006	107.5	✓	✓
Oct/2006	107.5	✓	✓

**Last Updated By:** MORRISPO
**Last Updated:** Sep 13, 2006 04:48:07 PM

**Figure 330: Import Rights – View Import Rights Screen description**


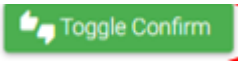

Screen Field	Data Type	Editable	Description
Right ID	Number	No	System created unique Import Right number. Filterable: Click under the Right ID column header where it says “Search” and begin typing the Right ID number.
Type	Text	No	First Come First Served Import Rights, or Grandfathered Import Right. Filterable: Click under the Type column header where it says “Search” and begin typing. Range of values = FCFS, GFR.
Capability Period	Text	No	Format: Summer/Winter YYYY. Filterable: Click under the Capability Period column header where it says “Search” and begin typing the Season [Summer, Winter] followed by the year [format: YYYY].
Source	Text	No	External Control Area in which the qualified External Resource is located. Filterable: Click under the Source column header where it says “Search” and begin typing. Range of values = HQ, IESO, NE, PJM.
Seller	Text	No	Seller organization (i.e., Installed Capacity Supplier) that is the supplying party to the bilateral transaction. Filterable: Click under the Seller column header where it says “Search” and begin typing.
Buyer	Text	No	Buyer organization (i.e., LSE or Installed Capacity Marketer that is not an Affiliate of the seller) that is the purchasing party to the bilateral transaction. Filterable: Click under the Buyer column header where it says “Search” and begin typing.
PTID	Number	No	PTID of the qualified External Resource. PTID number is displayed only to Seller. PTID column is blank for the Buyer.
Generator Name	Text	No	Generator Name of the qualified External Resource. Generator Name is displayed only to Seller. Generator Name column is blank for the Buyer.
Drop Down Arrow	Button	No	Click to display the collapsible view of the FCFS Import Right award details. Displays Month, Capacity, Seller Confirm, and Buyer Confirm for a given Import Right .
Month	Text	No	Months 1-6 in the Capability Period for a given Import Right. Format: Mon/YYYY. Summer Capability Period range of values = May, June, July, August, September, October. Winter Capability Period range of values = November, December, January, February, March, April.
Capacity	Number	No	Awarded ICAP MW amount for a given month in the Capability Period.
Seller Confirm	Icon	No	Seller Monthly Confirm status for the Import Right Red Circle = Seller Un-confirmed Green Check = Seller Confirmed

Buyer Confirm	Icon	No	Buyer Confirm status for the request Red Circle = Buyer Un-confirmed Green Check = Buyer Confirmed
Edit	Button	No	Edit the awarded MW amount for a given month of an Import Right. To edit, FCFS Import Rights must be unconfirmed by the Buyer and Seller. Only Seller has the ability to edit an Import Right award. On Non-Fully Allocated Interfaces: awarded MW amount may be reduced in 0.1 MW increments, down to zero. On Fully Allocated Interfaces: prior to the Return Deadline (specified in the ICAP Event Calendar) awarded MW amount may be edited only to zero. MW amount cannot be increased even if that right is unconfirmed by the Buyer.
Toggle Confirm	Button	No	Confirm/Un-confirm selected Import Right award for a given month. Seller is only able to confirm during the Certification Period for the obligation month of the award. Once Seller-confirmed, the Seller cannot un-confirm. Buyer is able to confirm/un-confirm pursuant to the business rules outlining Non-Fully and Fully Allocated Interfaces.
Delete	Button	No	Delete the awarded MW amount for a given month of an Import Right. To delete, FCFS Import Rights must be unconfirmed by the Buyer and Seller. Only Seller has the ability to delete an Import Right award. On Fully Allocated Interfaces: prior to the Return Deadline (specified in the ICAP Event Calendar) awarded MW amount may be deleted.

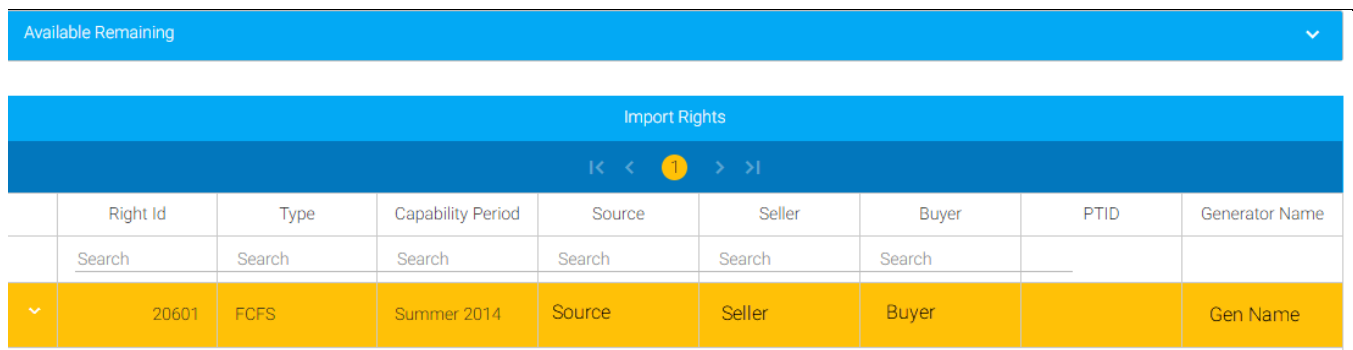
### 15.5.3. How to Return FCFS Import Right Awards

This section describes how Users return FCFS Import Right awards for both Non-Fully Allocated Interfaces and Fully Allocated Interfaces. The functionality described in this section is accessible from the Import Rights module link on the main menu, shown in [Figure 326](#) in Section [15.5](#). Import Rights of this document.

Returning a FCFS Import Right award bilateral transaction on Non-Fully Allocated Interfaces and Fully Allocated Interfaces utilize the same functionality in the ICAP AMS. The Import Rights screen allows Users to view their own FCFS Import Right awards by selecting the drop down arrow next to the right, shown in [Figure 331](#) below. The monthly award details for the selected right will then be displayed yellow, along with

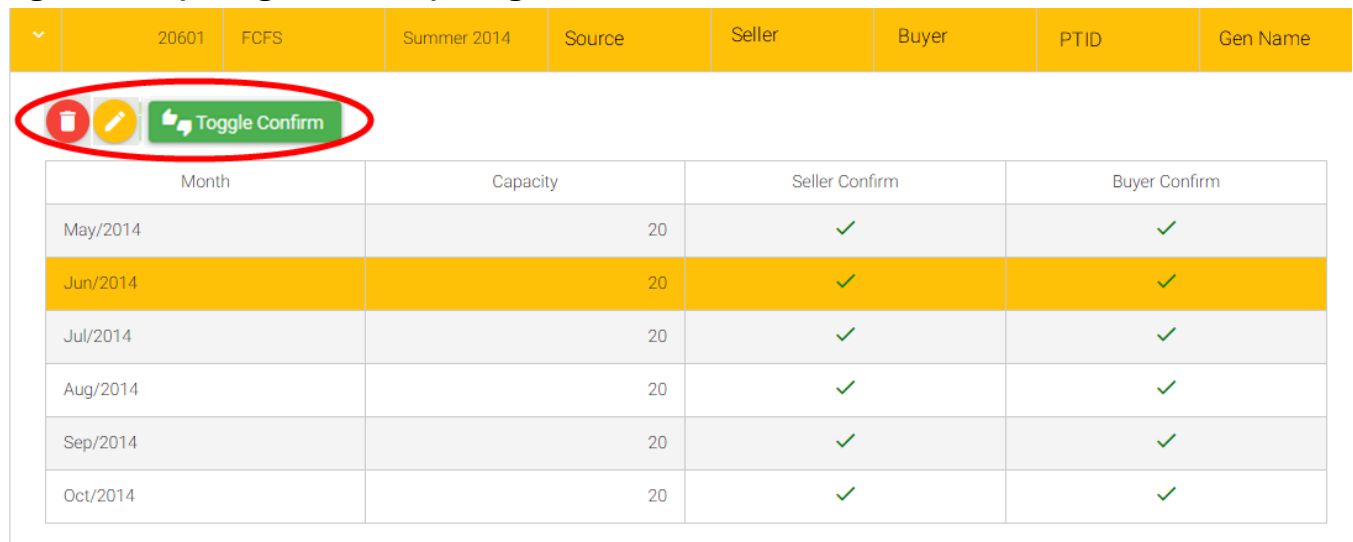
the “Edit” , “Toggle Confirm” , and “Delete”  buttons, as shown in [Figure 332](#) below.

**Figure 331: Import Rights – View Import Rights Screen Section**



Right Id	Type	Capability Period	Source	Seller	Buyer	PTID	Generator Name
20601	FCFS	Summer 2014	Source	Seller	Buyer		Gen Name

**Figure 332: Import Rights – View Import Right Award Details Screen Section**





Month	Capacity	Seller Confirm	Buyer Confirm
May/2014	20	✓	✓
Jun/2014	20	✓	✓
Jul/2014	20	✓	✓
Aug/2014	20	✓	✓
Sep/2014	20	✓	✓
Oct/2014	20	✓	✓





### 15.5.3.1 How to Return FCFS Import Right Awards


In order to return FCFS Import Right awards the Users must use the process outlined below in the ICAP AMS on the Import Rights Screen.


First, the buyer must un-confirm the FCFS Import Right award by clicking on the “Toggle Confirm” button . The buyer cannot un-confirm if the FCFS Import Right award is Seller confirmed.

Next, the seller may edit the FCFS Import Right award MW amount before confirming it in-month, by clicking the “Edit” yellow button  and then verify the changes by clicking “Save”. The FCFS Import Right award must be buyer un-confirmed in order for the seller to edit. For Non-Fully Allocated Interfaces only, the seller may reduce the FCFS Import Right award MW amount in 0.1 MW increments, down to zero.

For Fully Allocated Interfaces only, the seller may delete the FCFS Import Right award by clicking the “Delete” button, , or edit the FCFS Import Right award MW amount to zero by clicking the “Edit” pencil button, , and then verify the changes by clicking “Save”. The seller can only edit the FCFS Import Right award MW amount to zero. On Fully Allocated Interfaces, no further action needs to be taken for a FCFS Import Right award deleted or edited to zero.

All reductions are final. The seller cannot increase the MW amount of a FCFS Import Right MW amount even if that right is unconfirmed by the Buyer.

After editing a FCFS Import Right on a Non-fully Allocated Interface, the buyer must re-confirm the FCFS Import Right award by clicking on the “Toggle Confirm” button .

Finally, the seller must confirm in-month the FCFS Import Right award by clicking on the “Toggle Confirm” button . The FCFS Import Right award must be Buyer confirmed in order for the Seller to confirm in-month. Once the Seller confirms the FCFS Import Right award, the Seller cannot un-confirm

#### 15.5.4. How to Certify In-Month FCFS Import Right Awards

This section describes how the Seller confirms in-month FCFS Import Right awards. In order to certify a FCFS Import Right award bilateral transaction, Users must have “Certify” privileges and also be with an organization that has “Certify” privileges.

The Import Rights screen allows the Seller to confirm in-month their FCFS Import Right award through the same mechanism discussed in this document in Section [15.5.3](#), ‘How to Return FCSF Import Right Awards’. [Figure 333](#) below shows the “Toggle Confirm” button circled in red on the Import Rights screen.

Given that the Certification period for the obligation month of the award is open:

1. Seller must first select a given FCFS Import Right and click on the drop down arrow to the right in order to display the FCFS Import Right award details.
2. Seller must then select the individual FCFS Import Right award bilateral transaction to be confirmed.

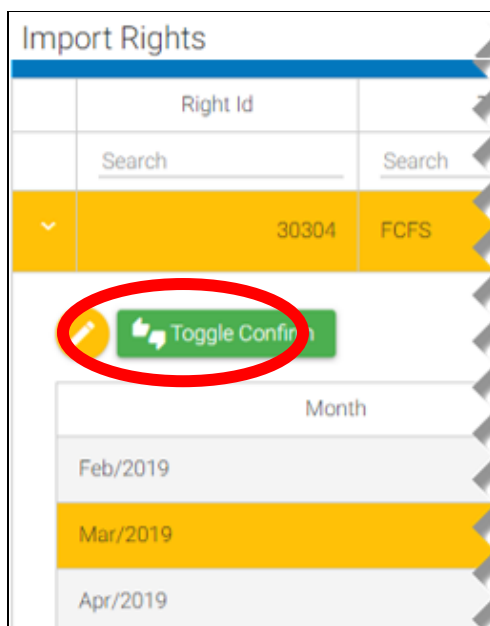
3. Seller clicks the “Toggle Confirm” button



Once the Seller confirms in-month the FCFS Import Right award, the Seller cannot un-confirm.

If the Seller confirms the award in-month, they must provide an MIS TID on the Certify/Assign Transaction IDs screen.

**Figure 333: Import Rights – Seller Confirm In-Month**



## 15.6. How to View External Rights Availability

This screen is updated for changes in External Import Rights available at each External interface. The updates are based on the remaining available headroom at the interface. The ICAP Manual Section 4.9 includes details related to this display. The user navigates to this screen from the Rights Menu.

### 15.6.1. View External Rights Availability

The user navigates to this screen from the Rights Menu by selecting the 'External Rights Availability' menu option. This screen is available to all users, including the public.

### 15.6.2. Screen Descriptions

**Figure 334: External Rights Availability Filter Section**

Screen Field	Type	Editable	Description
Season	Text	Y	Capability Period.
Version	Numeric	Y	The Version Drop Down defaults to latest published version.  External user can select any Published Version Number for selected Season.

**Figure 335: Version Information Screen Section**

Screen Field	Data Type	Editable	Description
Published Date	Text	N	This is the date/time the Version was interactively or automatically Published.
Comments	Text	N	Indicates when the Version was Published or the system-set comment to indicate which auction post triggered an Auto Publish.

**Figure 336: External Rights Availability Screen Section**

Screen Field	Data Type	Editable	Description
The following rows are displayed for NYCA, HQ, IESO, NE, PJM			
Maximum Limit	Numeric	N	Import Right ICAP Limit (including ETCNL) displayed for each Month in the selected Season.  For NYCA, the MW limit may be less than the sum of the other interface MW limits.  The MW amount can vary month to month; see ICAP Manual Section 4.9 for details.
GFR/ETCNL Rights Secured	Numeric	N	The sum of all GFR/ETCNL values is displayed for each Month in the selected Season.
External CRIS Secured	Numeric	N	The total monthly Contract and Non-Contract ECRs for all CRIS Holders for each Month in selected Season.
First Come First Serve Secured / Auctions	Numeric	N	This is the Total First Come First Serve Import Rights bilaterals and Strip/Monthly auction awards for NYCA and for all External Interfaces.
Remaining	Numeric	N	This is the total (Remaining) Available Headroom for all External Interfaces.

**Figure 337: View External Rights Availability**

<b>Installed Capacity</b> <b>External Rights Availability</b>							
Auction ▾ Mitigation ▾ Certify ▾ Bids/Offers ▾ Load Forecast ▾ Calendar ▾ Rights ▾ Derating Factor ▾ DMNC ▾ SCR ▾ Billing ▾ Upload/Download							
Season: Winter 2016-2017 ▾ Version: 20 [04-Nov-2016] ▾							
<b>Version Info</b>							
<b>Published Date:</b>		11/04/2016 15:55 PM		<b>Comments:</b>		Updated for Monthly Nov/2016 Auction Posting	
Changed in this posting.							
<b>External Rights Availability</b>							
	November	December	January	February	March	April	
<b>NYCA</b>							
Maximum Limit	2,662.0	2,662.0	2,662.0	2,662.0	2,662.0	2,662.0	
GFR/ETCNL Rights Secured	22.0	44.0	65.0	70.0	224.0	95.0	
External CRIS Secured	1,115.0	264.0	264.0	264.0	264.0	1,115.0	
First Come First Served Secured / Auctions	568.0	37.0	5.0	5.0	5.0	5.0	
Remaining	957.0	2,317.0	2,328.0	2,323.0	2,169.0	1,447.0	
<b>HQ</b>							
Maximum Limit	3,304.0	1,104.0	1,104.0	1,104.0	1,104.0	2,000.0	
GFR/ETCNL Rights Secured	2.0	0.0	0.0	0.0	0.0	0.0	
External CRIS Secured	1,090.0	239.0	239.0	239.0	239.0	1,090.0	
First Come First Served Secured / Auctions	12.0	17.0	5.0	5.0	5.0	5.0	
Remaining	2,200.0	848.0	860.0	860.0	860.0	905.0	
<b>IESO</b>							
Maximum Limit	100.0	100.0	500.0	1,000.0	500.0	1,000.0	
GFR/ETCNL Rights Secured	0.0	0.0	0.0	70.0	200.0	60.0	
External CRIS Secured	0.0	0.0	0.0	0.0	0.0	0.0	
First Come First Served Secured / Auctions	100.0	0.0	0.0	0.0	0.0	0.0	
Remaining	0.0	100.0	500.0	930.0	300.0	940.0	
<b>NE</b>							
Maximum Limit	2,946.0	40.0	446.0	446.0	446.0	446.0	
GFR/ETCNL Rights Secured	20.0	20.0	20.0	0.0	0.0	0.0	
External CRIS Secured	0.0	0.0	0.0	0.0	0.0	0.0	
First Come First Served Secured / Auctions	426.0	20.0	0.0	0.0	0.0	0.0	
Remaining	2,500.0	0.0	426.0	446.0	446.0	446.0	
<b>PJM</b>							
Maximum Limit	1,120.0	1,120.0	1,120.0	1,112.0	1,112.0	1,112.0	
GFR/ETCNL Rights Secured	0.0	24.0	45.0	0.0	24.0	35.0	
External CRIS Secured	25.0	25.0	25.0	25.0	25.0	25.0	
First Come First Served Secured / Auctions	30.0	0.0	0.0	0.0	0.0	0.0	
Remaining	1,065.0	1,071.0	1,050.0	1,087.0	1,063.0	1,052.0	

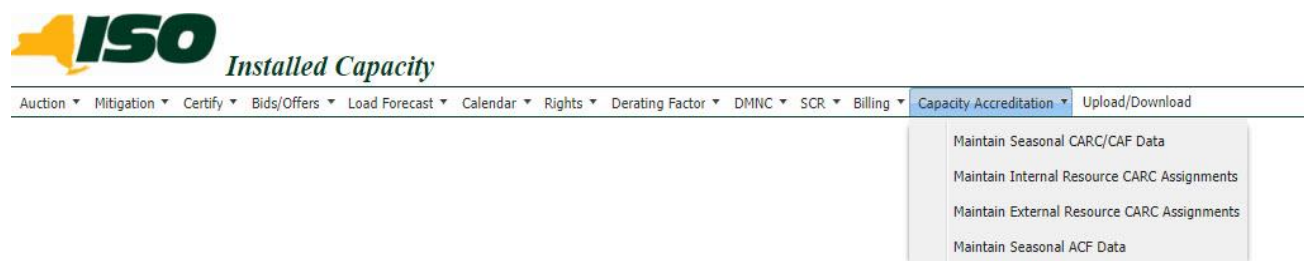
**note:** For Spot Market Auction Sales of external capacity, please see the "ICAP Market Report"

## 16. Capacity Accreditation

This section describes how the user may view Seasonal CARC/CAF data, Internal Resource CARC Assignments, External Resource CARC Assignments and Seasonal Average Capacity Factor Data. The CARC, CAF and ACF data will be uploaded into the ICAP AMS by the Capacity Accreditation team. All users will be able to view this data, and MPs will only be able to view the CARC assignments for their own resources.

The user navigates to these screens using the ‘Capacity Accreditation’ menu option. The Capacity Accreditation Menu appears as follows:

**Figure 338: Capacity Accreditation Menu**



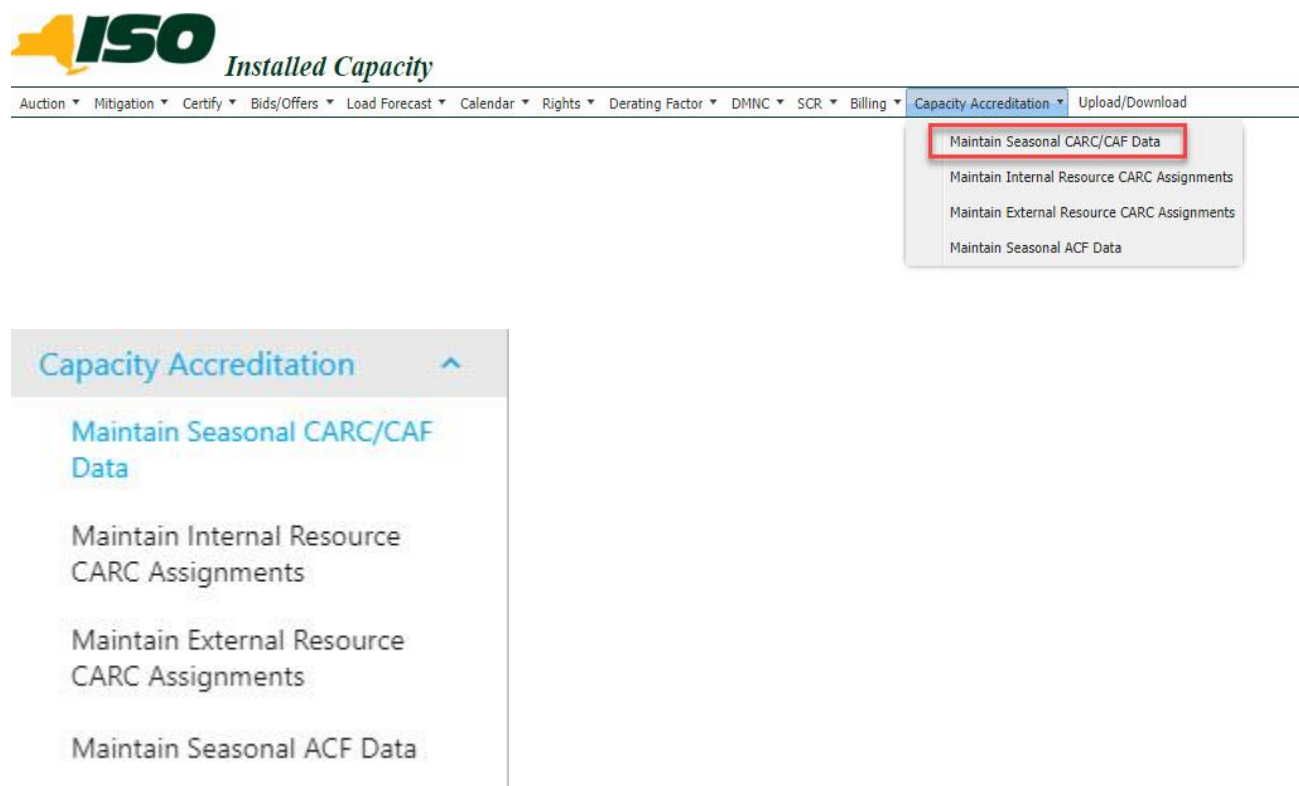
### 16.1. How to View Seasonal CARC/CAF Data

The ‘Maintain Seasonal CARC/CAF Data’ screen displays the applicable CARC and CAF data for each Capability Season. Users may use the CARC and CAF configurations shown on this screen as a reference for all possible CARCs and CAFs for a given Capability Season.

The CARCs and CAFs applicable to individual resources can be found on the ‘Maintain Internal Resource CARC Assignments’ and ‘Maintain External Resource CARC Assignments’ screens.

The user navigates to this screen from the Capacity Accreditation Menu by selecting the ‘Maintain Seasonal CARC/CAF Data’ menu option. This screen is available to all users.

Figure 339: Capacity Accreditation Menu – Maintain Seasonal CARC/CAF Data



16.1.1. Screen Descriptions

Figure 340: View Seasonal CARC/CAF Data Filter Screen Section

Screen Field	Data Type	Editable	Description
Season	Text	N	Capability Period.

Figure 341: View Seasonal CARC/CAF Data Screen Section

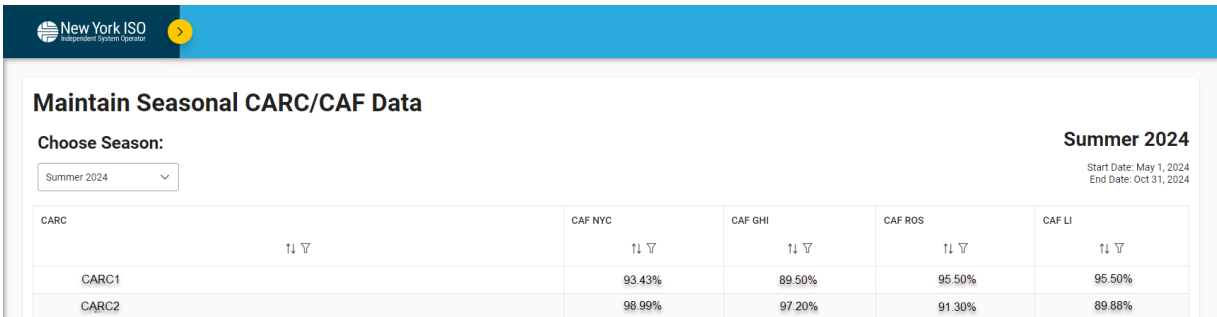
Screen Field	Data Type	Editable	Description
Season	Text	N	Capability Period
Start Date	Text	N	Start Date of the selected Capability Period.
End Date	Text	N	End Date of the selected Capability Period.
CARC	Text	N	Capacity Accreditation Resource Class Name
CAF NYC	Numeric	N	Capacity Accreditation Factor, displayed as a percentage.

Screen Field	Data Type	Editable	Description
CAF GHI	Numeric	N	Capacity Accreditation Factor, displayed as a percentage.
CAF ROS	Numeric	N	Capacity Accreditation Factor, displayed as a percentage.
CAF LI	Numeric	N	Capacity Accreditation Factor, displayed as a percentage.

### 16.1.2. Viewing Seasonal CARC/CAF Data Summary

The ‘Maintain Seasonal CARC/CAF Data’ screen allows users to view all valid CARCs and CAFs for each Capability Season. Each CARC can have up to four possible CAFs; one for the ROS, GHI, NYC and LI locations. The CARCs and the applicable CAFs for each Location will be displayed as seen here:

Figure 342: Maintain Seasonal CARC/CAF Data Screen



CARC	CAF NYC	CAF GHI	CAF ROS	CAF LI
CARC1	93.43%	89.50%	95.50%	95.50%
CARC2	98.99%	97.20%	91.30%	89.88%

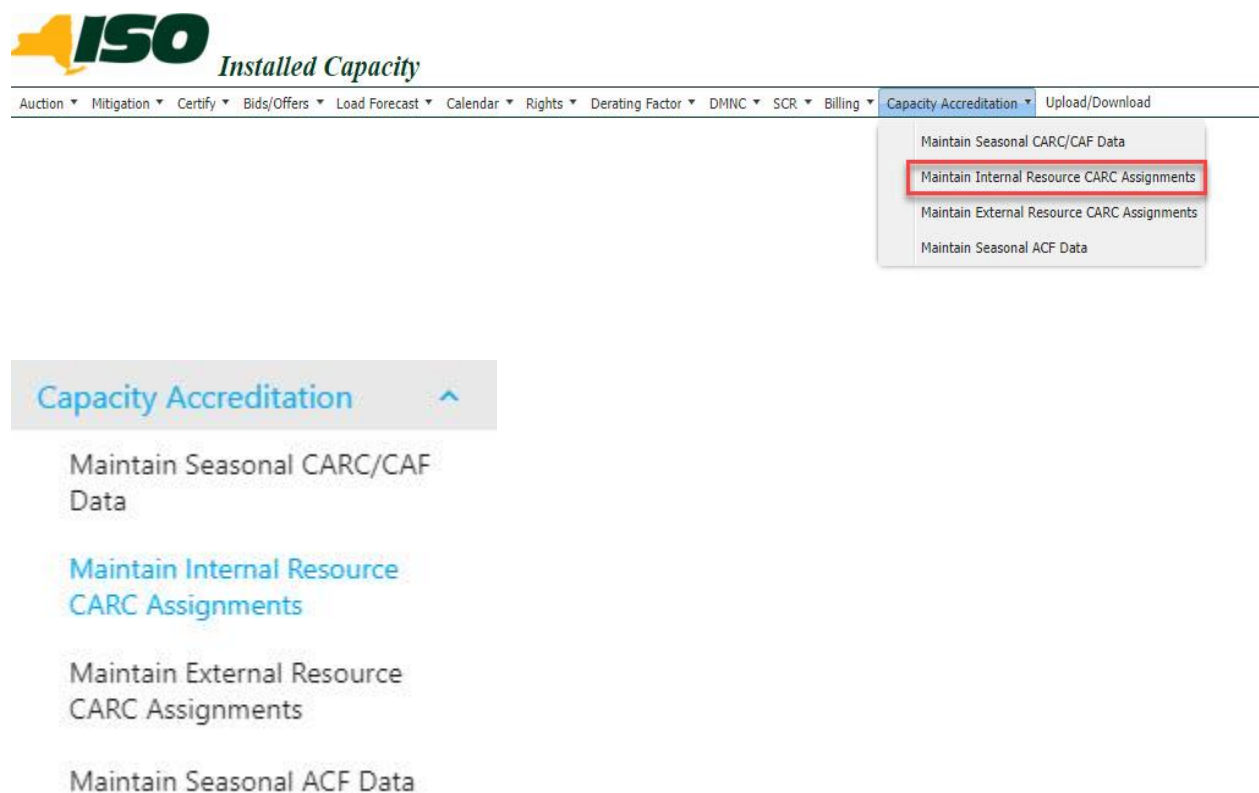
### 16.2. How to View Internal Resource CARC Assignments

The ‘Maintain Internal Resource CARC Assignments’ screen displays the assigned CARC and applicable CAF for each of the user’s Internal Resources, for each Capability Season.

The user navigates to this screen from the Capacity Accreditation Menu by selecting the ‘Maintain Internal Resource CARC Assignments’ menu option. This screen is available to all users. Market Participants will only be able to view the CARC assignments for their own resources.



Figure 343: Capacity Accreditation Menu – Maintain Internal Resource CARC Assignments



16.2.1. Screen Descriptions

Figure 344: View Internal Resource CARC Assignments Filter Screen Section

Screen Field	Data Type	Editable	Description
Season	Text	Y	Capability Period.

Figure 345: View Internal Resource CARC Assignments Screen Section

Screen Field	Data Type	Editable	Description
Season	Text	N	Capability Period
Start Date	Text	N	Start Date of the selected Capability Period.
End Date	Text	N	End Date of the selected Capability Period.
PTID	Numeric	N	Resource’s unique PTID
Resource Name	Text	N	BTM:NG/Generator/RMR/SCR/LM/Muni/Aggregation Resource name.

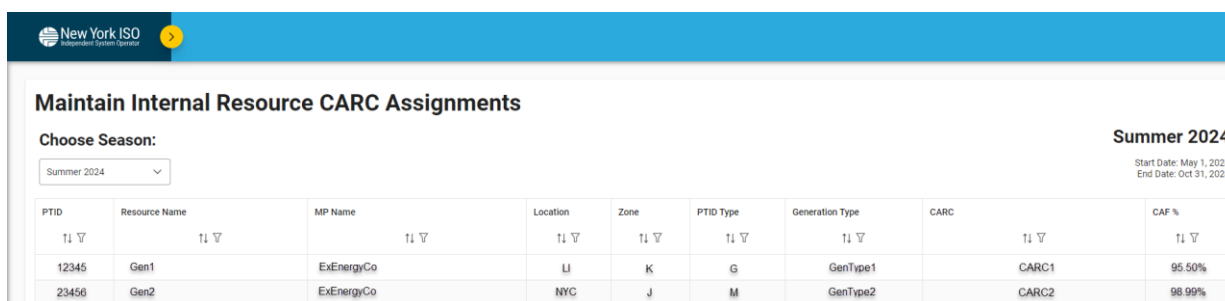
Screen Field	Data Type	Editable	Description
MP Name	Text	N	Name of Market Participant that owns the Resource.
Location	Text	N	Location where the Resource's Zone maps to.
Zone	Text	N	Zone where Resource is located.
PTID Type	Text	N	Resource Type.
Generation Type	Text	N	Generation Type
CARC	Text	N	Capacity Accreditation Resource Class that the Resource is assigned to.
CAF %	Numeric	N	Applicable Capacity Accreditation Factor for the Resource based on the Resource's CARC and Location.

### 16.2.2. Viewing Internal Resource CARC Assignments Summary

The 'Maintain Internal Resource CARC Assignments' screen allows users to view all CARC assignments and the corresponding CAFs for each individual Internal Resource, for each Capability Season. An Internal Resource is a resource that is located in one of the NYCA Zones A-K.

The applicable CAF displayed for each resource is based on the Resource's assigned CARC and the Resource's Location (ROS, GHI, NYC or LI). The CARCs and applicable CAFs for each Internal Resource will be displayed as seen here:

**Figure 346: Maintain Internal Resource CARC Assignments Screen**



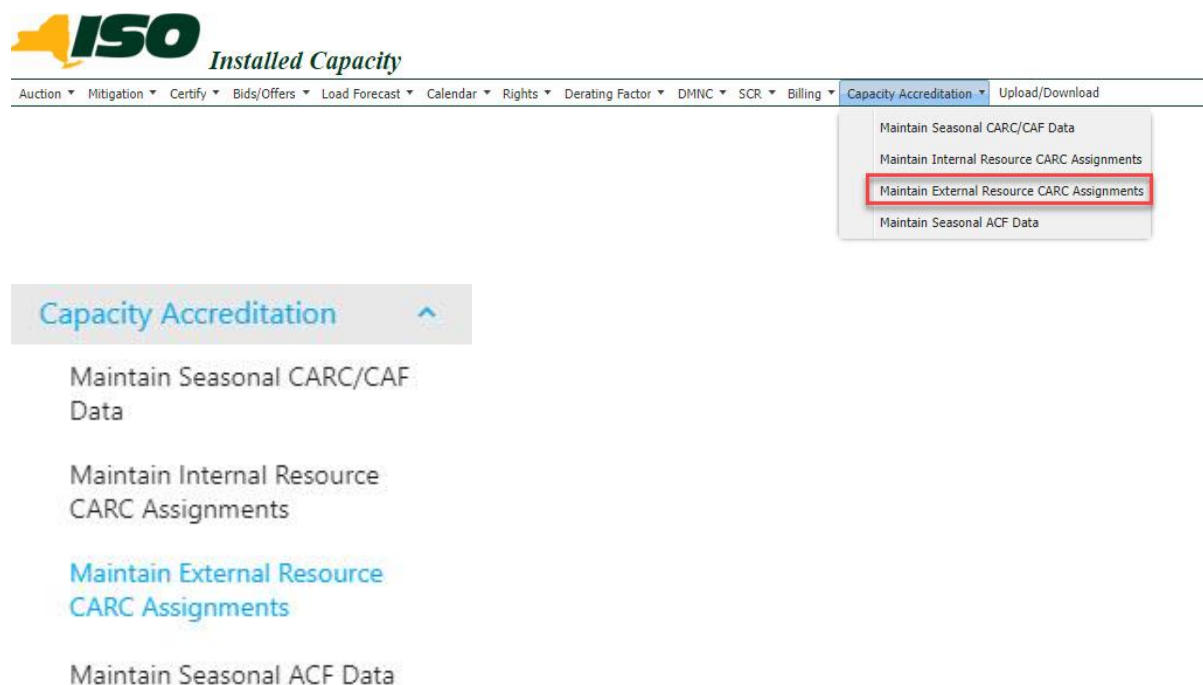
PTID	Resource Name	MP Name	Location	Zone	PTID Type	Generation Type	CARC	CAF %
12345	Gen1	ExEnergyCo	LI	K	G	GenType1	CARC1	95.50%
23456	Gen2	ExEnergyCo	NYC	J	M	GenType2	CARC2	98.99%

### 16.3. How to View External Resource CARC Assignments

The 'Maintain External Resource CARC Assignments' screen displays the assigned CARC and applicable CAF for each of the user's External Resources, for each Capability Season.

The user navigates to this screen from the Capacity Accreditation Menu by selecting the ‘Maintain External Resource CARC Assignments’ menu option. This screen is available to all users. Market Participants will only be able to view the CARC assignments for their own resources.

**Figure 347: Capacity Accreditation Menu – Maintain External Resource CARC Assignments**



### 16.3.1. Screen Descriptions

**Figure 348: View External Resource CARC Assignments Filter Screen Section**

Screen Field	Data Type	Editable	Description
Season	Text	Y	Capability Period

**Figure 349: View External Resource CARC Assignments Screen Section**

Screen Field	Data Type	Editable	Description
Season	Text	N	Capability Period
Start Date	Text	N	Start Date of the selected Capability Period.
End Date	Text	N	End Date of the selected Capability Period.

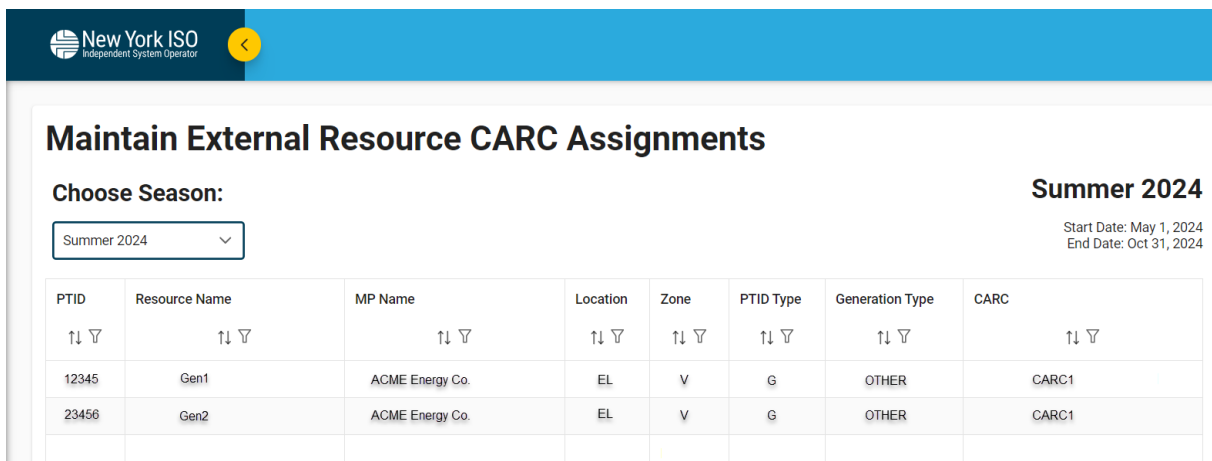
Screen Field	Data Type	Editable	Description
PTID	Numeric	N	Resource's unique PTID
Resource Name	Text	N	BTM:NG/Generator/RMR/SCR/LM/Muni/Aggregation Resource name.
MP Name	Text	N	Name of Market Participant that owns the Resource.
Location	Text	N	Location where the Resource's Zone maps to.
Zone	Text	N	Zone where Resource is located.
PTID Type	Text	N	Resource Type.
Generation Type	Text	N	Generation Type
CARC	Text	N	Capacity Accreditation Resource Class that the Resource is assigned to.

### 16.3.2. Viewing External Resource CARC Assignments Summary

The 'Maintain External Resource CARC Assignments' screen allows users to view all CARC assignments and the corresponding CAFs for each individual External Resource, for each Capability Season. An External Resource is a resource that is located outside of the NYCA Zones A-K that participates in the Capacity Markets.

The CARCs and applicable CAFs for each External Resource will be displayed as seen here:

**Figure 350: Maintain External Resource CARC Assignments Screen**

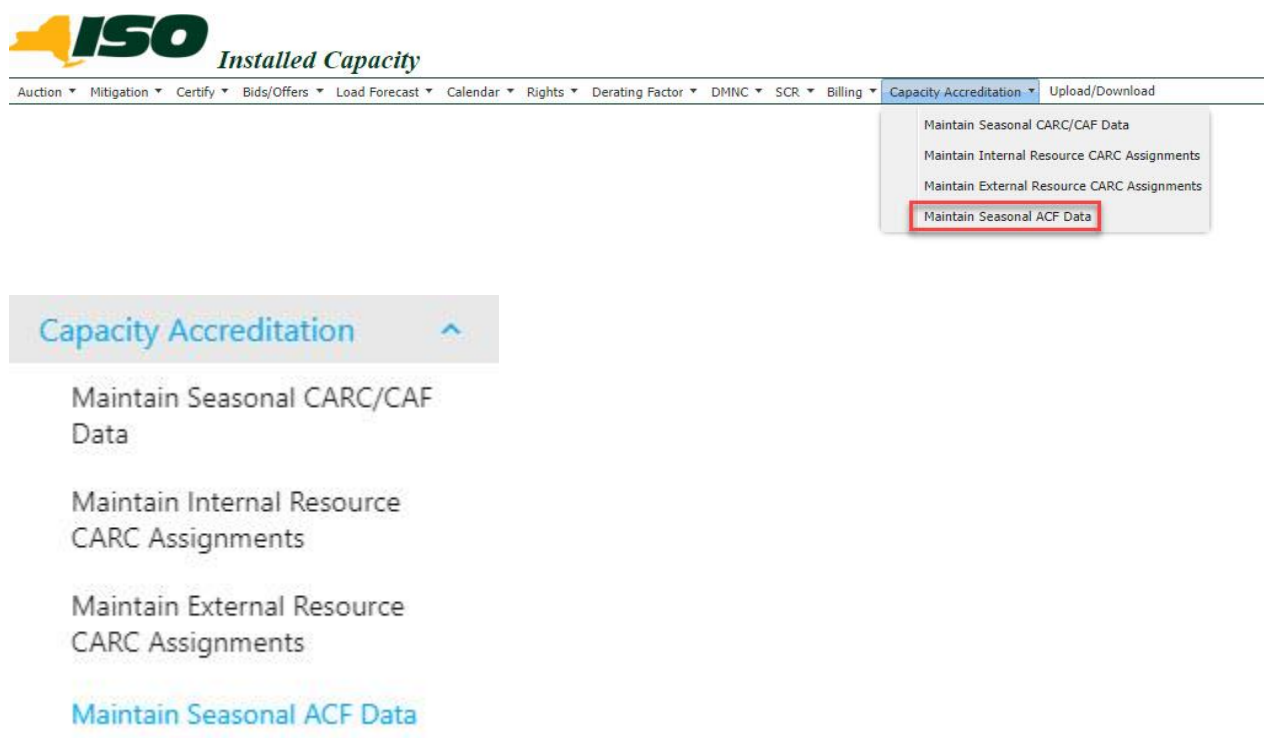


PTID	Resource Name	MP Name	Location	Zone	PTID Type	Generation Type	CARC
12345	Gen1	ACME Energy Co.	EL	V	G	OTHER	CARC1
23456	Gen2	ACME Energy Co.	EL	V	G	OTHER	CARC1

## 16.4. How to View Seasonal ACF Data

The ‘Maintain Seasonal ACF Data’ screen displays the applicable Average Capacity Factors for CARCs containing IPR and LCRoR resources, for each Capability Season. The ACF values shown on this screen are used in the calculation of Resource Specific Derating Factors (RSDF) for IPR and LCRoR resources.

Figure 351: Capacity Accreditation Menu – Maintain Seasonal ACF Data



### 16.4.1. Screen Descriptions

Figure 352: View Seasonal ACF Data Filter Screen Section

Screen Field	Data Type	Editable	Description
Season	Text	Y	Capability Period.

Figure 353: View Seasonal ACF Data Screen Section

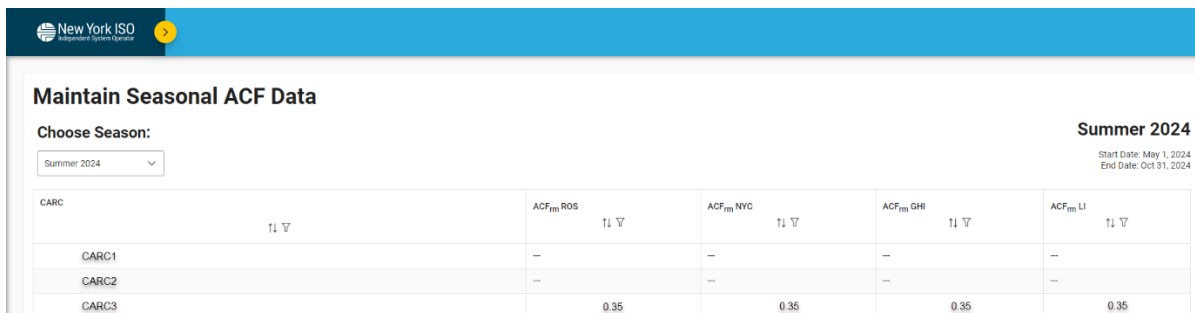
Screen Field	Data Type	Editable	Description
CARC	Text	N	Capacity Accreditation Resource Class Name

Screen Field	Data Type	Editable	Description
ACF <sub>m</sub> ROS	Numeric	N	The CARC's Average Capacity Factor calculated for the ROS location.
ACF <sub>m</sub> NYC	Numeric	N	The CARC's Average Capacity Factor calculated for the NYC location.
ACF <sub>m</sub> GHI	Numeric	N	The CARC's Average Capacity Factor calculated for the GHI location.
ACF <sub>m</sub> LI	Numeric	N	The CARC's Average Capacity Factor calculated for the LI location.

#### 16.4.2. Viewing Seasonal ACF Data Summary

The 'Maintain Seasonal ACF Data' screen allows users to view all ACF values for CARCs containing IPR or LCRoR Resources for each Capability Season. Like CAFs, each CARC can have up to four possible ACF values; one for the ROS, GHI, NYC and LI locations. CARCs that do not contain IPR or LCRoR Resources will not have ACF values, and will display as "--". CARCs that do have applicable ACF values for each Location will be displayed as percentages, as seen here:

**Figure 354: Maintain Seasonal ACF Data Screen**



CARC	ACF <sub>m</sub> ROS	ACF <sub>m</sub> NYC	ACF <sub>m</sub> GHI	ACF <sub>m</sub> LI
CARC1	--	--	--	--
CARC2	--	--	--	--
CARC3	0.35	0.35	0.35	0.35

## Appendix A List of Acronyms

For most definitions, see the *ISO Market Services Tariff*, available from the NYISO Web site at <https://www.nyiso.com/regulatory-viewer>).

	Definition
ACF	Average Capacity Factor
AGG SYS	Aggregation System for DER Participation
Aggregation	Refers to both DER Aggregation and SRT Aggregation PTID Types
AMS	ICAP Automated Market System
BTM:NG	Generator operating as a Behind-the-Meter Net Generator
CARC	Capacity Accreditation Resource Class
CAF	Capacity Accreditation Factor
CRA	Customer Registration Agreement
CRIS	Capacity Resource Interconnectivity Service
CSR	Co-Located Storage Resource
DAF	Duration Adjustment Factor (%)
DAM	Day-Ahead (Energy) Market
DER	Distributed Energy Resource
DER AGG	DER Aggregation
DMNC	Dependable Maximum Net Capability
ECR	External CRIS Right
EDL	Energy Duration Limit (Hours)
EDR	External-to-ROS Deliverability Right
ESR	Energy Storage Resource
GADS	Generating Availability Data System (NERC)
GHI	G-J Locality, excluding NYC
G-J Locality	Locality defined by LBMP Zones G:J
HQ	Hydro Quebec (external location) defined by LBMP Zone M
ICAP	Installed Capacity
IESO	Independent Electricity System Operator (Ontario, external location) defined by LBMP Zone O
IPR	Intermittent Power Resource

LI	Long Island Locality defined by LBMP Zone K
LCRoR	Limited Control Run of River Hydro
LM	Load Modifier
LS	Load Shift (see Section 12, "Billing")
LSE	Load Serving Entity
MCP	Market-Clearing Price
MIS	Market Information System
MP	(NYISO) Market Participant
MPUG	Market Participant's User's Guide
MUNI	Municipal Generation
NE	Independent System Operator – New England (external location) defined by LBMP Zone N
NYC	New York City Locality defined by Load Zone J
NYCA	New York Control Area (comprised of Load Zones A:K)
PJM	Pennsylvania, New Jersey, Maryland (external location) defined by LBMP Zone P
PTID	Point Identifier for a specific Generator, SCR or UDR/EDR associated with a single Load Zone, single Location, and single owner organization
RIP	Responsible Interface Party
ROS	Rest-of-State (all NYCA excluding all Localities)
RMR	Generator operating under a Reliability Must Run contract with the NYISO, or as an Interim Service Provider
RT	Real-Time (Market)
SCR Aggregation	Special Case Resource Aggregation
SRT AGG	Single Resource Type Aggregation
TD	Transmission District
TO	Transmission Owner
TU	True Up (see Section 12, "Billing")
UCAP	Unforced Capacity
UDR	Unforced Capacity Deliverability Rights
USER	ICAP Automated Market System (AMS) Market Participant (MP) user with specific Roles and Privileges defined in Table 1.1 in Section 1.3.



