TCC Automated Market System User's Guide

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Revision History

Version	Date	Revisions
3.1	09/18/2009	**Section 8.2** ➢ In the procedure on viewing inventory details, outlined the purpose of the *Non-Auction Price* parameter.
3.0	02/10/09	**Initial Release of Phase 3 of TCC** ➢ Revisions to reflect Phase 3 changing • Addition of new Section 5 "Managing Bid/Offer Sets through Screens". • Addition of new Section 6 "Uploading Bid/Offer Sets". • Renumbering old Sections 5 to 11 (now Sections 7 to 13). • Minor changes to other sections to reflect Phase 3 changes. **Global** ➢ Reformatted per new template to standardize presentation. ➢ Implemented minor stylistic changes. ➢ Simplified numbering and edited labeling of graphical and tabular material **Revision History Table** ➢ Changed column headings as follows: • "Revision" changed to "Version" • "Changes" changed to "Revisions" ➢ Modified Initial Release entry to specify the version as "1.0".
2.0	10/28/2008	**Initial Release for Phase 2 of TCC AMS**
1.3	12/13/2006	**Updated information per January 2007 release**
1.2	07/13/2006	**Updated Information**
1.1	06/29/2006	**Additional information added.**
1.0	06/23/2006	**Initial Release**

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1. INTRODUCTION

This user guide is intended for Market Participants (MPs), Transmission Owners (TOs) and public users of the NYISO TCC Automated Market System (AMS). This user guide has been organized in the following fashion:

- Section 1 – general introduction.
- Section 2 – describes the hardware and software requirements to access the TCC AMS.
- Section 3 – presents a roadmap to the processes of the TCC AMS and the roles of the various users.
- Section 4 – describes how to navigate auction rounds and generate reports.
- Section 5 – describes how to manage Bid/Offer Sets using screens
- Section 6 – describes how to manage Bid/Offer Sets using file uploads
- Section 7 – describes the MP Invoice.
- Section 8 – describes how to view inventory details and how to download inventory profiles, transactions and detailed maintenance.
- Section 9 – describes how to sell a portion of a TCC and change ownership.
- Section 10 – describes how to manage information in the queues.
- Section 11 – describes TCC offsetting.
- Section 12 – describes the non-auction-related reports.
- Section 13 – describes TCC nominations functions.
- Section 14 – describes how Public users may view the reports available through the TCC AMS.

1.1 Definition of the TCC Market

The TCC (Transmission Congestion Contract) market is the means by which Market Participants may purchase and sell TCCs via a NYISO administered auction process and by which privately exchanged TCCs may be re-registered. The *NYISO Transmission Congestion Contracts Manual* provides a description of the TCC market.

The TCC Auction process consists of the following four steps:

1. NYISO posts information relating to the Auction, including congestion and transmission maintenance outages. Section 14 of this User Guide describes how public users may view this posted information. NYISO also reviews the credit worthiness of potential MPs.
2. Offers to sell TCCs and bids to purchase TCCs are received by NYISO and validated and compared with credit limits through the automated system.
3. Transmission network analyses are executed, TCCs are awarded, Market Clearing prices are determined, and results are prepared for posting.

4. NYISO posts information related to TCCs awarded and sold together with pricing information. Section 14 of this User Guide describes how public users may view this posted information.

1.2 Description of the TCC Automated Market System

TCC Automated Market System (AMS) is a new, user friendly, secure, web-based application that replaces one portion of the manual legacy auction process. The TCC AMS includes features that support all of the traditional participation requirements with respect to awards notification and relevant auction data. It provides a web-based interaction between Market Participants and the NYISO during the final phase of the TCC Auction.

The TCC AMS uses a secure web-based interface similar to that used in the NYISO Market Information System (MIS). From the TCC AMS log-in, Market Participants may view and save their auction results in Excel (.xls) or comma separated value (.csv) formats. The TCC AMS replaces the email and hard copy award notification process with web-based reports and eliminates the need for temporary TCC IDs. Market participants have the ability to view the TCCs they own and will also be able to submit bids and offers into an auction through the system.

The TCC AMS incorporates many of the features of the NYISO MIS interface including point of entry data validation, and around-the-clock secure and timely access to relevant market data.

1.3 TCC Automated Market System Users

The intended community for the TCC Automated Market System primarily consists of Market Participants in the TCC Auction. Market Participants may participate exclusively in the TCC Auction without participation in other NYISO products and/or markets. Specifically, this user's guide is intended for:

- *Primary Holders of TCCs* – Market Participants who offer TCCs for sale in the auction.
- *Other Market Participants* – Those who are submitting a bid to purchase TCCs.
- *Transmission Owners* – Holders of rights for which decisions must be periodically made.
- *Public* – Non Market Participants interested in general TCC Auction results.

Details on the types of data available to the users are included in later sections of this manual.

1.4 Obtaining Help and Handling Error Messages

When help is required while using the TCC Automated Market System software, please contact your Customer Service Representative.

Errors messages may appear occasionally while using this software. These messages will display in a popup window with information about the error. After reading the message, close the window and proceed. If additional help or information is needed, please contact your Customer Service Representative.

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2. USER REQUIREMENTS

The computer requirements for the user to run the TCC Automated Market System are described in this section.

2.1 Computer Hardware and Software

The following are required to run the TCC Automated Market System:

- Microsoft Internet Explorer (version 6.0) OR Mozilla Firefox (version 3.0)
- Web browser must be Java Script enabled
- Minimum 1024x768 screen resolution
- Internet connection with a recommended connection of at least 56 kbps

The following software is suggested:

- Microsoft Office 2002 (or later)

2.2 Digital Certificates

All users must have a valid digital certificate installed on their respective computers and specific to their browser in order to access the NYISO TCC Automated Market System.

For more information on digital certificates (including applying, exporting, obtaining, installing, and validating) please see Technical Bulletin 001, *Applying for a Digital Certificate*, at:

http://www.nyiso.com/public/documents/tech_bulletins/index.jsp

Users of the TCC Automated Market System do not need to obtain an additional digital certificate. Existing MIS accounts need to be set-up with TCC privileges, which may be done by the MIS Administrator of the user's organization.

2.3 Logging in to the TCC Automated Market System

Some screenshots in this user guide were captured after resizing the application's window. This may have caused the application to wrap within the window and appear slightly different, compared to viewing in a fully-sized browser window. Some screenshots were cropped for ease of presentation.

When using IE 7: Opening a report will sometimes cause a new tab to open within the browser. In this case, the user may close the tab and will still remain logged into the system.

⌨ **To log in to the TCC AMS — MPs and TOs**

> **Note:** In order to access the TCC Automated Market System, the user must have TCC privileges.

Public Users: Refer to <u>Section 14</u> for public access instructions.

1. Point your browser to www.nyiso.com (as shown in the following figure).

Figure 2-1   NYISO Home Page

2. Under the **Products** header, select **TCC** (as shown in the following figure).

Figure 2-2   NYISO Home Page Highlighting TCC Option on Products Menu

The page shown in the following figure is displayed.

NYISO TCC AUTOMATED MARKET SYSTEM USER'S GUIDE
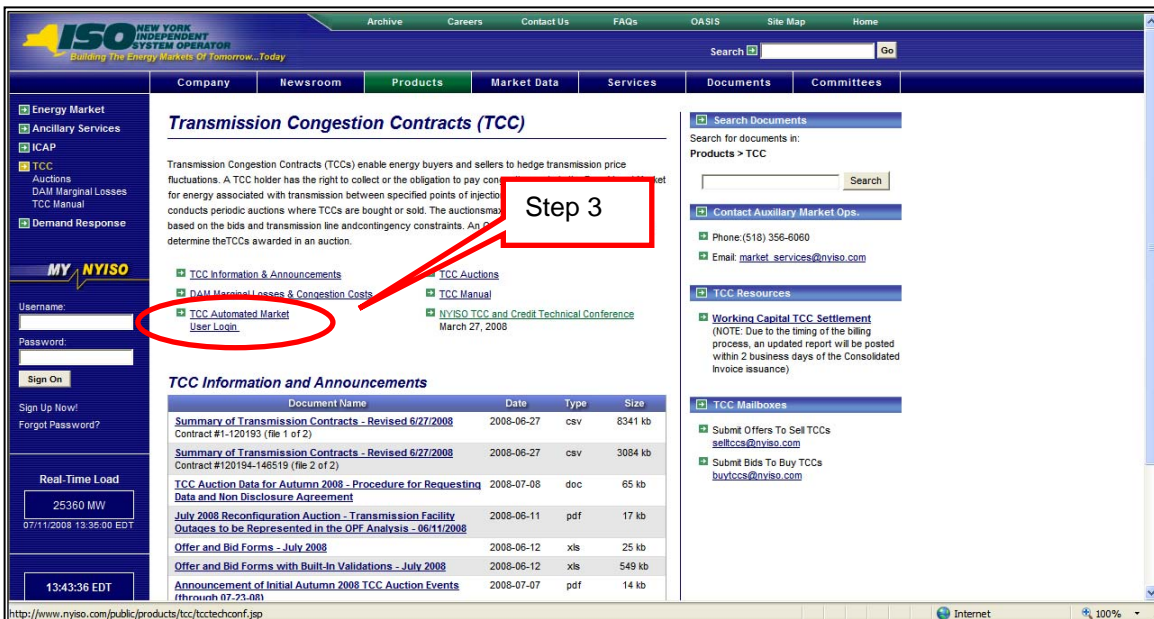
Figure 2-3   NYISO TCC Page Highlighting TCC Automated Market User Login Link

3. Click the **TCC Automated Market User Login** link.

    The login page is displayed (as shown in the following figure).
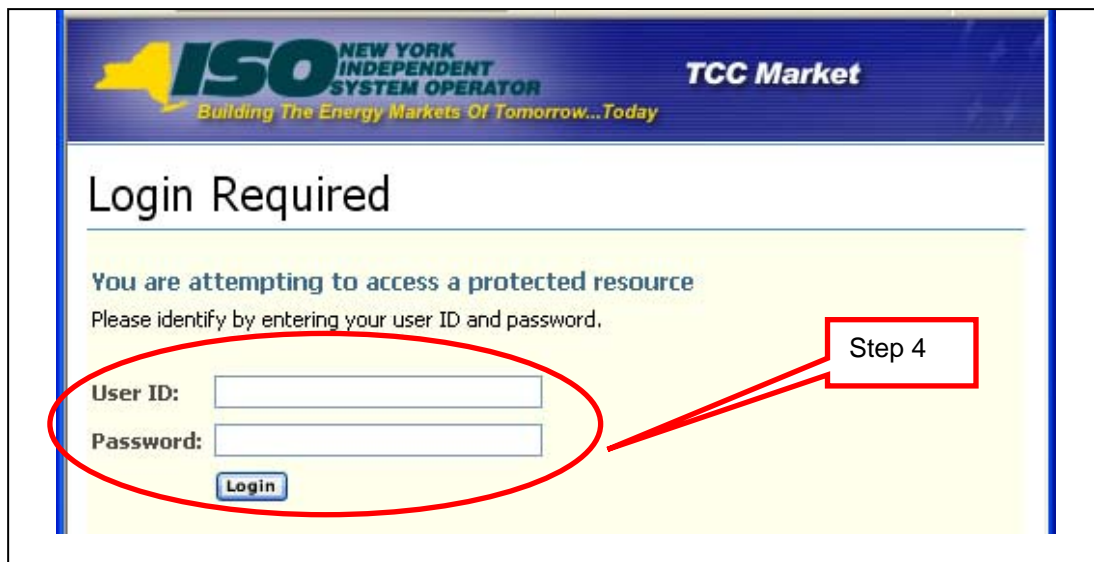
Figure 2-4   TCC AMS Login Screen

4. Enter the MIS **User ID** and **Password**.

> **Note:** The password is case sensitive.

NYISO TCC AUTOMATED MARKET SYSTEM USER'S GUIDE

5. Click the **Login** button or press the **ENTER** key.

The default screen after login is the *Search Auction Rounds* (as shown in the following figure).
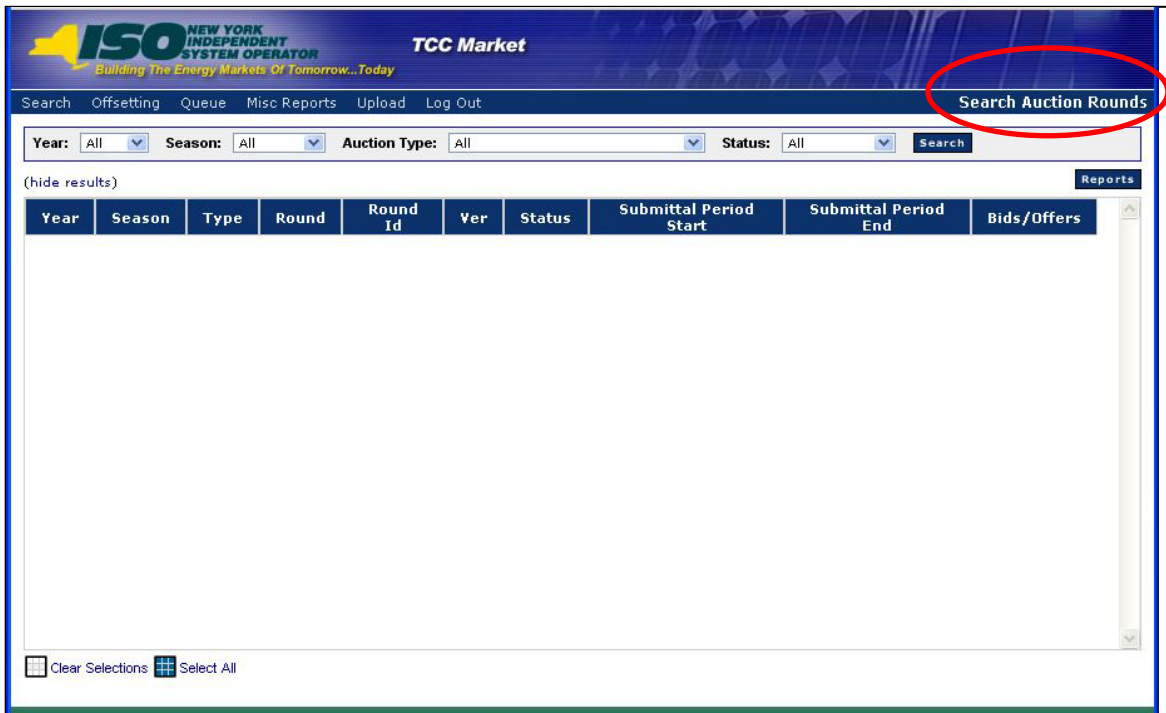
Figure 2-5   Default Screen following MP Login

The menu bar has three items that link to additional screens, *Misc Reports, Upload* and *Log Out*. Three items, *Search*, *Offsetting*, and *Queue* have drop-down menus (as shown in the following figure).
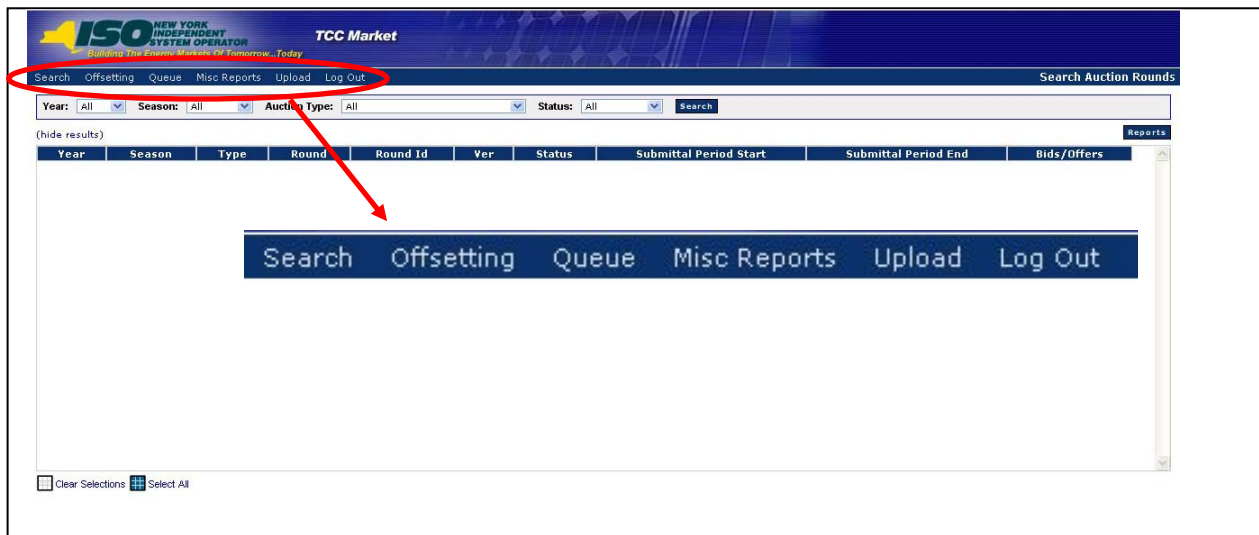
Figure 2-6   TCC AMS Main Menu and Menu Options

The drop-down menus are defined in the following figure.

Search	
Auction Rounds	**Capability and Monthly Auctions, Bid Offer Sets Reports**
Invoice	**TCC Invoices**
Inventory	**TCC Inventory, Sell a Portion or Change Ownership**
Nominations	**TO ETCNL and RCRR Nominations**
Offsetting	
Request Offset	**Request TCCs to offset**
View Offsetting TCCs	**View the status of requested offsets**
Queue	
Queue Report	**• MPs view status of transactions**
Second Party Acknowledgment	**• MP approves or declines any secondary market transactions submitted by other MPs** **• MP that submitted transaction can rescind the transaction**

Figure 2-7   Descriptions of TCC AMS Main Menu Options

🖥 ***To log out of the TCC AMS***

1. On the main menu, click the **Log Out** item (as shown in the following figure).

Figure 2-8   Logout Menu in TCC AMS

A dialog box appears (as shown in the following figure).

NYISO TCC AUTOMATED MARKET SYSTEM USER'S GUIDE
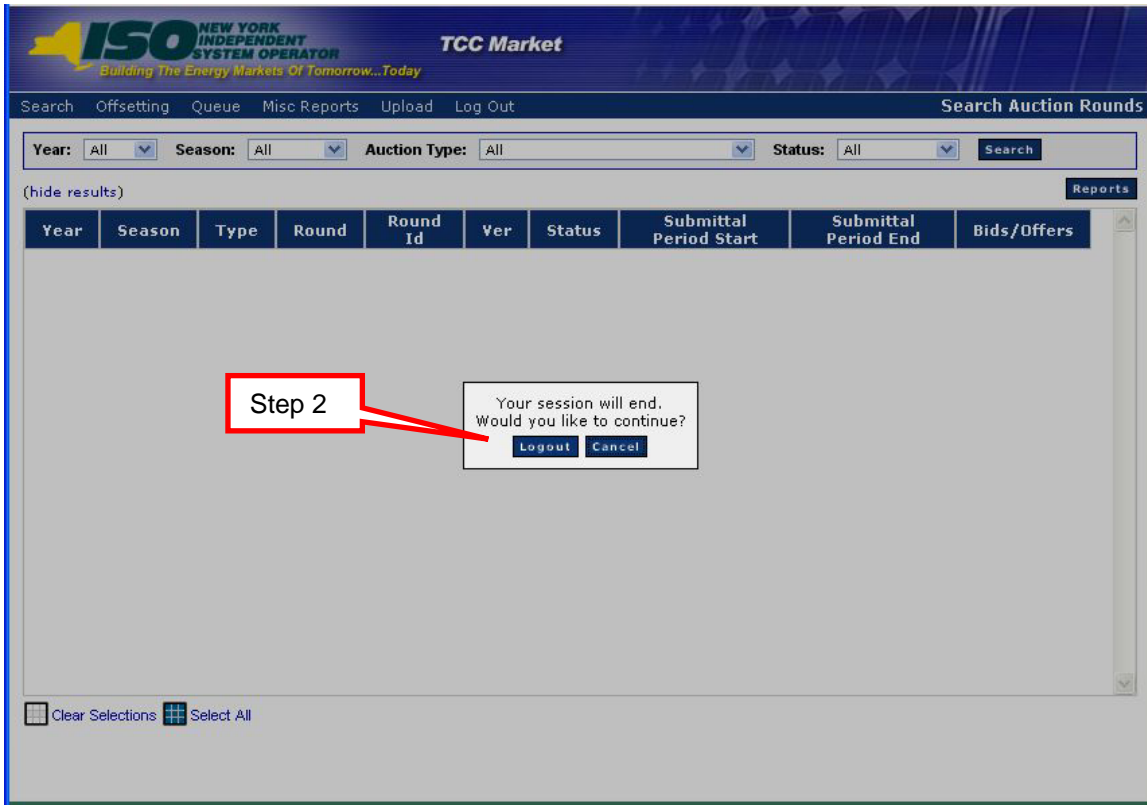
Figure 2-9   Logout Confirmation Prompt

2.   Click the **Logout** button.

The user is logged out, (as shown in the following figure).

Figure 2-10   Logout Confirmation Message

3. TCC AUTOMATED MARKET SYSTEM ROADMAP

This section provides the user with a description of the TCC Automated Market System process. The sequence of activities and the roles of the users in each activity are provided.

3.1 Introduction

The purpose of this External User Guide is to describe the features that are available to Market Participants and the public. The new TCC AMS is intended to provide the users with the information they need and with the ability to manage their TCC holdings.

3.2 Process Flow

The TCC AMS process flow is illustrated by Figure 3-1 through Figure 3-9. It is intended to give the user an understanding of how the functions within the TCC AMS interact. We have separated the process flow into the following parts:

- View Public Reports (Figure 3-1)
- View MP Reports (Figure 3-2)
- Bids and Offers (Figure 3-3)
- Uploading Bid/Offer Sets (Figure 3-4
- Request TCC Cancellation for Collateral Offset (Figure)
- "Sell a Portion" / "Change Ownership" of a TCC (Figure 3-6)
- Review Transactions in Progress for "Sell a Portion" or "Change Ownership" Transactions (Figure 3-7)
- Rescind Transaction (Figure 3-8)
- Nominations Flow (Figure 3-9)
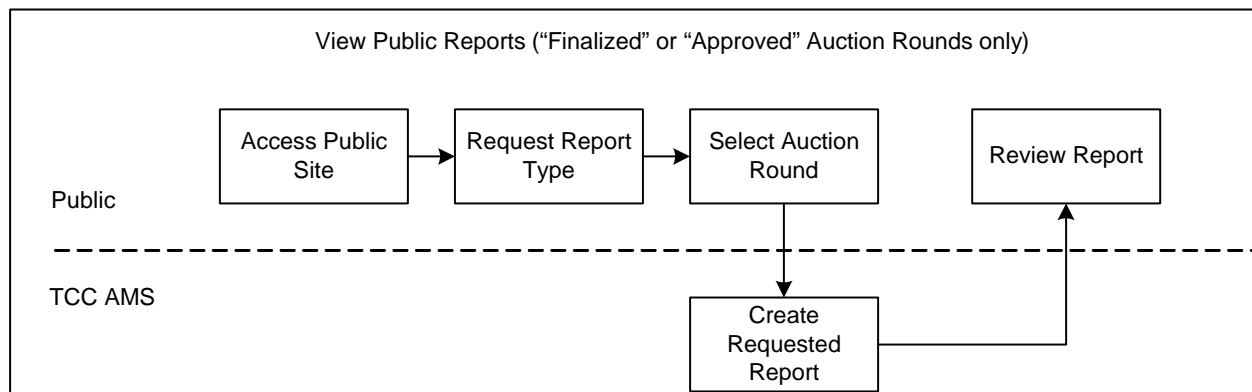
Figure 3-1   View Public Reports

Section 4 of this User Guide describes the View Public Reports functions (as shown in the above figure).
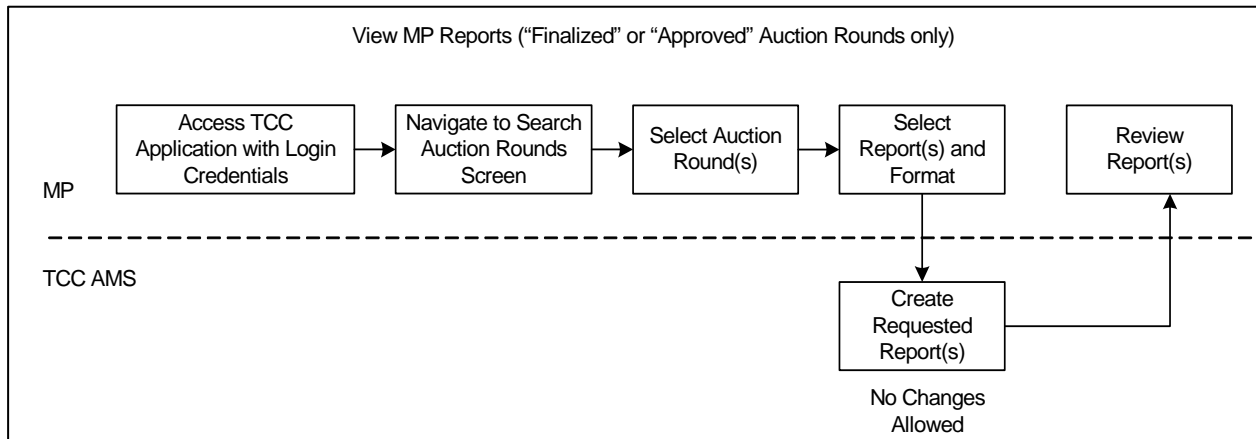
Figure 3-2   View MP Reports

Section 4 of this User Guide describes the View MP Reports functions (as shown in the above figure).
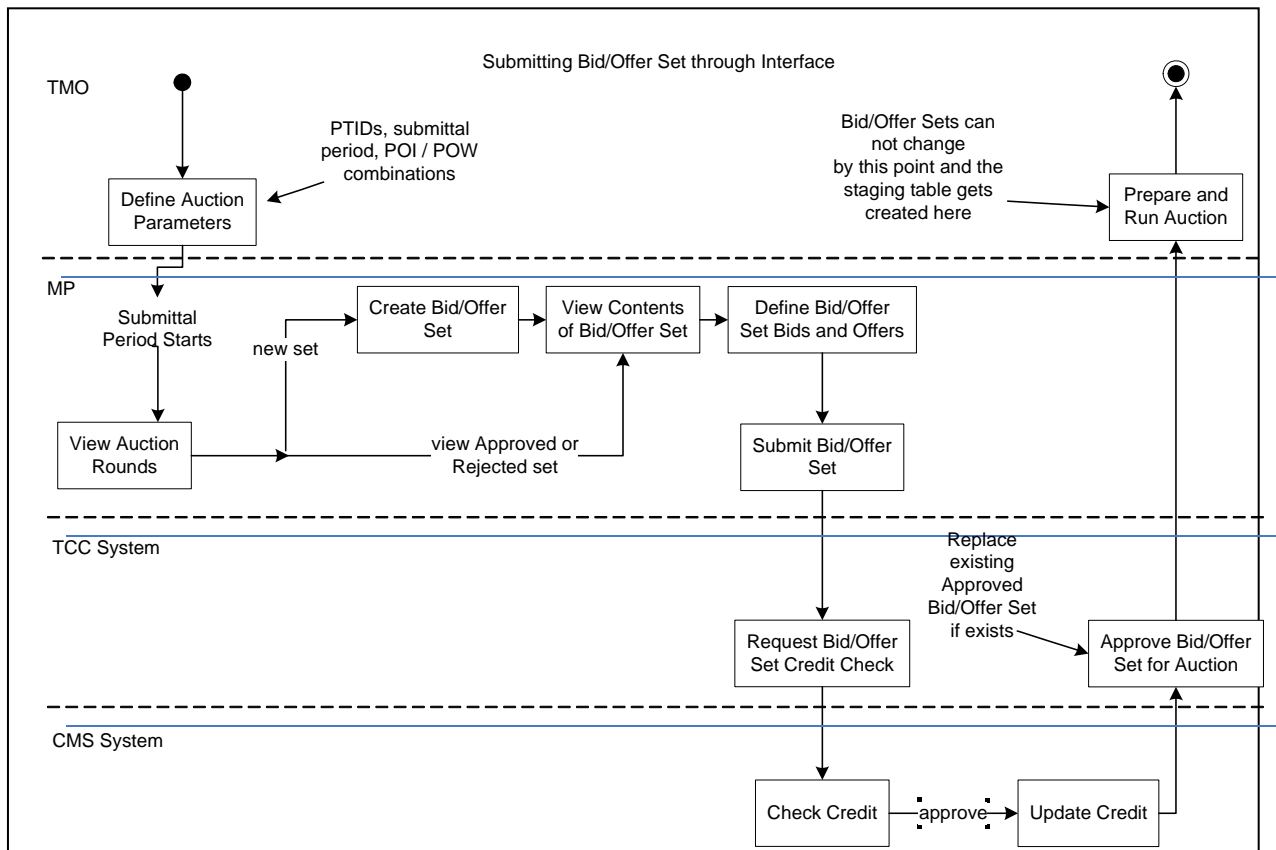
Figure 3-3   Submitting Bid/Offer Set through Interface

Section 5 of this User Guide describes the Bids and Offers functions (as shown in the above figure).
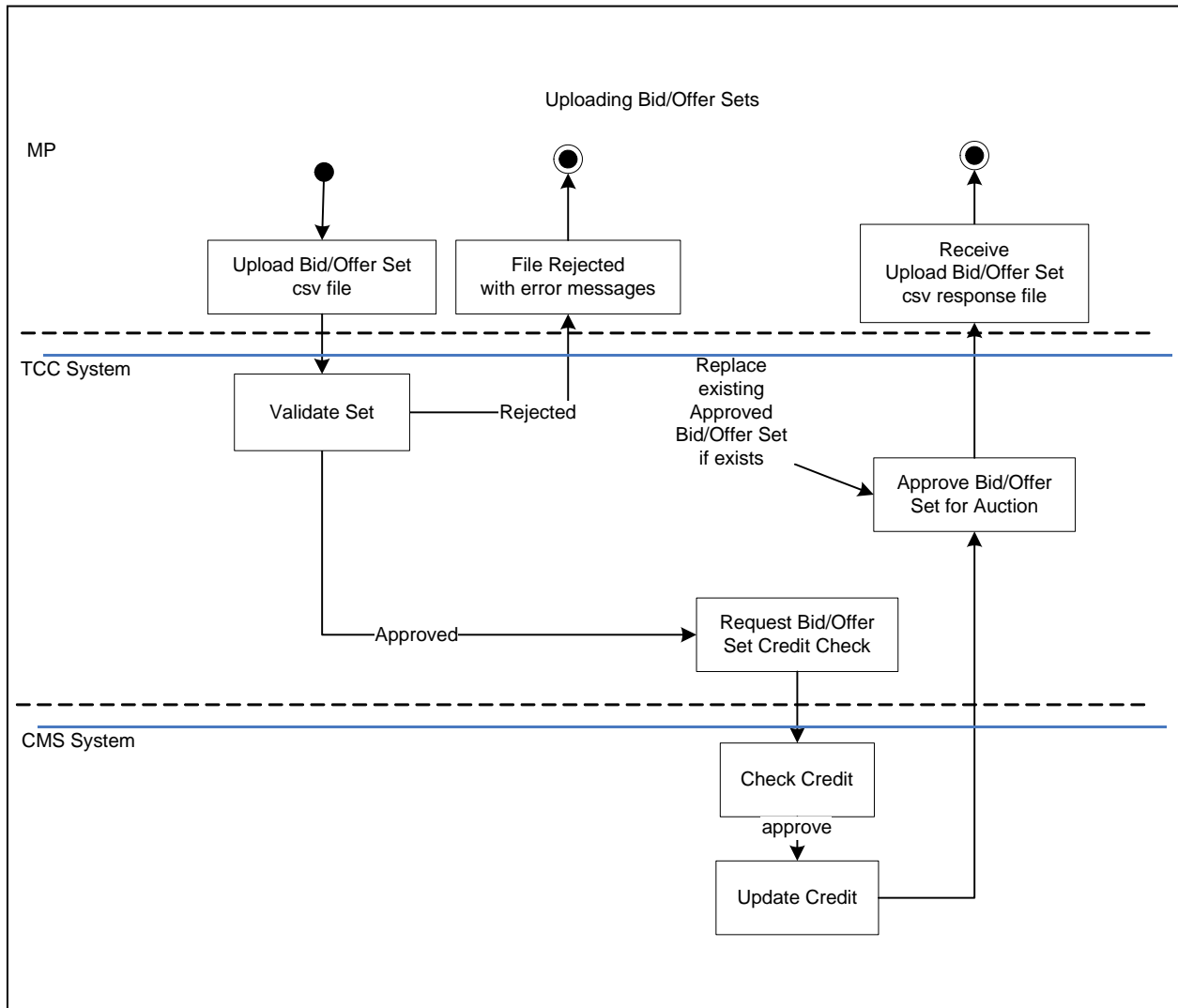
Figure 3-4   Uploading Bid/Offer Sets

Section 6 of this User Guide describes the Uploading Bid/Offer Sets functions (as shown in the above figure).
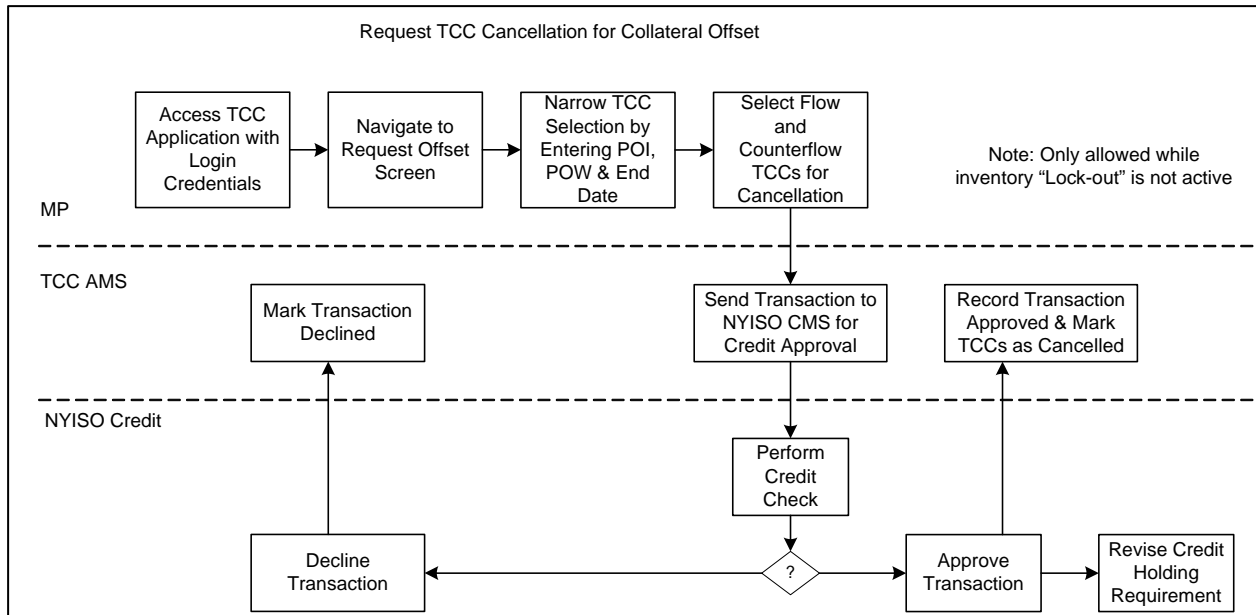
Figure 3-5   Request TCC Cancellation for Collateral Offset

Section 11 of this User Guide describes the Request TCC Cancellation for Collateral Offset functions (as shown in the above figure).
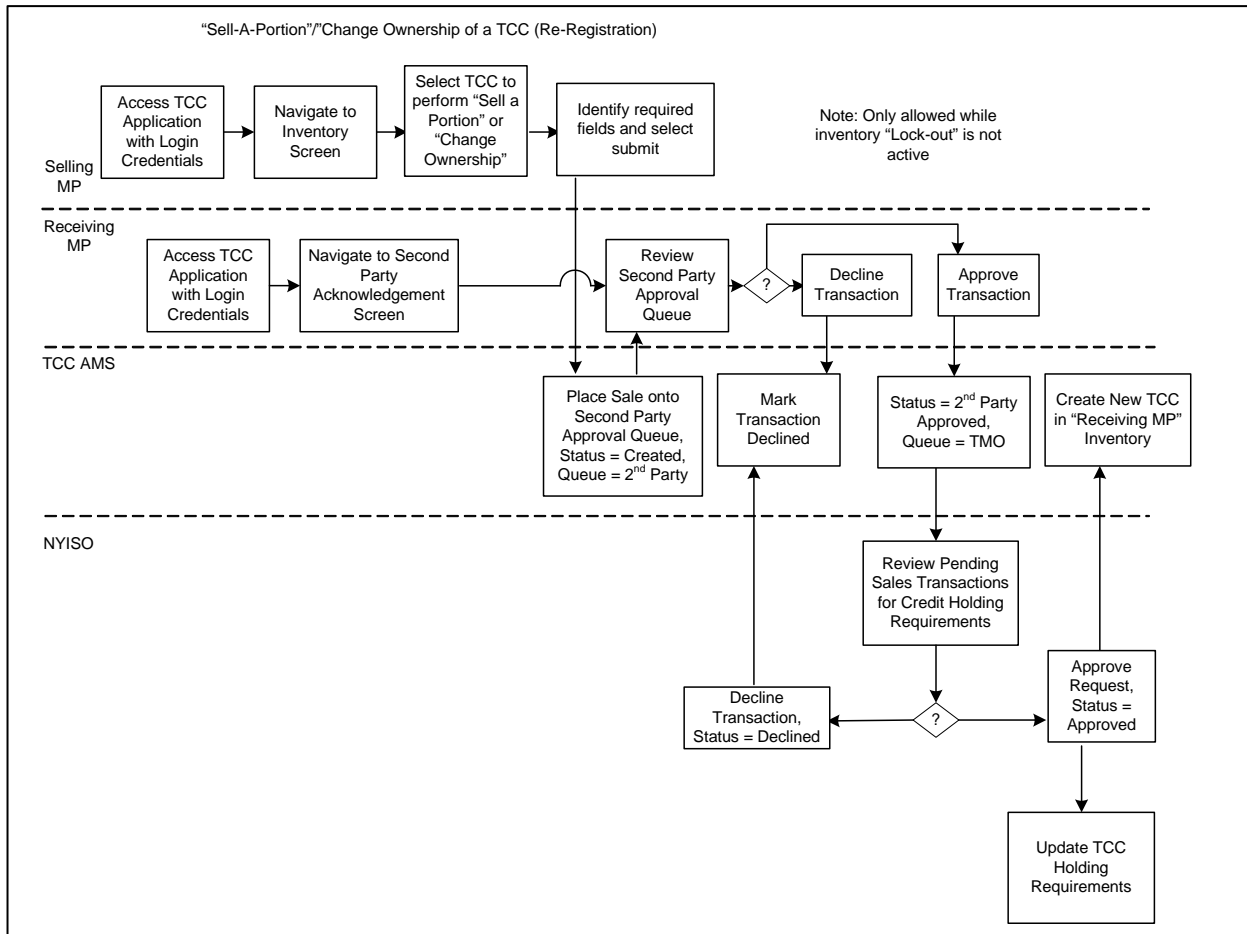
Figure 3-6   "Sell a Portion" / "Change Ownership" of a TCC

Section 9 of this User Guide describes "Sell a Portion" / "Change Ownership" functions (as shown in the above figure).

View Queue

| MP | Access TCC Application with Login Credentials | → | Navigate to Queue Report Screen | → | Create View of Past Requests | | Review Report |

TCC AMS

Prepare View of Past Requests

No Changes Allowed
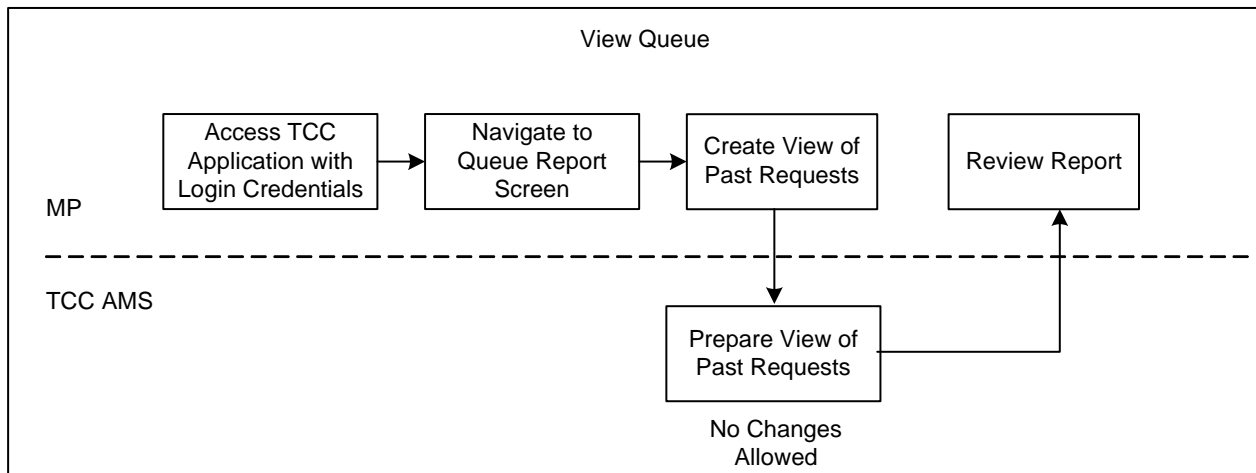
Figure 3-7 Review Transactions in Progress for "Sell a Portion" or "Change Ownership" Transactions

Section 9 of this User Guide describes Review Transactions in Progress functions (as shown in the above figure).

Rescind Transaction

| Selling MP | Access TCC Application with Login Credentials | → | Navigate to Secondary Party Acknowledgement screen | → | Identify any Transactions that are Awaiting Second Party (receiving MP) Acknowledgement | → | Select to Rescind the transaction |

TCC AMS

Note: Must be executed before Second Party (receiving MP) action to approve or decline the sale

Identified transactions are Rescinded

Figure 3-8 Rescind Transaction

Section 10 of this User Guide describes the Rescind Transactions functions (as shown in the above figure).
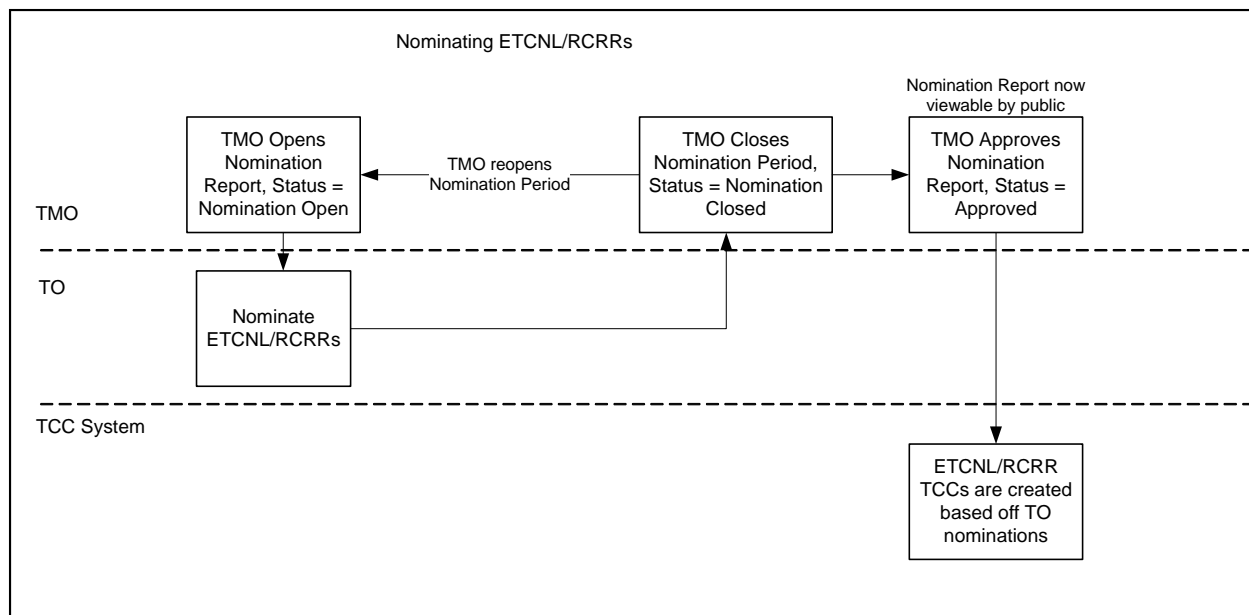
Figure 3-9   Nominations Flow

Section 13 of this User Guide describes the Nominations functions (as shown in the above figure).

3.3   Matrix of Role Privileges

The Matrix of Role Privileges for the TCC Automated Market System is shown in the following table. This matrix lists all of the functions in the TCC Automated Market System and shows the read (R) and write (W) access privileges for each of the users. Each of the listed functions is described in the following sections.

> **Note:** MPs are a subset of TOs. When MPs are referenced in this guide, both MPs and TOs may perform that function. When TOs alone are referenced, only TOs may perform that function.

Table 3-1   TCC AMS Role Privileges Matrix

Ref Sect	Functions	MP	TO	Public Users
4.0	**Navigate Auction Rounds and Generate Reports**			
.1	Navigate Auction Rounds	R	R	X
.2	Generate One or More Reports with One or More Auctions	R	R	X
.3	Nodal Prices	R	R	X
.4	Awards Summary	R	R	X
.5	Binding Constraints	R	R	X
.6	MP Awards Summary	R	R	X
.7	MP Bundled Purchase Awards	R	R	X
.8	MP Unbundled Purchase Awards	R	R	X

Ref Sect	Functions	MP	TO	Public Users
.9	MP Sale Awards	R	R	X
	Original Residual TCC and ETCNL Revenue Report	X	R	X
5.0	**Managing Bid/Offer Sets Through Screens**			
.1	Viewing Bid/Offer Sets	R/W	R/W	X
.2	Entering a New Bid	**W***	**W***	**X**
.3	Editing a Bid	W***	W***	X
.4	Deleting a Single Bid	W***	W***	X
.5	Deleting Multiple Bids	W***	W***	X
.6	Entering an Offer	W****	W****	X
.7	Editing an Offer	W****	W****	X
.8	Deleting a Single Offer	W****	W****	X
.9	Deleting Multiple Offers	W****	W****	X
.10	Entering a Global Offer	W****	W****	X
.11	Editing a Global Offer	W****	W****	X
.12	Deleting a Single Global Offer	W****	W****	X
.13	Deleting Multiple Global Offers	W****	W****	X
.14	Submitting a Bid/Offer or Global Offer Set	W*****	W*****	X
.15	Withdrawing a Bid/Offer Set	W*****	W*****	X
6.0	**Uploading Bid/Offer Sets**			
.1	Navigating to the Upload Screen	R	R	X
7.0	**MP Invoice**			
.1	Viewing the MP Invoice	R	R	X
8.0	**Inventory**			
.1	View Inventory	R	R	X
.2	View Inventory Details	R	R	X
.3	Download Inventory Profile	R	R	X
.4	Download Non-auction Transaction	R	R	X
.5	Download All Inventory Transactions and Detailed Maintenance	R	R	X
9.0	**Secondary Market Transactions**			
.1	Sell a Portion of a TCC	R/W	R/W	X
.2	Change Ownership	R/W	R/W	X
10.0	**Managing Queues**			
.1	View Transactions in the Queue Report	R	R	X
.2	View and Approve Transactions in the Second Party Acknowledgement Report	R/W	R/W	X
.3	Rescind a Transaction	R/W	R/W	X
11.0	**TCC Offsetting**			
.1	Select Offsetting TCCs for Cancellation	R/W	R/W	X
.2	View Offset Transactions	R	R	X
12.0	**Misc Reports (Non-auction Related)**			
.1	Summary of Transmission Contracts	R	R	X
.2	Detailed Maintenance Extract	R	R	X
.3	MW Available for Sale Report	R	R	X
13.0	**TCC Nominations**			
.1	View ETCNL Nominations Report	R**	R	X
.2	Elect to Convert ETCNL Nominations	X	R/W	X
.3	View RCRR Nominations Report	R**	R	X

Ref Sect	Functions	MP	TO	Public Users
.4	Elect to Convert RCRR Nominations	X	R/W	X
14.0	**Public Users**			
.1	Accessing Public Reports	R	R	R
.2	View Awards Reports	R	R	R

X   No read or write access

R   Read access only

R/W Read and write access

**   MPs may only see reports that are approved or invalidated after they have been approved

***   MPs and TOs with Bid Authorization

**** MPs and TOs with Offer Authorization

***** MPs and TOs with Bid and/or Offer Authorization

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4. NAVIGATING AUCTION ROUNDS AND GENERATING REPORTS

Market Participants need digital certificates and appropriate privileges to log in to the TCC AMS to access views through the application.

Public users will be able to access only the public views through the NYISO web site without requiring a digital certificate and without having to log into the TCC AMS. After navigating to the TCC Market page, a link to the application views (public views only) within the application will be made available to the user.

Public reports will continue to be accessed as is currently done and will have the same look. Market Participants will access their reports through a separate application.

All reports may be created in.xls, csv, or HTML format.

Market Participants are presented a drop down of auction rounds having a status of *Approved* or beyond, from which they may choose.

4.1 Navigating Auction Rounds

Read Access: MPs and TOs

Write Access: None

💻 To navigate auction rounds

> **Pre-Requisite:** This procedure assumes that you have already logged on to the TCC AMS. If this is not the case, complete the procedure outlined under Section 2.3 before completing the steps below.

1. From the main menu bar, click **Search**, and then click **Auction Rounds** (as shown in the following figure).

Figure 4-1   Auction Rounds Option on Search Menu in TCC AMS

The Search Auction Rounds window opens (as shown in the following figure).

Figure 4-2   Auctions Search Window Highlighting Search Criteria

2.   Perform a search of auction rounds, specifying criteria as follows:

    a. From the **Year** field, choose **All** or click an individual year

    b. Choose the criteria for **Season**:

- *All*: Selects all Auctions matching the chosen criteria
- *Summer*: Monthly Reconfiguration Auctions – May to October
- *Autumn*: Autumn Capability Period Auction Rounds – November to April
- *Winter*: Monthly Reconfiguration Auctions – November to April
- *Spring*: Spring Capability Period Auction Rounds – May to October

    c. Choose the criteria for **Auction Type**:

- *All*
- *Capability Period Auction*
- *Monthly Reconfiguration Auction*

    d. Choose the criteria for **Status**:

- *All*
- *In Progress*: Auction round is currently in progress and has yet to be approved (submittal period can be open during this status).
- *Approved*: Auction round approved by TMO.
- *Invalidated*: Approved Auction round is no longer valid and a new version of the auction round must be run.
- *Finalized*: Auction round has been approved and the period for MPs to dispute results is over. Auction round is final.

3.   Click the **Search** button. The search results are displayed (as shown in the following figure).

Figure 4-3   Auctions Search Window Sorting Reports

4. If desired, adjust your view of the search results:

   a. To sort the results, click any column header to reveal the toggle up (▲) and toggle down (▼) buttons. Each click in a column header will toggle the sorting order.

Figure 4-4   Sorting and Selection Mechanisms for Report Generation

5.   Select one or more auction rounds to be shown in reports.

- Click once on an individual auction to select (repeat as needed),
- Click once on a selected auction to deselect,
- Click the **Select All** button to select all auctions, or
- Click the **Clear Selections** button to deselect all.

Note: Selecting multiple records does not require the use of the CTRL or SHIFT key.

6.   To view the Reports section, click on the **Reports** button.
The Auction Round Reports section opens (as shown in the following figure).
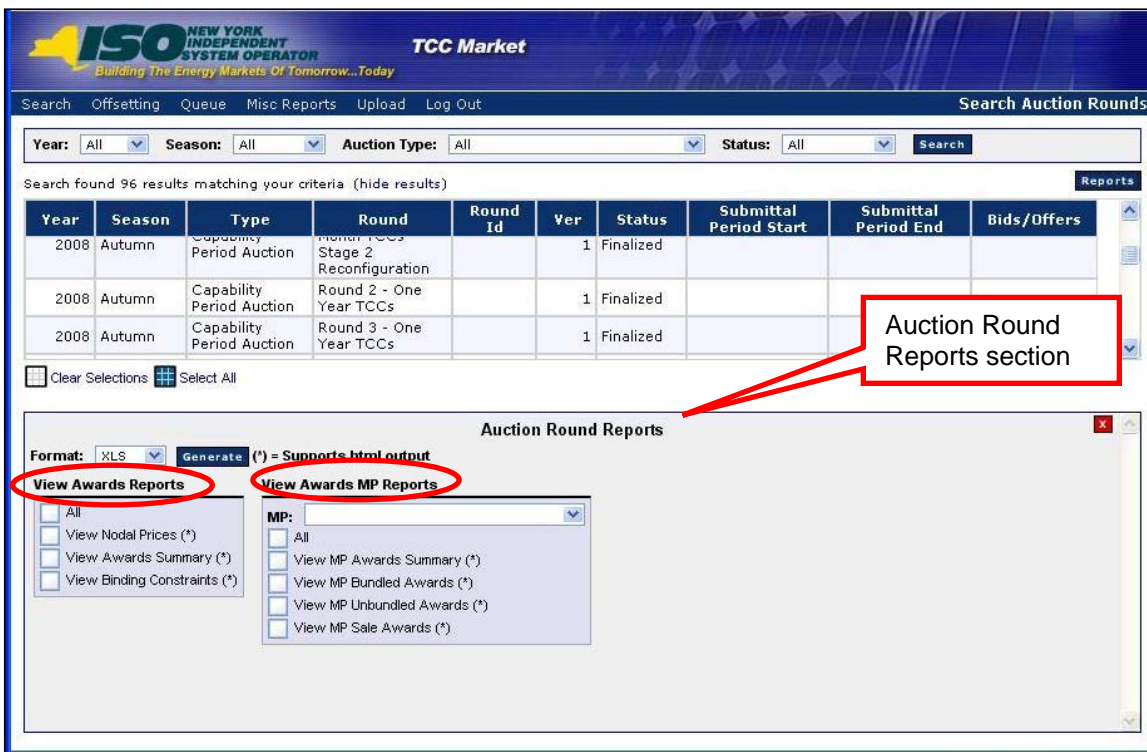
Figure 4-5   Report Options for Market Participant Users

If logged in as a non-TO Market Participant, there are two distinct groups of reports (as shown in the above figure).

a. *View Awards Reports*: Public reports

b. *View Awards MP Reports*: Market Participant Specific Reports

If logged in as a Transmission Owner, there is an additional group of reports (as shown in the following figure).
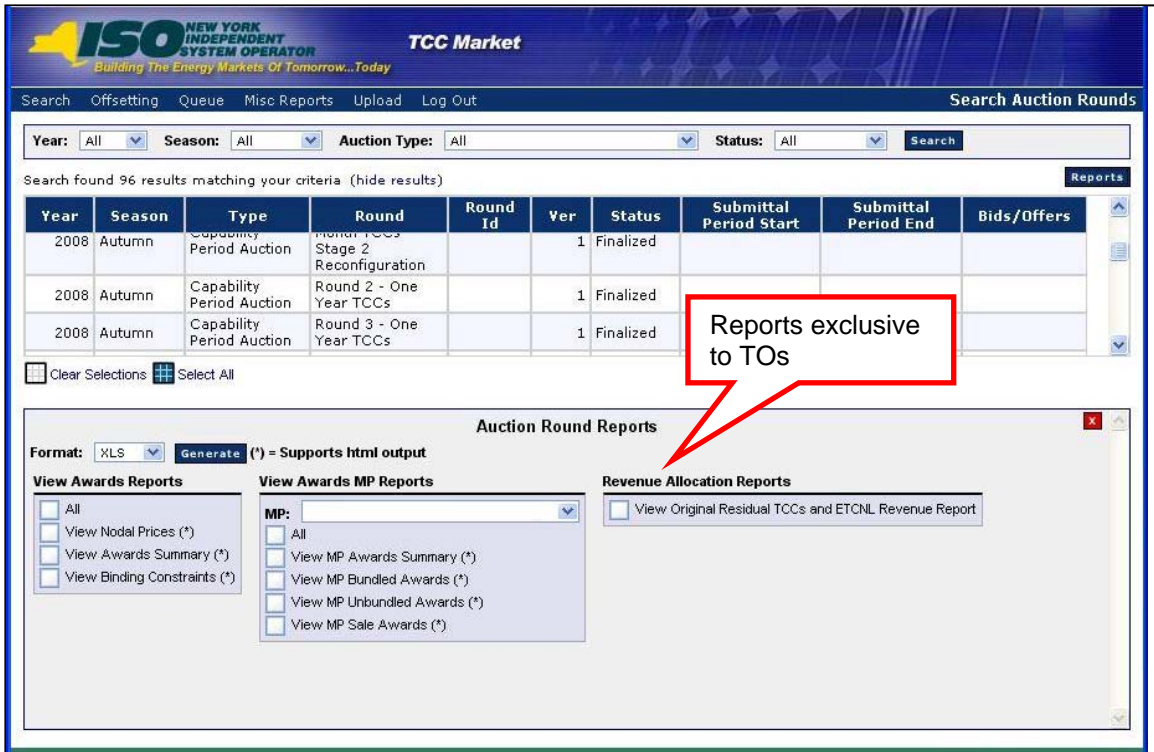
Figure 4-6   Report Options for Transmission Owner Users

> **Note:** Accessing the Revenue Allocation Reports (for TOs only) is explained in Section 4.10.

4.2   Generating One or More Reports with One or More Auction Rounds

Read Access: MPs and TOs

Write Access: None

⌨   *To generate one or more reports with one or more auction rounds*

> **Pre-Requisite:** This procedure assumes that you have already logged on to the TCC AMS and navigated to the Auction Search window. If this is not the case, complete the procedures outlined under Sections 2.3 and 4.1, respectively, before completing the steps below.

1.   Select one or more auction rounds (refer to Section 4.1, step 5, if needed).

2.   In the **Auction Round Reports** area, place a checkmark next to one or multiple reports you wish to generate (refer to Figure 4-7). The user may:

- Click an individual report checkbox to select that report,
- Click once on a selected individual report checkbox to deselect, or
- Click the **All** checkbox button for a particular reports section (for example, notice the *All* checkbox in the *View Awards Reports* section and the *View*

Awards MP Reports section). This will select all reports in that section; clicking again on the checkbox will deselect.

> **Note:** The MP field in the *View Awards MP Reports* area defaults to the user's organization name.
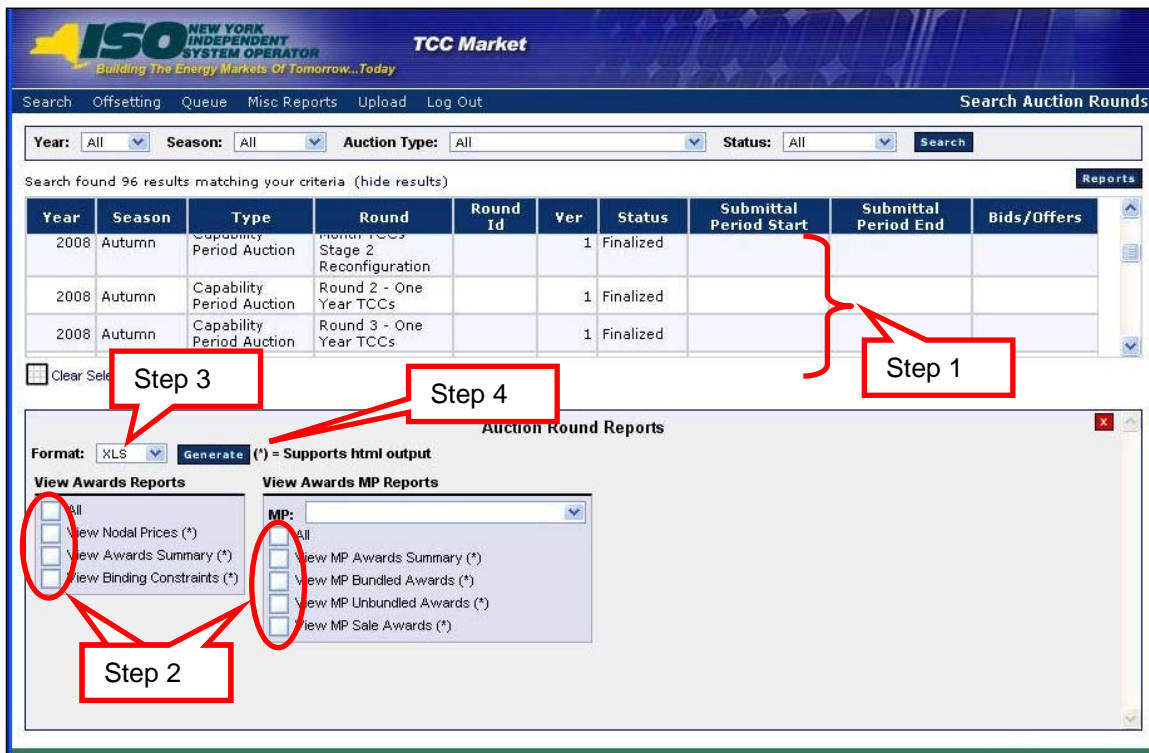
Figure 4-7   Auctions Search Window Illustrating Steps in Report Generation

3.   From the **Format** drop-down menu, choose *HTML*, *XLS* or *CSV*.

> **Note:** Some reports may have limited format options.

4.   Click the **Generate** button.

> **Note:** If *XLS* or *CSV* was chosen in step 2, the file download window opens (as shown in the following figure). The user has the option to *Open, Save* or *Cancel* the report.
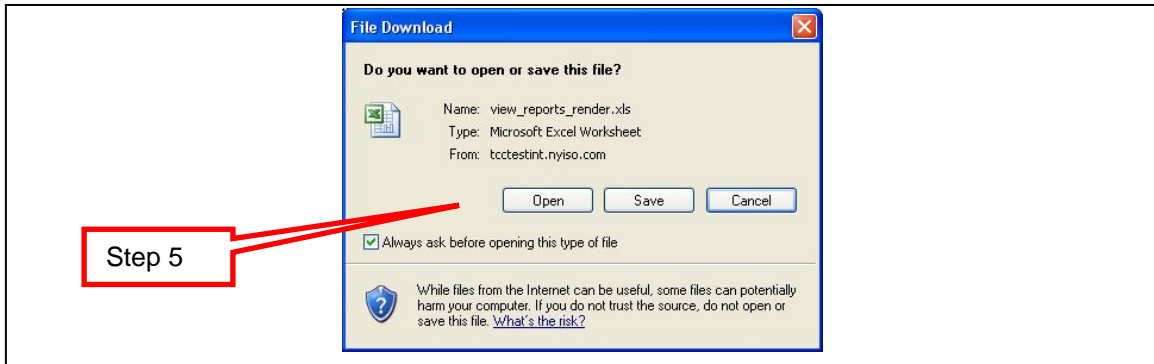
Figure 4-8   File Download Window

5. Click the **Open** button to generate one or more reports with one or more auction rounds. See Figure 4-9 through Figure 4-13 for examples.

When generating a report, the list of chosen auctions is shown at the top of the window. The report is shown in the lower portion of the window.

The following figures show different combinations of one or more auction rounds chosen (in step 1) and one or more reports chosen (in step 2). Figure 4-9 through Figure 4-13 are examples of choosing the *HTML* format as described previously in step 3.

Figure 4-9   Actions and Results of Generating Multiple Reports by Selecting Multiple Auction Rounds

Figure 4-10   Results of Generating a Single Report for a Single Auction Round

Figure 4-11   Results of Generating Multiple Reports for a Single Auction Round

Figure 4-12   Results of Generating a Single Report for Multiple Auction Rounds

Figure 4-13   Results of Generating Multiple Reports for Multiple Auction Rounds

4.3   Viewing Nodal Prices

This subsection describes how users may view the Nodal Prices that are available after the awards have been approved. Upon award approval, nodal prices will be posted for public viewing. Section 14 of this User Guide describes how posted information may be viewed by public users.

Read Access: MPs and TOs

Write Access: None

⌨   **To view the Nodal Price report**

Pre-Requisite: This procedure assumes that you have already logged on to the TCC AMS and navigated to the Auction Search window. If this is not the case, complete the procedures outlined under Sections 2.3 and 4.1, respectively, before completing the steps below.

1.   Select one or more auction rounds (refer to Section 4.1, step 5, if needed).
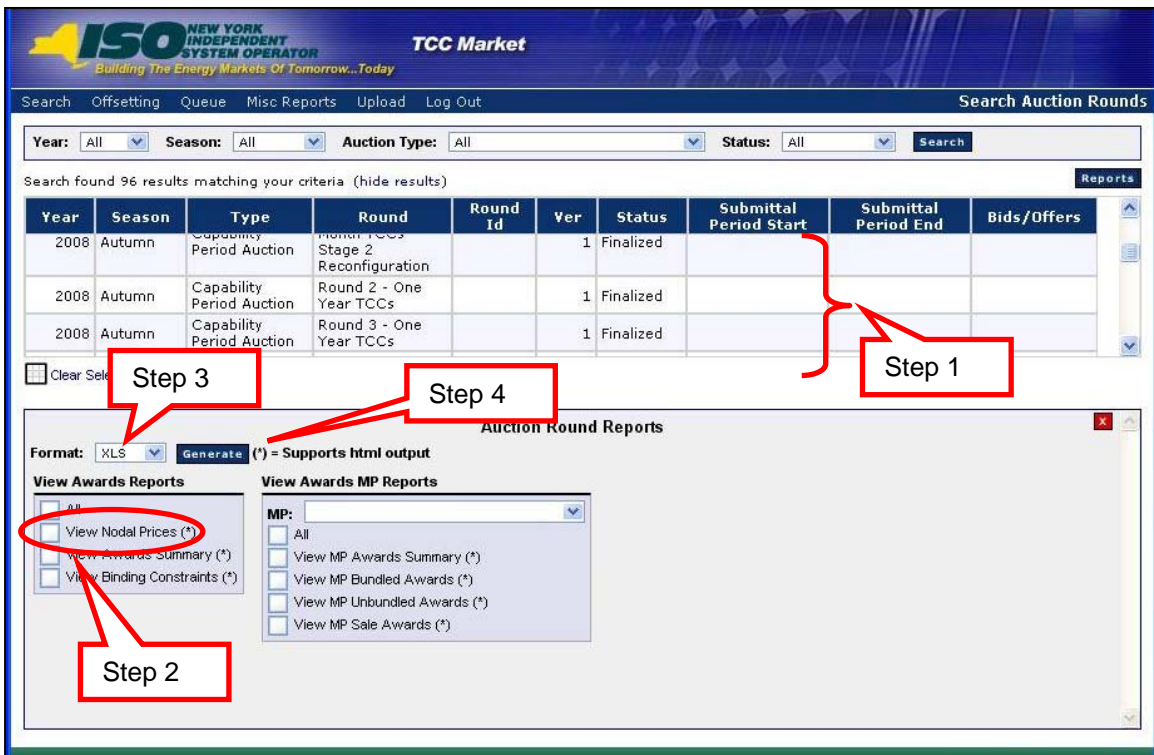
Figure 4-14   Auction Search Window Illustrating Steps in Generating a Nodal Price Report

2.   In the **View Awards Reports** area, place a checkmark next to **View Nodal Prices (*)** (refer to the above figure).

> **Note:** The user may choose additional reports to generate (refer to Section 4.2, step 2 if needed).

3.   From the **Format** drop-down menu, choose *HTML*, *CSV* or *XLS*.

4.   Click the **Generate** button.

> **Note:** If you chose *CSV* or *XLS* at step 3, refer to Section 4.2, step 5, if needed.

The following figure is an example of choosing the *HTML* format, one auction, and three report types. When choosing *HTML*, there are no options to *Open* or *Save*.

Figure 4-15   Nodal Price Report in HTML Format

When generating a report, the list of chosen auctions is shown at the top of the window. The report is shown in the lower portion of the window.

The Nodal Price report provides:

a. Nodal prices by PTID

b. Capability of calculating auction cost for any TCC =[$/TCCPOW - $/TCCPOI] (see the following figure).
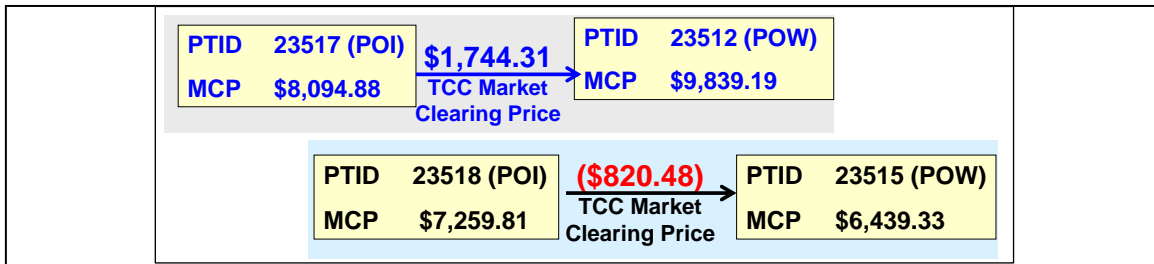
Figure 4-16   Auction Costs Calculation

5. If needed, download the report by clicking on the **Download XLS** button or the **Download CSV** button.

> *Note:* If the user selects several auction rounds, then several reports are generated (as shown in the following figure).

Figure 4-17   Results of Generating Nodal Price Reports for Multiple Auction Rounds

4.4   Viewing Awards Summary

This subsection describes how the public may view the summary of bundled awards that is available after the awards have been approved.

Read Access: MPs and TOs

Write Access: None

⌨   **To view the Awards Summary report**

> **Pre-Requisite:** This procedure assumes that you have already logged on to the TCC AMS and navigated to the Auction Search window. If this is not the case, complete the procedures outlined under Sections 2.3 and 4.1, respectively, before completing the steps below.

1.   Select one or more auction rounds (refer to Section 4.1, step 5, if needed).
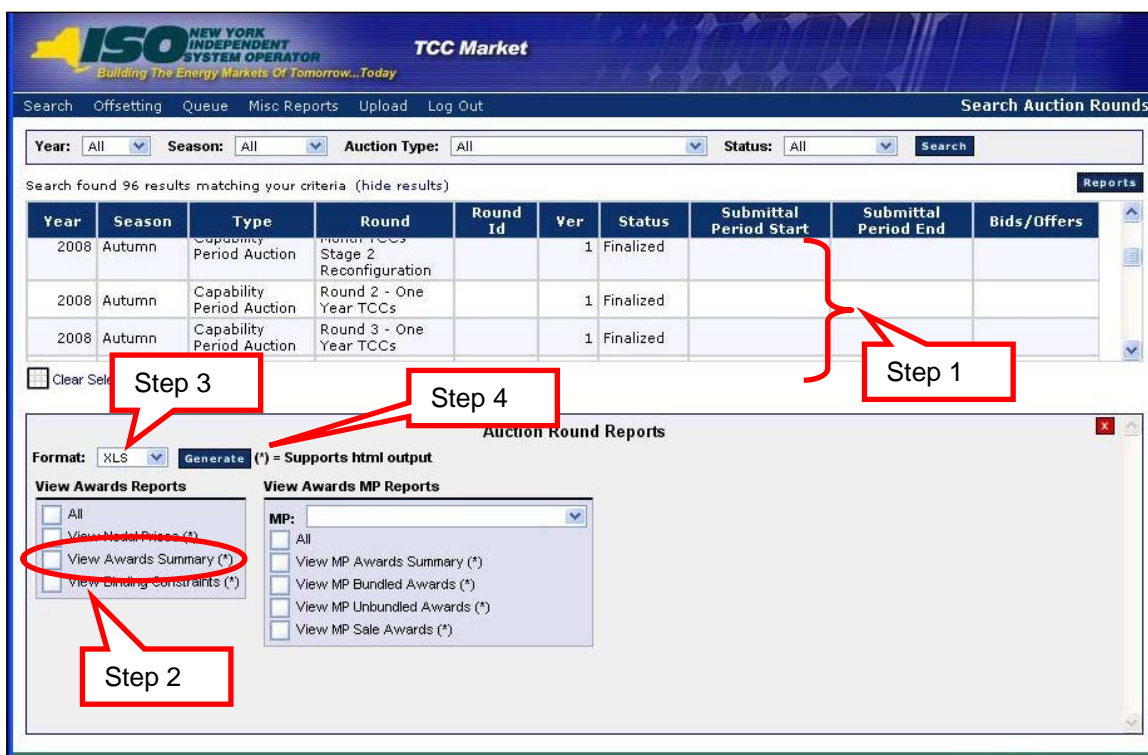
Figure 4-18   Steps in Generating an Awards Summary Report

2.   In the **View Awards Reports** area, place a checkmark next to **View Awards Summary (*)** (refer to the above figure).

> **Note:** The user may choose additional reports to generate (refer to Section 4.2 step 2, if needed).

3.   From the **Format** drop-down menu, choose *HTML*, *CSV* or *XLS*.
4.   Click the **Generate** button.

> **Note:** If you chose *CSV* or *XLS* at step 3, refer to Section 4.2 step 5, if needed.

The following figure is an example of choosing the *HTML* format, one auction round and one report type. When choosing *HTML*, there are no options to *Open* or *Save*.
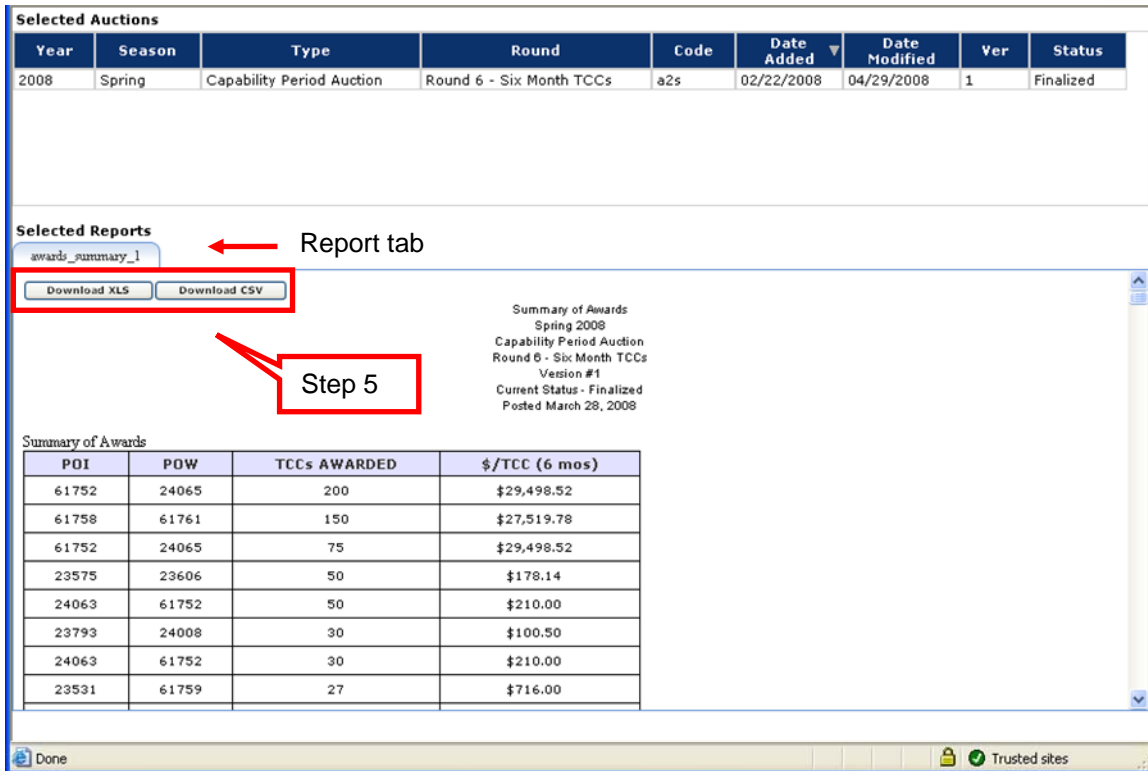
Figure 4-19   Awards Summary Report in HTML Format

When generating a report, the list of chosen auctions is shown at the top of the window with the report displayed in the lower portion of the window.

The Awards Summary report provides:

a. Summary of awarded TCCs only

b. Number of TCCs

c. $/TCC (duration)

5. If needed, download the report by clicking on the **Download XLS** button or the **Download CSV** button.

4.5   Viewing Binding Constraints

This subsection describes how the public may view the Binding Constraints that are available after the awards have been approved.

Read Access: MPs and TOs

Write Access: None

⌨   **To view the Binding Constraints report**

> **Pre-Requisite:** This procedure assumes that you have already logged on to the TCC AMS and navigated to the Auction Search window. If this is not the case, complete the procedures outlined under Sections 2.3 and 4.1, respectively, before completing the steps below.

1.   Select one or more auction rounds (refer to Section 4.1, step 5, if needed).
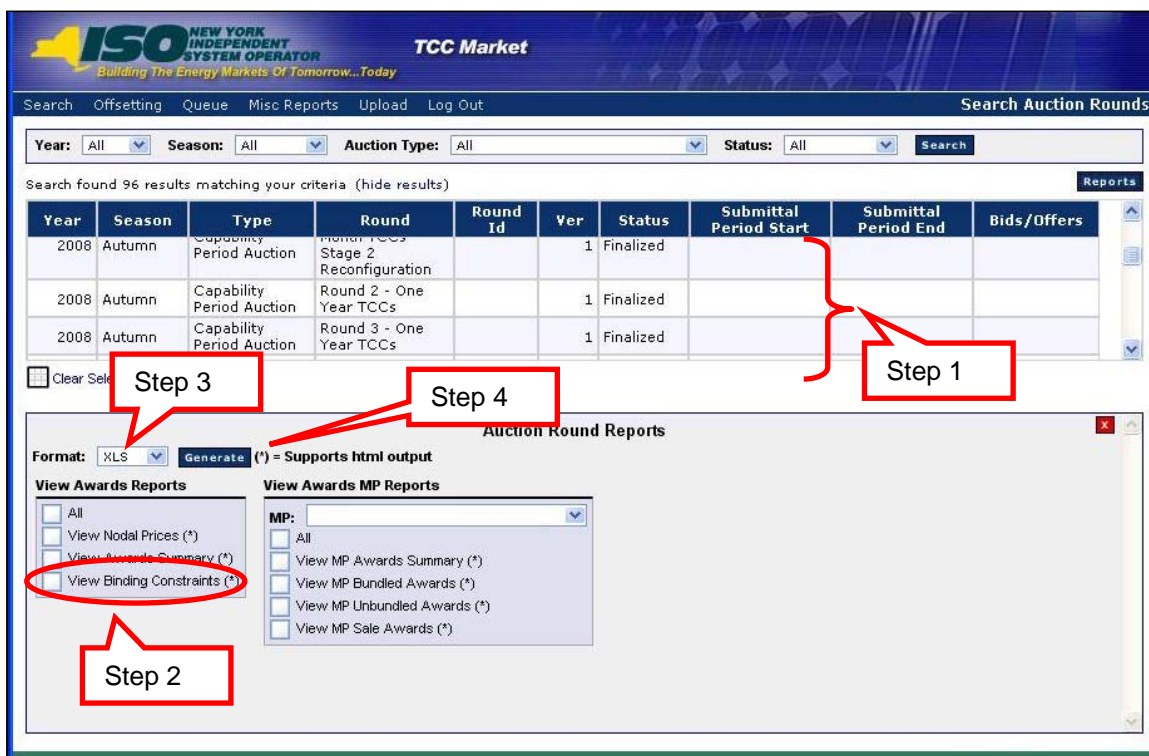
Figure 4-20   Steps in Generating a Binding Constraints Report

2.   In the **View Awards Reports** area, place a checkmark next to **View Binding Constraints (*)** (refer to the above figure).

> **Note:** The user may choose additional reports to generate (refer to Section 4.2, step 2 if needed).

3.   From the **Format** drop-down menu, choose *HTML*, *CSV* or *XLS*.

4.   Click the **Generate** button.

> **Note:** If you chose *CSV* or *XLS* at step 3, refer to Section 4.2, step 5, if needed.

The following figure is an example of choosing the *HTML* format for one auction round and one report. When choosing *HTML*, there are no options to *Open* or *Save*.
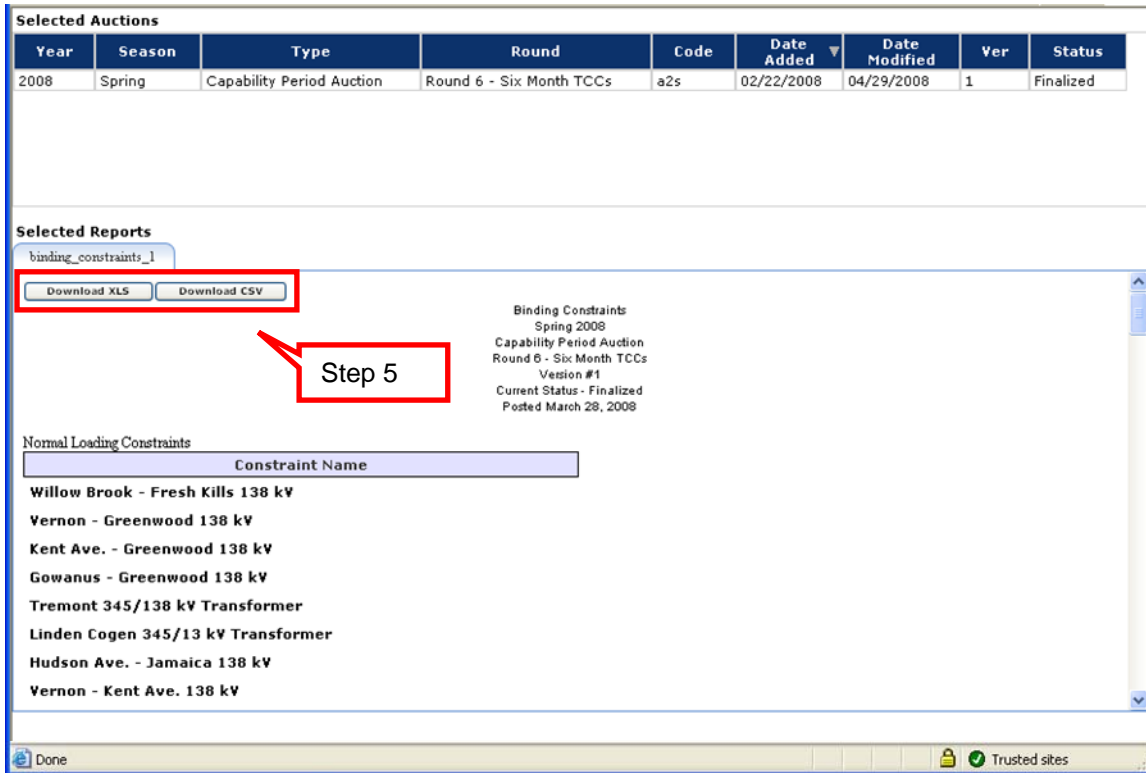
Figure 4-21   Binding Constraints Report in HTML Format

When generating a report, the list of chosen auctions is shown at the top of the window. The report is shown in the lower portion of the window.

The Binding Constraints report provides:

a. Normal loading constraints
b. Contingency constraints

5.   If needed, download the report by clicking on the **Download XLS** button or the **Download CSV** button.

4.6   Viewing MP Awards Summary

This subsection describes the private view of MP Awards at a summary level that is available after the awards have been approved. The report may be downloaded as well as viewed. The report is confidential and is available only to the specific MPs who bought or sold the TCC.

Read Access: MPs and TOs (only populated for those who have participated in an auction round

Write Access: None

🖳 **To view the MP Awards Summary report**

> *Pre-Requisite:* This procedure assumes that you have already logged on to the TCC AMS and navigated to the Auction Search window. If this is not the case, complete the procedures outlined under Sections 2.3 and 4.1, respectively, before completing the steps below.

1. Select one or more auction rounds (refer to Section 4.1, step 5, if needed).
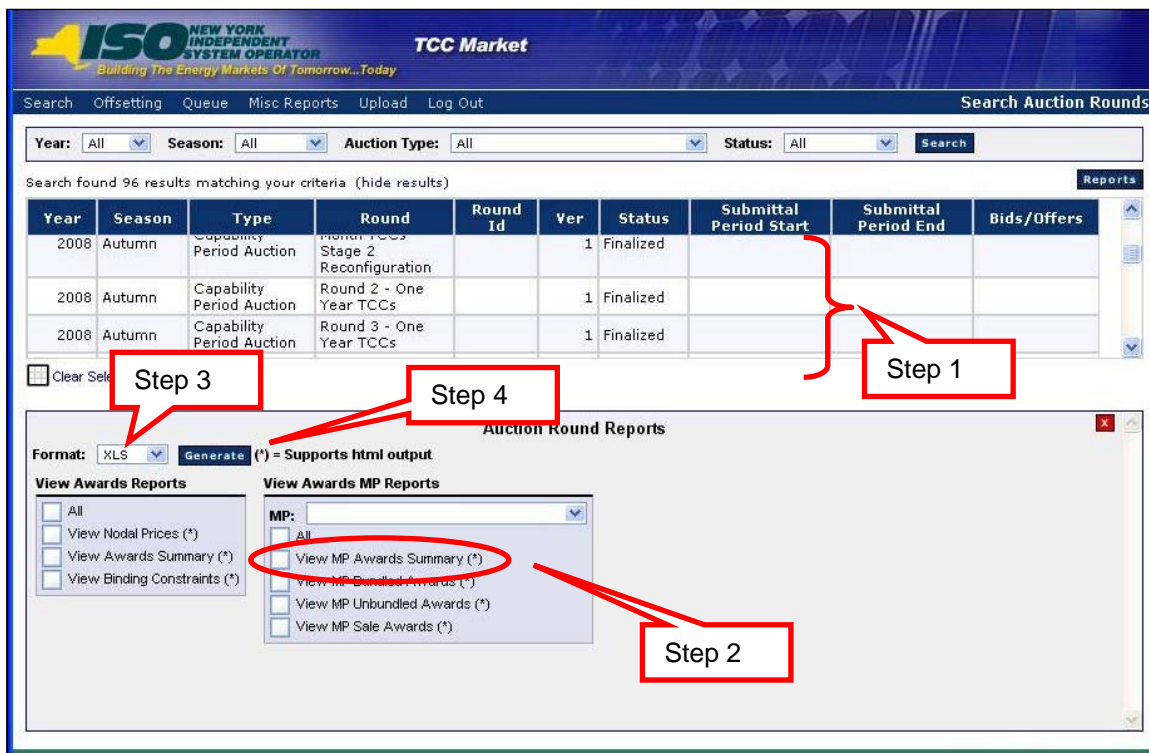
Figure 4-22   Steps in Generating an MP Awards Summary Report

2. In the **View Awards MP Reports** area, place a checkmark next to **View MP Awards Summary (*)** (refer to the above figure).

> *Note:* The user may choose additional reports to generate (refer to Section 4.2, step 2 if needed).

3. From the **Format** drop-down menu, choose *HTML*, *CSV* or *XLS*.
4. Click the **Generate** button.

> *Note:* If you chose *CSV* or *XLS* at step 3, refer to Section 4.2, step 5, if needed.

The following figure is an example of choosing the *HTML* format, one auction round, and one report.

Figure 4-23   HTML-Formatted MP Awards Summary Report for a Single Auction Round

5. If needed, download the report by clicking on the **Download XLS** button or the **Download CSV** button.

The following figure shows another example of the Awards Summary report (in the top portion of the window).
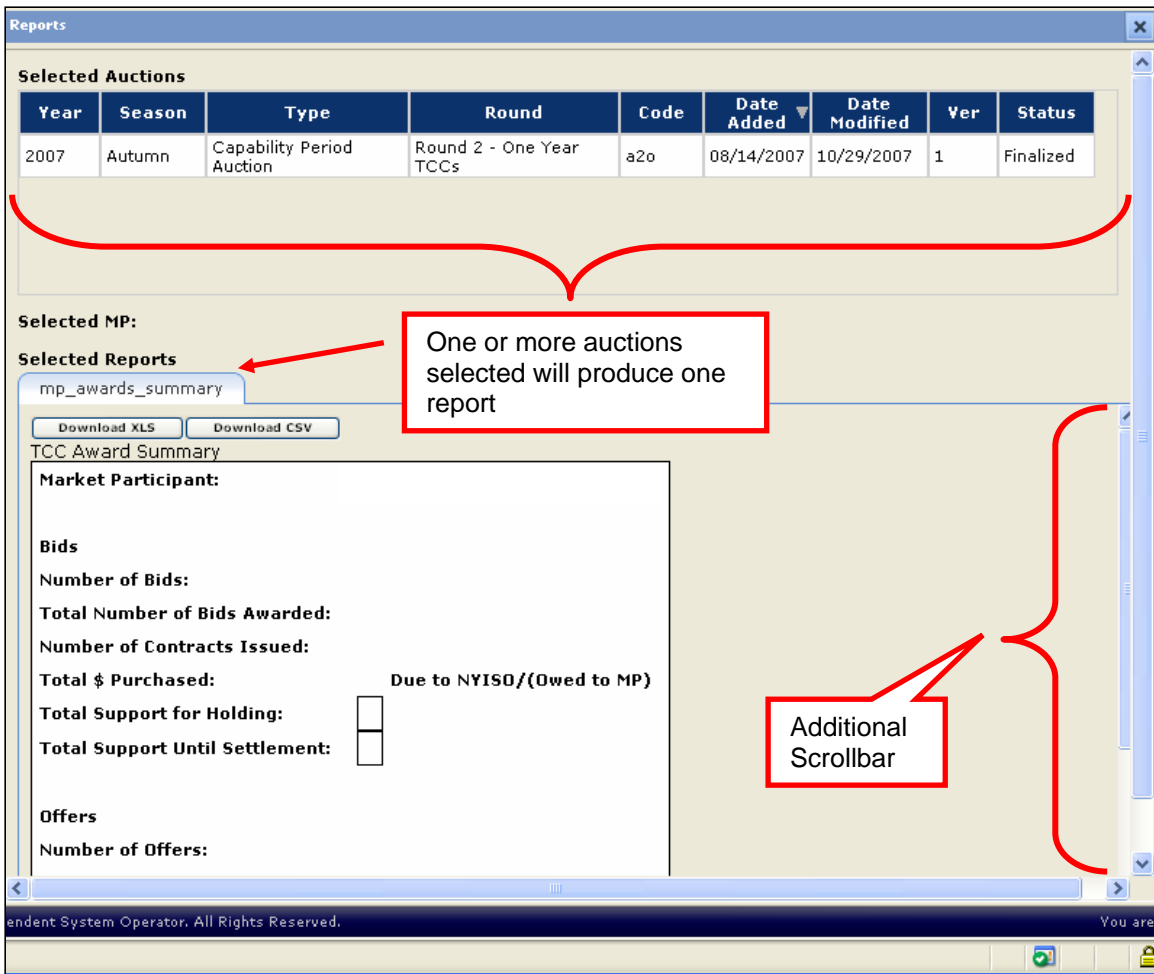
Figure 4-24   Awards Summary Report Illustrating Additional Navigational Device

Please notice the additional scroll bar within the main window (as shown in the above figure).

The following figure shows another example of the Awards Summary report (the lower portion of the window, where auction coding is shown).
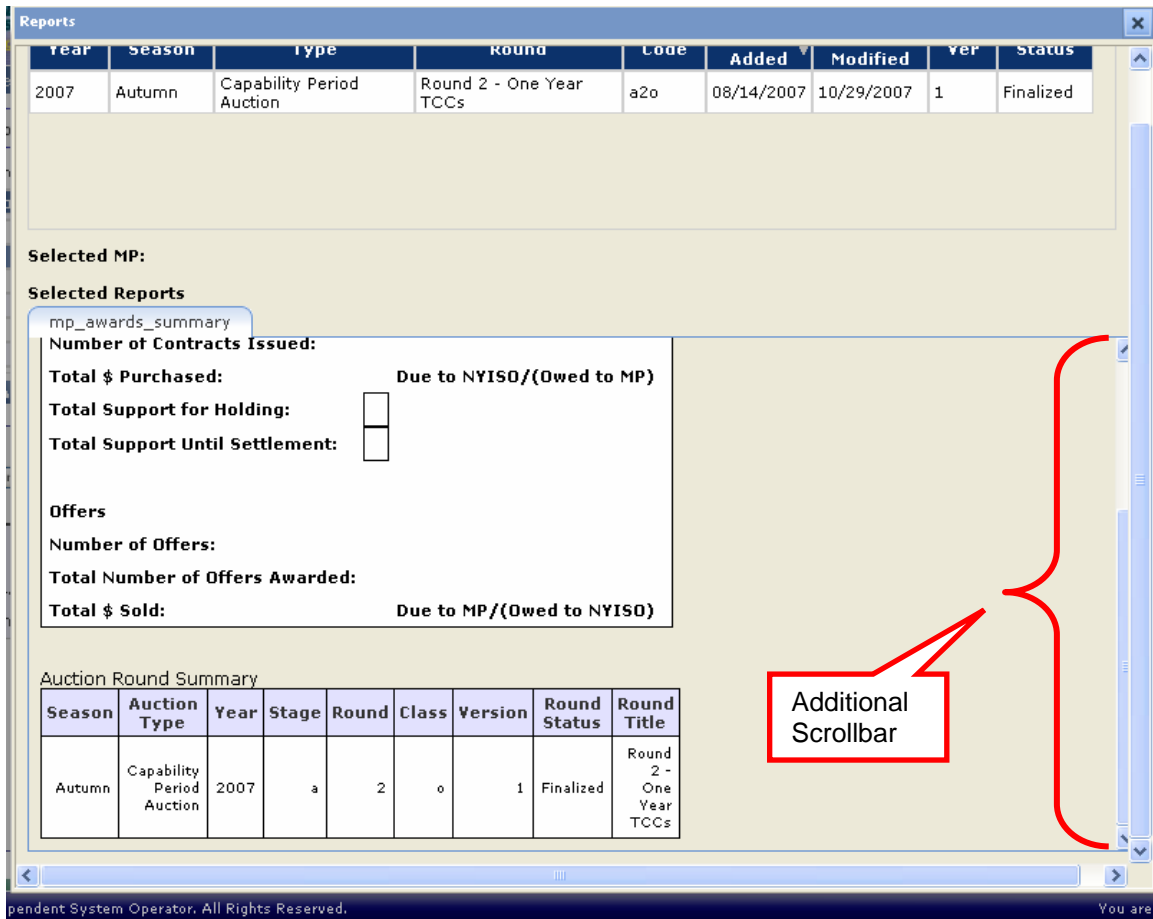
Figure 4-25   Awards Summary Report Illustrating Auction Coding

The auction code is used for internal purposes only. This field is temporary and will be removed as part of the next deployment.

4.7   Viewing MP Bundled Purchase Awards

This subsection describes the private view of MP Awards resulting from their bids that is available after the awards have been approved. This report will display the awarded bids that exist before the unbundling process has potentially disaggregated awards into multiple unbundled components. The report may be downloaded as well as viewed. The report is confidential and is available only to the specific MPs who bought or sold the TCC.

Reports will be populated with data if any awards were made in the selected auction round(s).

Read Access: MPs and TOs

Write Access: None

💻 **To view the Bundled Purchase Awards report**

> **Pre-Requisite:** This procedure assumes that you have already logged on to the TCC AMS and navigated to the Auction Search window. If this is not the case, complete the procedures outlined under Sections 2.3 and 4.1, respectively, before completing the steps below.

1. Select one or more auction rounds (refer to Section 4.1, step 5, if needed).
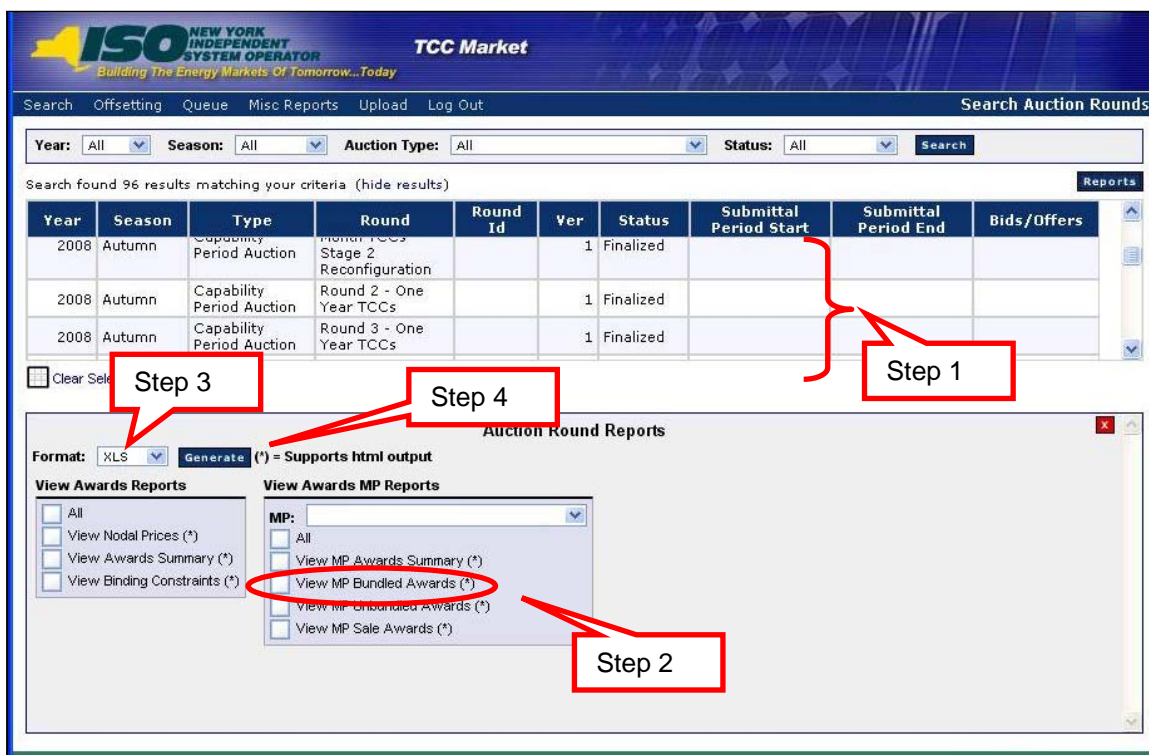
Figure 4-26   Steps in Generating an MP Bundled Awards Report

2. In the **View Awards MP Reports** area, place a checkmark next to **View MP Bundled Awards (*)** (refer to the above figure).

> **Note:** The user may choose additional reports to generate (refer to Section 4.2, step 2 if needed).

3. From the **Format** drop-down menu, choose *HTML*, *CSV* or *XLS*.
4. Click the **Generate** button.

> **Note:** If you chose *CSV* or *XLS* at step 3, refer to Section 4.2, step 5, if needed.

The following figure is an example of choosing the *HTML* format, one auction round and one report. When viewing the report in HTML, the user may then choose to download the same report in *XLS* or *CSV* format (as noted in the following figure).
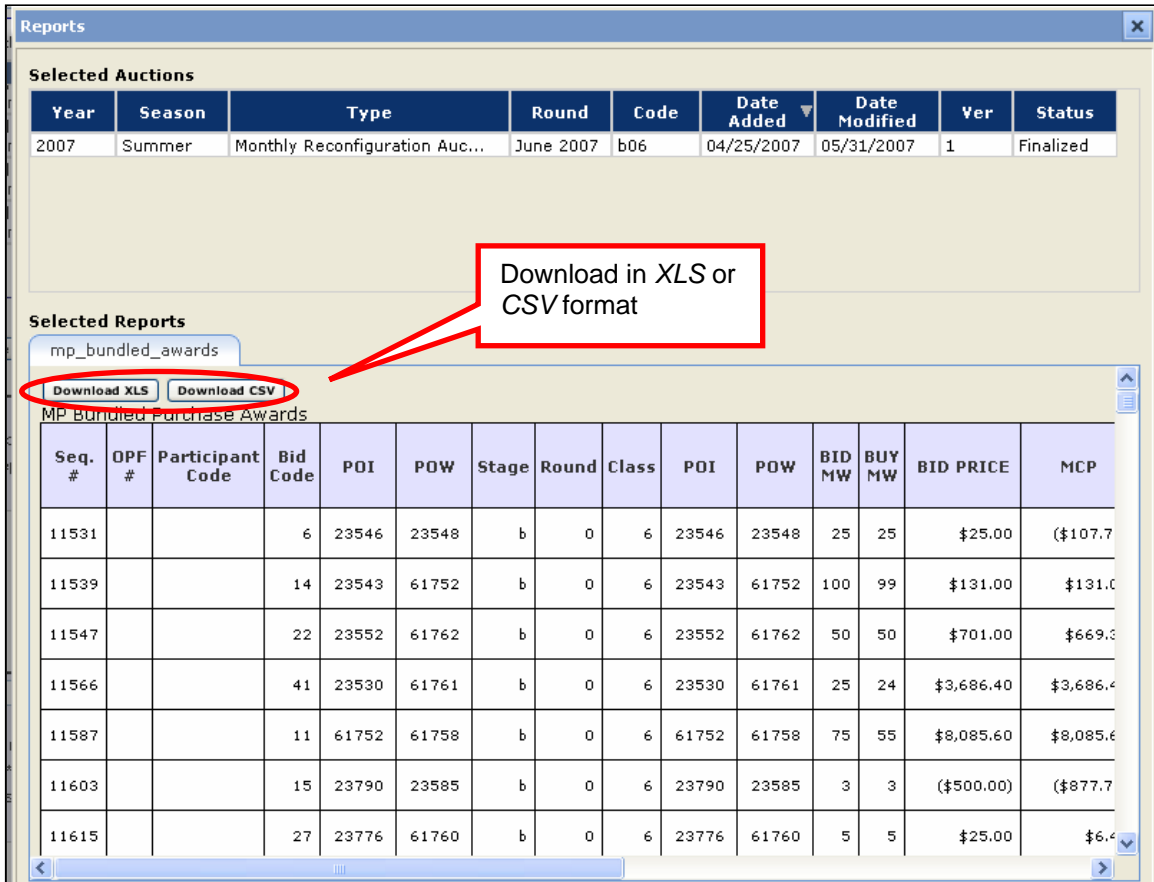
Figure 4-27   MP Bundled Awards Report in HTML format

4.8   Viewing MP Unbundled Purchase Awards

This subsection describes the private view of MP Bid Awards resulting after the unbundling process and is available after the awards have been approved. This report will display all awarded components of bids whether stemming from a bid that was unbundled or from a bid that remained bundled. The report may be downloaded as well as viewed. The report is confidential and is available only to the specific MPs who bought or sold the TCC.

Reports will be populated with data if any awards were made in the selected auction round(s).

Read Access: MPs and TOs

Write Access: None

⌨   **To view the Unbundled Purchase Awards report**

> **Pre-Requisite:** This procedure assumes that you have already logged on to the TCC AMS and navigated to the Auction Search window. If this is not the case, complete the procedures outlined under Sections 2.3 and 4.1, respectively, before completing the steps below.

**1.**   Select one or more auction rounds (refer to Section 4.1, step 5, if needed).
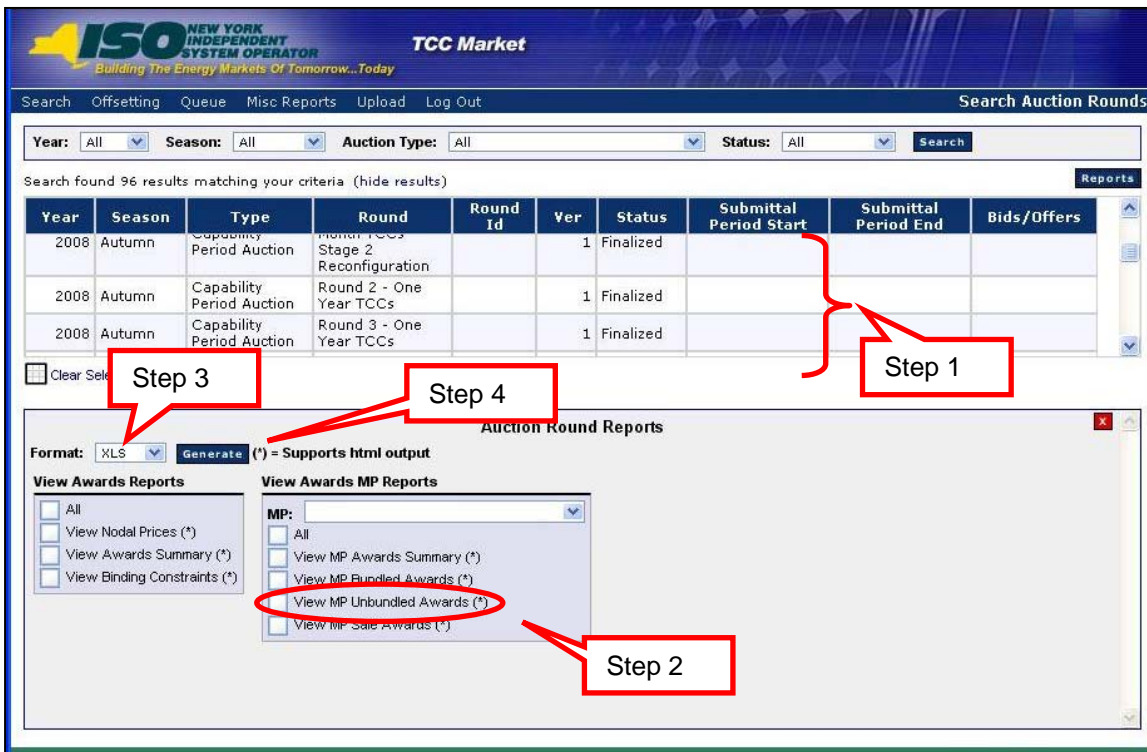
Figure 4-28   Steps in Generating an MP Unbundled Awards Report

2. In the **View Awards MP Reports** area, place a checkmark next to **View MP Unbundled Awards** (*) and **View MP Bundled Awards** (*) (refer to the above figure).

> **Note:** The user may choose additional reports to generate (refer to Section 4.2, step 2 if needed).

3. From the **Format** drop-down menu, choose *HTML*, *CSV* or *XLS*.

4. Click the **Generate** button.

> **Note:** If you chose *CSV* or *XLS* at step 3, refer to Section 4.2, step 5, if needed.

The following figure is an example of choosing the *HTML* format, one auction round, and two report types (bundled and unbundled). When viewing the report in HTML, the user may then choose to download the same report in *XLS* or *CSV* format (as noted in the following figure).

Figure 4-29   MP Unbundled Awards Report in HTML Format

Note: The permanent TCC ID number is provided in the MP Unbundled Awards report only.

4.9   Viewing MP Sale Awards

This subsection describes how upon award approval, MPs who offered to sell and received awards will be able to view their specific awards at the detail level. The report may be downloaded as well as viewed. The report is confidential and is available only to the specific MPs who bought or sold the TCC.

Reports will be populated with data if any awards were made in the selected auction round(s).

Read Access: MPs and TOs

Write Access: None

  ⌨   **To view the MP Sale Awards report**

Pre-Requisite: This procedure assumes that you have already logged on to the TCC AMS and navigated to the Auction Search window. If this is not the case, complete the procedures outlined under Sections 2.3 and 4.1, respectively, before completing the steps below.

---

1.   Select one or more auction rounds (refer to Section 4.1, step 5, if needed).
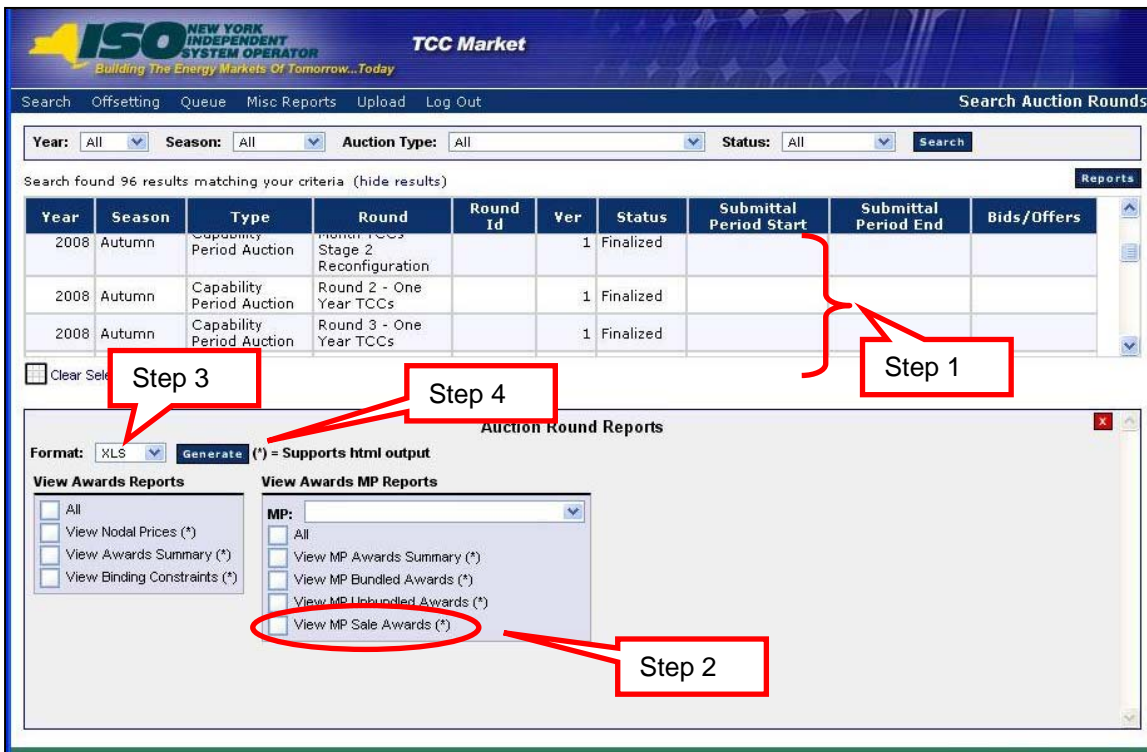
Figure 4-30   Steps in Generating an MP Sale Awards Report

2.   In the **View Awards MP Reports** area, place a checkmark next to **View MP Sale Awards (*)** (refer to the above figure).

> **Note:** The user may choose additional reports to generate (refer to Section 4.2, step 2 if needed).

3.   From the **Format** drop-down menu, choose *HTML*, *CSV* or *XLS*.

4.   Click the **Generate** button.

> **Note:** If you chose *CSV* or *XLS* at step 3, refer to Section 4.2, step 5, if needed.

The following figure is an example of choosing the *HTML* format, one auction and several report types. When viewing the reports in HTML, the user may then choose to download the same reports in *XLS* or *CSV* format (as noted in the following figure).

Figure 4-31   MP Sale Awards Report in HTML Format

4.10   Viewing Original Residual TCC and ETCNL Revenue Report

This subsection describes the creation and viewing of the Residual TCC and ETCNL Revenue Report. This report is available to TOs only and provides revenue information originating from ETCNL and RT Offers for an auction round. All TOs may view this report and see the complete set of calculations.

Read Access: TOs

Write Access: None

⌨   **To view the Residual TCC and ETCNL Revenue Report**

> **Pre-Requisite:** This procedure assumes that you have already logged on to the TCC AMS and navigated to the Auction Search window. If this is not the case, complete the procedures outlined under Sections 2.3 and 4.1, respectively, before completing the steps below.

1.   Select one or more auction rounds (refer to Section 4.1, step 5, if needed).

NYISO TCC AUTOMATED MARKET SYSTEM USER'S GUIDE
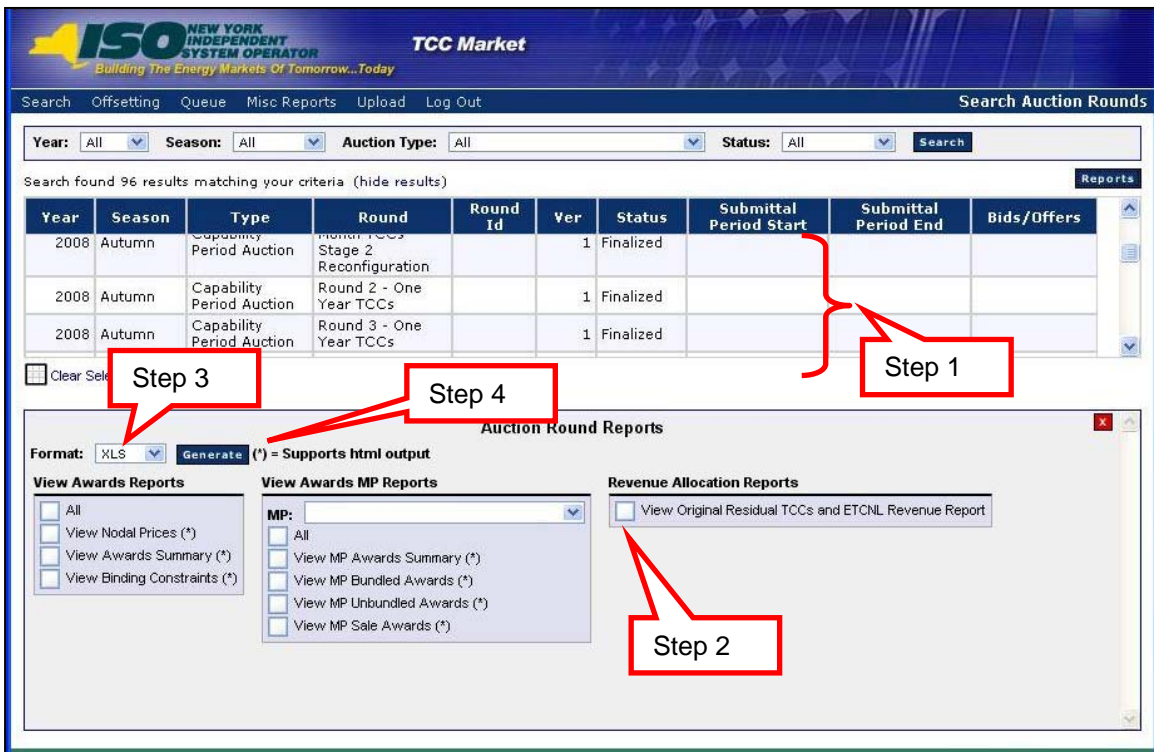
**Figure 4-32   Steps in Generating an Original Residual TCCs and ETCNL
Revenue Report**

2.   In the **Revenue Allocation Reports** area, place a checkmark next to **View
Original TCCs and ETCNL Revenue Report** (refer to the above figure).

3.   From the **Format** drop-down menu, choose *HTML*, *CSV* or *XLS*.

> **Note:** This report may be generated in *CSV* or *XLS* formats. Only those reports with an
> asterisk (*) next to their names may be generated in an *HTML* format.

4.   Click the **Generate** button.

A window appears, showing the downloaded files (as shown in the following
figure).

Figure 4-33   Downloaded Files List

An example of the "details" file is shown below in Figure 4-34 and the "summary"
file in Figure 4-35.

Residual TCC and ETCNL Revenue Details										
TO Name	**POI**	**POI Name**	**POW**	**POW Name**	**TCCs Sold**	**Nodal Price POW**	**Nodal Price POI**	**MCP**	**Total Value**	**Revenue**
Original Residual TCCs										
								Residual TCCs Total Revenue		
ETCNL										
								ETCNL Total Revenue		
Auction Round Summary										
Season	**Auction Type**	**Year**	**Stage**	**Round**	**Class**	**Version**	**Round Status**	**Round Title**		
Spring	Capability Period Auction	2007	a	1	o	1	Finalized	Round 1 - One Year TCCs		
Residual TCC and ETCNL Revenue Details Created: 6/13/2008 10:50										

Figure 4-34   Sample Format of Residual TCC and ETCNL Revenue Details

Residual TCC and ETCNL Revenue Summary			
TO Name	**Original Residual TCC Revenue**	**ETCNL Revenue**	**Total ETCNL & Original Residual TCC Revenue**
Total			
	Total Auction Round Revenue		
	Residual Revenue		
Auction Round Summary			
Season	**Auction Type**	**Year**	**Stage**	**Round**	**Class**	**Version**	**Round Status**	**Round Title**
Spring	Capability Period Auction	2007	a	1	o	1	Finalized	Round 1 - One Year TCCs
Residual TCC and ETCNL Revenue Summary Created:			**6/13/2008 10:56**

Figure 4-35   Sample Format of Residual TCC and ETCNL Revenue Summary

5. MANAGING BID/OFFER SETS THROUGH SCREENS

> ***Pre-Requisite***: Section 5 assumes the user has logged on to the TCC AMS. If this is not the case, complete the procedure outlined in Section 2.3.

5.1 Viewing Bid/Offer Sets

You can navigate to the Bid/Offer Sets screen for any auction round that currently has a status of "In Progress" or is any other state as long as you have submitted Bid/Offer Sets for that auction round.

Read Access: MPs and TOs

Write Access: MPs and TOs with Bid or Offer Authorization

🖥 ***To navigate to the Bid/Offer Set window***

1. From the main menu bar, click **Search**, and then click **Auction Rounds** (as shown in the following figure).

Figure 5-1   Auction Rounds Option on Search Menu in TCC AMS

The Search Auction Rounds window opens (as shown in the following figure).

Figure 5-2   Auctions Search Window Highlighting Search Criteria

2. Perform a search of auction rounds, specifying criteria as follows:

a. From the **Year** field, choose **All** or click an individual year

b. Choose the criteria for **Season**:

- *All*: Selects all Auctions matching the chosen criteria
- *Summer*: Monthly Reconfiguration Auctions – May to October
- *Autumn*: Autumn Capability Period Auction Rounds – November to April
- *Winter*: Monthly Reconfiguration Auctions – November to April
- *Spring*: Spring Capability Period Auction Rounds – May to October

c. Choose the criteria for **Auction Type**:

- *All*
- *Capability Period Auction*
- *Monthly Reconfiguration Auction*

d. Choose the criteria for **Status**:

- *All*
- *In Progress*: Auction round is currently in progress and has yet to be approved (submittal period can be open during this status)
- *Approved*: Auction round approved by TMO.
- *Invalidated*: Approved Auction round is no longer valid and a new version of the auction round must be run
- *Finalized*: Auction round has been approved and the period for MPs to dispute results is over. Auction round is final

3. Click the **Search** button.

The search results are displayed (as shown in the following figure).

Figure 5-3   Search Auction Rounds Results

4.   Click the **View** button for the desired round.

     The Bid/Offer Set screen appears (as shown in the following figure).
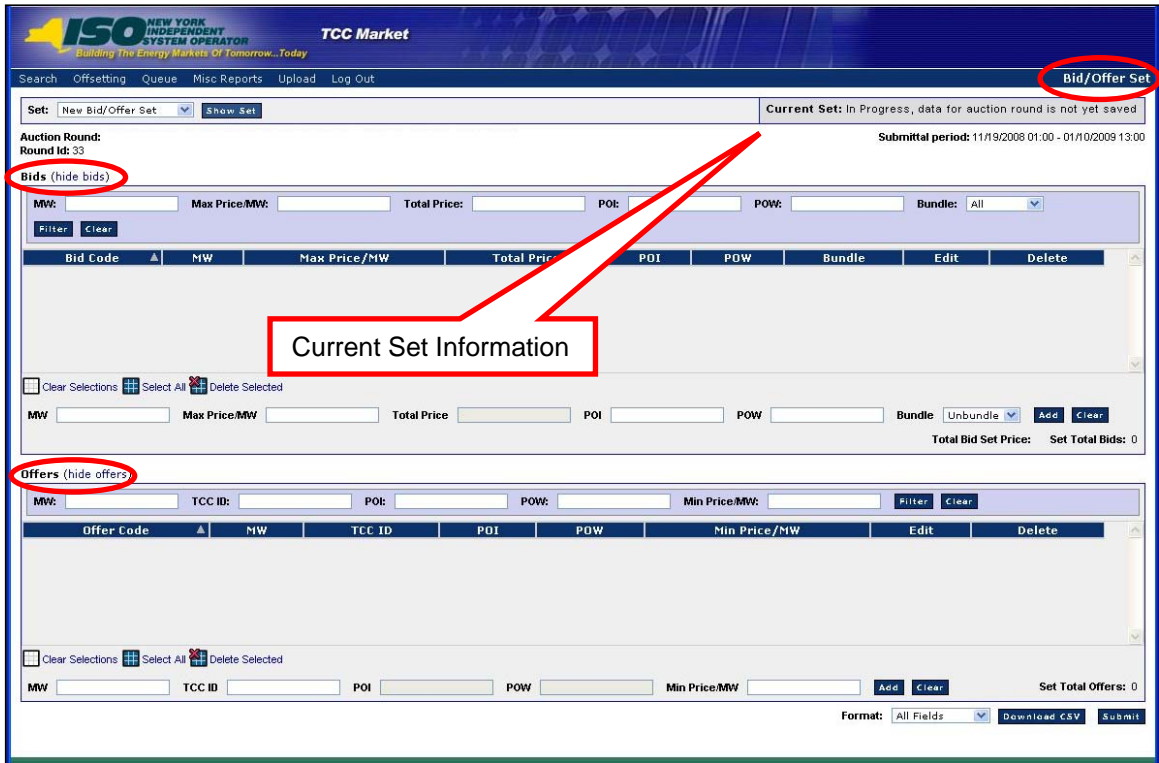
Figure 5-4   Bid/Offer Set Window

> *Note:* The Bid/Offer Set window is divided into two sections; the upper panel contains the Bids, while the lower panel contains the Offers (as shown in the above figure).

Observe the **Current Set** information in the upper-right corner of Figure 5-4. There are three possible types of current sets, as described below:

➢ The Bid/Offer Set is currently being altered by the user.
➢ The set will not be saved until the Submit button is selected.
➢ The user will see this status on a "New Bid/Offer Set".
➢ The user will see this status on an "Approved" or "Rejected" set once it has been altered.

➢ The Bid/Offer Set has passed TCC validation and credit check.
➢ The set is approved and ready for the auction.
➢ The set may only be removed by withdrawing (see section 5.15 for withdrawal steps).
➢ If the approved set is altered, its status will change to "in progress". The approved set will not be lost unless this set is submitted and approved.

Current Set: Rejected Bids/Offers

> ➢ The Bid/Offer Set has passed TCC validation and did not pass the credit check.
> ➢ The set is rejected by credit and will not be in the auction.
> ➢ If the set is altered, its status will become "in progress". The approved set will not be lost unless this set is submitted and approved. This set can then be submitted for approval.
> ➢ The rejected Bid/Offer Set can not be removed.

5. In the Bid/Offer Set window, select **any set type** from the **Set** drop-down and click the **Show Set** button (as shown in the following figure).

| Set: | Approved Bids/Offers | ▼ | Show Set |

New Bid/Offer Set
New Global Offer Set
Approved Bids/Offers
Rejected Bids/Offers
Approved Global Offers
Rejected Global Offers

Step 5

Figure 5-5   Selecting Set Types

> **Note:** The set types available in the **Set** drop-down will vary depending on the auction status, the auction parameters, and sets previously submitted. The system will navigate to the chosen set where actions may be performed as described in Table 5-1.

The following actions can be taken if the auction round permits and the submittal period is open for each set type below.

Table 5-1   Set Type Descriptions and Actions

Set Type	Description	Actions for Set Type
New Bid/Offer Set	Creates a new empty Bid/Offer Set in which bids and/or offers can be entered.	➢ Enter a bid or offer ➢ Edit a bid or offer ➢ Delete a bid or offer ➢ Submit the new Bid/Offer Set
New Global Offer Set	Creates a new empty Global Offer Set in which Global offers can be entered.	➢ Enter a Global offer ➢ Edit a Global offer ➢ Delete a Global offer ➢ Submit the new Global Offer Set
Approved Bids/Offers	Shows the most recently approved Bid/Offer Set.	➢ Enter a bid or offer ➢ Edit a bid or offer ➢ Delete a bid or offer ➢ Submit the altered Bid/Offer Set ➢ Withdraw the Bid/Offer Set

Set Type	Description	Actions for Set Type
Rejected Bids/Offers	Shows the most recently rejected Bid/Offer Set.	➢ Enter a bid or offer ➢ Edit a bid or offer ➢ Delete a bid or offer ➢ Submit the altered Bid/Offer Set
Approved Global Offers	Shows the most recently approved Global Offer Set.	➢ Enter a Global offer ➢ Edit a Global offer ➢ Delete a Global offer ➢ Submit the altered Global offer set ➢ Withdraw the Global Offer Set
Rejected Global Offers	Shows the most recently rejected Global Offer Set.	➢ Enter a Global offer ➢ Edit a Global offer ➢ Delete a Global offer ➢ Submit the altered Global Offer Set

When bids/offers are created, edited, or deleted (as described in Sections 5.1 through 5.9), they are only stored on the user's computer. This may be thought of as a "TCC Shopping Cart".

After Bid/Offer Sets have been *submitted* to the NYISO (as described in Section 5.10), they are stored at the NYISO, with a status of *approved* or *rejected*.

5.2   Entering a New Bid

Read Access: None

Write Access: MPs and TOs with Bid Authorization

⌨ *To enter a new bid*

1.   If not currently viewing the appropriate set, navigate to the Bid/Offer Set window and select the desired set from the **Set** drop-down, as described in Section 5.1.

Figure 5-6   Entering MW and Max Price/MW for a New Bid

> *Note:* In the following steps, entered fields with simple errors will become red. Entered fields without simple errors or typos will become green.

2. In the Bid section of the Bid/Offer Set window, enter the **MW** and **Max Price/MW** values for the bid in the corresponding fields.

> *Note:* The Total Price field is calculated after the values are entered (as shown in the above figure).

3. Enter the **POI** and **POW** values for the bid into the corresponding fields.
4. From the **Bundled** drop-down menu, select *unbundled* or *bundled*.
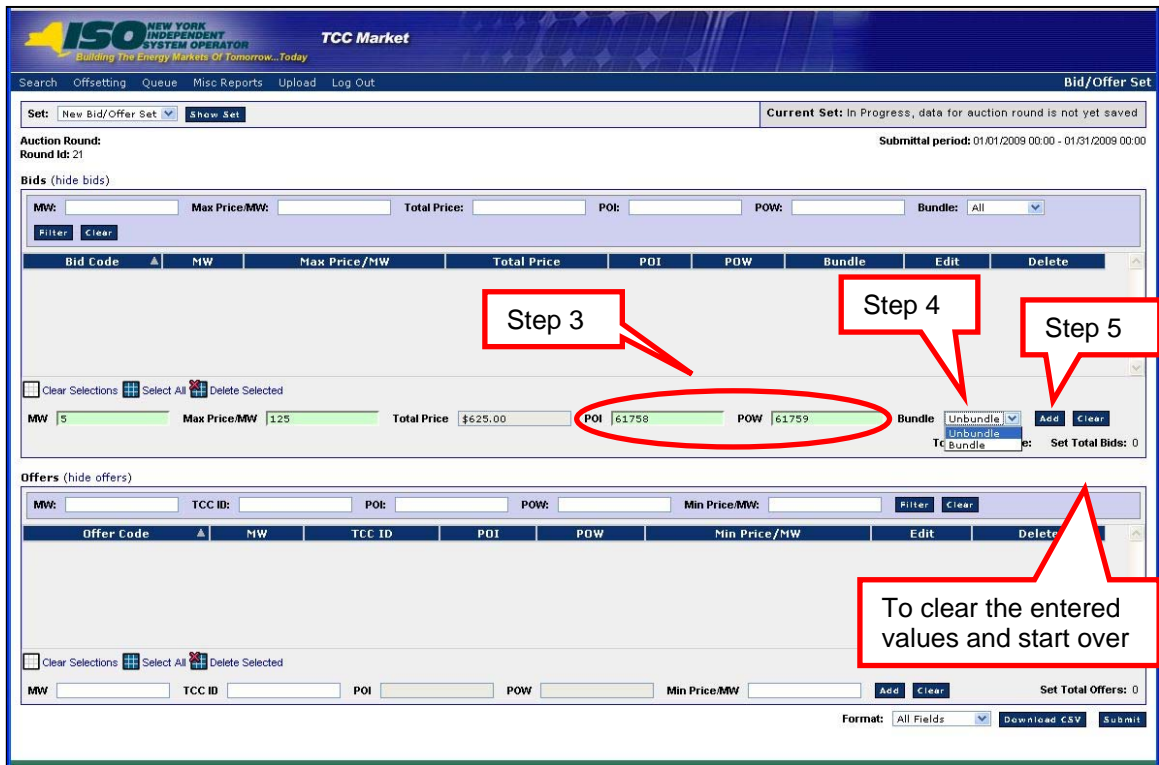
Figure 5-7   Entering a POI and POW values and Adding a New Bid

Note:	To clear the values before adding, click the **Clear** button.

5.   Click the **Add** button.

Note:	The system will clear the Enter Bid fields and show the new bid data in the list of bids that are part of the Bid/Offer Set.
Note:	If the data is invalid, a warning window will appear, prompting the user to re-enter valid information.

If the bid data is valid, the new bid is saved on the screen and added to the Bid table. The Total Bid Set Price and Set Total Bids values are updated (as shown in the following figure).
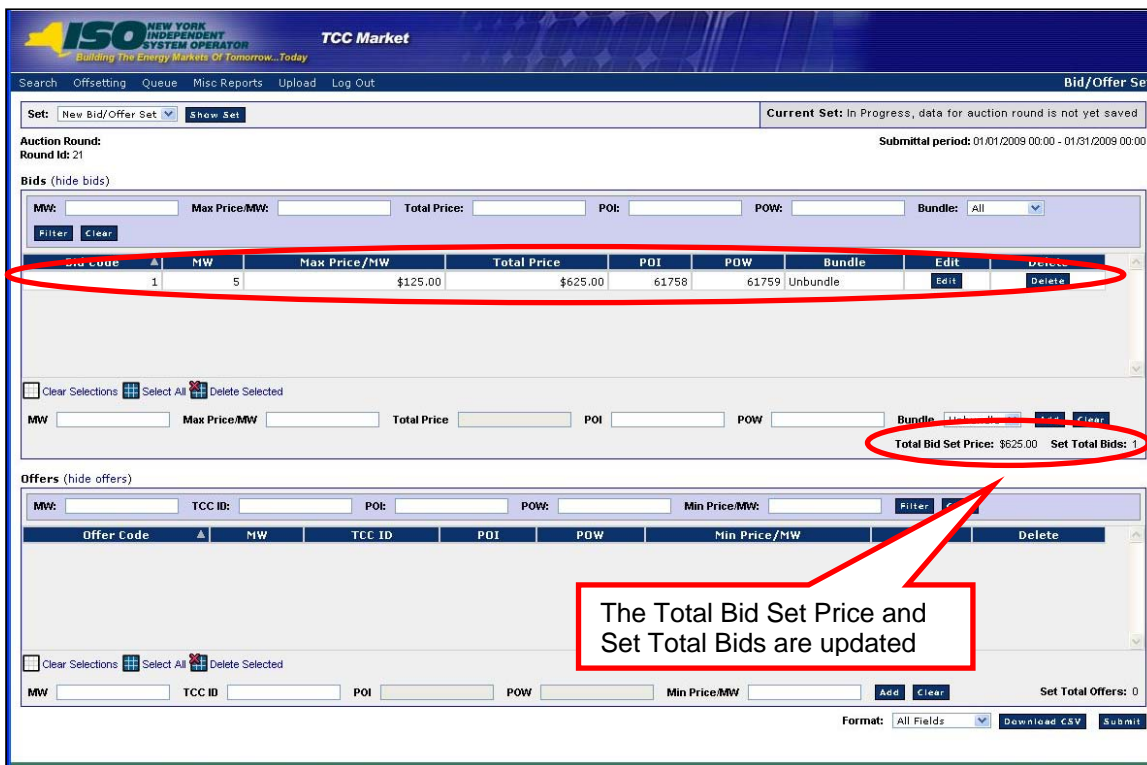
Figure 5-8   Bid/Offer Set Window with New Bid

6.   To enter additional bids, repeat steps 2 through 5.

> *Note:* In order for any changes to be saved in the system, the altered set must be submitted for final validation and credit check. Refer to Section 5.14 for submitting a Bids/Offer Set.

5.3   Editing a Bid

Read Access: None

Write Access: MPs and TOs with Bid Authorization

⌨ *To edit a bid*

1.   If not currently viewing the appropriate set, navigate to the Bid/Offer Set window and select the desired set from the **Set** drop-down, as described in Section 5.1.

2.   In the Bid section of the Bid/Offer Set window, click the **Edit** button for the row of information to be changed.
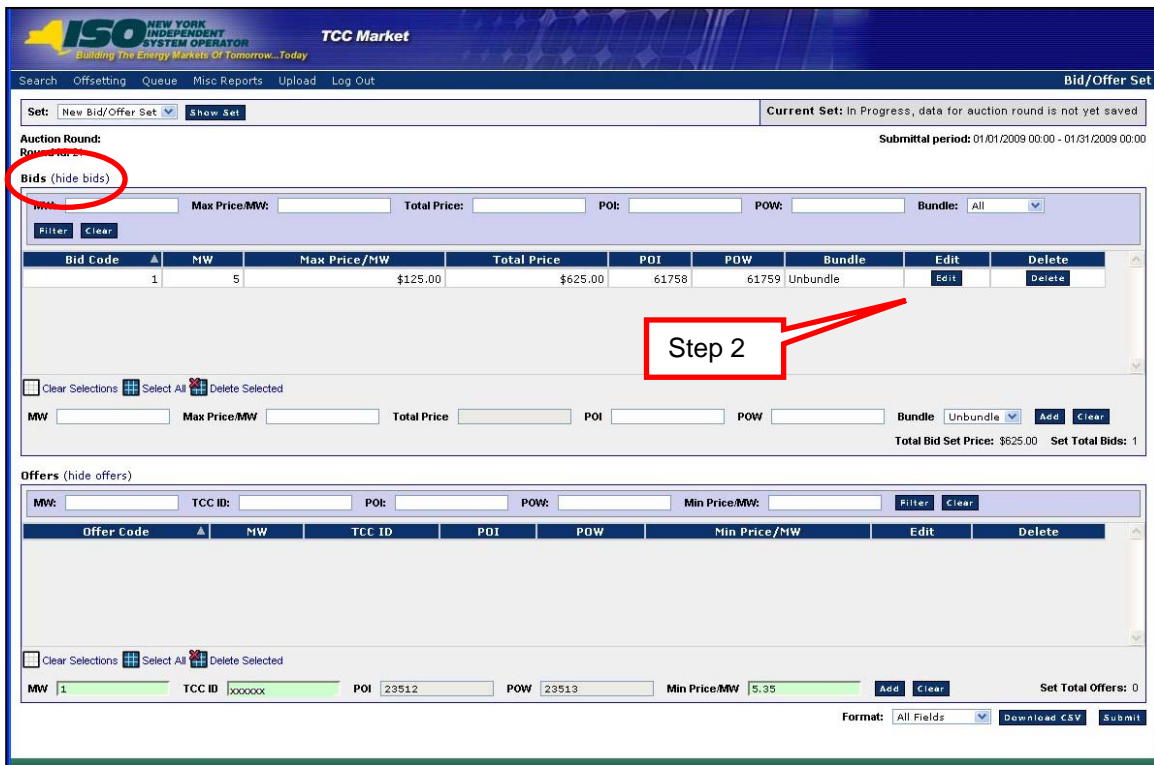
Figure 5-9   Bid/Offer Set Window with Edit Button

The fields refresh to allow editing (as shown in the following figure).

Figure 5-10   Editing and Saving a Bid

> *Note:* In the following step, entered fields with simple errors will become red. Entered fields without simple errors or typos will become green.

3.   Edit the desired values in the **MW**, **New Price/MW**, **POI**, **POW** and/or **Bundle fields**.

> *Note:* To cancel the changes before saving, click the **Cancel** button.

4.   Click the **Save** button.

> *Note:* If the values are invalid, a warning window appears, prompting the user to re-enter valid information.

If the values are valid, the edited bid is saved on the screen and the bid is no longer in edit mode (as shown in the following figure).
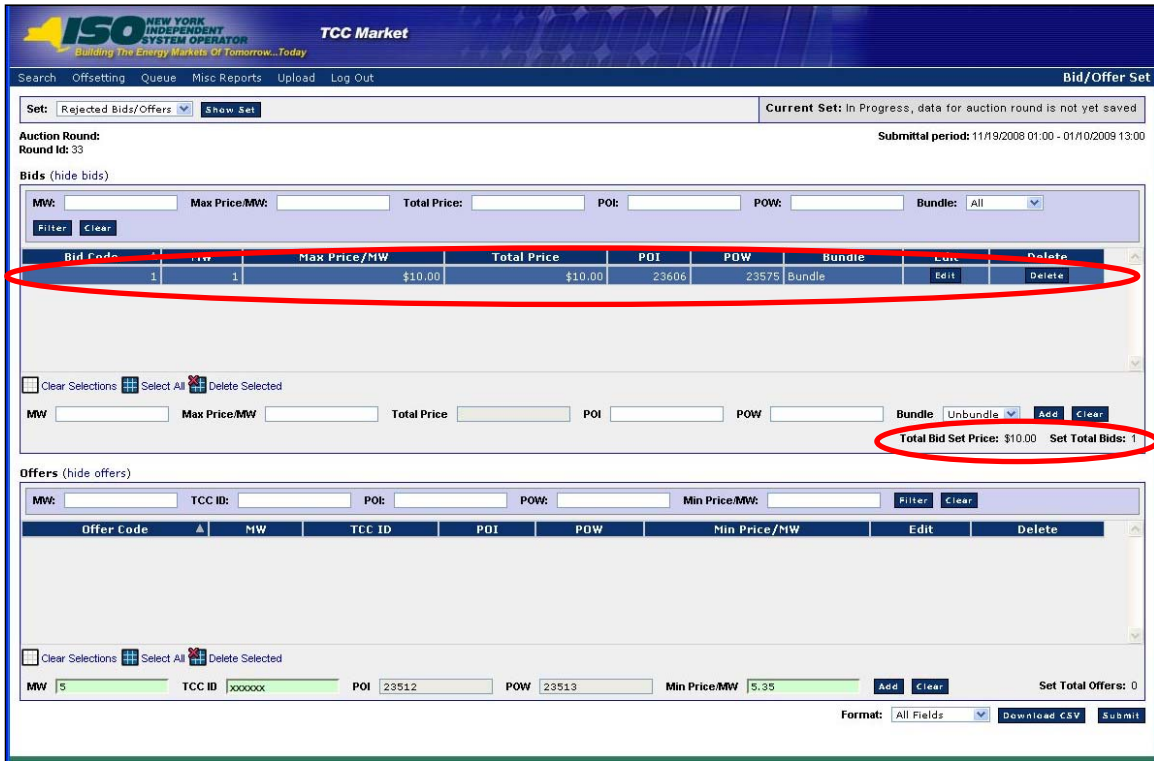
Figure 5-11   Edited Bid After Saving

> **Note:** In order for any changes to be saved in the system, the altered set must be submitted for final validation and credit check.

5.4   Deleting a Single Bid

Read Access: None

Write Access: MPs and TOs with Bid Authorization

🖳 *To delete a single bid*

1.   If not currently viewing the appropriate set, navigate to the Bid/Offer Set window and select the desired set from the **Set** drop-down, as described in Section 5.1.
2.   In the Bid section of the Bid/Offer Set window, click the **Delete** button for the bid you wish to delete.
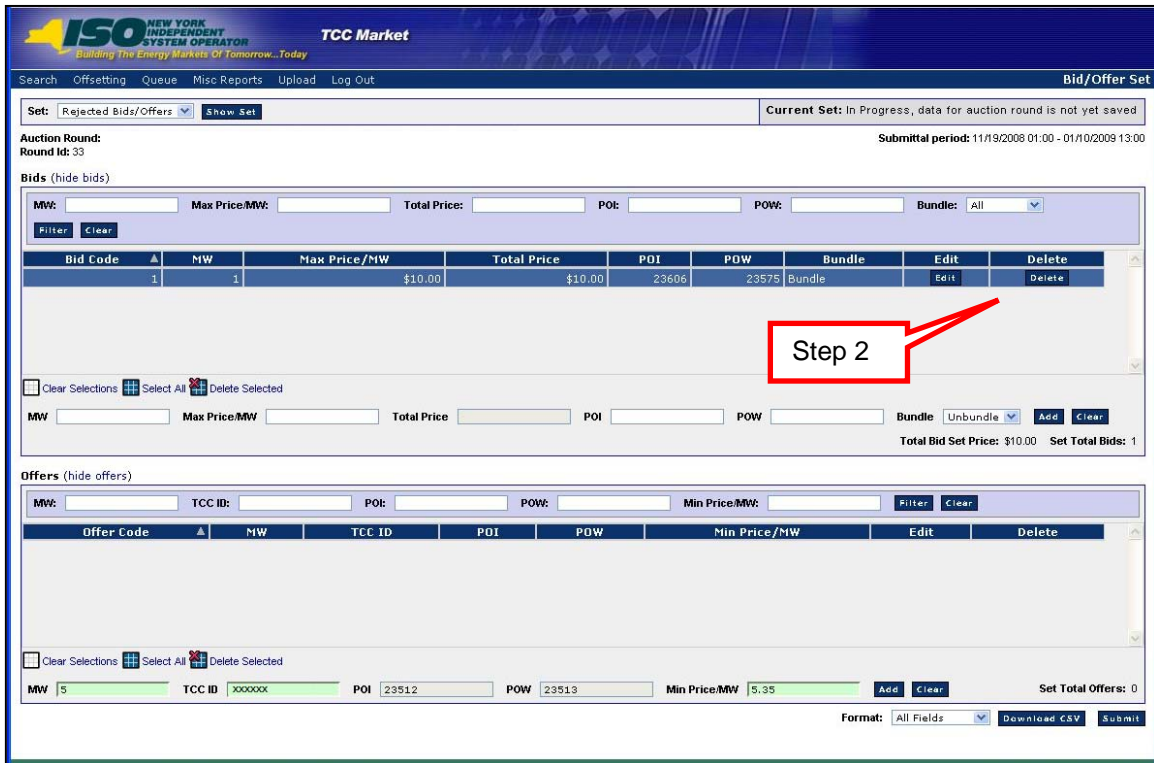
Figure 5-12   Bid/Offer Set Window with Bid Delete Button

A dialog window appears (as shown in the following figure).

Figure 5-13   Delete Bid Dialog Message

3.   Click the **OK** button.

The bid is removed from the table.

A confirmation window appears (as shown in the following figure).

Figure 5-14   Delete Bid Confirmation Message

4.   Click the **OK** button.

> **Note:** In order for any changes to be saved in the system, the altered set must be submitted for final validation and credit check.

5.5 Deleting Multiple Bids

Read Access: None

Write Access: MPs and TOs with Bid Authorization

⌨ ***To delete multiple bids***

1. If not currently viewing the appropriate set, navigate to the Bid/Offer Set window and select the desired set from the **Set** drop-down, as described in Section 5.1.
2. In the Bid section of the Bid/Offer Set window, select the individual bids to delete:
    - Click once on each bid to select, or,
    - Click the **Select All** button to select all bids, or
    - Click the **Clear Selections** button to deselect all bids, or
    - Click on an individual bid to deselect.
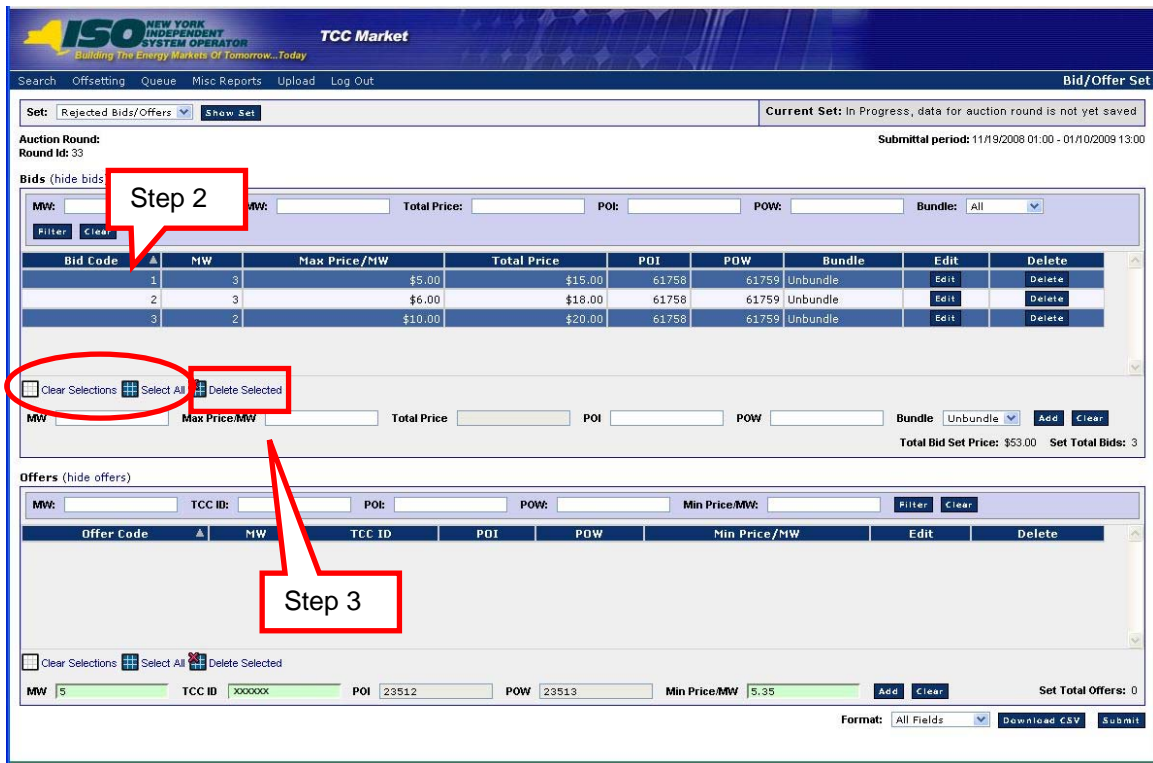
Figure 5-15   Selecting Multiple Bids for Deletion

3. Click the **Delete Selected** button.
    A dialog window appears (as shown in the following figure).

Step 4

Are you sure you want to delete the selected bids?

OK   Cancel

Figure 5-16   Delete Bids Dialog Window

4.   Click the **OK** button.

The bids are removed from the table.

A confirmation window appears (as shown in the following figure).

Step 5

Deleted 2 bid(s)

OK

Figure 5-17   Delete Multiple Bids Confirmation

5.   Click the **OK** button.

> *Note:* In order for any changes to be saved in the system, the altered set must be submitted for final validation and credit check.

5.6   Entering an Offer

Read Access: None

Write Access: MPs and TOs with Offer Authorization

⌨   *To enter an offer*

1.   If not currently viewing the appropriate set, navigate to the Bid/Offer Set window and select the desired set from the **Set** drop-down, as described in Section 5.1.

> *Note:* In the following step, entered fields with simple errors will become red. Entered fields without simple errors or typos will become green.

2.   In the Offer section of the Bid/Offer Set window, enter the **MW**, **TCC ID**, and **Min Price/MW** values for the offer into the corresponding fields.

> *Note:* The TCC ID entered must be owned by your organization and must be active for the duration of the auction in which you are entering the offer.

Figure 5-18   Entering a New Offer and Adding

> **Note:** To clear the values before adding, click the **Clear** button.

3.   Click the **Add** button.

> **Note:** If the data is invalid, a warning window will appear, prompting the user to re-enter valid information.

If the values entered are valid, the new offer is saved on the screen and added to the Offer table (as shown in the following figure).
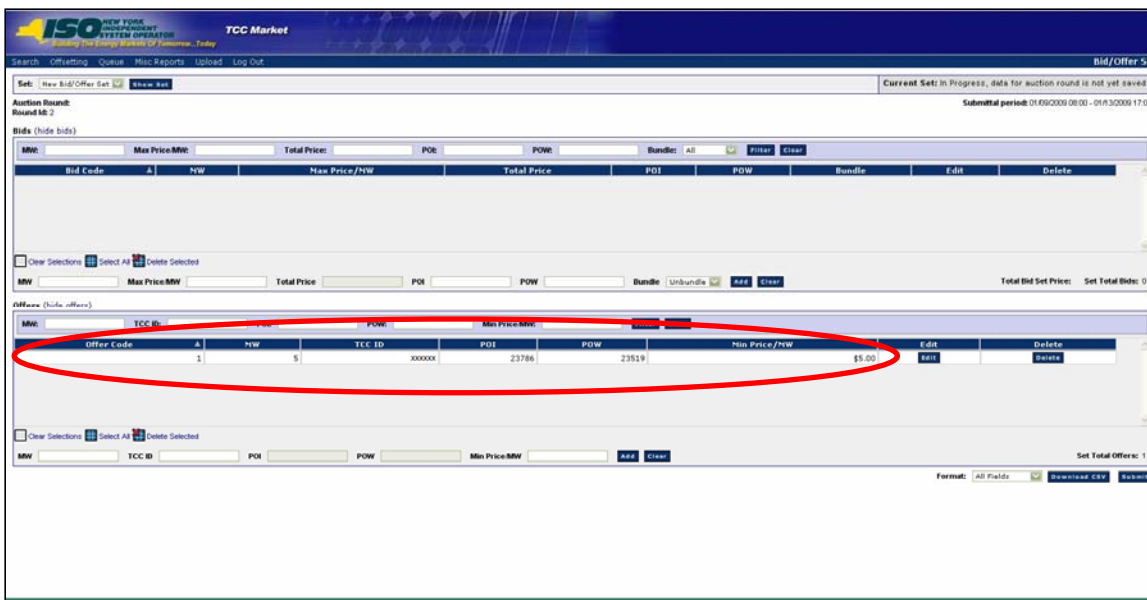
Figure 5-19   Bid/Offer Set Window with New Offer

> **Note:** In order for any changes to be saved in the system, the altered set must be submitted for final validation and credit check.

4.   To enter additional offers, repeat steps 2 and 3.

5.7   Editing an Offer

Read Access: None

Write Access: MPs and TOs with Offer Authorization

⌨ *To edit an offer*

1.   If not currently viewing the appropriate set, navigate to the Bid/Offer Set window and select the desired set from the **Set** drop-down, as described in Section 5.1.

2.   In the Bid section of the Bid/Offer Set window, click the **Edit** button for the offer you wish to edit.
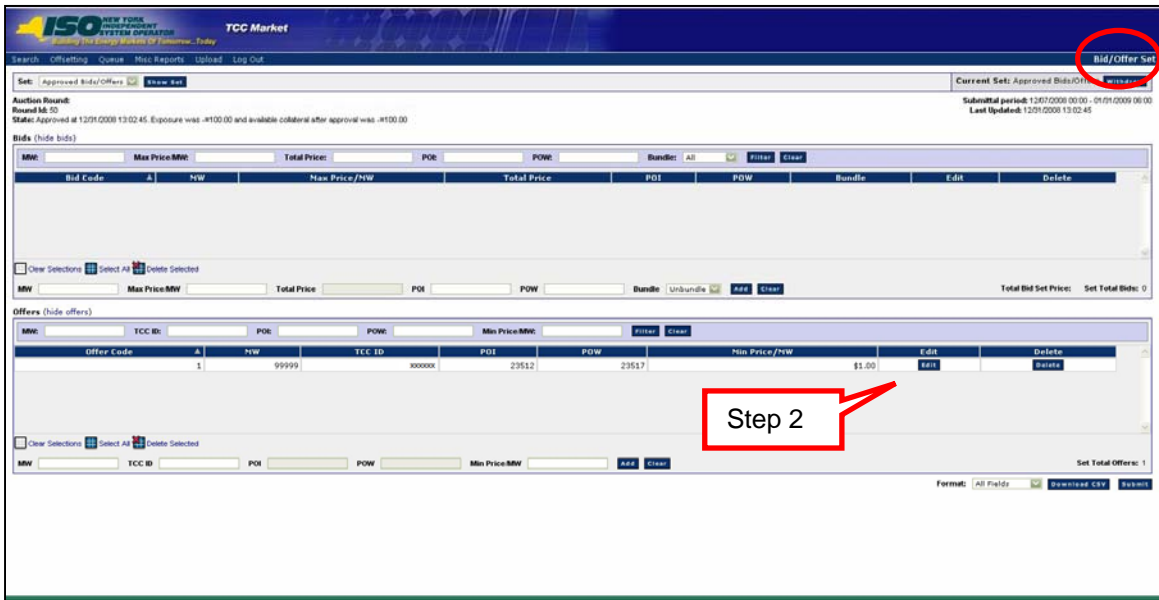
Figure 5-20   Editing an Offer

The fields refresh to allow editing (as shown in the following figure).
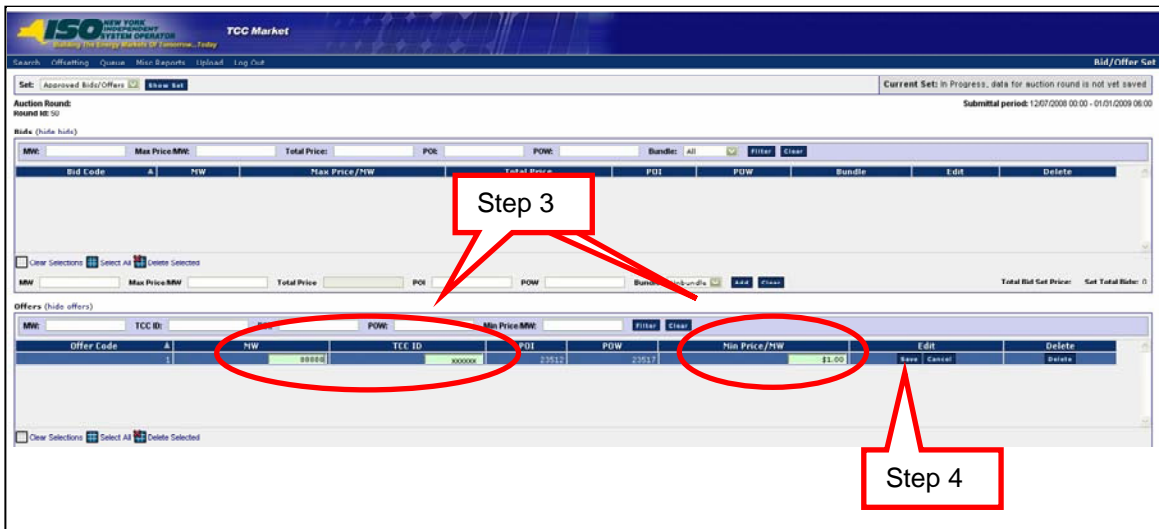
Figure 5-21   Editing and Saving an Offer

> **Note:** In the following step, entered fields with simple errors will become red. Entered fields without simple errors or typos will become green.

3.   Edit the desired values in the **MW** and **Min Price/MW** fields.

> **Note:** To cancel the changes before saving, click the **Cancel** button.

4.   Click the **Save** button.

> **Note:** If the values are invalid, a warning window appears, prompting the user to re-enter valid information.

If the entries are valid, the offer is saved on the screen and the offer is no longer in edit mode (as shown in the following figure).

Figure 5-22   Edited Offer after Saving

> **Note:** In order for any changes to be saved in the system, the altered set must be submitted for final validation and credit check.

5.8   Deleting a Single Offer

Read Access: None

Write Access: MPs and TOs with Offer Authorization

⌨ *To delete a single offer*

1. If not currently viewing the appropriate set, navigate to the Bid/Offer Set window and select the desired set from the **Set** drop-down, as described in Section 5.1.
2. In the Offer section of the Bid/Offer Set window, click the **Delete** button for the offer you wish to delete.
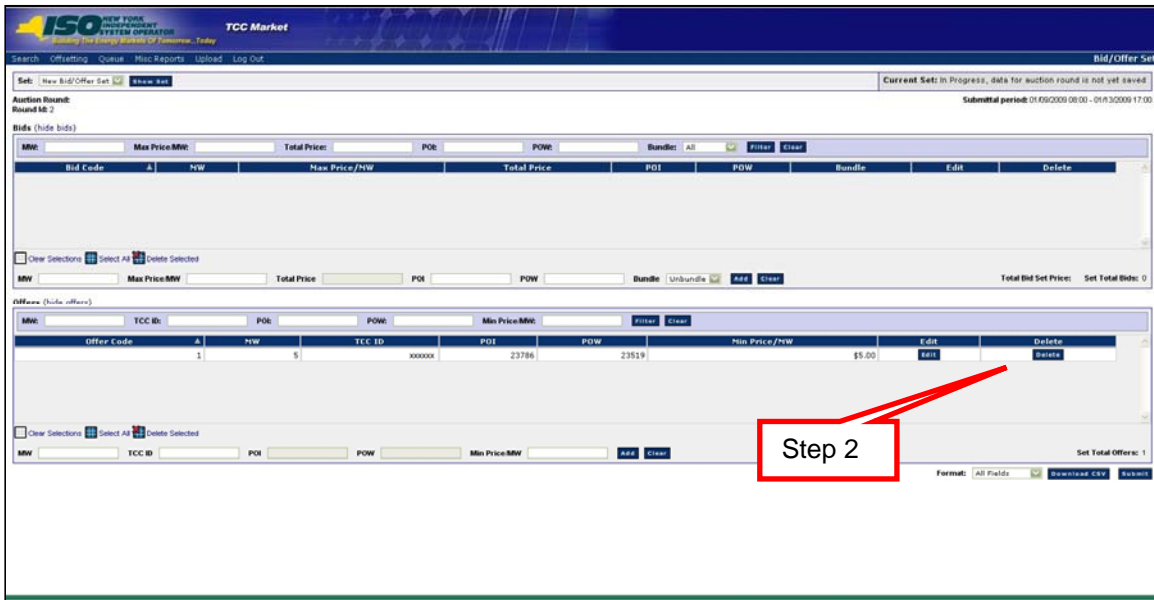
Figure 5-23   Bid/Offer Set Window with Offer Delete Button

The dialog window appears (as shown in the following figure).

Figure 5-24   Delete Offer Dialog Message

3. Click the **OK** button.

The offer is removed from the table.

A confirmation window appears (as shown in the following figure).

Figure 5-25   Delete Offer Confirmation

4. Click the **OK** button.

> **Note:** In order for any changes to be saved in the system, the altered set must be submitted for final validation and credit check.

5.9   Deleting Multiple Offers

Read Access: None

Write Access: MPs and TOs with Offer Authorization

⌨ *To delete multiple offers*

1.   If not currently viewing the appropriate set, navigate to the Bid/Offer Set window and select the desired set from the **Set** drop-down, as described in Section 5.1.
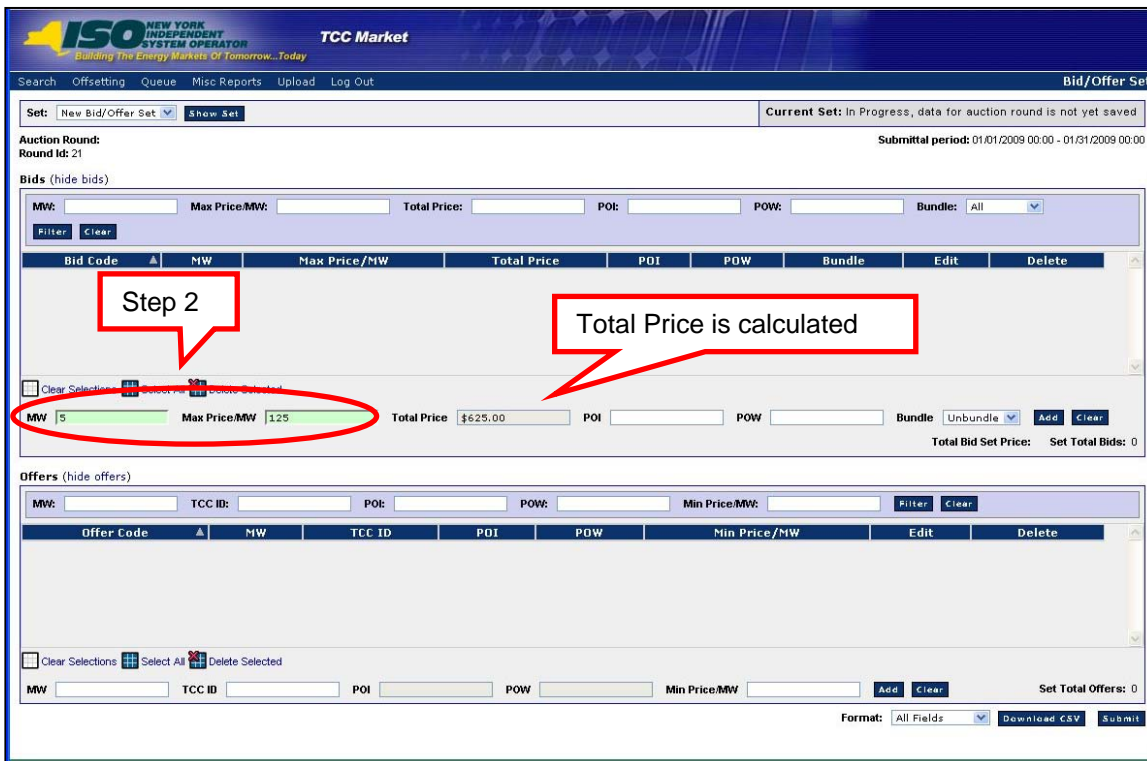
2.   In the Offer section of the Bid/Offer Set window, select the individual offers to delete.

   - Click once on each offer to select, or
   - Click the **Select All** button to select all offers, or,
   - Click the **Clear Selections** button to deselect all offers, or
   - Click on an individual offer to deselect.
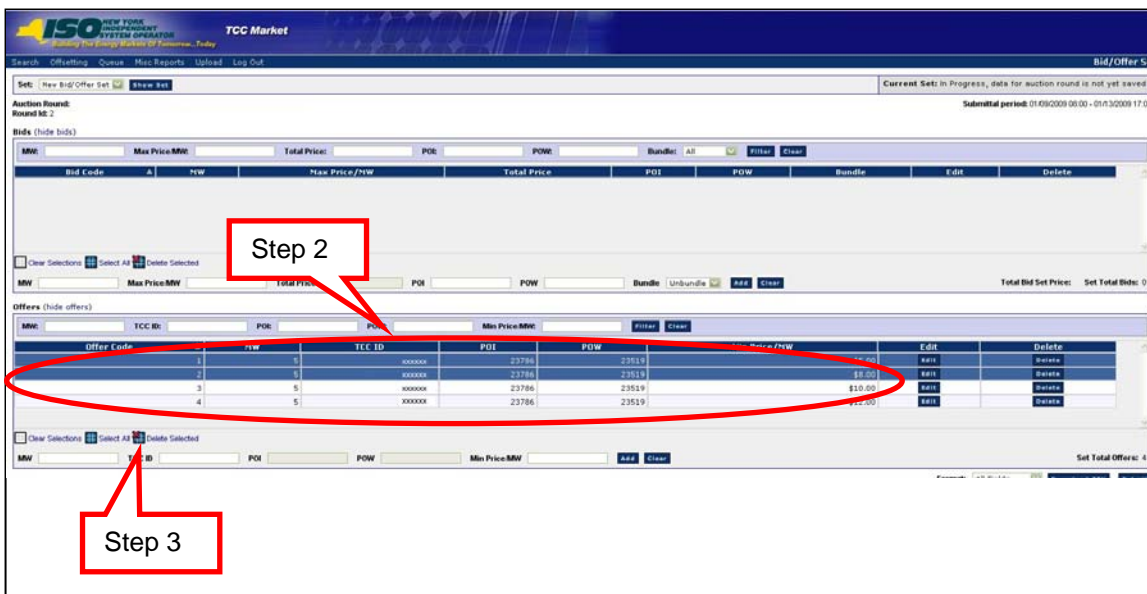
Figure 5-26   Selecting Multiple Offers for Deletion

3.   Click the **Delete Selected** button.
     A dialog window appears (as shown in the following figure).

Figure 5-27   Delete Offers Dialog Window

4. Click the **OK** button.

The offers are removed from the table.

A confirmation window appears (as shown in the following figure).

Figure 5-28   Delete Multiple Offers Confirmation

5. Click the **OK** button.

> **Note:** In order for any changes to be saved in the system, the altered set must be submitted for final validation and credit check.

5.10   Entering a Global Offer

A TCC Primary Holder may offer TCCs for sale in the Stage One rounds of a Spring or Autumn Initial TCC Auction by use of a Global offer. The capacity represented by the Global offer is made available for sale in each of the Stage One rounds of the particular class of TCCs (one year or six months) in the same proportion as the available One Year or Six Months capacity as distributed across the Stage One rounds for the class. Within each class of TCCs, Global offers are submitted during the first of the Stage One rounds and then propagated by the automated system through subsequent Stage One rounds. Propagated Global offers will be viewable throughout the rounds, but may not be altered.

Read Access: None

Write Access: MPs and TOs with Offer Authorization

▤   ***To enter a Global offer***

1. If not currently viewing the appropriate set, navigate to the Bid/Offer Set window and select the desired set from the **Set** drop-down, as described in Section 5.1.
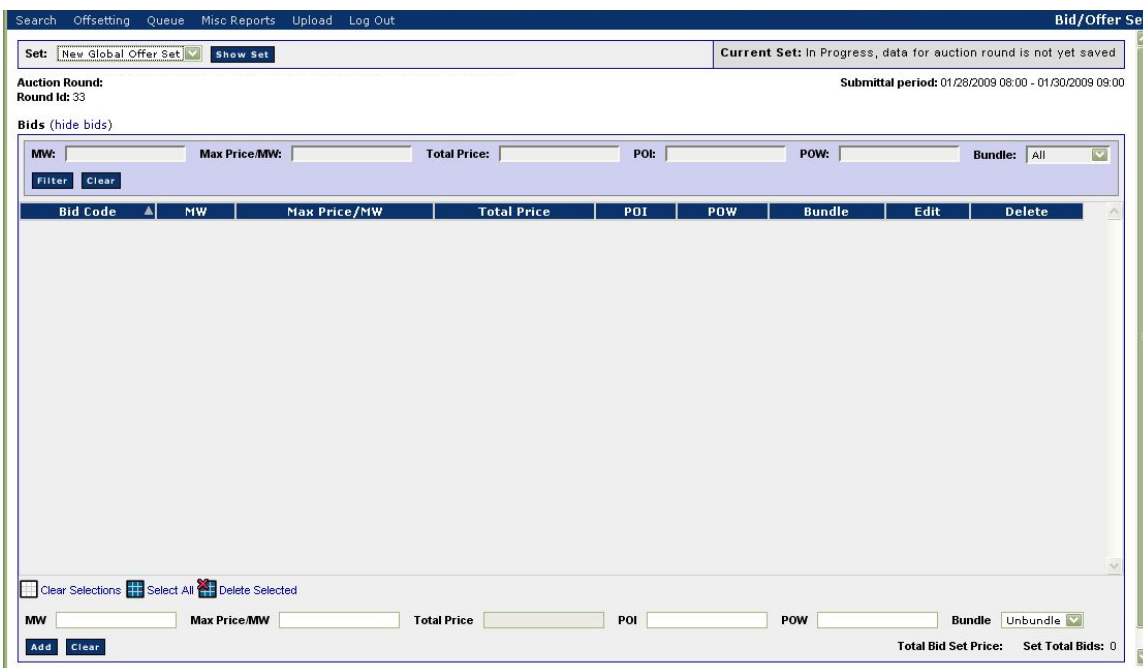
Figure 5-29   Show Set - New Global Offer Set

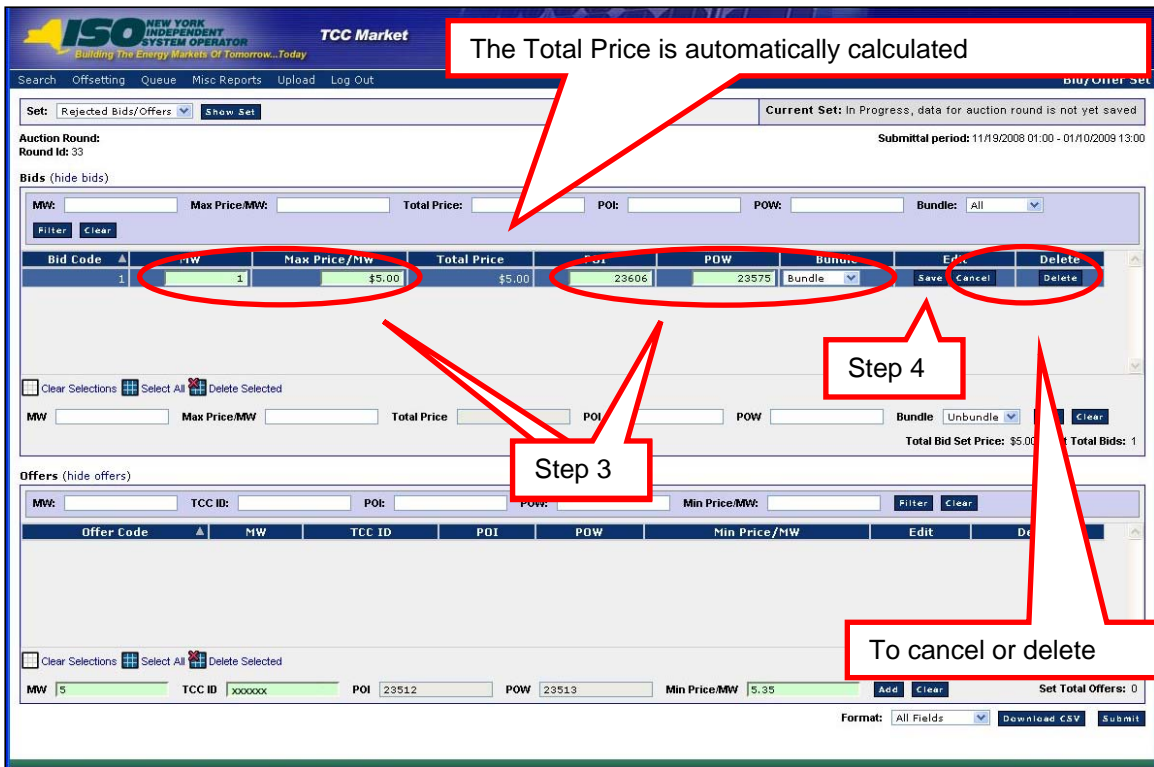
Note: In the following steps, entered fields with simple errors will become red. Entered fields without simple errors or typos will become green.

---

2.   In the Global Offer section of the Bid/Offer Set window, enter the **MW**, **TCC ID**, and **Min Price/MW** values for the Global offer into the corresponding fields.
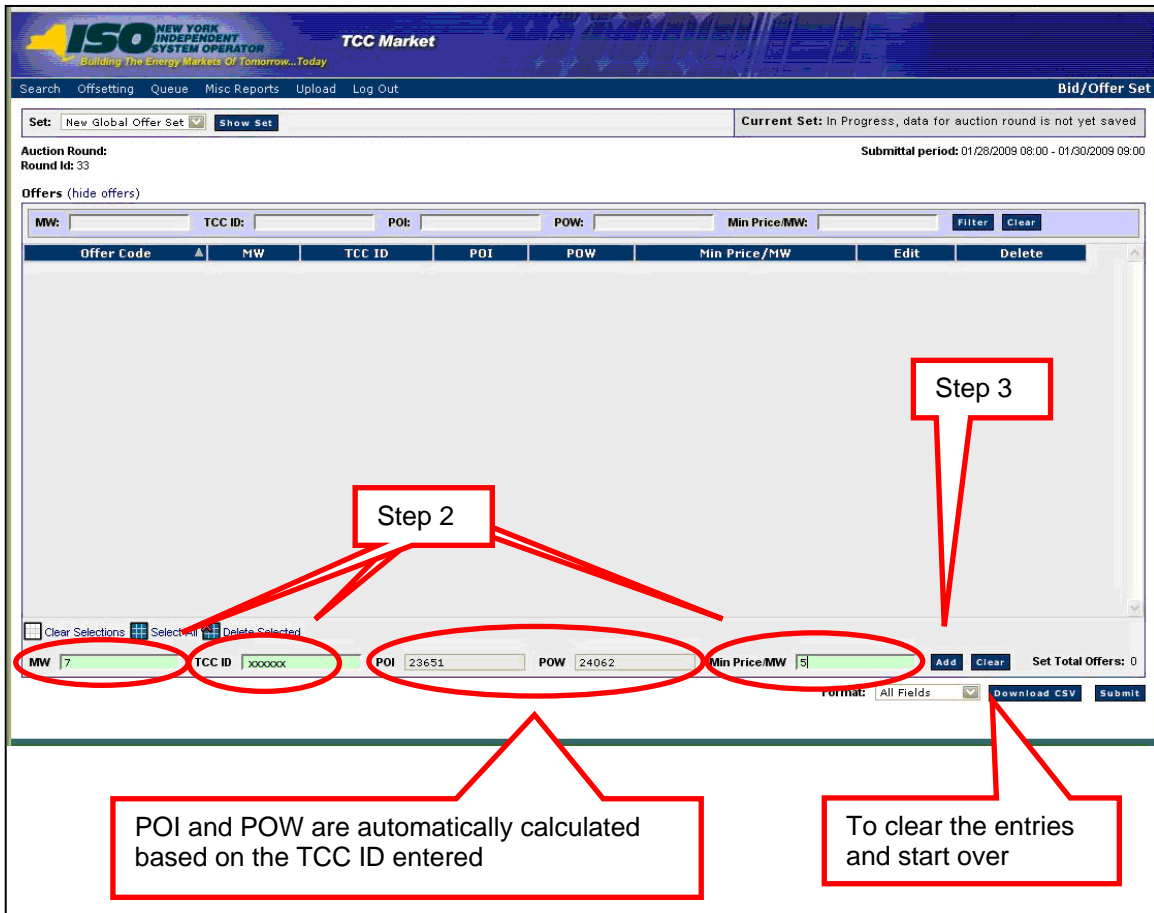
Figure 5-30   Entering a New Global Offer and Adding

> **Note:** To clear the values before adding, click the **Clear** button.

3.   Click the **Add** button.

> **Note:** If the data is invalid, a warning window will appear, prompting the user to re-enter valid information.

If the values entered are valid, the new Global offer is saved on the screen and added to the Offer table (as shown in the following figure).
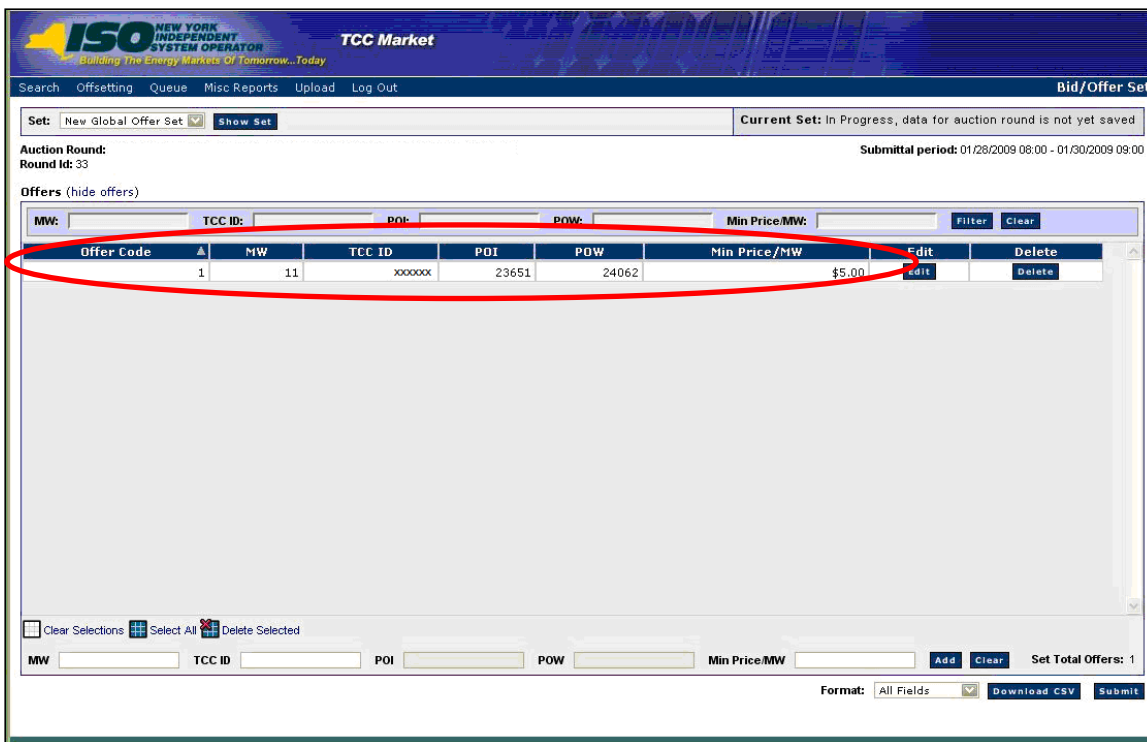
Figure 5-31   Global Offer Set Window with New Global Offer

> **Note:** In order for any changes to be saved in the system, the altered set must be submitted for final validation and credit check.

4.   To enter additional Global offers, repeat steps 2 and 3.

5.11   Editing a Global Offer

Read Access: None

Write Access: MPs and TOs with Offer Authorization

💻   **To edit a Global offer**

1.   If not currently viewing the appropriate set, navigate to the Bid/Offer Set window and select the desired set from the **Set** drop-down, as described in Section 5.1.

2.   In the Global Offer section of the Bid/Offer Set window, click the **Edit** button for the Global offer you wish to edit.
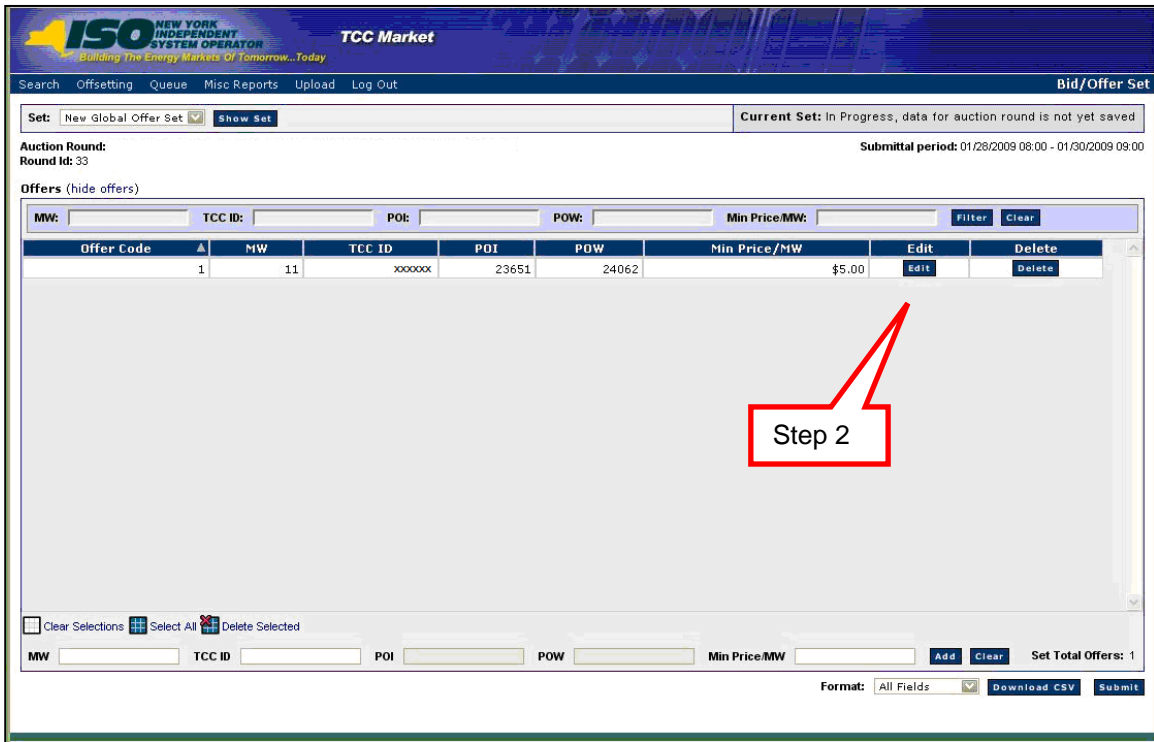
Figure 5-32   Editing a Global Offer

The fields refresh to allow editing (as shown in the following figure).
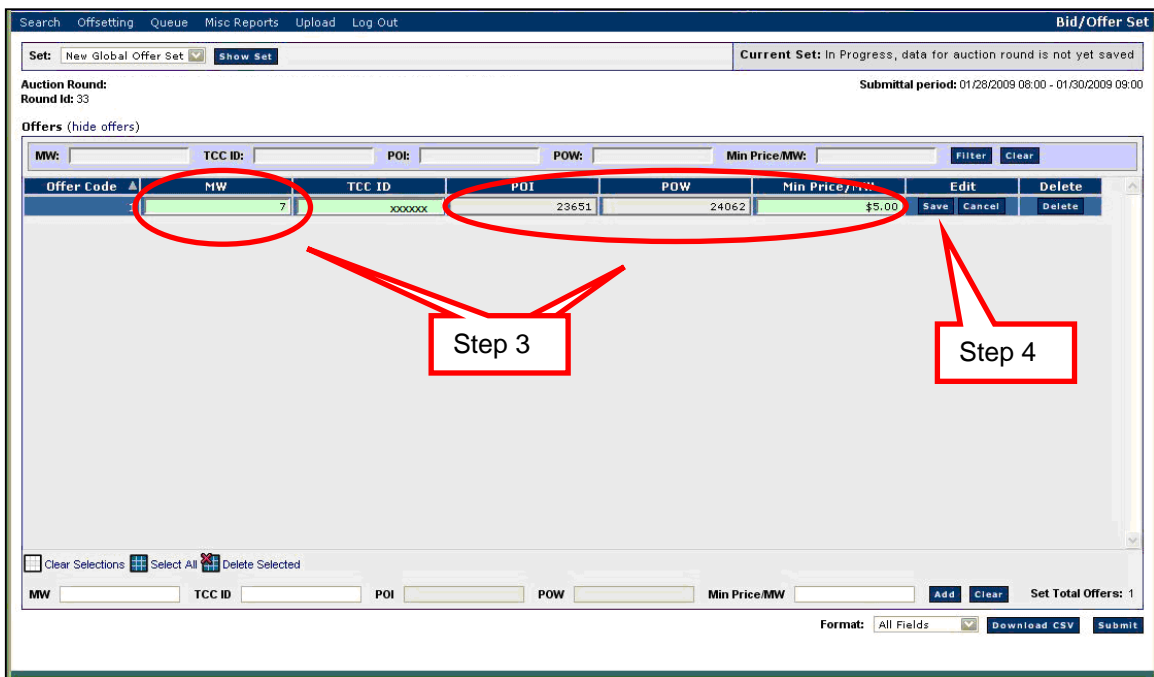
Figure 5-33   Editing and Saving a Global Offer

> **Note:** In the following step, entered fields with simple errors will become red. Entered fields without simple errors or typos will become green.

3. Edit the desired values in the **MW**, **POI**, **POW**, and **Min Price/MW** fields.

> **Note:** To cancel the changes before saving, click the **Cancel** button.

4. Click the **Save** button.

> **Note:** If the values are invalid, a warning window appears, prompting the user to re-enter valid information.

If the entries are valid, the Global offer is saved on the screen and the Global offer is no longer in edit mode (as shown in the following figure).
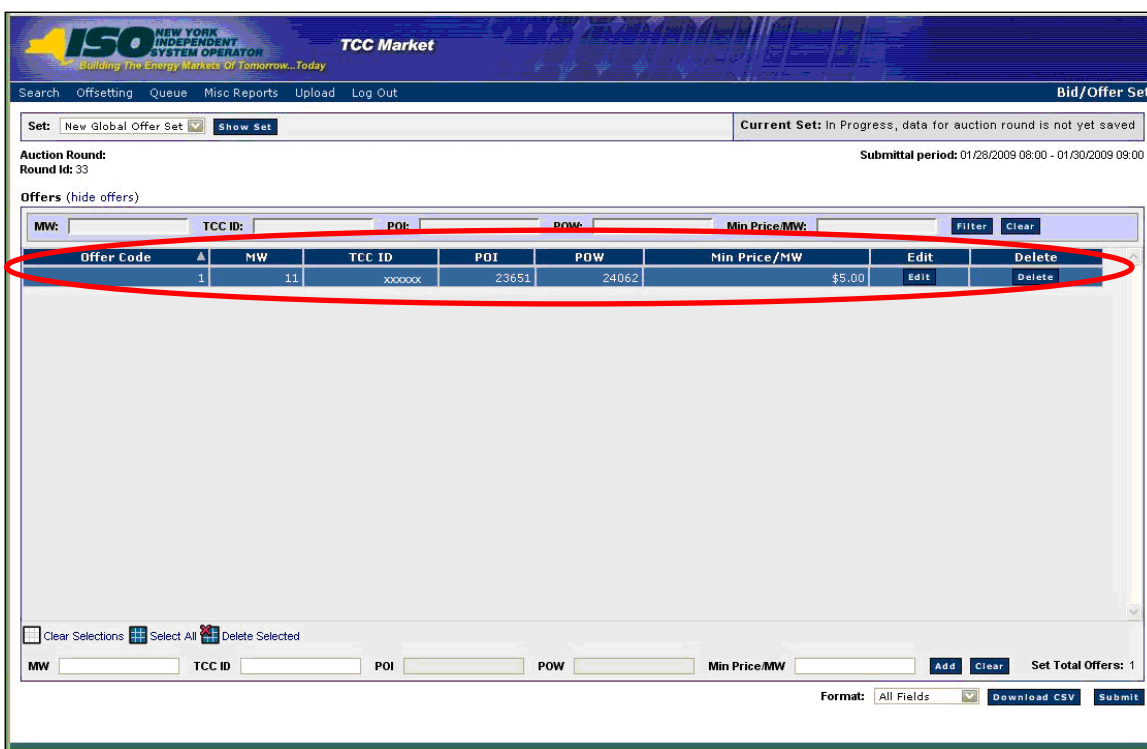
Figure 5-34   Edited Global Offer after Saving

> **Note:** In order for any changes to be saved in the system, the altered set must be submitted for final validation and credit check.

5.12   Deleting a Single Global Offer

Read Access: None

Write Access: MPs and TOs with Offer Authorization

⌨ **To delete a single Global offer**

1. If not currently viewing the appropriate set, navigate to the Bid/Offer Set window and select the desired set from the **Set** drop-down, as described in Section 5.1.
2. In the Global Offer section in the Bid/Offer Set window, click the **Delete** button in the offer section for the Global offer you wish to delete.
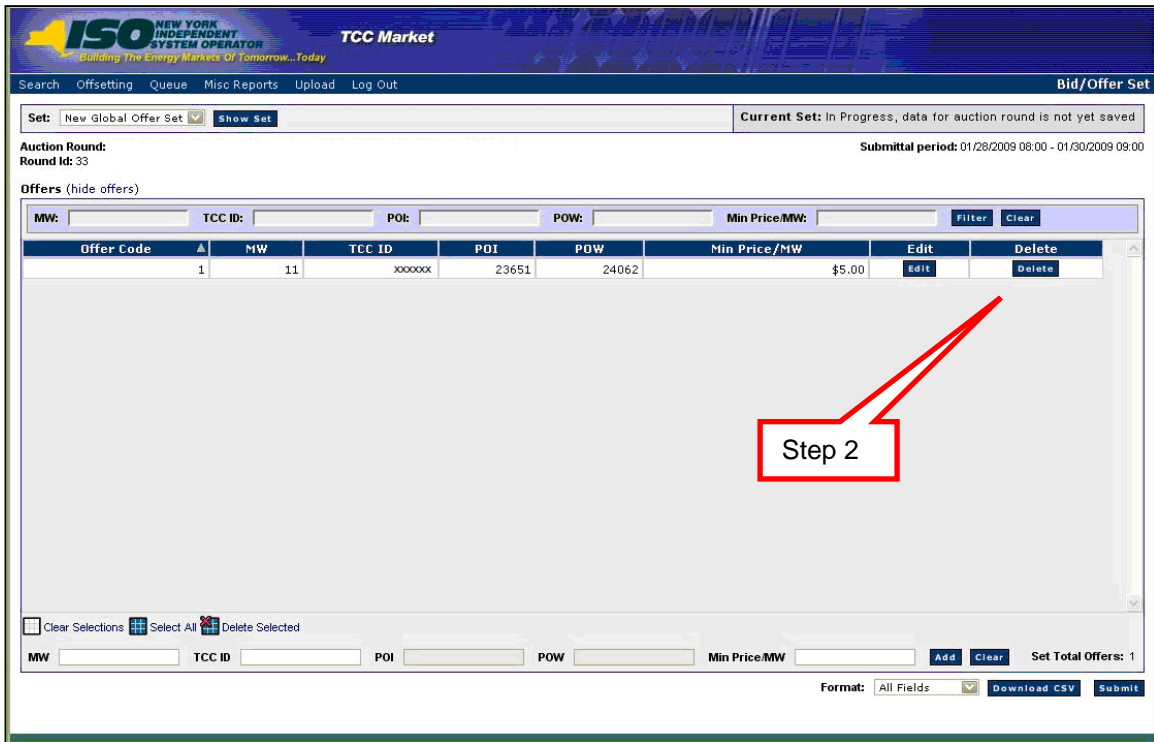
Figure 5-35   Global Offer Set Window with Global Offer Delete Button

The dialog window appears (as shown in the following figure).

Figure 5-36   Delete Global Offer Dialog Message

3. Click the **OK** button.
    A confirmation window appears (as shown in the following figure).

Figure 5-37   Delete Global Offer Confirmation

4. Click the **OK** button.

> *Note:* The Global offer is removed from the table. In order for any changes to be saved in the system, the altered set must be submitted for final validation and credit check.

5.13   Deleting Multiple Global Offers

Read Access: None

Write Access: MPs and TOs with Offer Authorization

⌨ *To delete multiple Global offers*

1. If not currently viewing the appropriate set, navigate to the Bid/Offer Set window and select the desired set from the **Set** drop-down, as described in Section 5.1.

2. In the Global Offer Set window, select the individual Global offers to delete.

- Click once on each Global offer to select, or
- Click the **Select All** button to select all Global offers, or
- Click the **Clear Selections** button to deselect all Global offers, or
- Click on an individual Global offer to deselect.
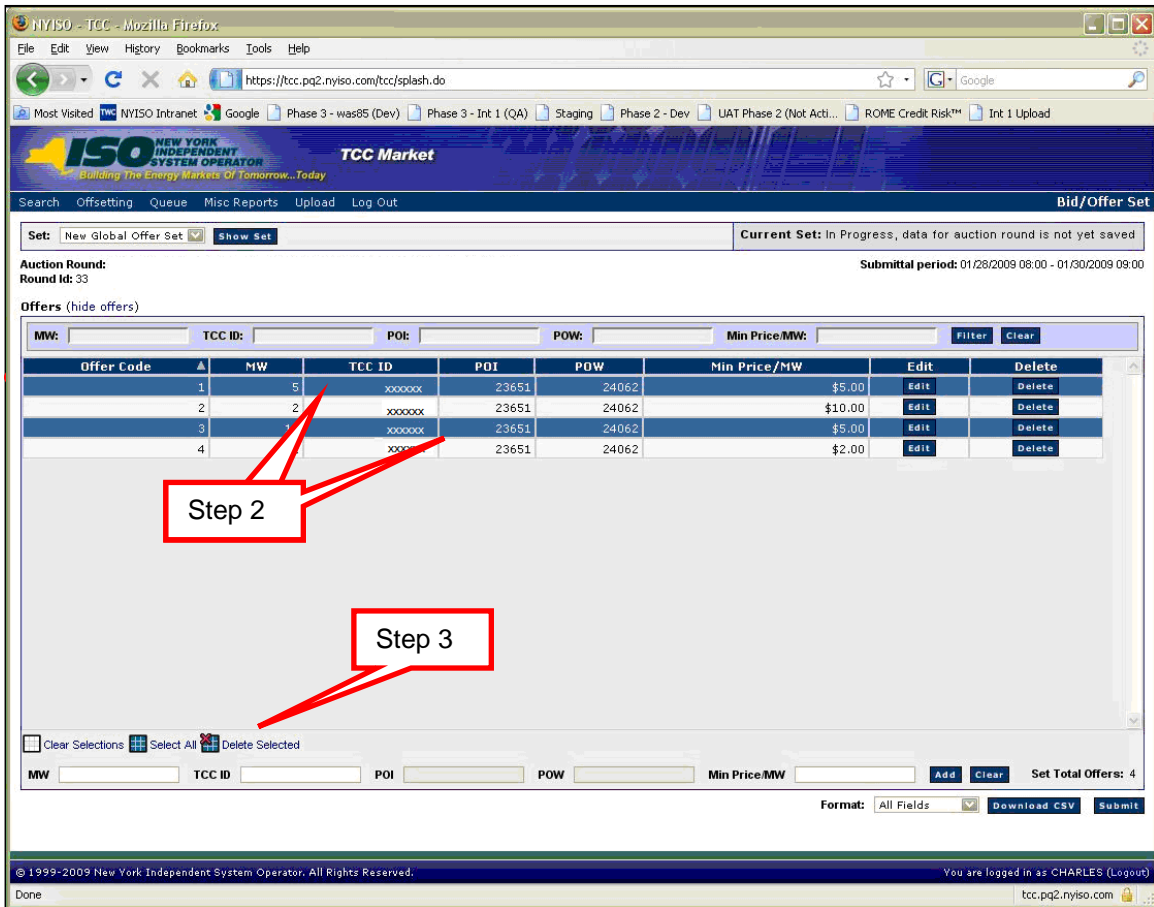
Figure 5-38   Selecting Multiple Global Offers for Deletion

3.   Click the **Delete Selected** button.

A dialog window appears (as shown in the following figure).

Figure 5-39   Delete Global Offers Dialog Window

4.   Click the **OK** button.

The Global offers are removed from the table.

A confirmation window appears (as shown in the following figure).

Figure 5-40   Delete Multiple Global Offers Confirmation

5.   Click the **OK** button.
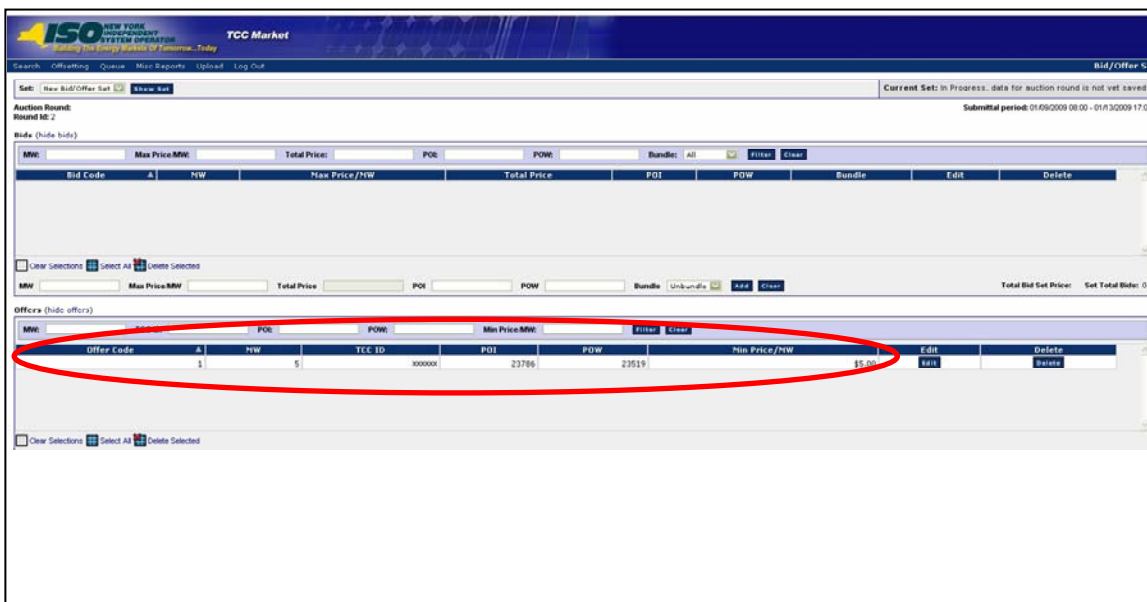
> *Note:* In order for any changes to be saved in the system, the altered set must be submitted for final validation and credit check.

5.14   Submitting a Bid/Offer or Global Offer Set

Once bids/offers have been entered or an approved or rejected set has been edited, they may be submitted for auction, when the submittal period is open.

Read Access: None

Write Access: MPs and TOs with Bid and/or Offer Authorization

⌨   *To submit a Bid/Offer Set*

1.   If not currently viewing the appropriate set, navigate to the Bid/Offer Set window and select the desired set from the **Set** drop-down, as described in Section 5.1.
2.   In the Bid/Offer Set window, click the **Submit** button.
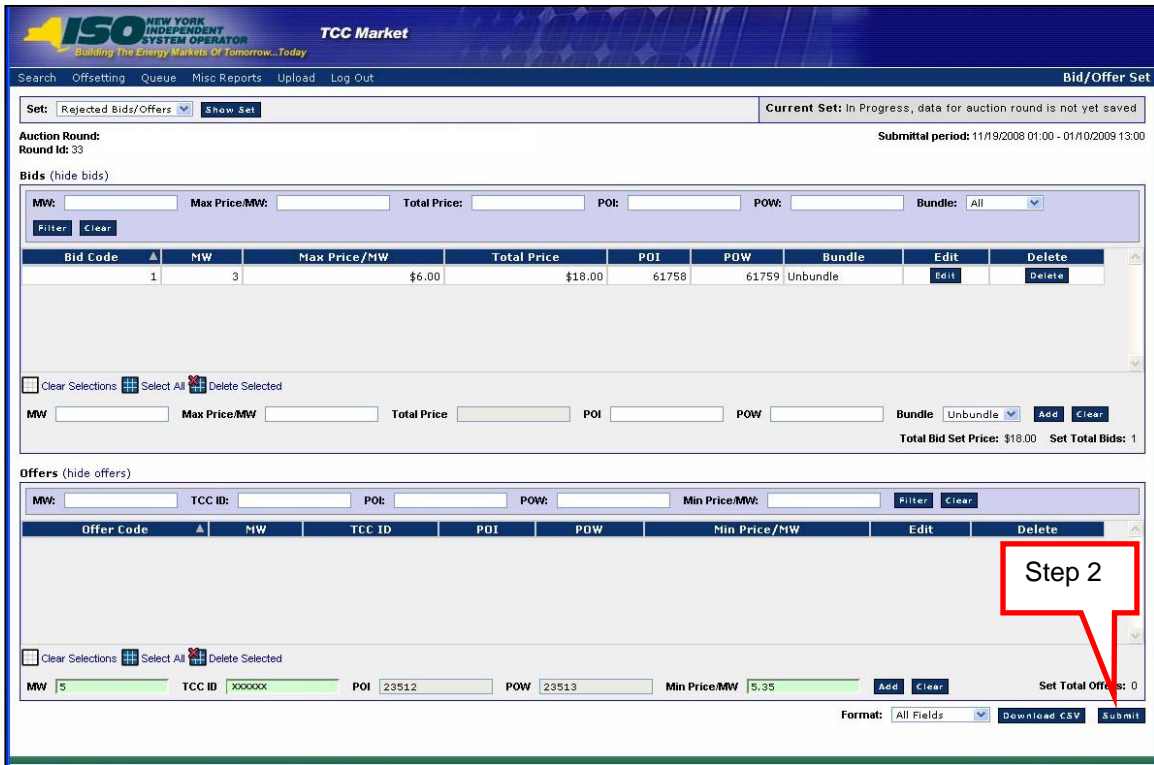
Figure 5-41   Submit Bids in the Bid/Offer Set Window

A confirmation window appears (as shown in the following figure).

Figure 5-42   Confirm to Submit Window

3.   Click the **OK** button.

A notification window of *Approval* or *Rejection* appears, showing *Exposure* and *Available Collateral*, (as shown in the following figure).
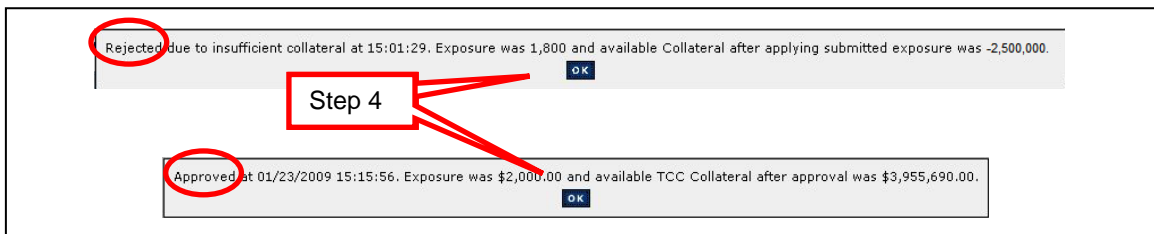
Figure 5-43   Rejected or Approved Bid/Offer Set Submittal

4. Click the **OK** button.

> *Note:* If approved, the set moves into the Approved Bids/Offers group. This is reflected in the **Set** drop-down menu, in the upper left part of the Bid/Offer Set window (as shown in the following figure).
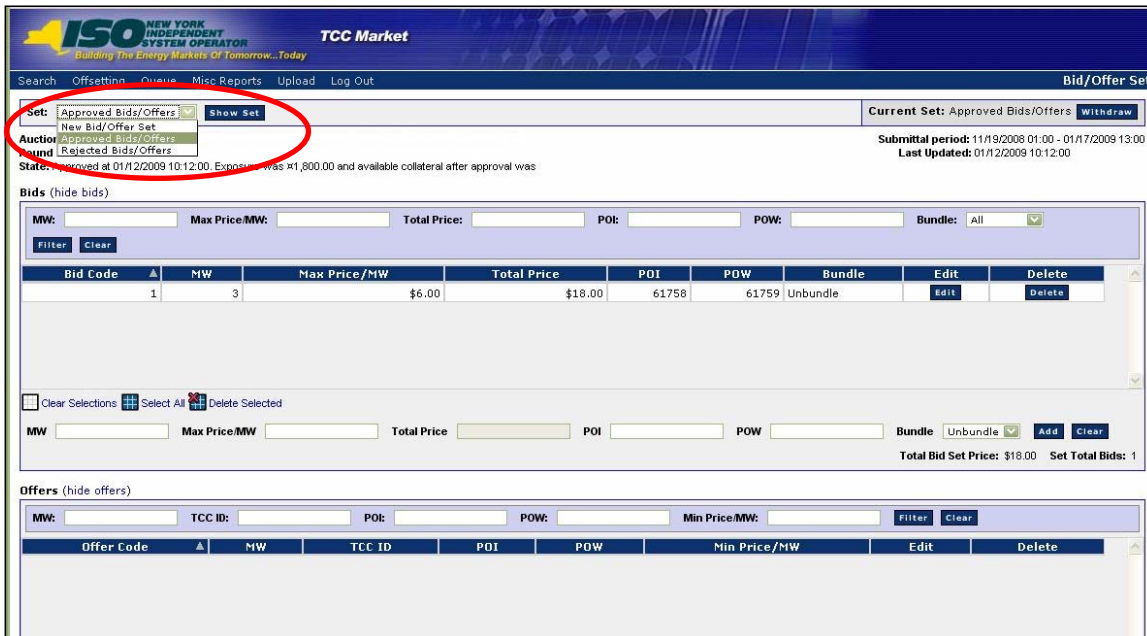
Figure 5-44   Approved Bids/Offers Set

> *Note:* If the Bid/Offer Set is not approved, the set moves into the Rejected Bids/Offers group (as shown in the following figure).
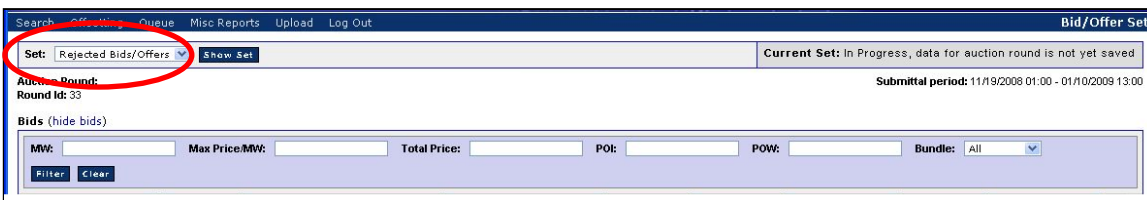
Figure 5-45   Rejected Bids/Offers Set

5.15   Withdrawing a Bid/Offer Set

Withdrawing a set allows the user to remove an approved Bid/Offer Set from the auction round prior to the close of the submittal period.

Read Access: None

Write Access: MPs and TOs with Bid and/or Offer Authorization

📖 **To withdraw a Bid/Offer Set**

1. In the Bid/Offer Set window, choose *Approved Bids/Offers* from the **Set** drop-down and click the **Show Set** button.
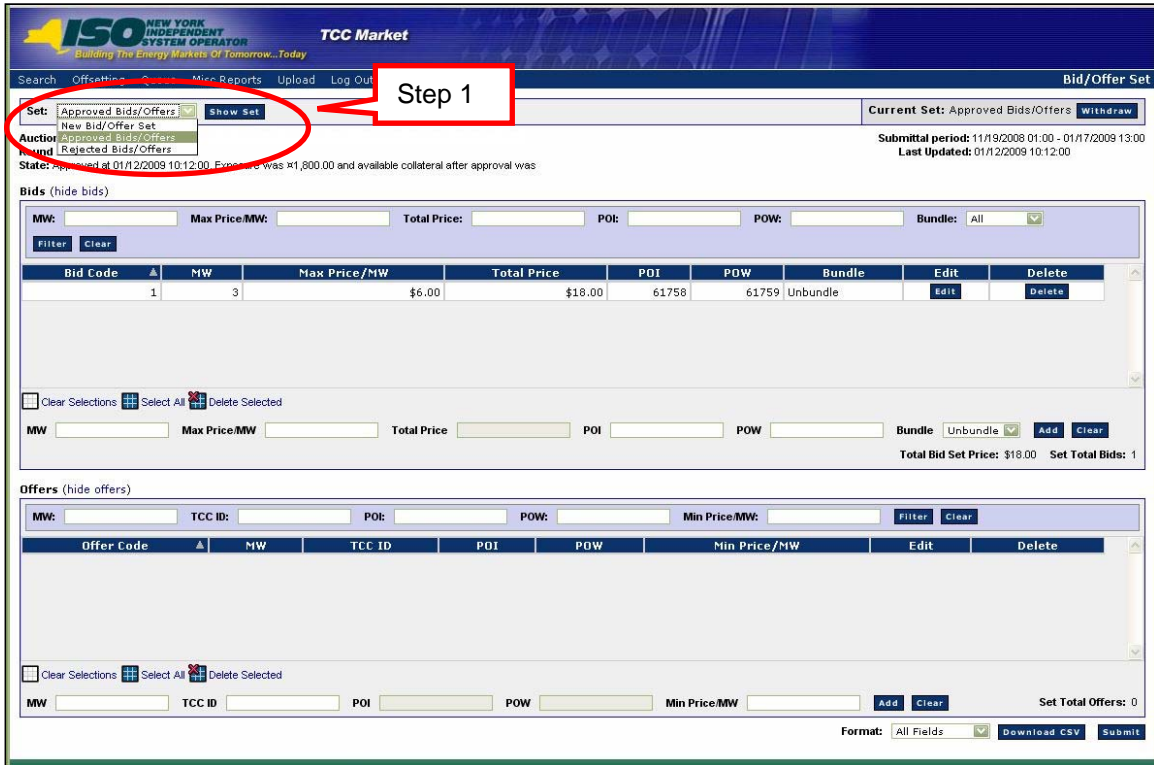
Figure 5-46   Bid/Offer Set Window

The Approved Bids/Offers are displayed (as shown in the following figure).
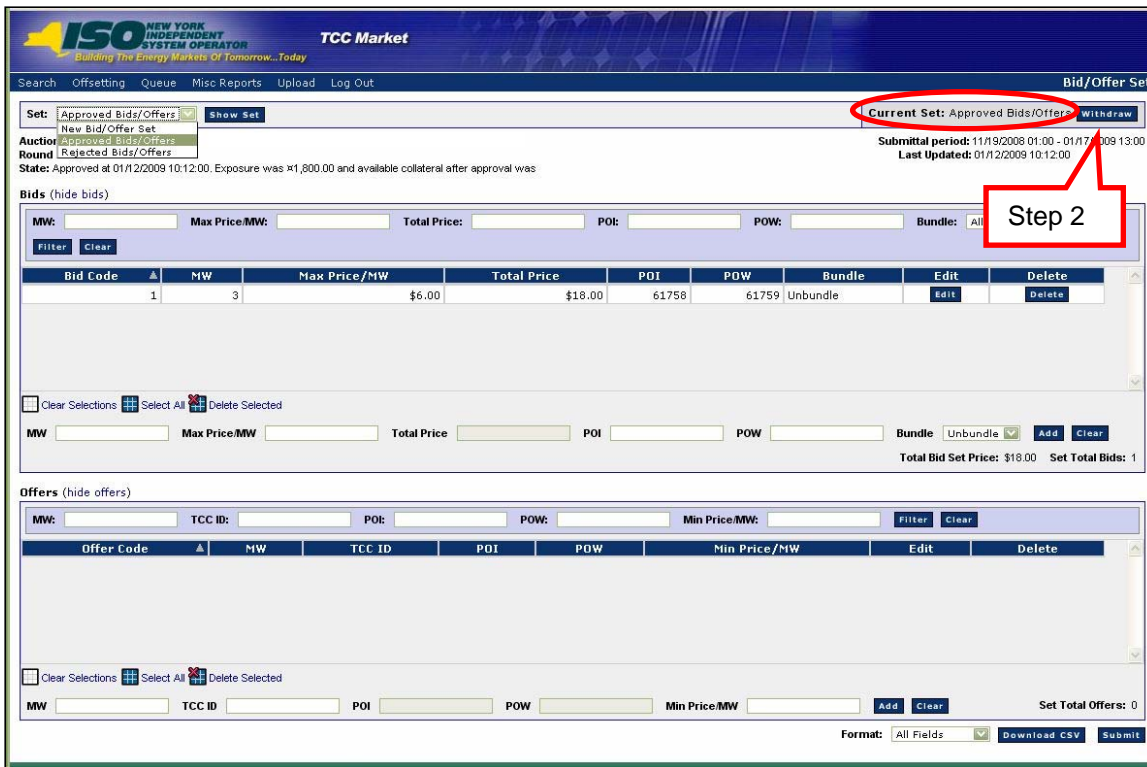
Figure 5-47   Bid/Offer Set Window with Withdraw Button

2. Click the **Withdraw** button.

   A message window appears (as shown in the following figure).

Figure 5-48   Confirmation Message to Withdraw Bid/Offer Set

3. Click the **OK** button.

   The Withdrawal Complete message appears (as shown in the following figure).
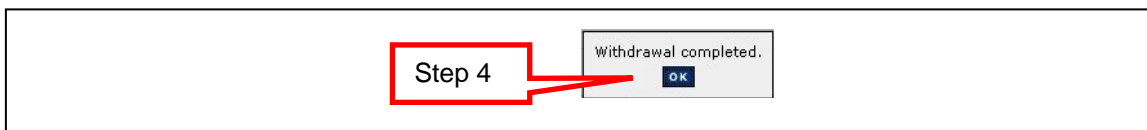
Figure 5-49   Bid/Offer Withdrawal Complete Message

4. Click the **OK** button.

The system withdraws the Bid/Offer Set contents or Global Offer Set contents from the auction round.

> **Note:** It is possible to have both an Approved Bid/Offer Set and an Approved Global Offer Set in one auction round (Capability Period, Stage One and Round One of both classes). These sets must both be withdrawn so as not to participate in the auction round.

6.   UPLOADING BID/OFFER SETS

Some general rules for uploading files:

- The names of the fields in the headers (TRAN_TYPE, USERID, etc.) are case-sensitive and must be capitalized.
- The values of parameters are not case-sensitive.
- The header rows must be separated by a '&'.
- All bids must precede any offers present in the file.
- Files containing errors or invalid records result in no data records saved in the system and the response text will list out the errors and the header or record number they pertain to as applicable.
- Files with valid data result in response text that echoes back the valid data uploaded and the result. E.g. Approved bids/offers, Rejected bids/offers, or Withdrawal complete.
- Data must be in a text format.

> **Note:** If working in Excel to create the upload file, it is recommended that the document also be opened in Notepad or another text editor. Formatting errors in Excel may cause miscellaneous characters to be added to the file.

6.1   Navigating to the Upload Screen

Uploading a set effectively submits the Bid/Offer Set into the auction if it is approved. This is an alternative to entering bids and offers through the system and then submitting that set.

Read Access: MPs and TOs

Write Access: MPs and TOs with Bid and Offer Authorization

⌨   ***To navigate to the upload screen***

> **Pre-Requisite:** This procedure assumes that you have already logged on to the TCC AMS. If this is not the case, complete the procedure outlined under Section 2.3 before completing the steps below.

1.   From the menu bar, click on **Upload**.

Figure 6-1   Bid/Offer Set Window with Upload Button

The Upload page opens (as shown in the following figure).
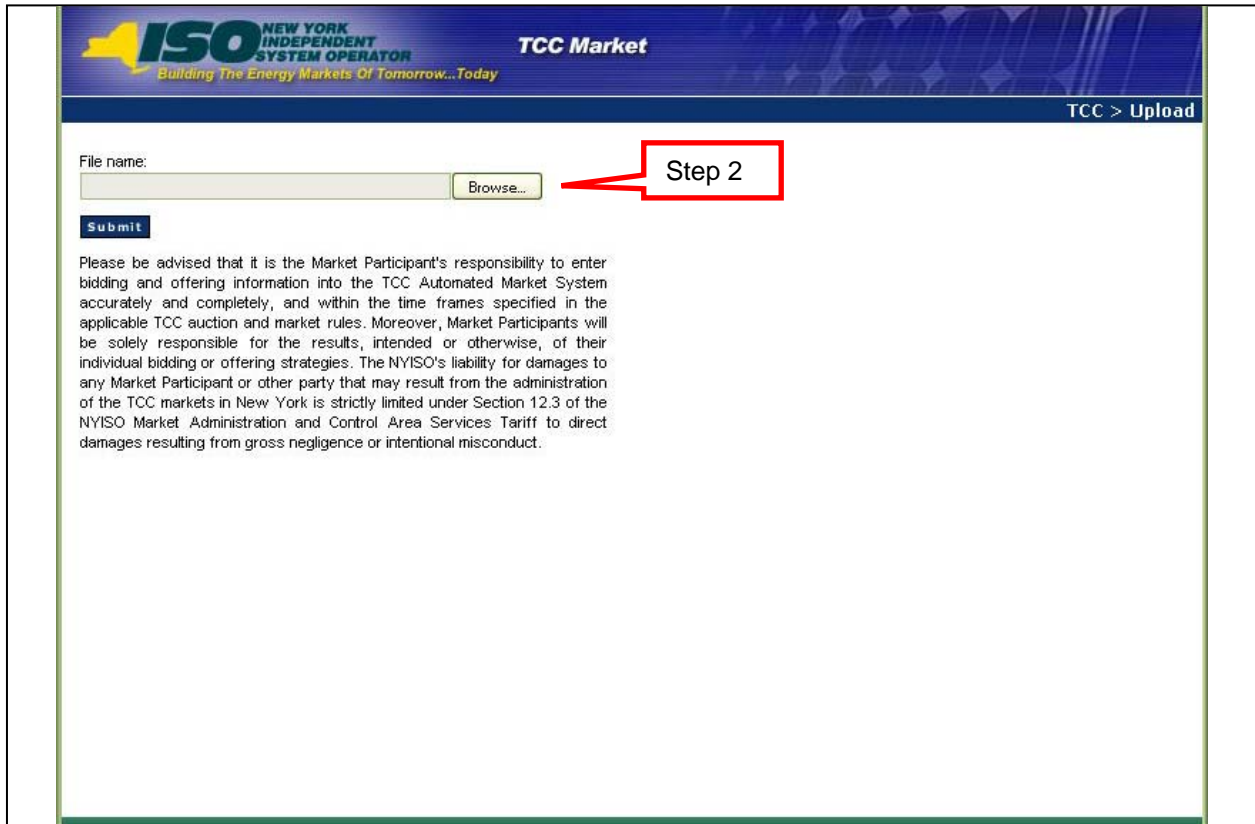
Figure 6-2   Upload Page with Browse File Name Highlighted

2.   Click on the **Browse** button.

The Choose file window opens (as shown in the following figure).
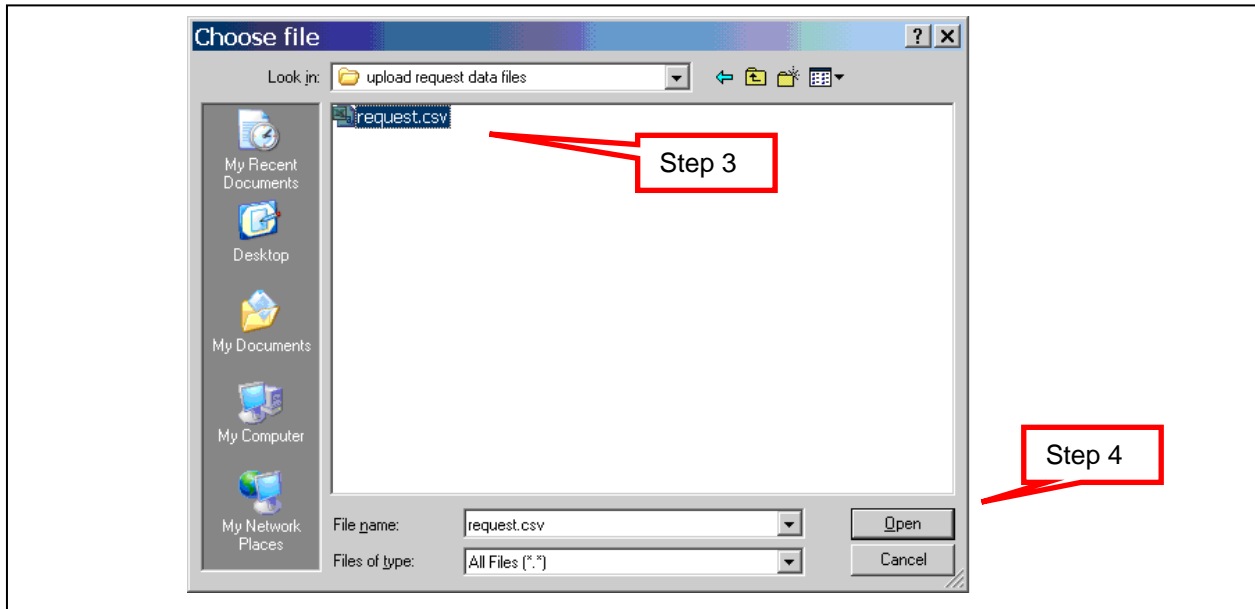
Figure 6-3   Choose File Window

3.   Click once on the file containing the request.

4.   Click on the **Open** button.

        The system displays the Upload page with the requested file name (as shown in the following figure).

Figure 6-4   Upload Page with Requested File Name

5.   Click the **Submit** button.

The system displays the upload request response text (as shown in the following two figures).
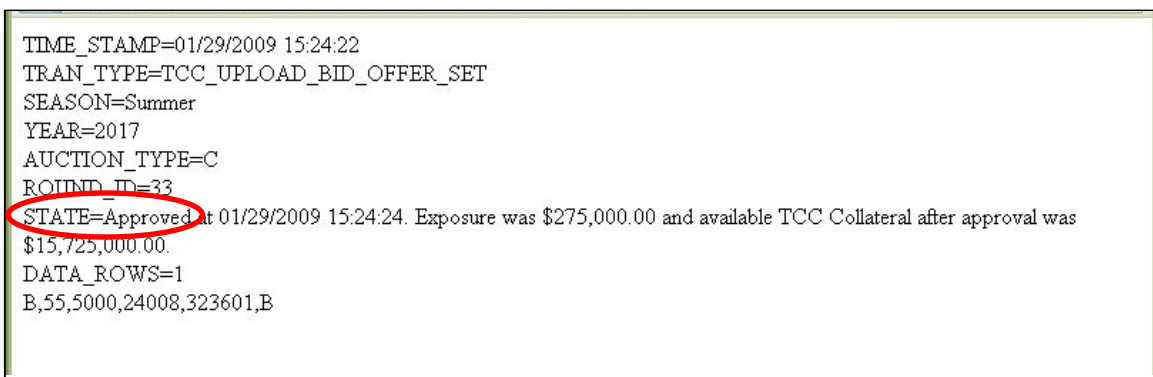
Figure 6-5   Upload Request Response Text – Approved

```
TIME_STAMP=01/29/2009 15:25:13
TRAN_TYPE=TCC_UPLOAD_BID_OFFER_SET
SEASON=Summer
YEAR=2017
AUCTION_TYPE=C
ROUND_ID=33
STATE=Rejected due to insufficient collateral at 01/29/2009 15:25:15. Exposure was $49,950,000,000.00 and available TCC
Collateral after applying submitted exposure was ($49,934,000,000.00).
DATA_ROWS=1
B,999,50000000,24008,323601,B
```

Figure 6-6   Upload Request Response Text – Rejected

6.1.1   File Example: Bid/Offer Set Request

The following is an example of possible field entries for a Bid/Offer Set request:

TRAN_TYPE=TCC_UPLOAD_BID_OFFER_SET&

USERID=webuser&

PASSWORD=webuser&

SEASON=Autumn&

YEAR=2008&

AUCTION_TYPE=C&

ROUND_ID=2&

DATA_ROWS=2&

B,11,102.2,32361,23651,B

O,10,7839,-101.25

Table 6-1   Submit Bid/Offer Set Request Header Fields

Header Fields (All are required)	
Type of upload request	TRAN_TYPE=TCC_UPLOAD_BID_OFFER_SET&
Credentials	USERID=<<Authorized MP role userid>>& PASSWORD=<<Password of userid>>&
Auction Round	SEASON=<<Choose one: Autumn, Spring, Summer, or Winter>>& YEAR=<<Year of Auction Round>>& AUCTION_TYPE=<<C for Capability Period Auction Round or M for Monthly Auction Round>>& ROUND_ID=<< Number designated by TMO for the Auction Round >>&
Record Count	DATA_ROWS=<<Count of data records in the upload request>>&

Table 6-2   Submit Bid/Offer Set Request Data

Note:	Must contain at least one bid or one offer.

Data Record Fields (All are required, must be in the order specified, and must be comma separated)		
Bids (each record starts with B when request contains one or more bids)	Record type	B
	Bid MW	Whole number >= 1 and <= 99,999
	Max Bid Price/MW	Dollar amount must be specified to two decimal places or fewer (e.g., to the nearest $0.01)
	POI	Whole number 6 characters or less representing a valid PTID in the auction round
	POW	Whole number 6 characters or less representing a valid PTID in the auction round
	Request to bundle	B or U for Bundled or Unbundled.
Offers (each record starts with O when request contains one or more bids)	Record type	O
	Offer MW	Whole number >= 1 and <= 99,999
	TCC ID	Whole number representing a valid TCC.
	Min Offer Price/MW	Dollar amount must be specified to two decimal places or fewer (e.g., to the nearest $0.01)

6.1.2   File Example: Submit Global Offer Set Request

The following is an example of possible field entries for a Global Offer Set request:
TRAN_TYPE=TCC_UPLOAD_GLOBAL_OFFER_SET&

    USERID=webuser&

    PASSWORD=webuser&

    SEASON=Autumn&

    YEAR=2008&

    AUCTION_TYPE=C &

    ROUND_ID=1&

    DATA_ROWS=1&

    G,10,7839,101.25

Table 6-3   Submit Global Offer Set Request Header Fields

Header Fields (All are required)	
Type of upload request	TRAN_TYPE=TCC_UPLOAD_GLOBAL_OFFER_SET&
Credentials	USERID=<<Authorized MP role userid>>& PASSWORD=<<Password of userid>>&
Auction Round	SEASON=<<Choose one: Autumn or Spring>>& YEAR=<<Year of Auction Round>>& AUCTION_TYPE=<<C for Capability Period Auction Round >>& ROUND_ID=<< Number designated by TMO for the Auction Round >>&
Record Count	DATA_ROWS=<<Count of data records in the upload request>>&

Table 6-4   Submit Global Offer Set Request Data

Note: Must contain at least one global offer.

Data Record Fields (All are required, must be in the order specified, and must be comma separated)		
Global Offers (Each record starts with G)	Record type	G
	Offer MW	Whole number >= 1 and <= 99,999
	TCC ID	Whole number representing a valid TCC.
	Min Offer Price/MW	Dollar amount must be specified to two decimal places or fewer (e.g., to the nearest $0.01)

6.1.3   File Example: Withdraw Request

The following is an example of possible field entries for a Withdraw request:

TRAN_TYPE=TCC_WITHDRAW_BID_OFFER_SET&

USERID=webuser&

PASSWORD=webuser&

SEASON=Autumn&

YEAR=2008&

AUCTION_TYPE=C&

ROUND_ID=2

Table 6-5   Withdraw from Auction Round Request Header Fields

Header Fields (All are required)	
Type of upload request	TRAN_TYPE=TCC_WITHDRAW_BID_OFFER_SET& -OR- TRAN_TYPE=TCC_WITHDRAW_GLOBAL_OFFER_SET&
Credentials	USERID=<<Authorized MP role userid>>& PASSWORD=<<Password of userid>>&

Auction Round	SEASON=<<Choose one: Autumn, Spring, Summer, or Winter>>&
	YEAR=<<Year of Auction Round>>&
	AUCTION_TYPE=<<C for Capability Period Auction Round or M for Monthly Auction Round>>&
	ROUND_ID=<< Number designated by TMO for the Auction Round >>&

Table 6-6   Withdraw from Auction Round Request

Data Record Fields
N/A – No data rows are included in the file

7. MP INVOICE

This subsection describes the private view of the MP Invoice after the awards have been approved. The report may be downloaded as well as viewed. The report is confidential to the specific MP. An invoice may comprise multiple rounds. Only one invoice may be viewed at a time.

Reports will only be available to those who participated (made at least one bid or offer) in the round.

7.1 Viewing the MP Invoice

Read Access: MPs and TOs

Write Access: None

🖳 *To view the MP Invoice*

> *Pre-Requisite:* This procedure assumes that you have already logged on to the TCC AMS. If this is not the case, complete the procedure outlined under Section 2.3 before completing the steps below.

1. From the main menu, click **Search** and select *Invoice* from the drop-down menu (as shown in the following figure).

Figure 7-1 Invoice Option on the Search Menu in the TCC AMS

The Invoice window opens (as shown in the following figure).
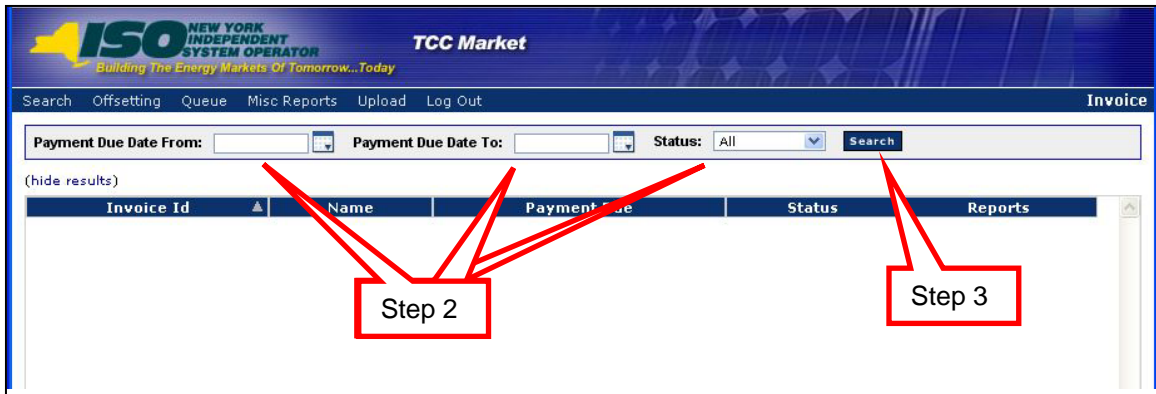
Figure 7-2   Invoice Window Illustrating Steps in Executing an MP Invoice Search

2. Define the search criteria by clicking on the corresponding down-arrows:

    a. **From** date: Choose a date from pop-up calendar

    b. **To** date: Choose a date from pop-up calendar

    c. **Status**: Choose *All*, *Valid* or *Invalidated*

3. Click the **Search** button. A list of invoices fulfilling the search criteria appears (as shown in the following figure).
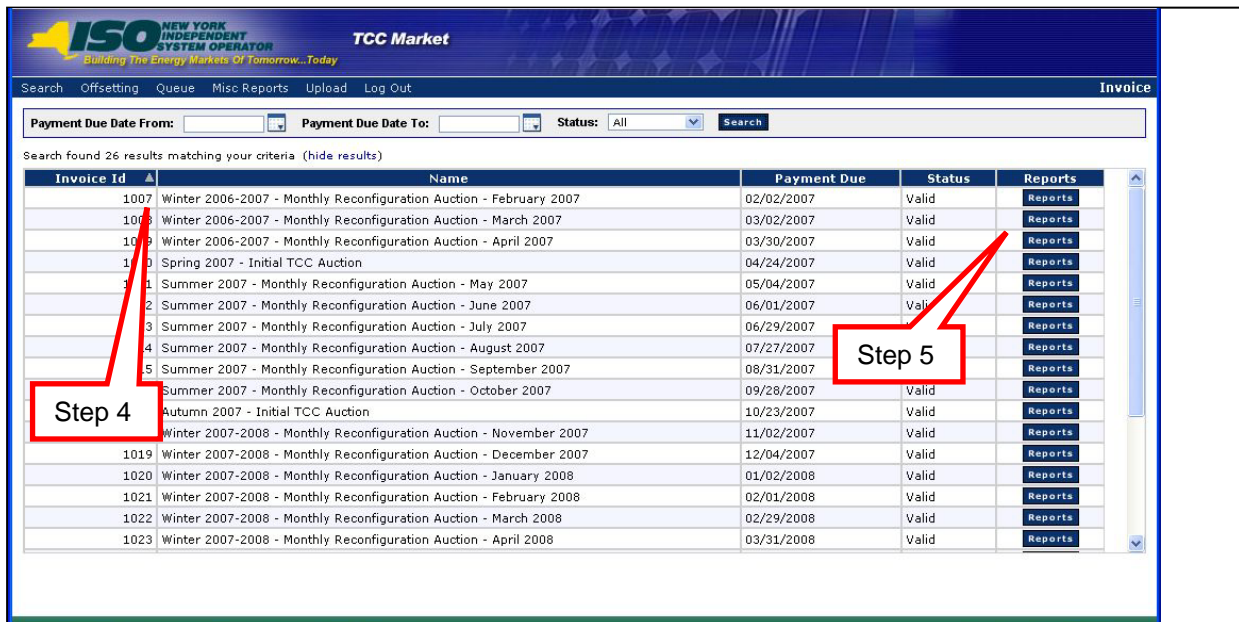
Figure 7-3   Means of Sorting Search Results and Navigating to an Invoice

4. To sort the results, click any column header to reveal the toggle up (▲) and toggle down (▼) buttons. Each click in a column header will toggle the sorting order.

5. Click the **Reports** button for the invoice.

The report opens into the lower panel of the window (as shown in the following figure).
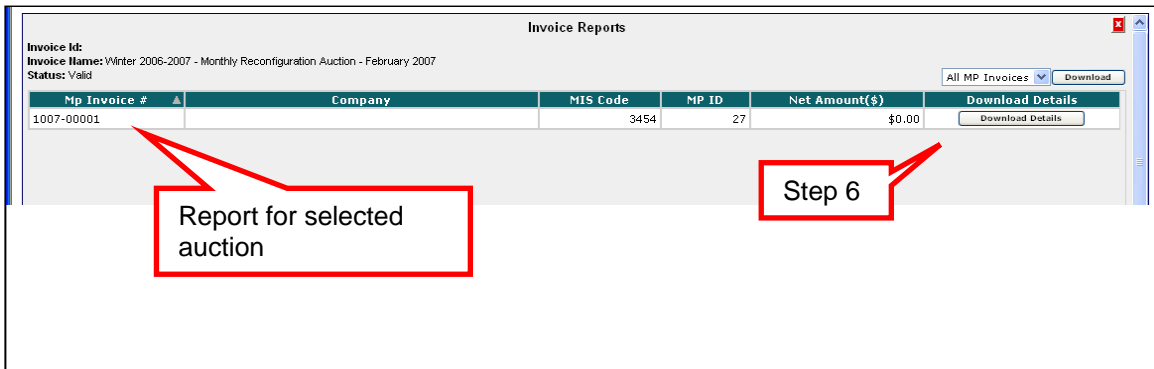
Figure 7-4   Means of Viewing and Downloading an Invoice

6. Click the **Download Details** button. The File Download window appears (as shown in the following figure).
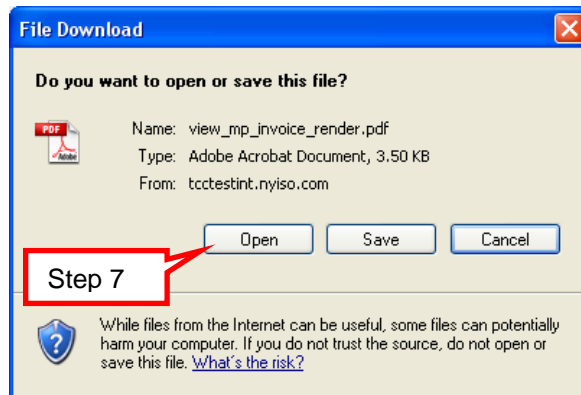
Figure 7-5   File Download Window

7. Click the **Open** button. The report opens (as shown in Figure 7-6 and Figure 7-7).

TCC Invoice - Summer 2007 - Monthly Reconfiguration Auction - July 2007

Invoice Number: **1111-00011**

Top Catt TCCs
Tom Catt
Top Catt TCCs
111 Alley Way
Alley, NY 11111

Bids

Number of Bids	237
Total Number of Bids Awarded	55
Number of Contracts Issued	172
Total Purchase Price	$101,999.99	Due to NYISO/(Owed to MP)
Total Support for Holding	
Total Support Until Settlement	

Contact Credit

Offers

Number of Offers	0
Total Number of Offers Awarded	0
Total Selling Price	$0.00	Due to MP/(Owed to NYISO)

Net Amount $101,999.99 Due to NYISO/(Owed to MP)

NYISO Banking Information

ABA#: **011100011**
Account#: **123456789101**

Date of payments due to the NYISO for the Net Amount   06/29/2007
Date of disbursements from the NYISO for the Net Amount   07/05/2007

Additional Information	Included Rounds

Figure 7-6   Sample TCC Invoice

Your company (as identified at the top of this letter, the "Company") submitted an Electronic Bid and/or an Electronic Offer to the New York Independent System Operator, Inc. ("NYISO") to purchase and/or sell Transmission Congestion Contracts ("TCCs") in the July 2007 - Reconfiguration Auction of TCCs. This letter serves as the invoice regarding TCCs awarded to and/or sold by the Company in that auction. Unless otherwise defined in this TCC Invoice, all capitalized terms shall have the meaning ascribed to them in the NYISO's Open Access Transmission Tariff, Market Administration and Control Area Services Tariff, and Transmission Congestion Contracts Manual (including the TCC purchase and sale agreements attached thereto).

As a result of the July 2007 - Reconfiguration Auction of TCCs proceedings, and in accordance with the NYISO tariffs, the NYISO hereby notifies the Company that it has been awarded and/or sold TCCs as shown in this TCC Invoice.

If the "Net Amount," as shown in this TCC Invoice, indicates that an amount is due to the NYISO from the Company, the Company must make such payment by wire transfer by the "date of payments due" listed on this TCC Invoice. Payments must be wired to the ABA routing number and account number listed on this TCC Invoice. If the "Net Amount," as shown in this TCC Invoice, indicates that an amount is due from the NYISO to the Company, the Company must submit wiring instructions to the NYISO by the "date of disbursements" listed on this notice.

Should the Company have a disagreement with the calculation of the Total Purchase Price or Total Selling Price due and payable, as provided in this TCC Invoice, the Company must give written notice to the NYISO by 5:00 PM prevailing Eastern Time on June 28, 2007 per Attachment D (the Initial Spring 2007 TCC Auction Time Line) of the Transmission Congestion Contracts Manual.

Sincerely,

New York Independent System Operator, Inc.

Rick Gonzales, Vice President, Operations

2007 Summer - b07 - July 2007

Figure 7-7   Sample TCC Invoice (Continued)

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8. INVENTORY

This section describes the maintenance of TCC inventory by MPs and how this information may be viewed.

8.1 Viewing Inventory

Read Access: MPs and TOs

Write Access: None

⌨ **To view inventory window**

> *Pre-Requisite:* This procedure assumes that you have already logged on to the TCC AMS. If this is not the case, complete the procedure outlined under Section 2.3 before completing the steps below.

1. From the menu bar, click **Search**, and then click *Inventory* (as shown in the following figure).

Figure 8-1   Inventory Option on the Search Menu in TCC AMS

The Inventory window appears (as shown in the following figure).

Figure 8-2   Inventory Window Illustrating Steps in Executing an Inventory Search

> **Note:** The Participant field defaults to the user's organization name.

2. Select the search criteria:

   a. **TCC ID** – enter the TCC ID number
   b. **Participant Name** – this field will default to your organization's name
   c. **Type** (*All*, *ETCNL TCCs*, *Grandfathered Rights*, *Grandfathered TCCs*, *Inventory TCCs*, *Long Term TCCs*, *RCRR TCCs*)
   d. **POI** – enter the POI number
   e. **POW** – enter the POW number
   f. **Status** (All, Valid or Invalidated)
   g. **Start of Active Date Range**
   h. **End of Active Date Range**

3. Click the **Search** button.

   The results are displayed (as shown in the following figure).
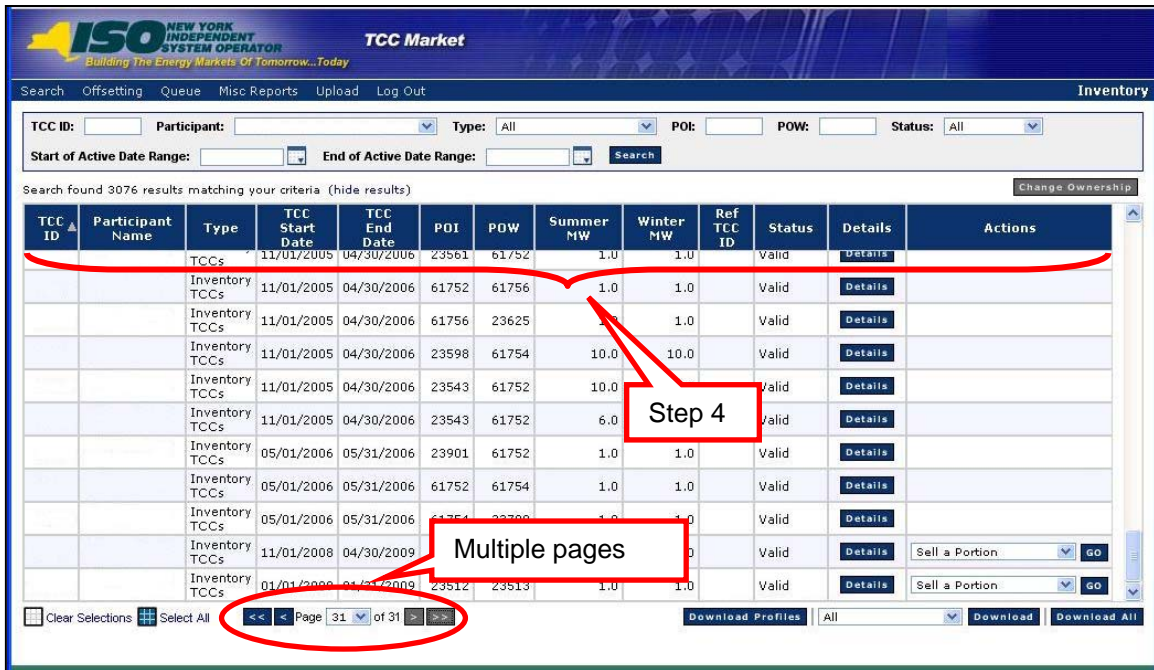
Figure 8-3   Inventory Window Displaying Search Results

   Notice that the search results may consist of multiple pages.

4. To sort the results, click any column header to reveal the toggle up (▲) and toggle down (▼) buttons. Each click in a column header will toggle the sorting order. When performing a sort, the results will display page 1, with the new sort order.

   Table 8-1 explains where to find status and additional information for TCC actions performed by primary and buying holders.

Table 8-1   Location of Transaction Status and Information

Action	Primary Holder Creates Transaction	Second Party Acknowledges	Credit Approves	Second Party or Credit Declines
Primary Holder	• *Transaction Details* • *Second Party Acknowledgement (Rescind)*	•*Transaction Details* •*Queue Report (Waiting for Credit Approval)*	•*Transaction Details*	•*Transaction Details*
Second Party	*Second Party Acknowledgement* – *Acknowledge* – *Decline*	•*Queue Report (Waiting for Approval)*	•*Parent Transaction History*	•*N/A*

8.2   Viewing Inventory Details

This subsection describes how users may view inventory details. The MP is allowed to only access and read its own information.

Read Access: MPs and TOs

Write Access: None

⌨ ***To view inventory details***

1. Perform steps 1 through 4 in Section 8.1 to view the Inventory window and search and sort the results.
   The results are shown in the following figure.
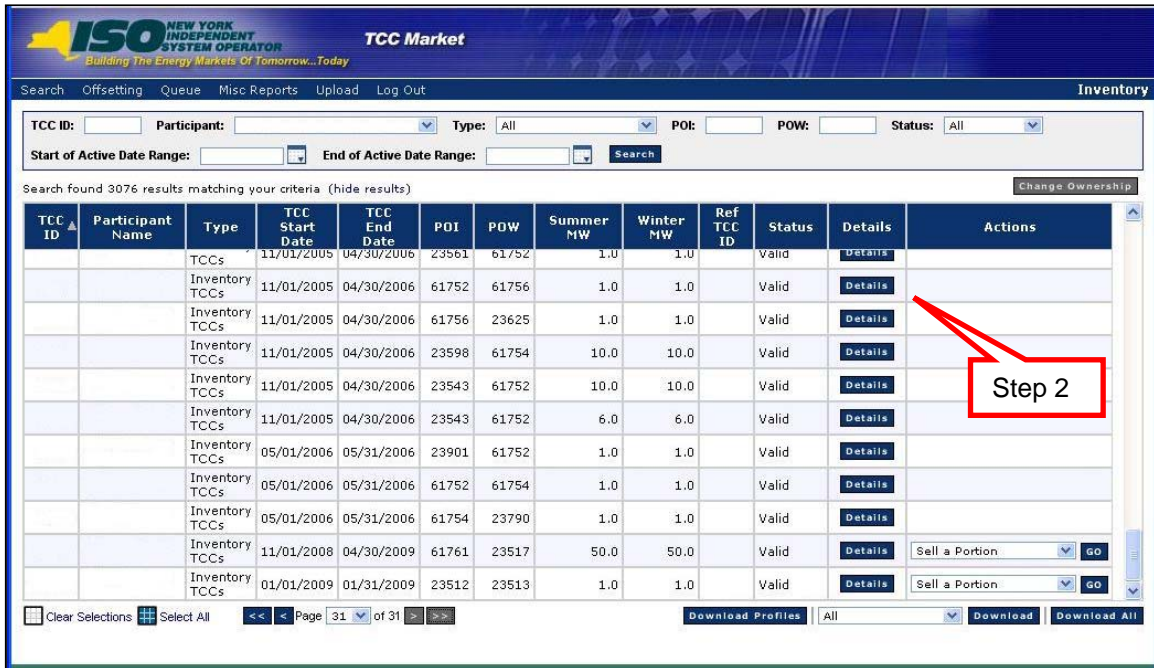
Figure 8-4   Inventory Window Illustrating Means of Viewing Details

2.   To view details for a specific contract, click its corresponding **Details** button. The details open into a lower panel (as shown in the following figure).
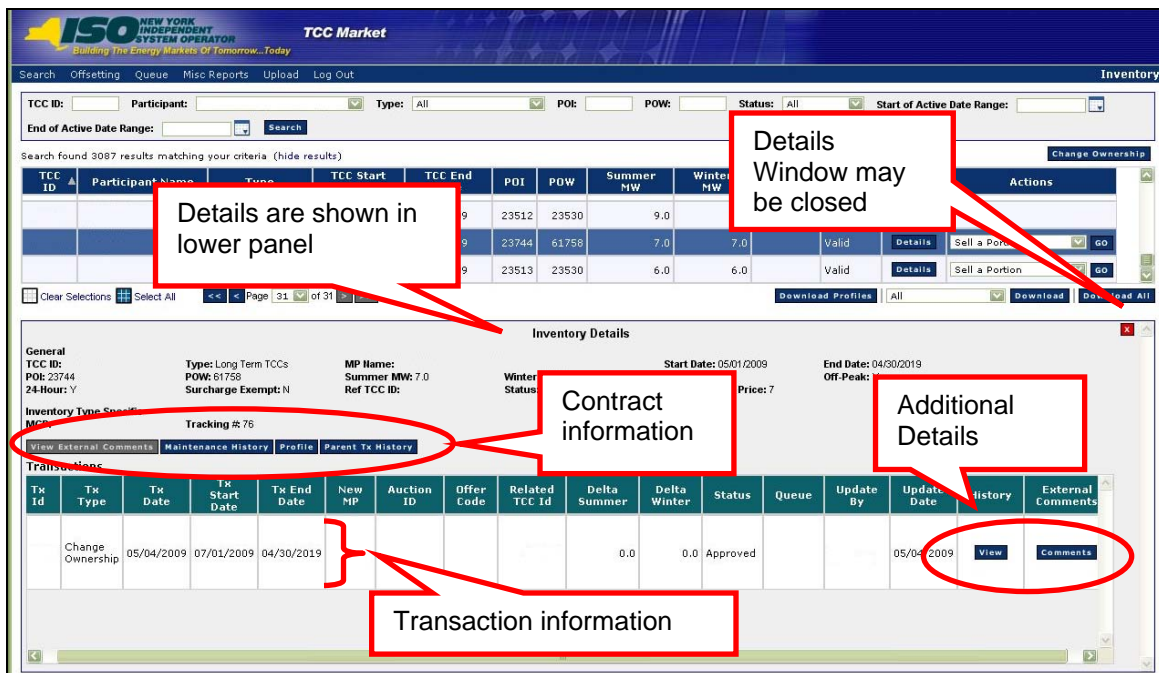
Figure 8-5   Inventory Window Displaying Details

> **Note:** The lower panel may be closed by clicking on the close (**X**) button. Reopen by clicking on a transaction **Details** button.

3. Review Contract Information, using the following as a guide in doing so:

a. The *General* section (see Figure 8-6) contains all details about the contract.

  i. The *Non-Auction Price* (see Figure 8-6) will be used as a price field for any contract that did not come from an auction. It will be used to calculate credit holding just like Market Clearing Price.

b. The *Inventory Type Specific* section (see Figure 8-6) shows the MCP and auction information, if the contract was created through an auction sale. If the sale doesn't come from an auction sale, no information is displayed.

c. Four buttons in the Inventory Details window provide access to specific Contract information, as follows:

  i. *View External Comments* (see Figure 8-7): Allows internal and external users to view comments by TMO and Credit as contracts goes through the approval process (see Figure 8-8).

  ii. *Maintenance History* (see Figure 8-7): MPs may view detailed maintenance that occurred against their contracts (see Figure 8-9).

> **Note:** This is a record of all Detailed Maintenance changes to the inventory record. The MP is allowed to access and read only its own information.
>
> Detailed Maintenance is performed by TMO and is used in rare instances to perform changes on contracts when the changes cannot be performed by any of the transactions. This change could be a major change such as a POI or could be a minor change like adding an additional comment.
>
> The extract will provide a history snapshot of each detailed maintenance. You will see the most current contract and its fields and you will also see all the fields of previous versions of the contract. This will allow the user to compare and see what has changed through detailed maintenance.

  iii. *Profile* (see Figure 8-7): MP may view the MWs available for their contract over the duration of the contract. If the MP sold MWs the profile will show a drop in MW for that time period (see Figure 8-10).

  iv. *Parent Tx History* (see Figure 8-7): Displays the transactions and approvals that created the TCC (see Figure 8-11).

> **Note:** Transaction Types may be *Create New*, *Sell a Portion*, or *Change Ownership*.

4. Review Transaction Information, using the following as a guide in doing so:

a. Two buttons in the Transactions table give the user access to specific transaction information:

  i. The *View* button in the *History* column (see Figure 8-6) displays transaction approvals (see Figure 8-12).

ii. The *Comments* button in the *External Comments* column (see Figure 8-6) allows internal and external users to view comments associated with the transaction (see Figure 8-13).

Note: The Comments window may contain comments from TMO, Credit, and/or the Secondary Party for the transaction.
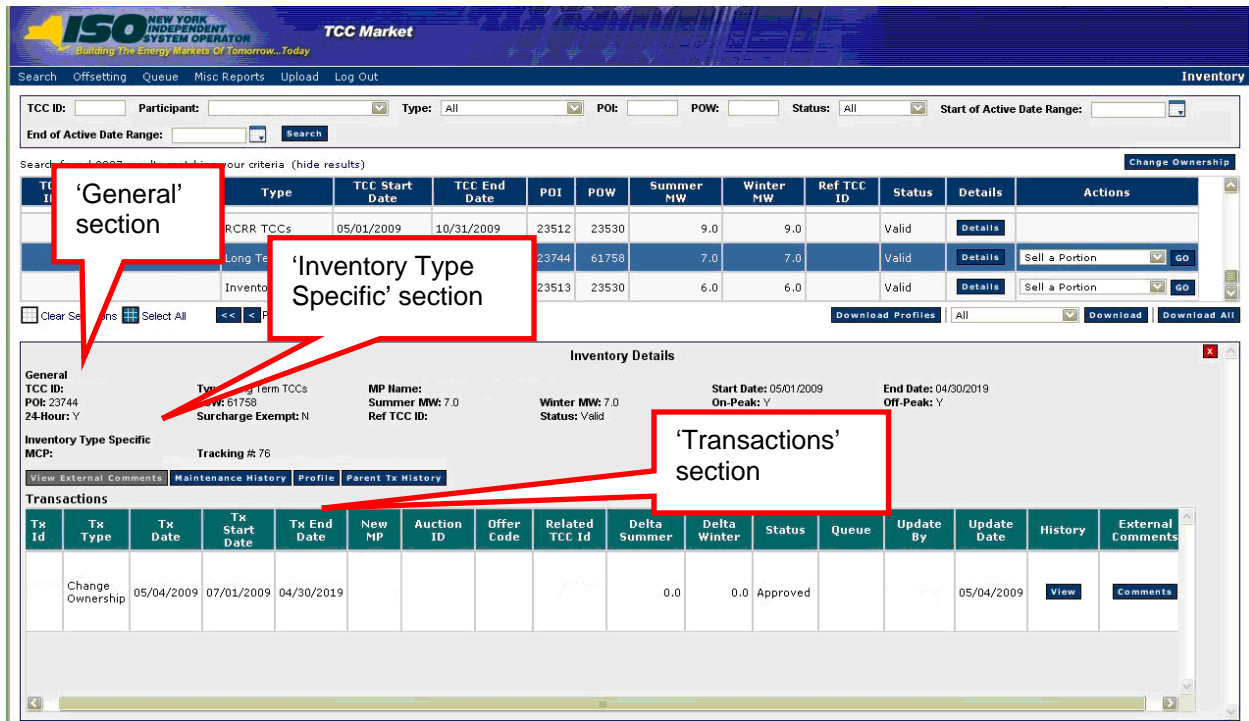
Figure 8-6   Inventory Window Illustrating Sections within the Details Area

Figure 8-7   Means of Viewing Contract and Transaction Information

Figure 8-8   External Comments Window Accessed via *View External Comments* Button

Figure 8-9   Detailed Maintenance History Window

Figure 8-10   Inventory Profile Window

Figure 8-11   Transaction History Window Accessed via the *Parent TX History* Button
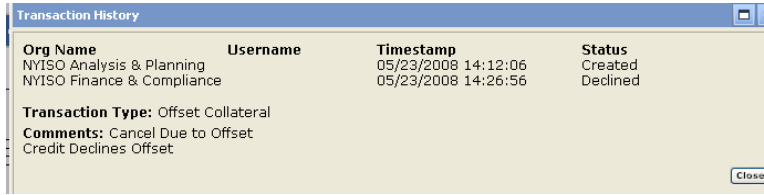
Figure 8-12   Transaction History Window Accessed via the *View* Button
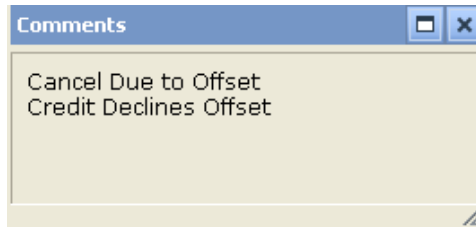
Figure 8-13   External Comments Window Accessed via the *Comments* Button

8.3   Downloading Inventory Profile

This subsection describes how the user may download and view transactions against a particular TCC grouped by the increments of time when changes to the TCC were made. The MP is allowed to only access and read its own information for all contracts returned in the search.

Read Access: MPs and TOs

Write Access: None

🖳 ***To view profiles***

1.   View the Inventory window, use search criteria and sort the results as described in Section 8.1.

Figure 8-14   Inventory Window Illustrating Means of Downloading Profiles

2.   Click the **Download Profiles** button.

MW profiles for all Contracts in the search results are downloaded with the column
headers (as shown in the following figure). The download is generated in CSV
format.

Figure 8-15   Downloaded Profiles Illustrating Column Headers

8.4   Downloading Non-Auction Transactions

The Non-Auction Transactions download provides a download which has the same format as the download of all inventory, transactions, and detailed maintenance (refer to Section 8.5. However, this download will only show inventory that have the selected transaction against it.

For example, if you selected *Sell a Portion* from the drop-down and selected *Download* the download will return all inventory owned by the MP that have a sell a portion transaction on it along with all the inventory details and corresponding transaction details.

Read Access: MPs and TOs

Write Access: None

🖳 ***To download non-auction transactions***

1.   View the Inventory window, use search criteria and sort the results as described in Section 8.1.
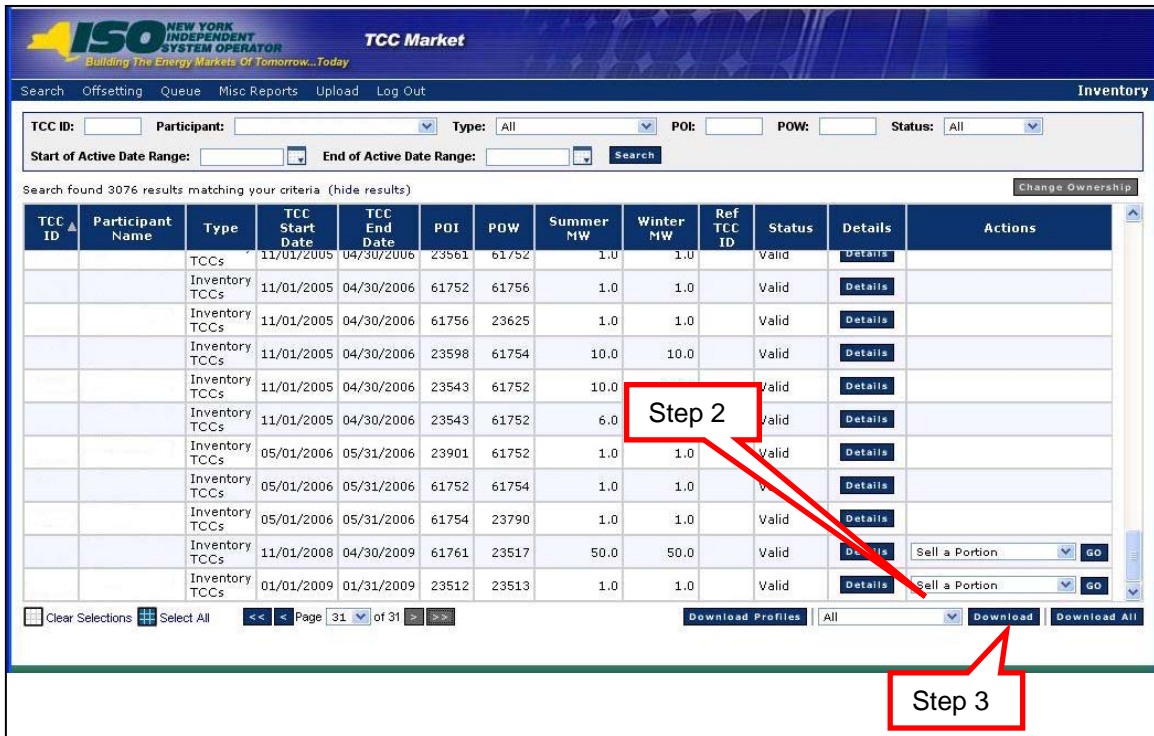
Figure 8-16   Inventory Window Illustrating Steps for Downloading Non-Auction Transactions

2.   Select from the drop-down menu.

3.   Click the **Download** button to the right of the drop-down menu.

The downloaded information appears (column headers *only* are shown in the following figure).

Figure 8-17   Headers of Sample Downloaded Non-Auction Transactions

8.5 Downloading All Inventory Transactions and Detailed Maintenance

The contracts may also be downloaded using a CSV format.

Read Access: MP and TOs

Write Access: None

🖥 **To download all inventory transactions and detailed maintenance**

1. View the Inventory window, use search criteria and sort the results as described in Section 8.1.

2. Click the **Download All** button.

Figure 8-18   Inventory Window Highlighting the *Download All* Button

All contracts in the current search results are downloaded (column headers *only* are shown in the following figure).

TCC ID	Inv Type	Org Name	Start Date	End Date	POI	POW	Summer MW	Winter MW	Status	MCP	Non-Auction Price	On Peak	Off Peak	24 Hour	Surcharge Exempt Flag

Tracking Number	Attachment L Ref	External Comments	Ref Tcc Id	Last Updated By	Last Update Time	Auction Code	Round Title	Auction Type	Auction Year	Auction Season	Version Num	Bid Code	Component

Transaction Id	Transaction Type	Status	Queue	Start Date	End Date	Delta Summer MW	Delta Winter MW	Last Updated By	Last Update Time

External Comments	Related Tcc Id	Transaction Date	New Org	Auction Id	Offer Code

Figure 8-19   Headers of Sample Downloaded All Inventory and Transactions

NYISO TCC AUTOMATED MARKET SYSTEM USER'S GUIDE

9.   SECONDARY MARKET TRANSACTIONS

Secondary Market Transactions and Offsets are not allowed during the lockout period. The lockout period is used by TMO during an auction to prevent inventory from changing while the auction is being run. If the lockout period is active there will be an indicator on the top of the auction round and inventory screens (as shown in the following figure).

Figure 9-1   Indicator of Lockout Period Being Active

9.1   Selling a Portion of a TCC

This subsection describes how MPs may re-assign a portion of a contract in inventory from a starting point through the end of the contract for a minimum of one month. The starting point of a "sell a portion" must be the first of the month. The *Sell a Portion* transaction may only be performed for one contract at a time. The MP is allowed to only access and read/write its own information.

Read Access: MPs and TOs

Write Access: MPs and TOs

   ⌨   ***To sell a portion of a TCC***

   1.   Perform steps 1 through 4 in Section 8.1 to view the Inventory window and search and sort the results.
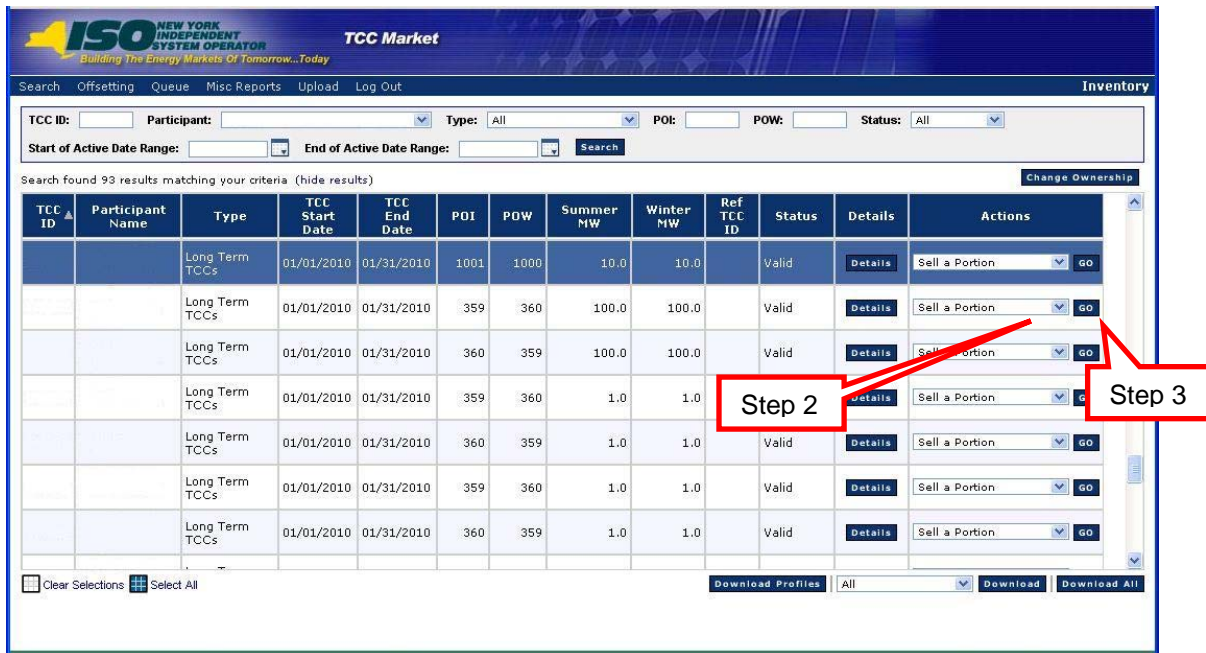
Figure 9-2   Inventory Window Highlighting *Sell a Portion* Action Option

2.   Locate the contract for selling a portion, click the down-arrow in the **Action** column and choose *Sell a Portion* (see the above figure).

3.   Click the corresponding **Go** button.

The Sell a Portion dialog appears (as shown in the following figure).
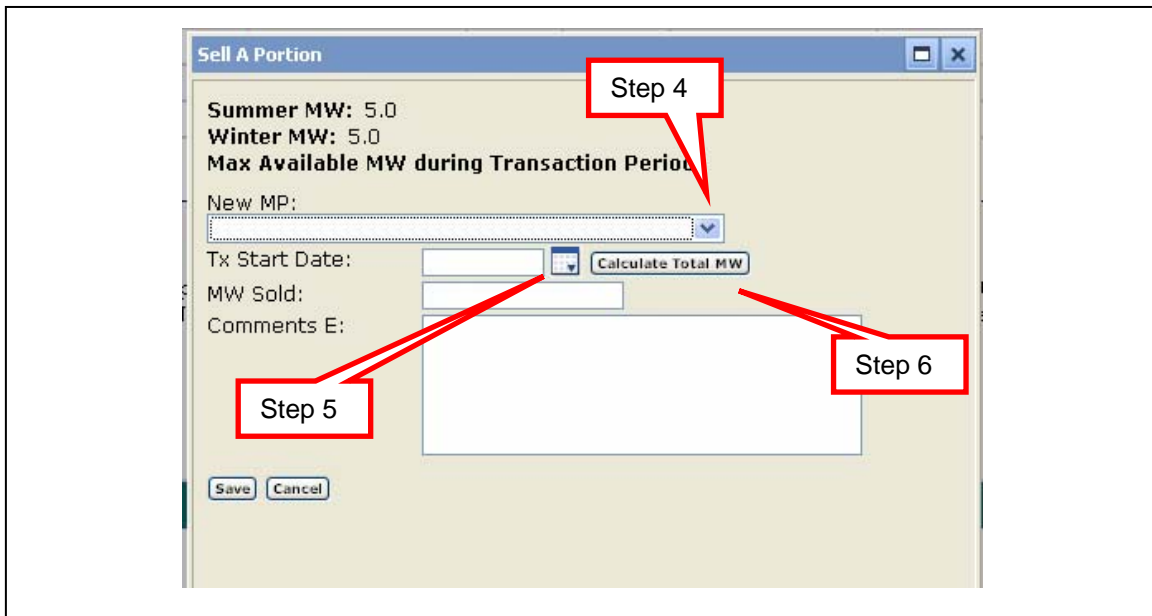
Figure 9-3   Sell a Portion Dialog Illustrating Steps for Calculating Total MW

4. Select a **New MP** by using the drop-down arrow.

5. Select the new **TX Start Date**. This date must be the first of the month.

6. Click the **Calculate Total MW** button.

The *MWs Available For Sale* are calculated based on the new TX Start Date. The maximum available MWs during the transaction period are displayed (as shown in the following figure).

The "*MWs Available For Sale*" for the transaction period shows the highest MW value that may be entered for the transaction between the start date of the transaction and the end date of the contract. It is calculated by taking the MW value of the original contracts and subtracting any active transactions against the contract for that period. The amount being re-registered by the MP must be less than or equal to the *MW available for sale* value.
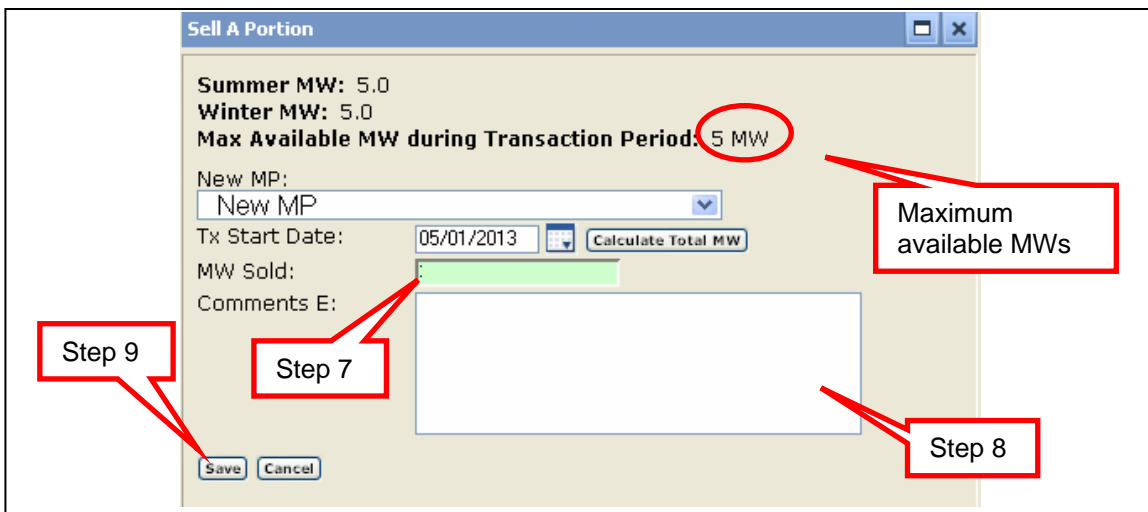
Figure 9-4   Sell a Portion Dialog Illustrating Steps for Completing a Sale

7. Enter the desired MW value to be sold.

8. If desired, enter comments.

9. Click the **Save** button. A transaction message appears (as shown in the following figure).
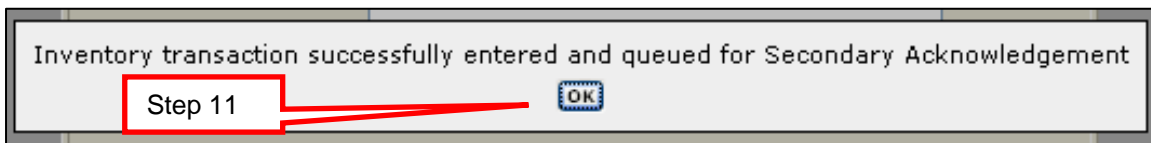
Figure 9-5   Sale Confirmation Dialog

10. Click the **OK** button.

The transaction status is now "created." The transaction is queued for Second Party Acknowledgement. The status may be observed in the Inventory Details section for

that contract (as described in Section 9.2, steps 9, 10 and 11). It may also be viewed in the Second Party Acknowledgement screen (as described in 10.2).

The following may now occur:

- The secondary MP may acknowledge or decline (see 10.2 for more information).
- The originating MP may rescind the transaction prior to Second Party Acknowledgment (see 10.3 for more details).

Next steps in processing the transaction:

- Second Party may:
  - ◇ Acknowledge the transaction (see 10.2 for more information), or
  - ◇ Decline the transaction (see 10.2 for more information).
- Primary Holder (original MP) may:
  - ◇ View the transaction status at any time (see Section 8.2 or 10.1 for more information), or
  - ◇ Rescind the transaction before Second Party acknowledges (see 10.3 for more information).

9.2   Change Ownership

This subsection describes how MPs may re-assign the entire MW value of a contract or multiple contracts from a specified start date for the remaining duration of the contract(s). The MP is allowed to only access and read/write its own information.

> **Note:** The user may change ownership on any day of the month. Change ownership may be performed on multiple contracts at the same time.

Read Access: MPs and TOs

Write Access: MPs and TOs

⌨   *To change ownership*

1.   Perform steps 1 through 4 in Section 8.1 to view the Inventory window and search and sort the results.
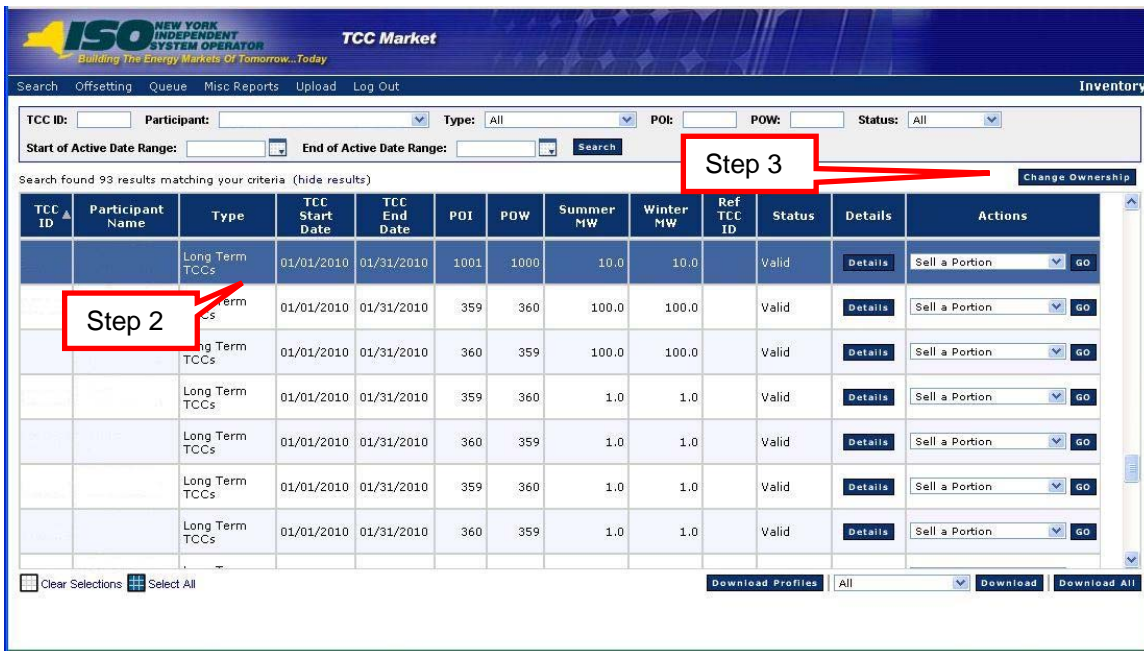
Figure 9-6   Inventory Window Illustrating Steps for Initiating Ownership Change

2.   Click one or more contract(s) you wish to perform change ownership on.

3.   Click the **Change Ownership** button.

   The Change Ownership window opens (as shown in Figure 9-7 through Figure 9-9).
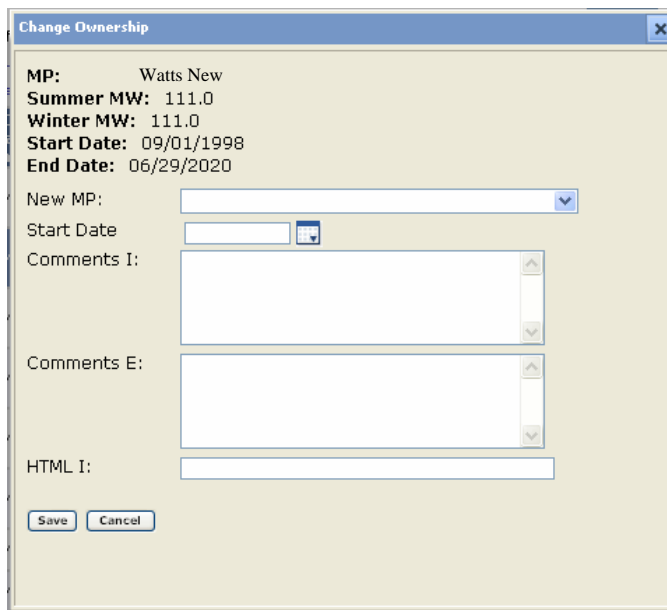
Figure 9-7   Change Ownership Dialog for a Single TCC
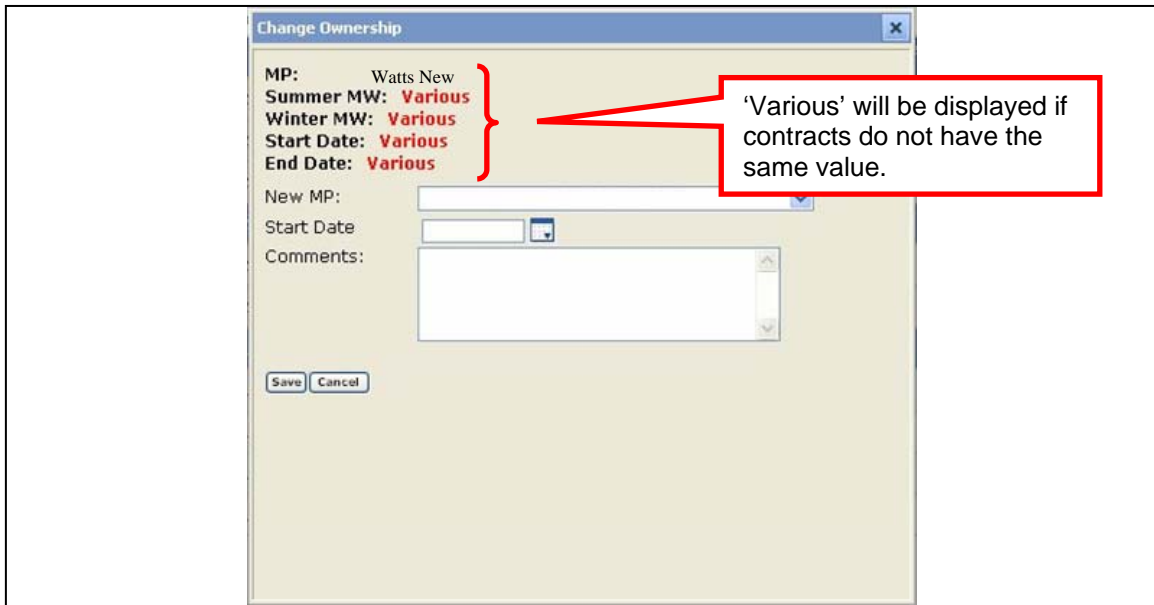
Figure 9-8   Change Ownership Dialog for Multiple TCCs
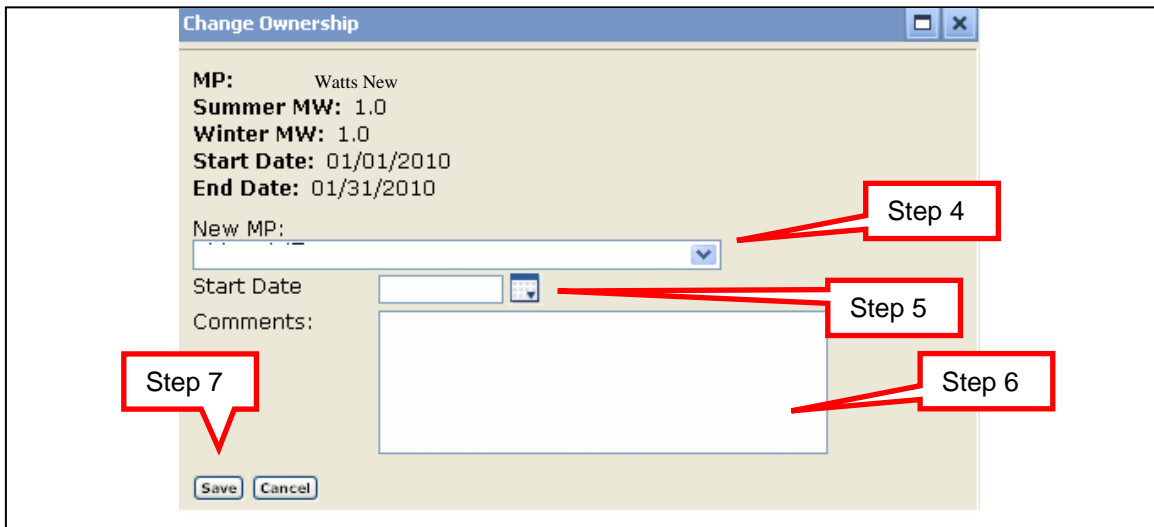
Figure 9-9   Steps for Initiating Ownership Change for a Single Contract

4. Click the drop-down arrow for **New MP** and select the buying MP.

5. Select a transaction date.

6. Enter comments as needed.

7. Click the **Save** button.

A transaction message appears (as shown in the following figure).

Figure 9-10   Change Ownership Confirmation Dialog

8. Click the **OK** button.

   The transaction status is now "created." The transaction is queued for Second Party Acknowledgement. The status may be observed in the Inventory Details section for that contract (as described in Section 9.2, steps 9, 10 and 11). It may also be viewed in the Second Party Acknowledgement screen (as described in 10.2).

   The following may now occur:

   - The secondary MP may acknowledge or decline (see 10.2 for more information).
   - The originating MP may rescind the transaction prior to Second Party Acknowledgment (see 10.3 for more details).

   Next steps in processing the transaction:

   - Second Party may:
     ◇ Acknowledge the transaction (see 10.2 for more information), or
     ◇ Decline the transaction (see 10.2 for more information).
   - Primary Holder (original MP) may:
     ◇ View the transaction status at any time (see Section 8.2 or 10.1 for more information), or
     ◇ Rescind the transaction before Second Party acknowledges (see 10.3 for more information).

9. To view details for the newly created transaction, click the **Details** button.
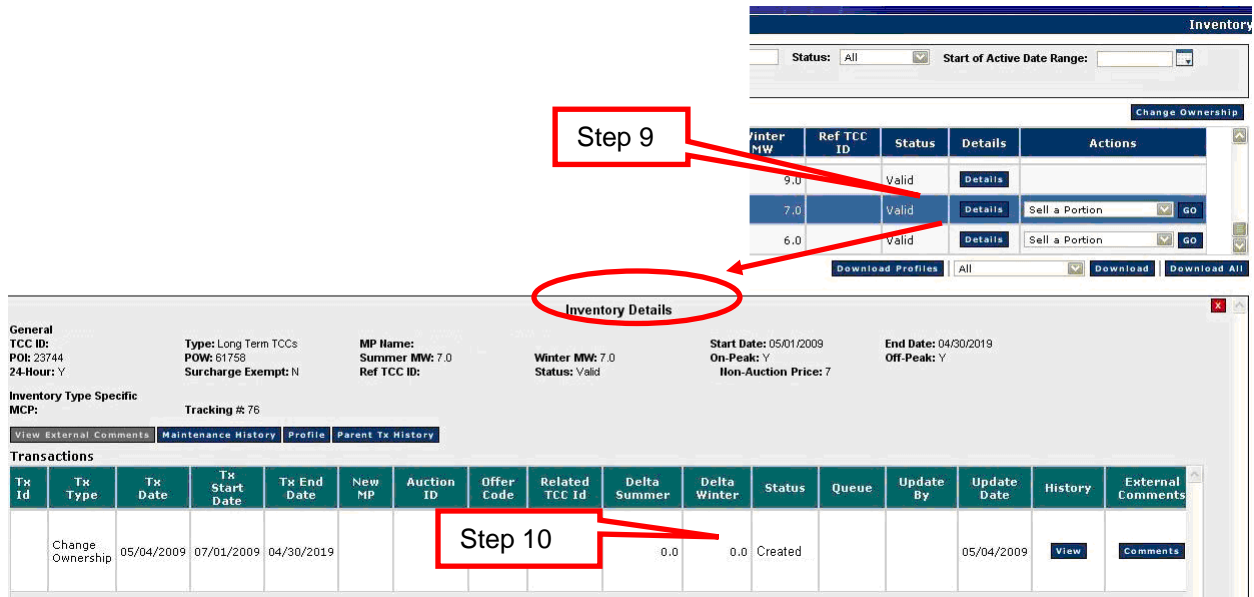
Figure 9-11   Inventory Window Highlighting *Details* Button and Result

10. Observe the transaction just created. It appears in the transactions area.

The transaction status is now "created." The status may be observed in the Queue report (see 10.1).

11. To see the transaction history, click the **View** button in the Inventory Details panel. The history for the transaction appears (as shown in the following figure).
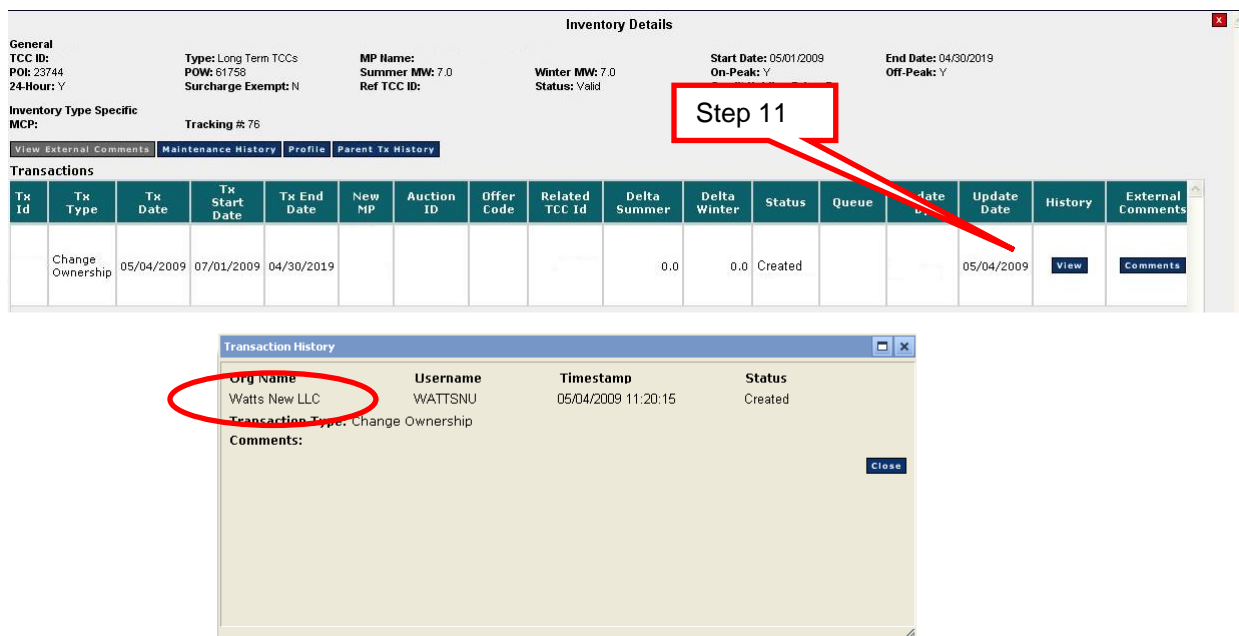
Figure 9-12   Transaction History As Accessed via the *View* Button

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10. MANAGING QUEUES

10.1 Viewing Transactions in the Queue Report

This subsection describes how the users may view the Queue Report and see secondary transactions waiting for approval. The MP is allowed to only access and read its own information.

The appropriate purchase and sales agreements must be signed by both parties before the transaction will be approved in the queue.

Read Access: MPs and TOs

Write Access: None

⌨ **To view transactions in the Queue Report**

> **Pre-Requisite:** This procedure assumes that you have already logged on to the TCC AMS. If this is not the case, complete the procedure outlined under Section 2.3 before completing the steps below.

1. From the menu bar, click **Queue** and then *Queue*.

Figure 10-1   Queue Report Option on the Queue Menu in TCC AMS

The Queue Report window appears (as shown in the following figure).

Figure 10-2   Queue Report Window

2. To view the details of the contract the transaction is being performed on (Inventory Details), click the corresponding **Details** button. (See Section 8.0 for more information on Inventory Details.)

3. Click the **Download CSV** button, if desired.

10.2   Viewing and Approving Transactions in the Second Party Acknowledgement Report

This subsection describes how users may view and approve Second Party transactions. The original (initial owner) and buying (secondary, intended recipient or "secondary party") MPs are each allowed to only access and read/write their own information.

The secondary MP may acknowledge or decline the transaction. The originating MP may rescind the transaction prior to the buying MP acknowledging or declining (see 10 for more information).

Read Access: MPs and TOs

Write Access: MPs and TOs

⌨ ***To view and approve second party transactions***

> **Pre-Requisite:** This procedure assumes that you have already logged on to the TCC AMS. If this is not the case, complete the procedure outlined under Section 2.3 before completing the steps below.

1. From the menu bar, click **Queue** and then *Second Party Acknowledgement* (as shown in the following figure).
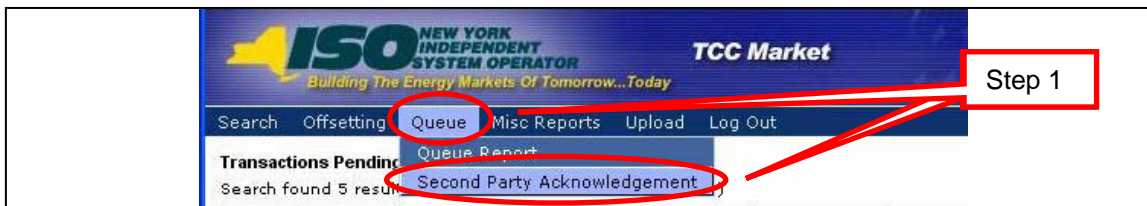
Figure 10-3   Second Party Acknowledgement Option on the Queue Menu in TCC AMS

The window appears (as shown in the following figure).

Figure 10-4   Means of Filtering and Initiating a Second Party Acknowledgment

Note: The **Buying MP** field is automatically populated with the MP name associated with the user logged in.

The original MP is defaulted to the current MP user if the **Show** field is set to *Rescind* and user may select *Buying MP*.

The buying MP is defaulted to the current MP user if the **Show** field is set to *Acknowledge* and user may select *Original MP*.

2.   Provide search criteria:

a. From the **Show** drop-down menu, choose *Acknowledge*.
b. Click the **Select** button.

The results appear (as shown in the following figure).
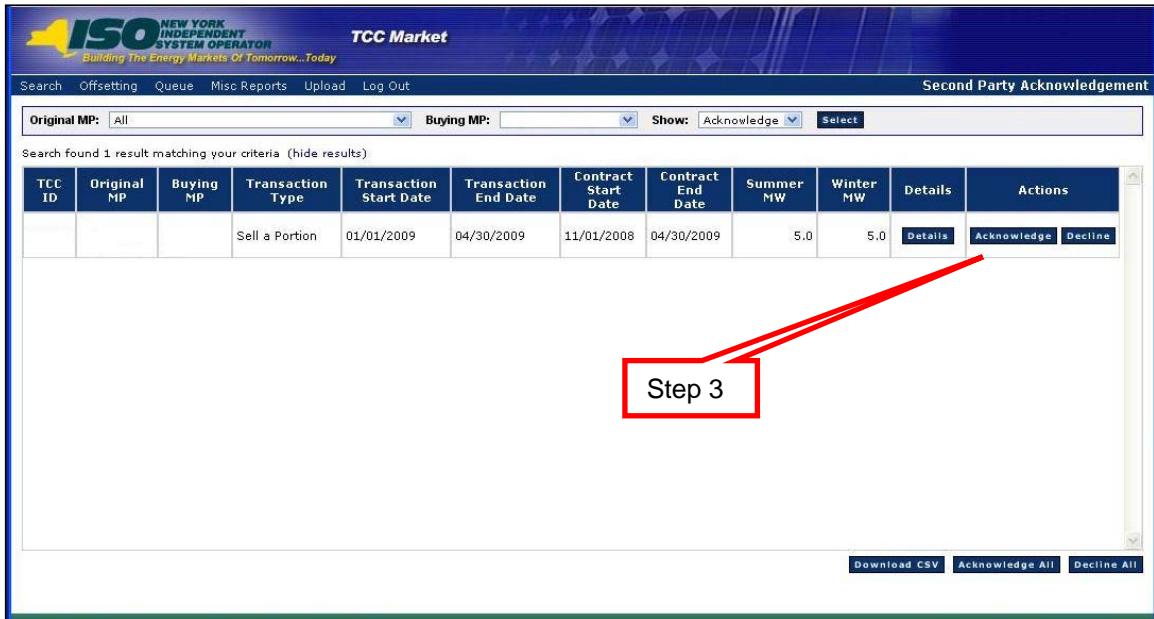
Figure 10-5   Second Party Acknowledgment Window Highlighting *Acknowledge* Button

3. Locate the desired transaction in the lower panel and click the **Acknowledge** button.

   Notice that the user also has the option to click the **Acknowledge All** button. This will acknowledge all pending transactions in the window. The Acknowledge window appears (as shown in the following figure).

Figure 10-6   Acknowledge Comments Window

4. Enter comments and click the **Acknowledge** button.

   A warning message appears (as shown in the following figure).
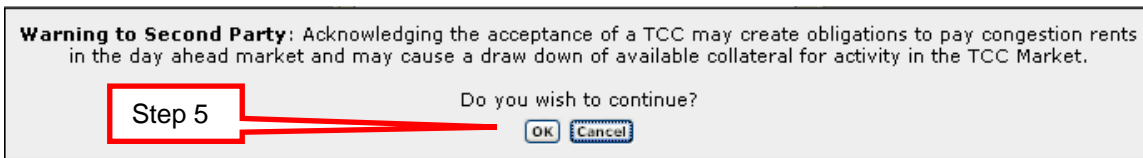
Figure 10-7   Acknowledge Warning Window

5. Click the **OK** button.

The Second Party may wish to decline the transaction:

6. After performing steps 1 and 2 above, locate the desired transaction in the lower panel and click the **Decline** button (as shown in the following figure).
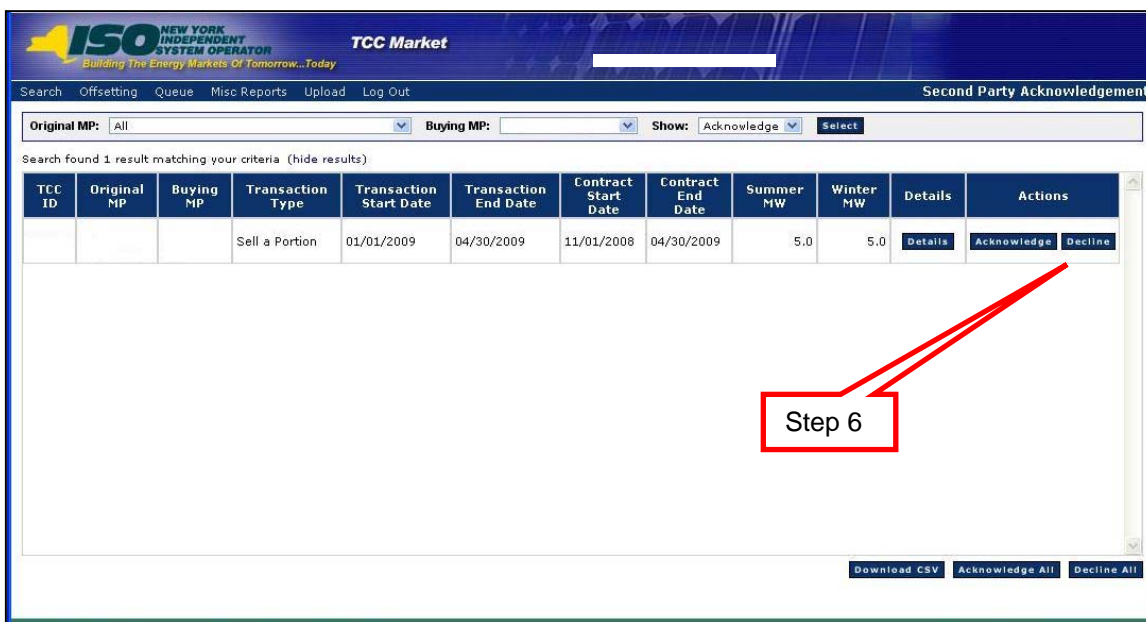
Figure 10-8   Second Party Acknowledgment Window Highlighting *Decline* **Button**

Notice that the user also has the option to click the **Decline All** button. This will decline all pending transactions in the window. The Decline window appears (as shown in the following figure).

Figure 10-9   Decline Comments Window

7.   Insert comments and click the **Decline** button.

A message window appears (as shown in the following figure).
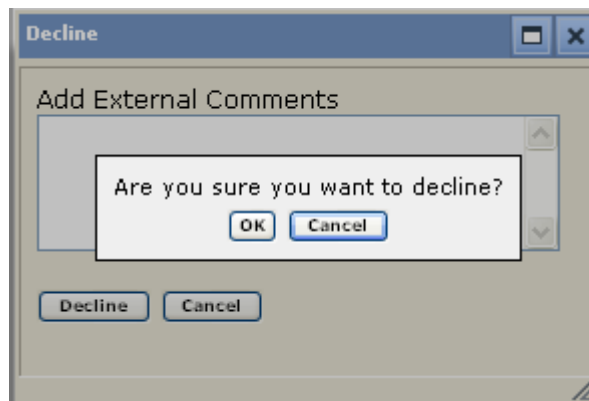
Figure 10-10 Decline Confirmation Prompt

After the Second Party acknowledges:

The originating MP may view the status by going to the Inventory Details window (as shown in the following figure). See Section 8.1 for navigating to the Inventory window).

Figure 10-11 Inventory Details Showing Second Party Approved Transaction and Transaction History

After Second Party acknowledges:

Both the originating MP and the buying MP may view the status by going to the Queue Report (as shown in the following figure). (See 10.1 for navigating to the Queue Report).

Figure 10-12 Queue Report Window for a Second Party Approved Transaction

After Credit approves:

The originating MP may view the status by going to the Inventory Details window (as shown in the following figure). See Section 8.1 for navigating to the Inventory window.
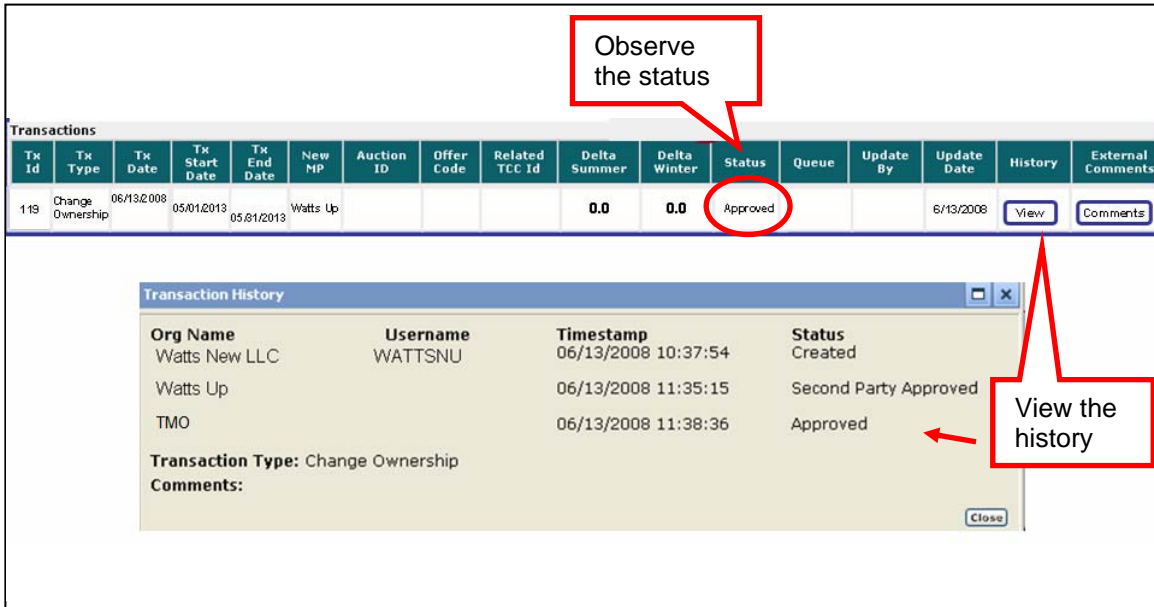
Figure 10-13 Transaction History for the Approved Transaction after Second Party Acknowledgement

After transaction is approved:

The new MP may view the new contract by navigating to the Inventory window (as shown in the following figure). See Section 8.1 for navigating to the Inventory widow.

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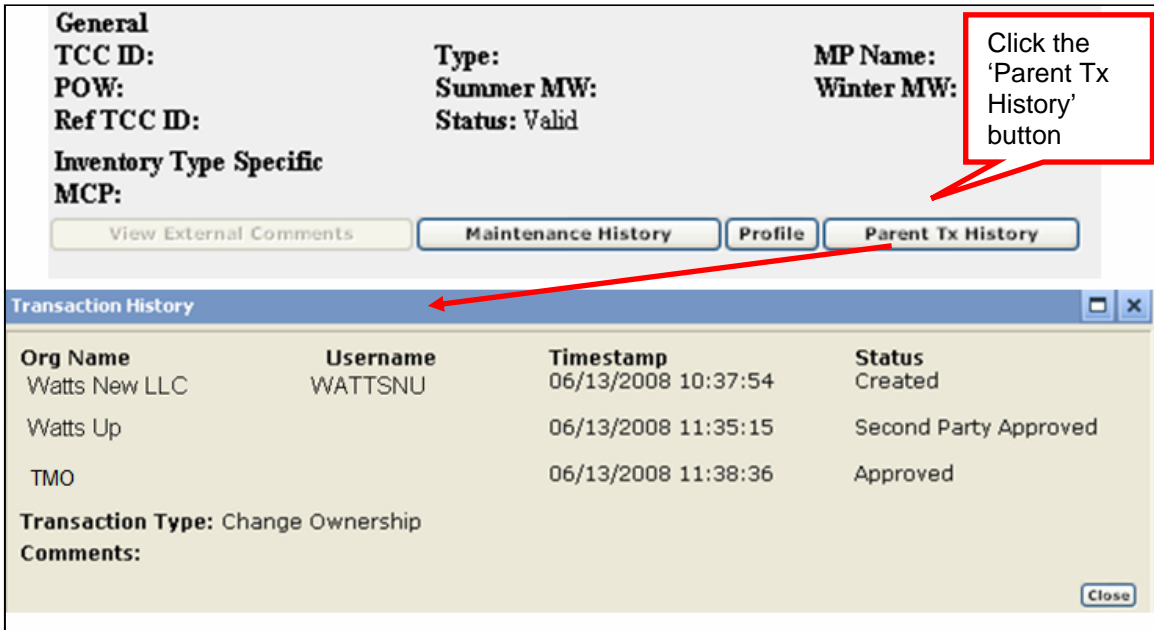
Figure 10-14 Parent TX History for the Approved Transaction after Second Party Acknowledgement

10.3 Rescinding a Transaction

Read Access: MPs and TOs

Write Access: MPs and TOs

🖳 *To rescind a transaction*

> **Pre-Requisite:** This procedure assumes that you have already logged on to the TCC AMS. If this is not the case, complete the procedure outlined under Section 2.3 before completing the steps below.

1. From the main menu, click the **Queue** item, and then click *Second Party Acknowledgement* (as shown in the following figure).

Figure 10-15 Second Party Acknowledgment Option on the Queue Menu in TCC AMS

The Second Party Acknowledgment window appears (as shown in the following figure).

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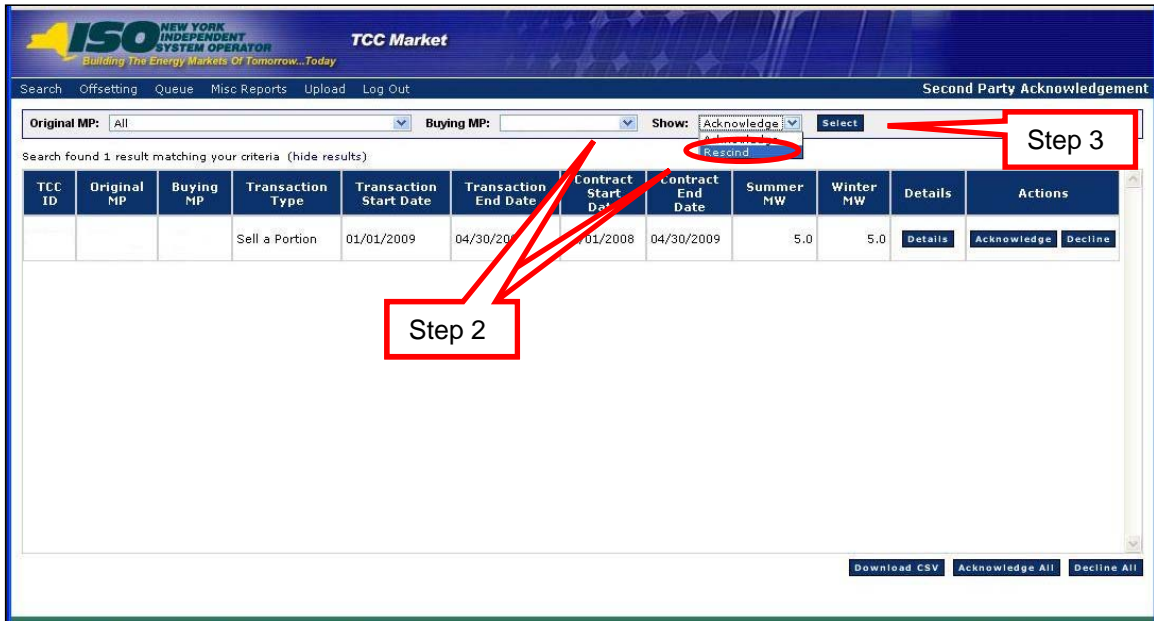
Figure 10-16 Means of Filtering and Showing Transactions to Rescind

2.   Define the search criteria:

a. Choose a **Buying MP**.

b. From the **Show** drop-down menu, choose *Rescind*.

Note:	The *Original MP* field is automatically populated with your organization's name.

3.   Click the **Select** button.

The results of the search criteria appear (as shown in the following figure).
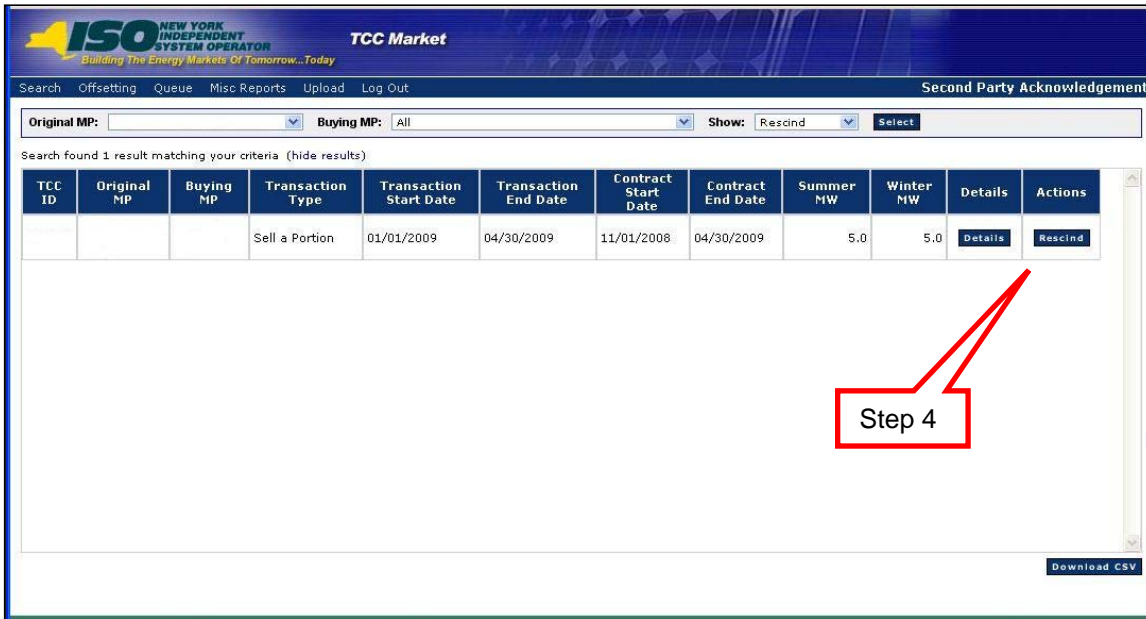
Figure 10-17 Second Party Acknowledgment Window Highlighting the
***Rescind* Button**

4.   Click the **Rescind** button for the desired transaction.

The Rescind window opens (as shown in the following figure).

Figure 10-18 Rescind Comments and Confirmation Window

5.   If desired, provide comments and click the **Rescind** button.

A message window appears (as shown in the following figure).
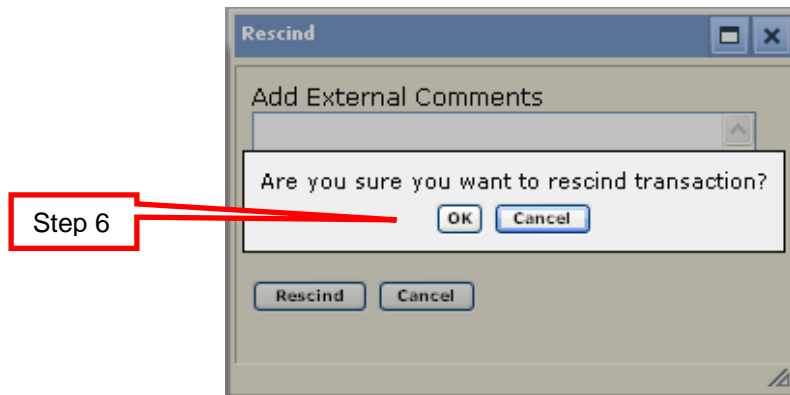
Figure 10-19 Rescind Confirmation Prompt

6.   Click the **OK** button.

After the Originating MP rescinds the offer, it is no longer located in the Second Party Acknowledgment Queue.

11. TCC OFFSETTING

This section describes the following TCC inventory management processes:

- Cancelling offsetting TCCs for purposes of offsetting collateral requirements.
- MPs may only view transactions to which they are a party.

11.1 Select Offsetting TCCs for Cancellation

This subsection describes the process through which users may request Collateral Offsetting and TCC Cancellation outside of the lockout period. If the Lock-out period has been set, the option to enter Offset Requests will not be available. Market participants may only view and offset TCCs that they own.

Read Access: MPs and TOs

Write Access: MPs and TOs

⌨ **To select offsetting TCCs for cancellation**

> **Pre-Requisite:** This procedure assumes that you have already logged on to the TCC AMS. If this is not the case, complete the procedure outlined under Section 2.3 before completing the steps below.

1. From the menu bar, click **Offsetting** and then *Request Offset* (as shown in the following figure).

Figure 11-1   Request Offset Option on the Offsetting Menu in TCC AMS

The Request TCCs for Collateral Offsetting and Cancellation window appears (as shown in the following figure).
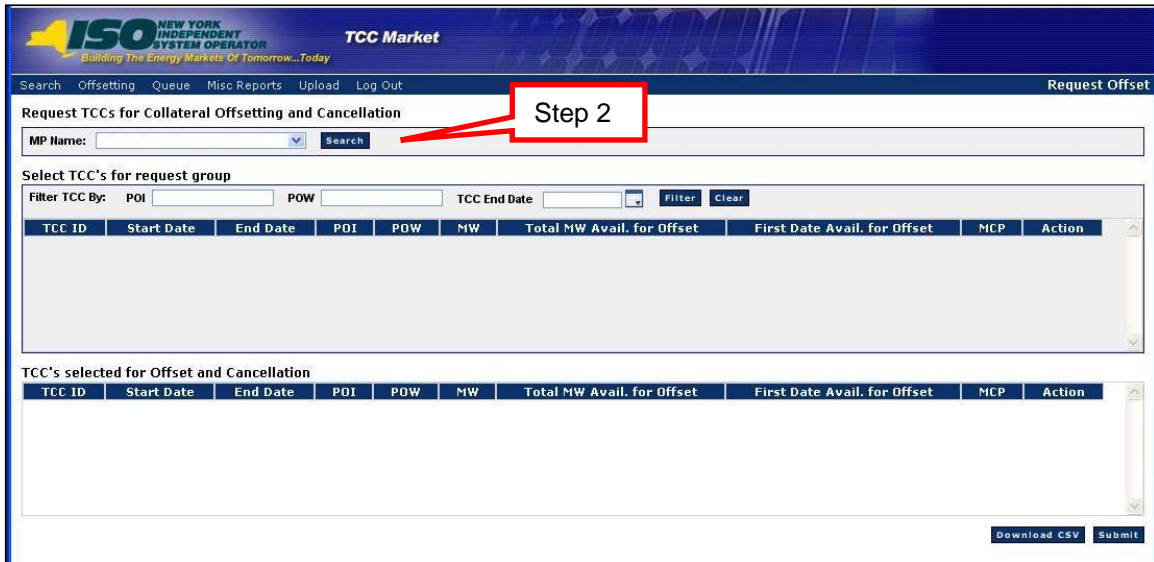
Figure 11-2   Request Offset Window Highlighting *Search* Button

> ***Note:*** Requesting TCCs for Collateral Offsetting and Cancellation allows any combination of TCCs such that the MWs on a TCC(s) in one direction and counter flow MWs on a TCC(s) are equal. The end date of the contracts almost must be equal.

2.   Click the **Search** button.

All active TCCs for the selected MP will be displayed (as shown in the following figure). This may take a few moments for the screen to populate.

Figure 11-3   Means of Filtering and Downloading Offset Search Results

3.   Filter the resulting list if needed:

- Insert **POI** and/or **POW** information
- Provide **TCC End Date**

4.   Click the **Filter** button.

Note: Clicking on the **Clear** button will restore the original search.

---

5.   To sort the results, click any column header to reveal the toggle up (▲) and toggle down (▼) buttons. Each click in a column header will toggle the sorting order.

6.   If desired, click the **Download CSV** to download "off settable" TCCs from the request group upper panel for off-line analysis.

7.   Select the contracts to offset by clicking on their corresponding **Add** button.

The results are produced (as shown in the following figure).

Figure 11-4   Request Offset Window Illustrating Means of Selecting TCCs for Offsetting

8.   Repeat step 7 until all of the desired TCCs are added to the lower panel.

9.   To remove a TCC from the **TCCs selected for Offset and Cancellation** panel, click the **Remove** button. The selected group will be restored with the initial list. Observe the above figure:

- The "added" contract is moved from the requested window to the selected window.
- The system will filter request group window to only show TCCs that may be used in the offset. This will be based on the TCC that was just added.
- The total MW of selected contracts in the lower panel must be equal for the sum of the MWs in one direction and the sum of the MWs in the counter flow direction.
- The system will filter only contracts to offset selected TCC.

10.   Click the **Submit** button.

The Request Offset dialog appears, (as shown in the following figure).

Figure 11-5   Request Offset Dialog

11.   Select a date for the start of the offset.

> ***Note:*** The end date is the mutually coincident end dates of the contracts that are selected.

12.   Click the **Submit** button.

A message window appears (as shown in the following figure).
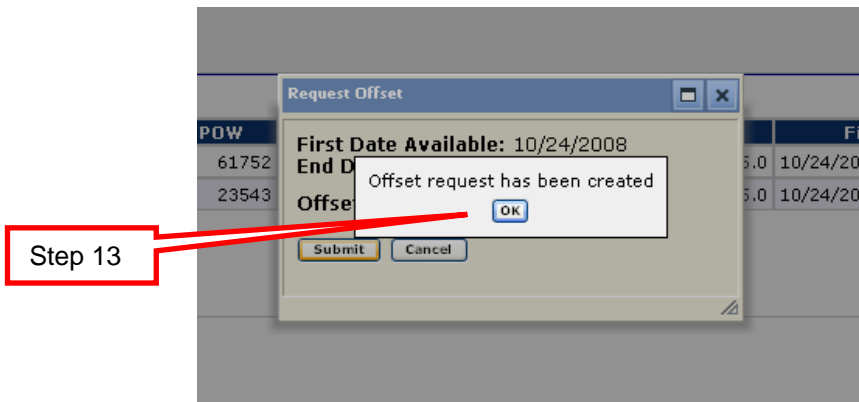
Figure 11-6   Offset Request Confirmation

13.   Click the **OK** button.

The requested offset will be sent to the Credit Management System for Credit Approval. The approved or declined offset may be viewed (refer to 11.2).

The following figure shows an example of one offset with two TCCs.
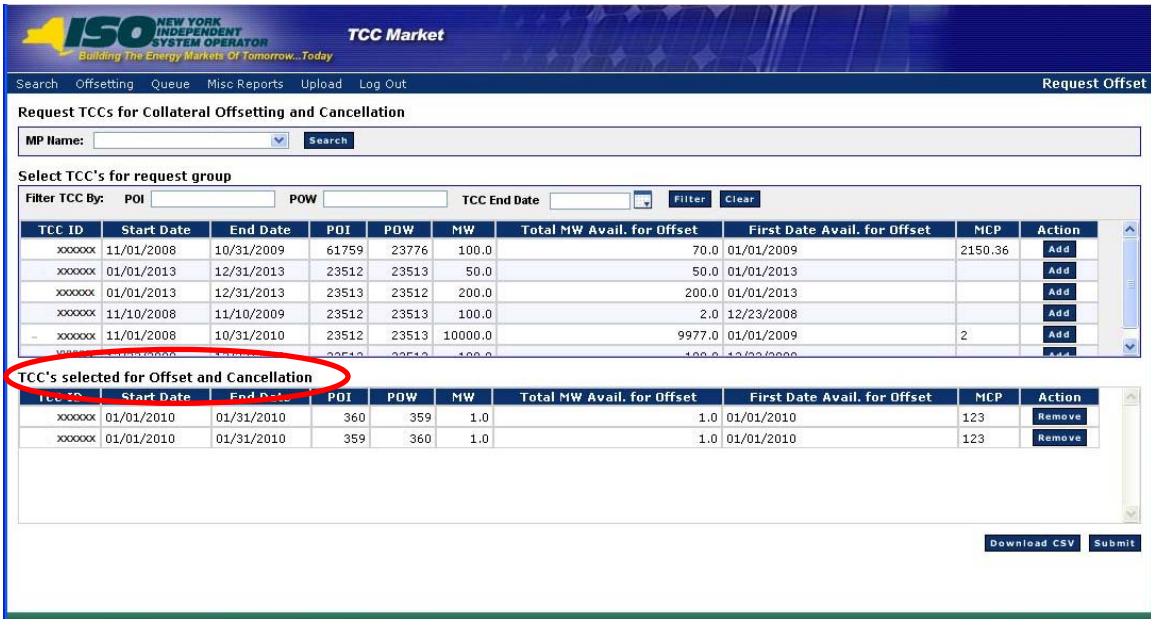
Figure 11-7   Results of One Offset with Two TCCs

The following figure shows an example of one offset with multiple TCCs.

Figure 11-8   Results of One Offset with Multiple TCCs

11.2   Viewing Offset Transactions

This subsection describes the process through which users may view the status of offset transactions that were requested. The MP is allowed to only access and read its own information.

Read Access: MPs and TOs

Write Access: None and TOs

🖥   ***To view status of requested offset transactions***

> **Pre-Requisite:** This procedure assumes that you have already logged on to the TCC AMS. If this is not the case, complete the procedure outlined under Section 2.3 before completing the steps below.

1.   From the menu bar, click **Offsetting** and then *View Offsetting TCCs* (as shown in the following figure).

Figure 11-9   View Offsetting Option on the Offsetting Menu in TCC AMS

The View Offsetting window appears (as shown in the following figure).
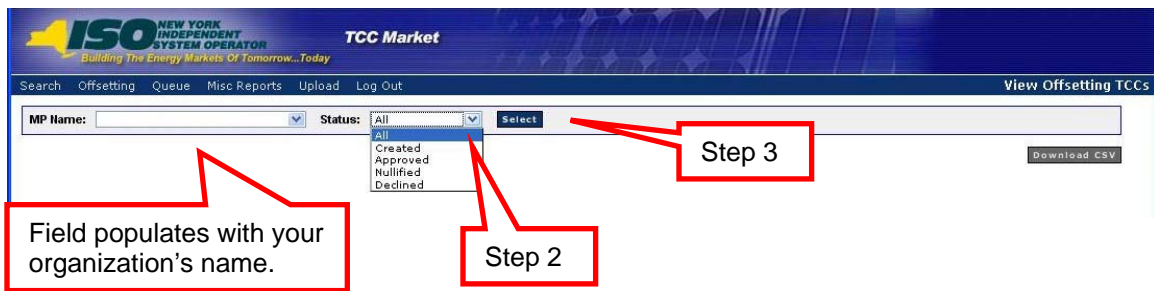
Figure 11-10 View Offsetting TCCs Window Illustrating Filtering Steps

2.   Click the drop-down arrow for **Status** then choose from among the following corresponding options:

- *All*
- *Created*
- *Nullified*
- *Declined*

3. Click the **Select** button. The results of the filter are shown in the following figure.
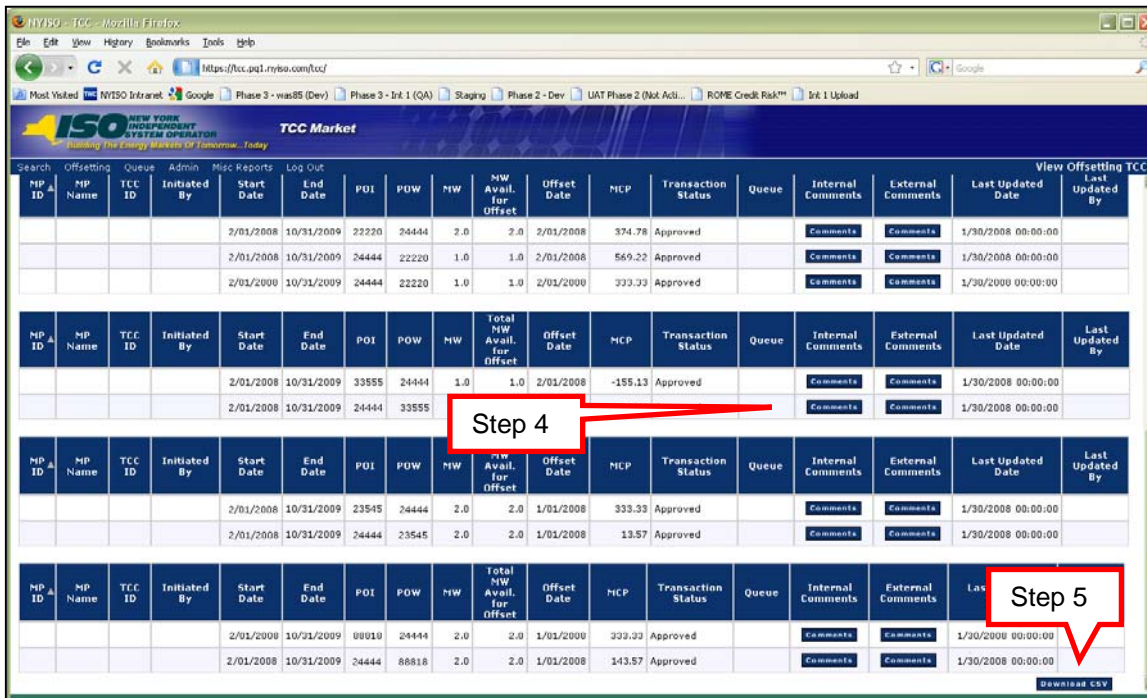
Figure 11-11 View Offsetting TCCs Window Illustrating Additional Viewing Options

4. The user may view comments and status for pending, declined and approved offsets by clicking on the corresponding **Comments** button. The following figure shows examples of comments.

Figure 11-12 Offset Comments Window

5. Click the **Download CSV** button, if desired.

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12. MISC REPORTS (NON-AUCTION RELATED)

This section describes the extracts available to users in support of Inventory Management and the associated data elements, calculations, and filters to be applied when creating them.

12.1 Summary of Transmission Contracts

This subsection describes the creation of the extract of transmission contracts in the TCC AMS and the information that the public is allowed to read. This is a public report.

Read Access: MPs and TOs

Write Access: None

🖥 *To perform the Summary of Transmissions Contracts Extract*

> *Pre-Requisite:* This procedure assumes that you have already logged on to the TCC AMS. If this is not the case, complete the procedure outlined under Section 2.3 before completing the steps below.

1. From the main menu, click **Misc Reports**.

Figure 12-1   Misc Reports Menu in TCC AMS

The Misc Reports window opens (as shown in the following figure).

Figure 12-2   Means of Filtering and Generating a Summary of Transmission Contracts Extract

Notice that the *MP* field will default to the current MP user's name.

2. In the **Summary of Transmission Contracts Extract** area, select the **Active Range Start Date** and the **Active Range End Date**.

> **Note:** If dates are not selected, all inventories will be shown in the results. Entering dates is optional.

The only format available for this report is *CSV*. Selecting an Active Range Start Date and End Date will pick up any TCCs and associated transaction that are active at any point in the time period.

3. Click the **Generate** button.

The report appears (as shown in the following figure).

Contract Id	Att L Ref	Start Date	End Date	POI ID	POI Name	POI Zone	POW ID	POW Name	POW Zone	MW Summer	MW Winter	Primary Holder	Market Clr Price	Ref Cont Id
1	1	1-Sep-99	31-Dec-50	23744	NINE_MIL	CENTRL	61758	HUD VL	HUD VL	101	101	Central Hu	N/A	
3	3	1-Sep-99	31-Dec-50	61758	HUD VL	HUD VL	61759	MILLWD	MILLWD	300	300	Central Hu	N/A	
4	4	1-Sep-99	31-Dec-50	61756	MHK VL	MHK VL	61757	CAPITL	CAPITL	25	25	Central Hu	N/A	
5	5	1-Sep-99	31-Dec-50	23526	BOWLINE	HUD VL	61759	MILLWD	MILLWD	5	5	Consolidat	N/A	
6	5	1-Sep-99	31-Dec-50	23595	BOWLINE	HUD VL	61759	MILLWD	MILLWD	5	5	Consolidat	N/A	
9	12	1-Sep-99	31-Dec-50	23598	FITZPATR	CENTRL	61762	LONGIL	LONGIL	103	100	Long Islan	N/A	
11	14	1-Sep-99	31-Dec-50	61760	DUNWOD	DUNWOD	61762	LONGIL	LONGIL	307	300	Long Islan	N/A	
13	16	1-Sep-99	31-Dec-50	23744	NINE_MIL	CENTRL	61762	LONGIL	LONGIL	206	206	Long Islan	N/A	

Figure 12-3   Summary of Transmission Contracts

The above figure shows contracts beginning in1999.

Contracts may be viewed with the information provided above. All TCCs not created through an auction and all non-auction related transactions will have the MCP listed as N/A. All TCCs will have a Contract Id. A transaction against a TCC has a blank Contract Id field and a reference to the affected contract in the Ref Cont Id field. Conversely, a TCC will not have a blank contract Id field and the Ref Cont Id field will be blank.

Create a Contract – Transaction records will not be created for Create New transactions.

Change MW – These transactions will be used to create a profile. Each change in the profile becomes a record in the extract. The profile will determine the Summer and Winter MW for each of those records. The Start Date of the first change in the profile is the Start Date of that record. The End Date is either the Start Date of the next change in the profile or, if no more profile changes occur, the End Date is the TCC End Date of the Inventory record.

The following figure is an example of the following GF contract with a Change MW transaction against it on 1/1/08 increasing MW Summer by 4 MW and MW inter by 7 MW. Note the same Contract ID appears twice.

Table 12-1   GF Contract with a Change MW Transaction

1	1	1-Sep-99	31-Dec-50	23744	NINE_MILE_2	CENTRL	61758	HUD VL	HUD VL	101	101	Central Hudson Gas & Electric Corp	N/A	
Contract ID	**Att L Ref**	**Start Date**	**End Date**	**POI ID**	**POI Name**	**POI Zone**	**POW ID**	**POW Name**	**POW Zone**	**MW Summer**	**MW Winter**	**Primary Holder**	**Market Clr Price**	**Ref Cont Id**
1	1	1-Sep-99	31-Dec-07	23744	NINE_MILE_2	CENTRL	61758	HUD VL	HUD VL	101	101	Central Hudson Gas & Electric Corp	N/A	
1	1	1-Jan-08	31-Dec-50	23744	NINE_MILE_2	CENTRL	61758	HUD VL	HUD VL	105	108	Central Hudson Gas & Electric Corp	N/A	

The following figure is an example of the following contract with an 8 MW Sell a Portion transaction against it on from 5/1/01 to 5/31/01 which created TCC 7000.

Table 12-2   Contract with an 8 MW Sell a Portion Transaction

Contract ID	Att L Ref	Start Date	End Date	POI ID	POI Name	POI Zone	POW ID	POW Name	POW Zone	MW Summer	MW Winter	Primary Holder	Market Clr Price	Ref Cont Id
5068		1-May-01	31-Oct-01	61753	GENESE	GENESE	23652	ROCHESTER_9_IC	GENESE	10	10	Enron Power Marketing	-15.95	
5068		1-May-01	31-Oct-01	61753	GENESE	GENESE	23652	ROCHESTER_9_IC	GENESE	10	10	Enron Power Marketing	-15.95	
		1-May-01	31-May-01	61753	GENESE	GENESE	23652	ROCHESTER_9_IC	GENESE	8	8	Enron Power Marketing	N/A	5068
7000		1-May-01	31-May-01	61753	GENESE	GENESE	23652	ROCHESTER_9_IC	GENESE	8	8	Coral Power LLC	N/A	

The following figure is an example of the following contract with an 8 MW Auction Sale transaction against it from 5/1/01 to 5/31/01.

Table 12-3   Contract with an 8 MW Auction Sale Transaction

Contract ID	Att L Ref	Start Date	End Date	POI ID	POI Name	POI Zone	POW ID	POW Name	POW Zone	MW Summer	MW Winter	Primary Holder	Market Clr Price	Ref Cont Id
5068		1-May-01	31-Oct-01	61753	GENESE	GENESE	23652	ROCHESTER_9_IC	GENESE	10	10	Enron Power Marketing	-15.95	
5068		1-May-01	31-Oct-01	61753	GENESE	GENESE	23652	ROCHESTER_9_IC	GENESE	10	10	Enron Power Marketing	-15.95	
		1-May-01	31-May-01	61753	GENESE	GENESE	23652	ROCHESTER_9_IC	GENESE	8	8	Enron Power Marketing	-3.12	5068

Change Ownership – Transaction records will not be created for Change Ownership transactions, they will be represented by the inventory records (e.g. – End Date of the Inventory record is the Transaction Start Date of the Change Ownership transaction).

The following figure is an example of the following contract with a Change Ownership transaction against it on 6/1/01 which created TCC 7000.

Table 12-4   Contract with a Change Ownership Transaction

Contract ID	Att L Ref	Start Date	End Date	POI ID	POI Name	POI Zone	POW ID	POW Name	POW Zone	MW Summer	MW Winter	Primary Holder	Market Clr Price	Ref Cont Id
5068		1-May-01	31-Oct-01	61753	GENESE	GENESE	23652	ROCHESTER_9_IC	GENESE	10	10	Enron Power Marketing	-15.95	
5068		1-May-01	31-May-01	61753	GENESE	GENESE	23652	ROCHESTER_9_IC	GENESE	10	10	Enron Power Marketing	-15.95	

| 7000 | | 1-Jun-01 | 31-Oct-01 | 61753 | GENESE | GENESE | 23652 | ROCHESTER_9_IC | GENESE | 10 | 10 | Coral Power LLC | N/A | |

The following figure is an example of the following 2 contracts with a Cancel/Offset transaction against them on 8/1/01.

Table 12-5   Two Contracts with a Cancel/Offset Transaction

4658		1-May-01	31-Oct-01	61753	GENESE	GENESE	23619	BEEBEE_GT_13	GENESE	20	20	Enron Power Marketing	27.73	
4659		1-May-01	31-Oct-01	23619	BEEBEE_GT_13	GENESE	61753	GENESE	GENESE	20	20	Enron Power Marketing	5537.49	

Contract ID	Att L Ref	Start Date	End Date	POI ID	POI Name	POI Zone	POW ID	POW Name	POW Zone	MW Summer	MW Winter	Primary Holder	Market Clr Price	Ref Cont Id
4658		1-May-01	31-Oct-01	61753	GENESE	GENESE	23619	BEEBEE_GT_13	GENESE	20	20	Enron Power Marketing	27.73	
4659		1-May-01	31-Oct-01	23744	BEEBEE_GT_13	GENESE	61753	GENESE	GENESE	20	20	Enron Power Marketing	5537.49	
		1-Aug-01	31-Oct-01	61753	GENESE	GENESE	23619	BEEBEE_GT_13	GENESE	20	20	Enron Power Marketing	N/A	4658
		1-Aug-01	31-Oct-01	23744	BEEBEE_GT_13	GENESE	61753	GENESE	GENESE	20	20	Enron Power Marketing	N/A	4659

12.2   Detailed Maintenance Extract

This subsection describes the extract of inventory records that have detailed maintenance performed upon them within a specific date range. The MP is allowed to only access and read its own data.

Read Access: MPs and TOs

Write Access: None

⌨   **To extract the Detailed Maintenance extract**

> **Pre-Requisite:** This procedure assumes that you have already logged on to the TCC AMS. If this is not the case, complete the procedure outlined under Section 2.3 before completing the steps below.
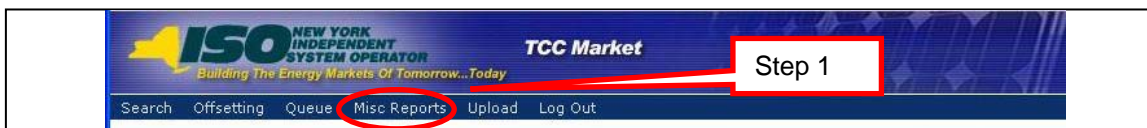
1.   From the main menu, click **Misc Reports**.

Figure 12-4   Misc Reports Menu in TCC AMS

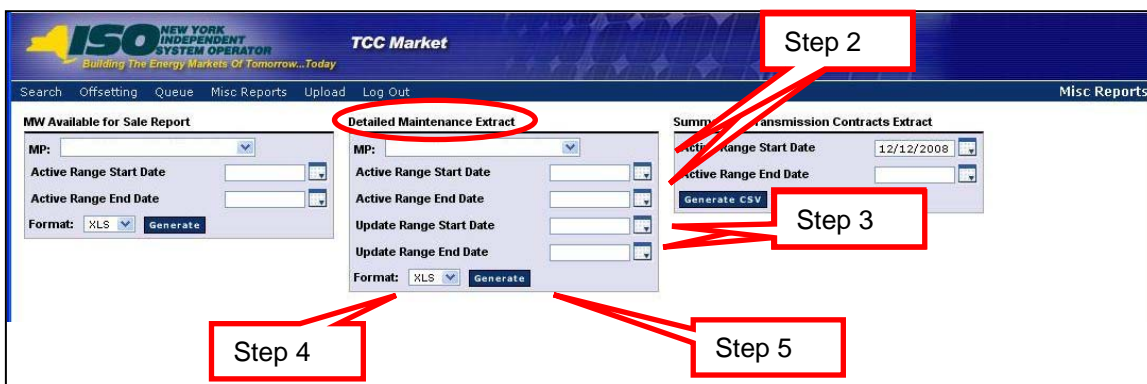The following window opens (as shown in the following figure).

Figure 12-5   Means of Filtering and Generating a Detailed Maintenance Extract

Notice that the *MP* field will default to the current MP user's name.

2.   Select the **Active Range Start Date** and the **Active Range End Date**. This is the filter applied to the inventory record. Entering dates is optional.

3.   Select the **Update Range Start Date** and the **Update Range End Date**. This is the filter applied to the maintenance records.

4.   Choose a **Format** for the report: *CSV* or *XLS*.

5. Click the **Generate** button.

The report appears (as shown in the following figure) with all detailed maintenance that has occurred for all contracts owned in the date ranges selected.

Figure 12-6   Detailed Maintenance Report

12.3   MW Available for Sale Report

This subsection describes the creation of a report to capture the Maximum available MW for a specified period of time. This is used by Market Participants to determine the maximum available MW for a contract that may be offered into auctions. The MP is allowed to only access and read its own information.

Read Access: MPs and TOs

Write Access: None

⌨   **To create the MW Available for Sale report**

> *Pre-Requisite:* This procedure assumes that you have already logged on to the TCC AMS. If this is not the case, complete the procedure outlined under Section 2.3 before completing the steps below.

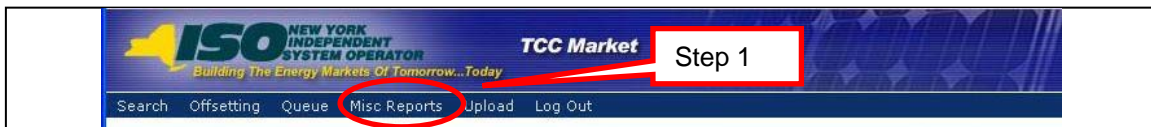**1.** From the main menu, click **Misc Reports**.

Figure 12-7   Misc Reports Menu in TCC AMS

The Misc Reports window opens (as shown in the following figure).

Figure 12-8   Means of Filtering and Generating a MW Available for Sale Support

Notice that the *MP* field will default to the current MP user's name.

2.   In the **MW Available for Sale Report** area, select criteria for the report in the form of the **Active Range Start Date** and the **Active Range End Date**. Entering dates is optional.

3.   Choose a **Format** for the report: *XLS* or *CSV*.

4.   Click the **Generate** button.

The report appears (as shown in the following figure).

Figure 12-9   MW Available for Sale Report

The above figure shows the result of selecting *XLS* in step 3. The report displays MWs available for sale for each contract owned and available for sale for the chosen time period.

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13. TCC NOMINATIONS

13.1   View ETCNL Nominations Report

This subsection describes the process of viewing a selected ETCNL Nominations Report. All TO users may view available capacity information once the nominations reports are made visible (Status = Nomination Open, Nomination Closed, Approved, Invalidated). All public users may view all information once the reports are approved or invalidated after approval.

Table 13-1   Nominations – Status and Description

Viewed By	Status	Description
Transmission Owner	**Nomination Open**	**Open period for TOs to provide their nominations for RCRR/ETCNL TCCs**
Transmission Owner	**Nomination Closed**	**Period for nomination is closed**
Transmission Owner, Public	**Approved**	**Nominations are approved. TCCs are created.**
Public (after report is approved)	**Invalidated**	**Nomination report is cancelled including any created TCCs**

Read Access: MPs may only read reports that are approved or invalidated after they have been approved.

TOs have complete read access of their own information.

Write Access: None

🖳   *To view the ETCNL Nominations Report*

> *Pre-Requisite:* This procedure assumes that you have already logged on to the TCC AMS. If this is not the case, complete the procedure outlined under <u>Section 2.3</u> before completing the steps below.

1.   From the menu bar, click **Search** and then *Nominations* (as shown in the following figure).

Figure 13-1   Nominations Option on Search Menu in TCC AMS

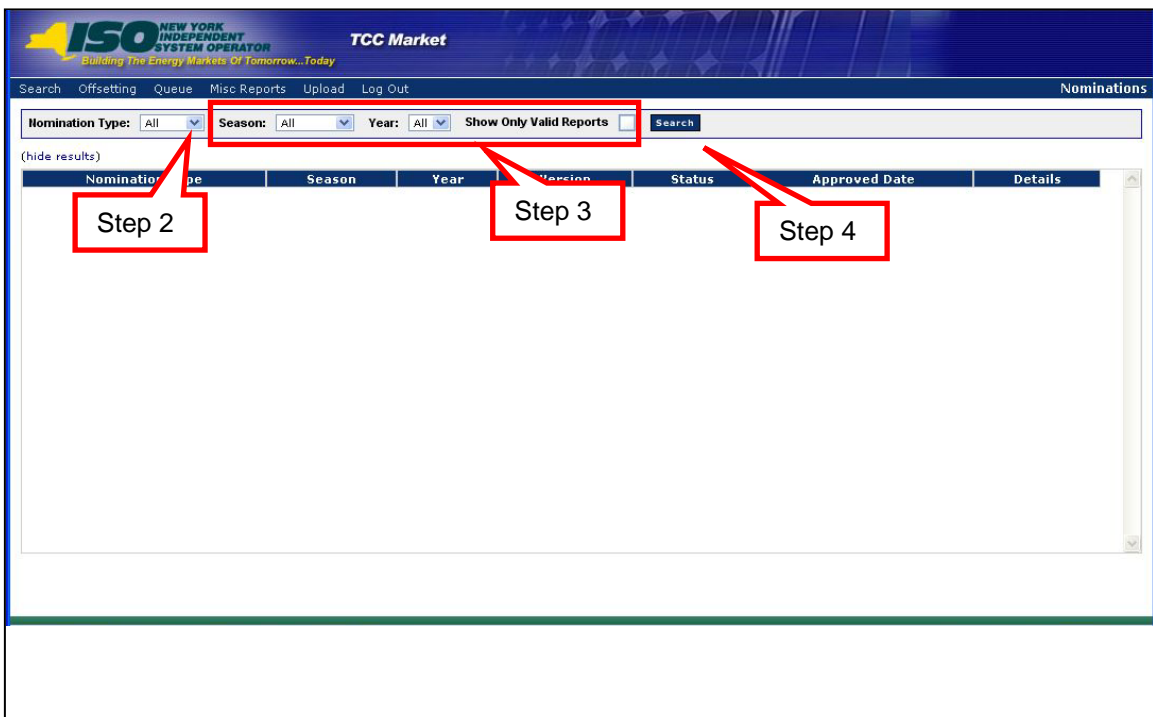The Nominations window opens (as shown in the following figure).

Figure 13-2   Nominations Window Showing Means of Filtering and Initiating a Search

2. From the **Nomination Type** drop-down, click *ETCNL*.
3. Choose additional criteria, as needed:
   - **Season**
   - **Year**
   - **Show Only Valid Reports**
4. Click the **Search** button.
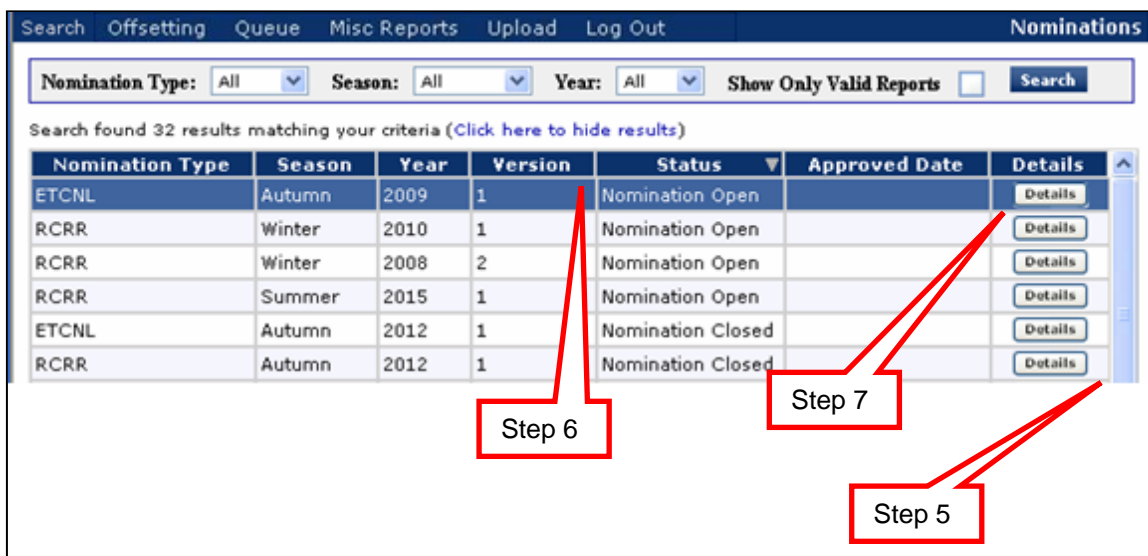   The results of the search criteria appear (as shown in the following figure).

Figure 13-3   Means of Navigating ETCNL Search Results and Displaying Nomination Details

5. Browse through the reports by using the scroll bar.

6. To sort the results, click any column header to reveal the toggle up (▲) and toggle down (▼) buttons. Each click in a column header will toggle the sorting order.

7. To see a report for an ETCNL nomination, click the nomination's corresponding **Details** button.

    The details for the selected nomination appear in the lower panel of the active window. For ease of presentation in this user guide, the following screenshot has been split in order to see all column headers (as shown in the following figure).

Figure 13-4   ETCNL Nominations Report

13.2   Elect to Convert ETCNL Nominations

This subsection describes the process through which the TOs may enter Nomination information on the ETCNL Nominations report. TOs may only edit the Nomination of ETCNL values for their ETCNL Holdings. All TOs may view all ETCNL available capacities for nomination at all points within the process. However, the nominated values for all TOs will not be visible until the nominating report has been approved.

Once the Report has been closed by the NYISO (status = Nomination Closed, Approved, or Invalidated), no additional elections may occur. A TO may only convert ETCNL Nominations when the status of the report is Nomination Open.

Read Access: MPs may only read reports that are approved or invalidated after they have been approved.

TOs have complete read access.

Write Access: TOs may write their own information while the Nominations period is open

⌨   *To convert ETCNL Nominations*

1.   Perform steps 1 through 6 in Section 13.1 to view and search for ETCNL nominations.
      The results of the search criteria appear (as shown in the following figure).

Figure 13-5   Nominations Window Highlighting *Details* Button for Open Nominations

2.   For a nomination whose status is *Nomination Open*, click its corresponding **Details** button.

The details for the selected nomination appear in the bottom panel. For ease of presentation in this user guide, the window has been split to allow all column headers to be shown (as shown in the following figure).

Figure 13-6   Initiating ETCNL Nomination via the *Nominate* Button

3.   Click the corresponding **Nominate** button.

> **Note:** After clicking the *Nominate* button the TO Nominations of ETCNL Feasibility (MW) will become editable (as shown in the following figure).

Figure 13-7   Steps for Completing an ETCNL Nomination

4. Click in the **TO Nominations of ETCNL Feasibility (MW)** column and enter a value.

> **Note:** This value may be equal to or less than the value in the previous column (the "ETCNL Reservation" column).

5. Click the corresponding **Save** button. A message appears (as shown in the following figure).
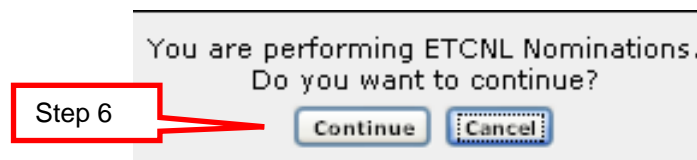

Figure 13-8   ETCNL Nominations Confirmation Prompt

6. Click the **Continue** button to continue and save (or click the **Cancel** button to exit the edit mode).

Figure 13-9   Means of Downloading a ETCNL Nominations Report

7.   To download the report, click the **Download CSV** button (as shown in the above figure).

13.3   View RCRR Nominations Report

This subsection describes the process of viewing a selected RCRR Nominations Report. All TO users may view all capacity available for nomination once the nominations reports are made visible (Status = Nomination Open, Nomination Closed, Approved, or Invalidated). All public users may view all information once the reports are approved or invalidated after approval.

Read Access: MPs may only read reports that are approved or invalidated after they have been approved.

TOs have complete read access.

Write Access: None

   💻   *To view the RCRR Nominations Report*

> *Pre-Requisite:* This procedure assumes that you have already logged on to the TCC AMS. If this is not the case, complete the procedure outlined under Section 2.3 before completing the steps below.

1.   From the menu bar, click **Search** and then *Nominations* (as shown in the following figure).

Figure 13-10 Nominations Option on the Search Menu in TCC AMS

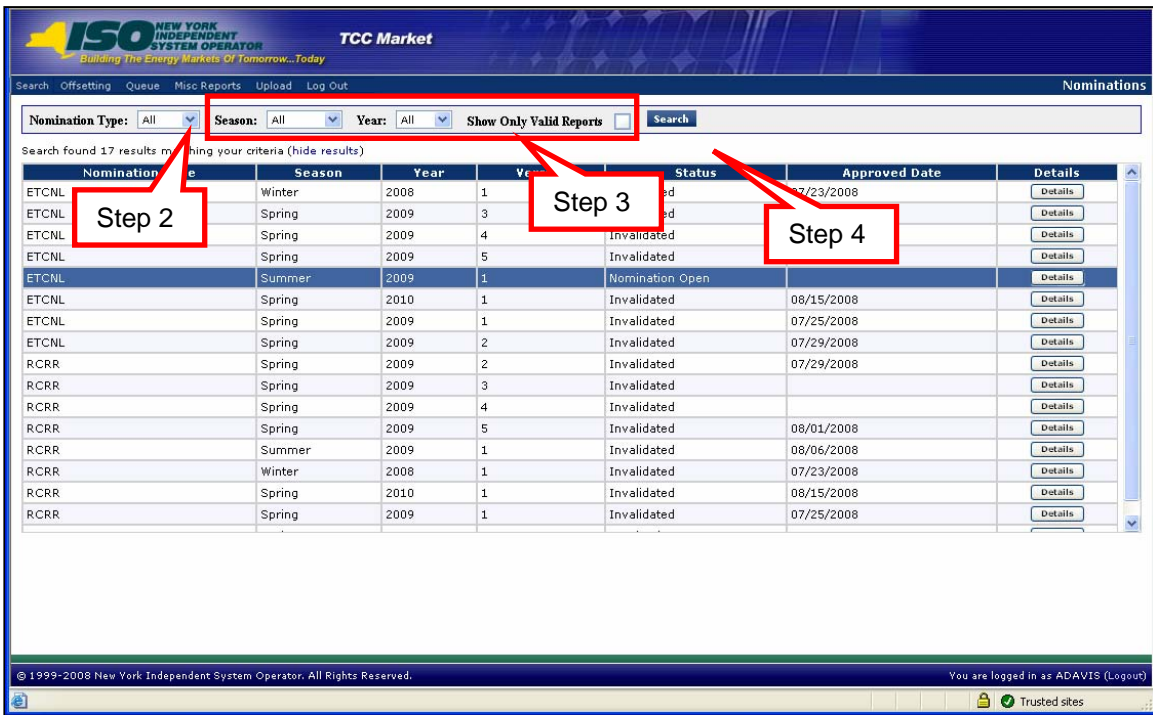The Nominations window opens (as shown in the following figure).

Figure 13-11 Steps for Filtering and Initiating a Search for RCRR Nominations

2. From the **Nomination Type** drop-down, choose *RCRR*.
3. Choose additional criteria, as needed:

- **Season**
- **Year**
- **Show Only Valid Reports**

4. Click the **Search** button.

The results of the search criteria appear (as shown in the following figure).

Figure 13-12 Generating a RCRR Nomination Report via the *Details* Button

5. To see a report for an RCRR nomination click the nomination's corresponding **Details** button.

The details for the selected nomination appear in the lower panel of the window.

13.4   Elect to Convert RCRR Nominations

This subsection describes the process through which the TOs may enter Nomination information on the RCRR Nominations report. TOs may only edit the TO Nomination of RCRR value for their RCRR Holdings. All TOs may view all RCRR capacity available for all other TOs at all points within the process. However, the nominated values are only visible to all TOs when the nominating report has been approved.

Once the Report has been closed by the NYISO (Status = Nomination Closed, Approved, or Invalidated), no additional elections may occur. The TO may only elect to nomination when the status of the report is *Nomination Open*.

Read Access: MPs may only read reports that are approved or invalidated after they have been approved.

TOs have complete read access.

Write Access: TOs may write their own information while the Nominations period is open

🖳 ***To convert RCRR Nominations***

1. Perform steps 1 through 4 in Section 13.3 to view and search for RCRR nominations.

The results of the search criteria appear (as shown in the following figure).
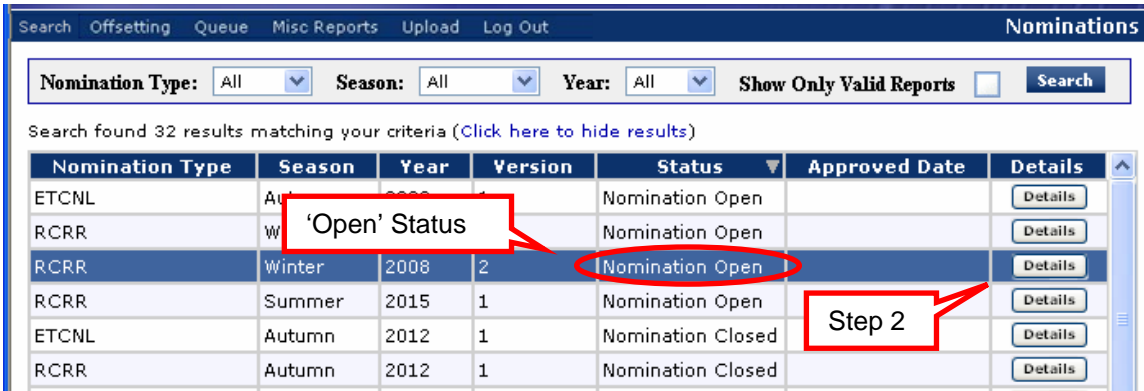
Figure 13-13 Nominations Window Highlighting *Details* Button for Open Nominations

2. Choosing a nomination with a *Nomination Open* status, click its corresponding **Details** button.

    The details for the selected nomination appear in the lower panel of the window (as shown in the following figure).
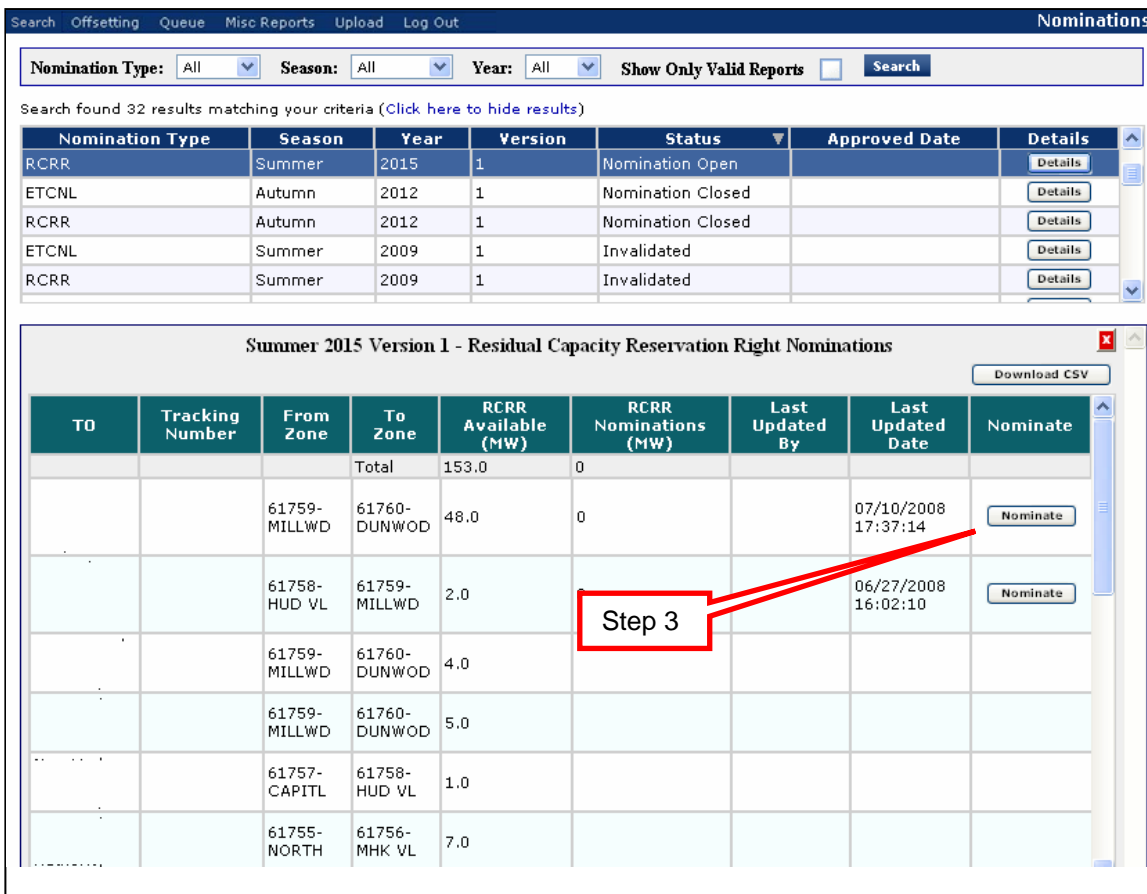

Figure 13-14 Initiating an RCRR Nomination via the *Nominate* Button

3. Click within a row to select and click the corresponding **Nominate** button.

> **Note:** After clicking the *Nominate* button, in the RCRR Nomination (MW) column will change become editable (as shown in the following figure).

Figure 13-15 Steps for Completing an RCRR Nomination

4. Click in the **RCRR Nominations (MW)** column and enter a value.

> **Note:** This value may be equal to or less than the value in the previous column (the "*RCRR Available (MW)*" column).

5. Click the corresponding **Save** button. A message window appears (as shown in the following figure).
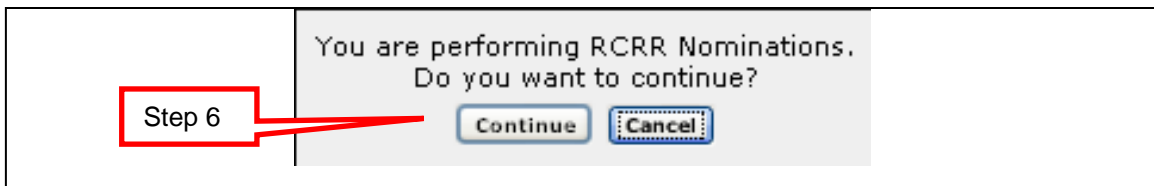

Figure 13-16 RCRR Nominations Confirmation Prompt

6. Click the **Continue** button to continue and save. The system will save the nomination value.

Figure 13-17 Means of Downloading an RCRR Nominations Report

7.   To download the report, click the **Download CSV** button.

NYISO TCC AUTOMATED MARKET SYSTEM USER'S GUIDE

14. PUBLIC USERS

This section describes how Public users may view the reports available through the NYISO website. This section describes the following functionality:

- Viewing Binding Constraints
- Viewing Nodal Prices
- Viewing Awards Summary
- Viewing Nominations Reports
- Viewing Summary of Transmission Contracts Reports

14.1   Accessing Public Reports

🖥 *To access public reports*

1.   Point your browser to www.nyiso.com (as shown in the following figure).

Figure 14-1   NYISO Home Page

2.   Under the **Products** header, select *TCC* (as shown in the following figure).

TCC Products, Market Structures
Version 3.1   09/18/2009   *14-1*

Figure 14-2   NYISO Home Page Highlighting TCC Option on Products Menu

The NYISO TCC window opens (as shown in the following figure).

Figure 14-3   NYISO TCC Page

3.   Click the **TCC Auctions** link.

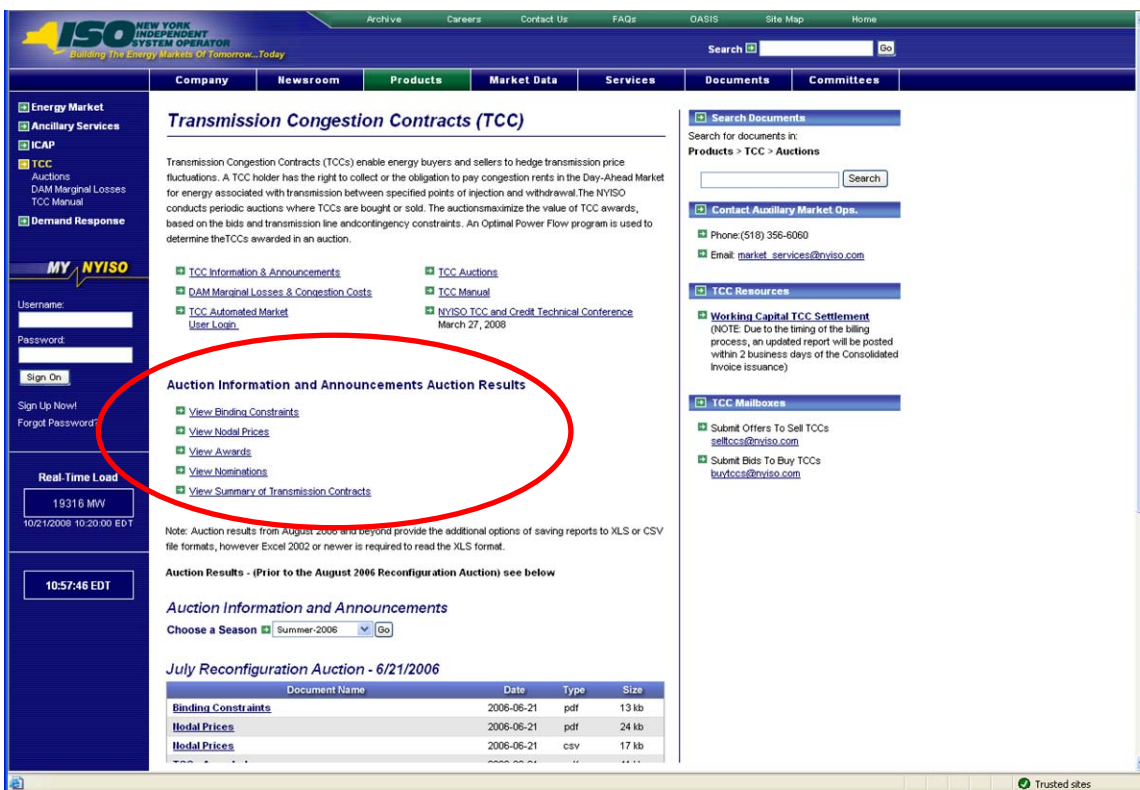The following page is shown, with links to public views of reports:

Figure 14-4   Links to Public Reports on the NYISO TCC Page

14.2   View Awards Reports

The following public reports will be available for viewing through the NYISO public web site for all including those that have neither a NYISO digital certificate nor an MIS user account:

- Binding Constraints
- Nodal Prices
- Awards Summary
- Nominations
- Summary of Transmission Contracts

14.2.1   Binding Constraints Public Reports

⌨ *To view the Binding Constraints reports*

Pre-Requisite: This procedure assumes that you have already navigated to the NYISO TCC web page. If this is not the case, complete the procedure outlined under Section 14.1 before completing the steps below.

1.   On the NYISO TCC Auction Information page, click the **View Binding Constraints** link (as shown in the following figure).
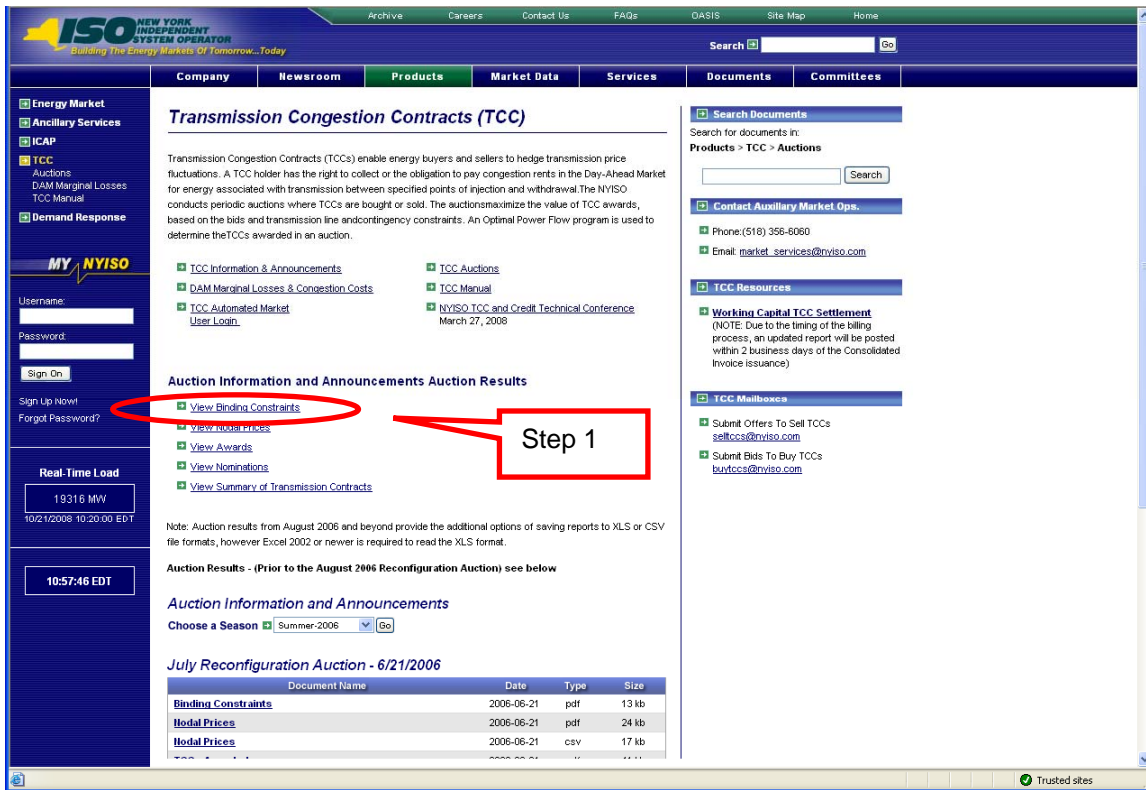
Figure 14-5 *View Binding Constraints* **Link on the NYISO TCC Page**

The View Binding Constraints page opens (as shown in the following figure).
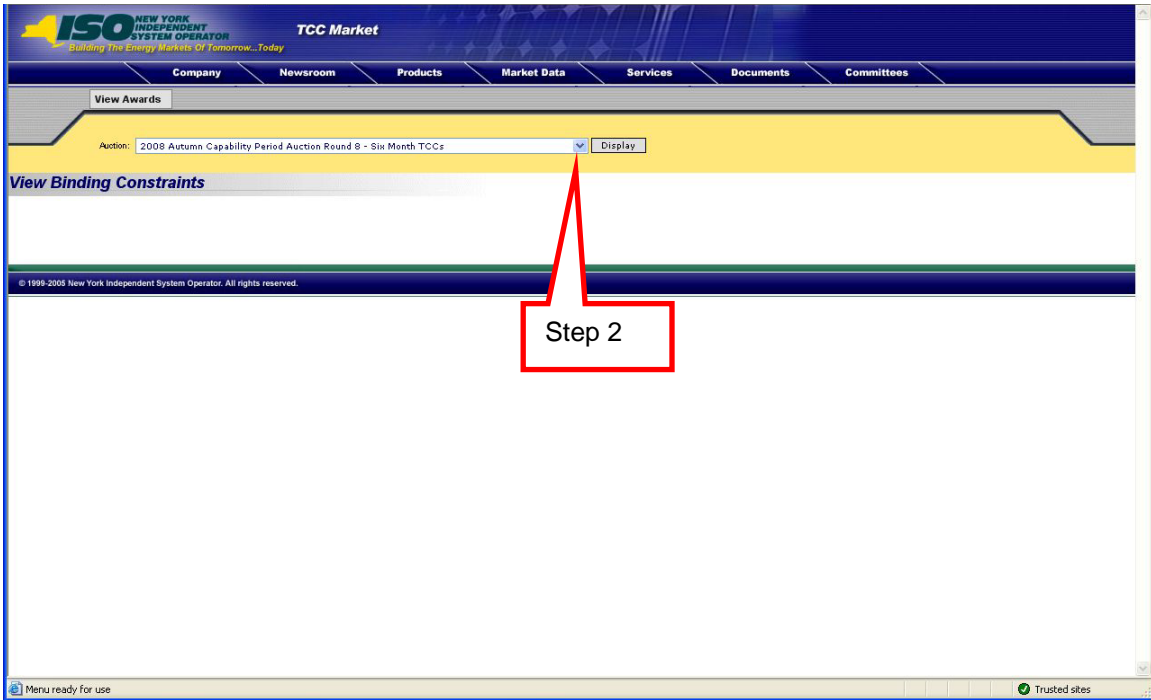
Figure 14-6   View Binding Constraints Page

2.   Click the **Auction** drop-down arrow to view the available reports (as shown in the following figure).
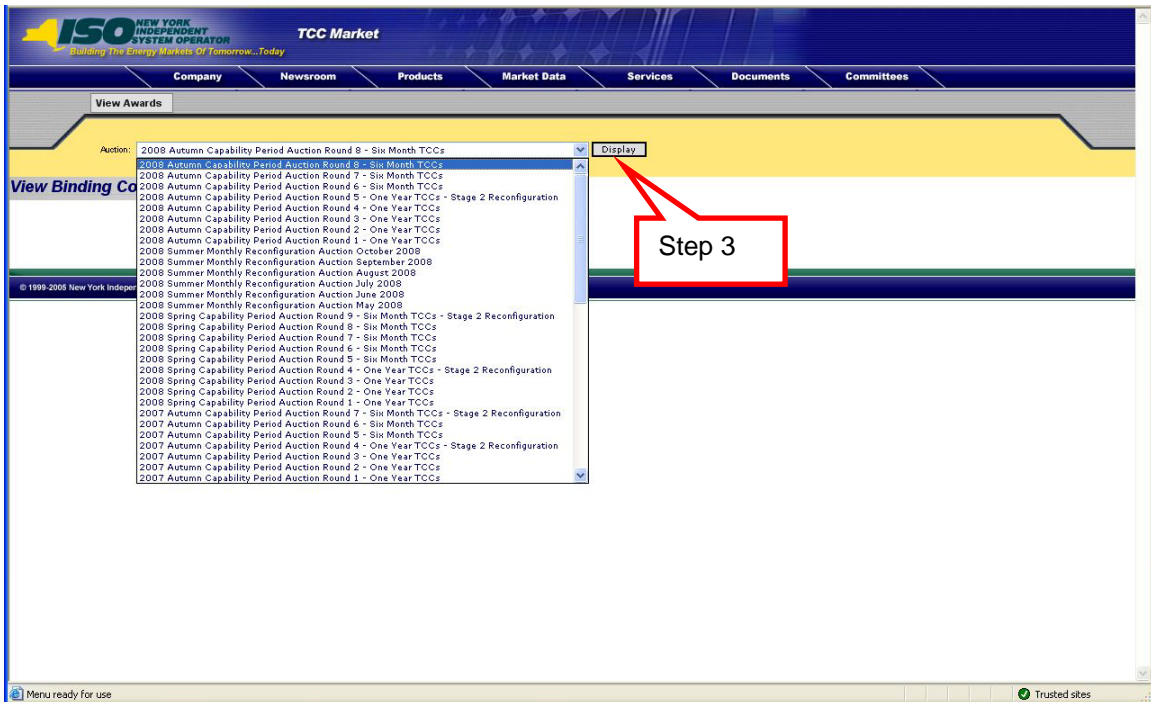

Figure 14-7   View Binding Constraints Page Showing Available Auction Rounds

3. After selecting the desired report, click the **Display** button.

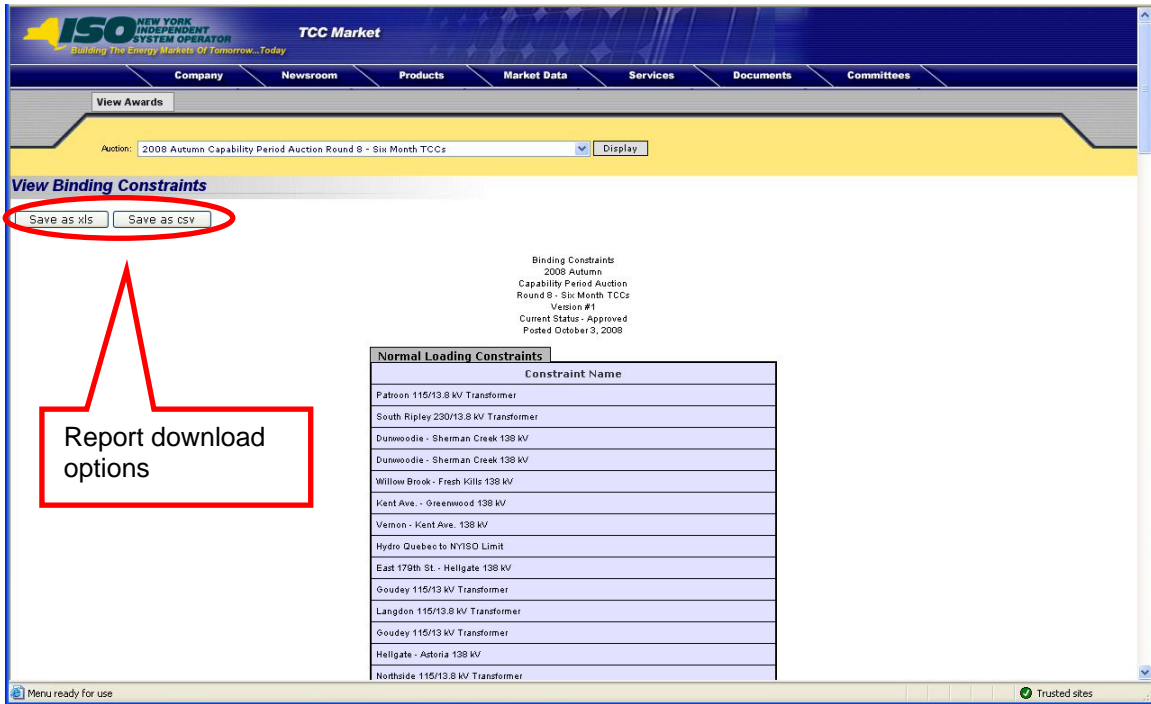The report appears (as shown in the following figure).

Figure 14-8   View Binding Constraints Report Page

> *Note:* The report may be downloaded in *.xls* or *.csv* formats (as shown in the following figure).

14.2.2   Nodal Prices Public Reports

 To view the Nodal Prices reports

Pre-Requisite: This procedure assumes that you have already navigated to the NYISO TCC web page. If this is not the case, complete the procedure outlined under Section 14.1 before completing the steps below.

1. On the NYISO TCC Auction Information page, click the **View Nodal Prices** link (as shown in the following figure).
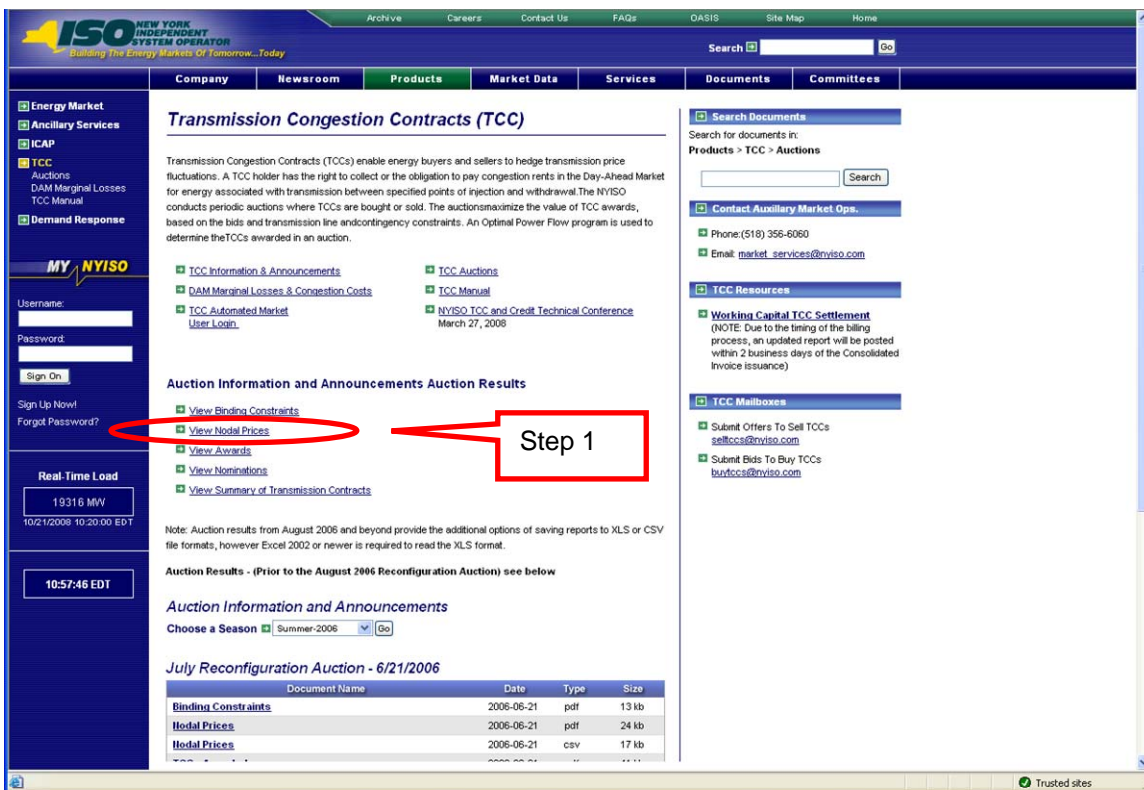
Figure 14-9 *View Nodal Prices* **Link on the NYISO TCC Page**

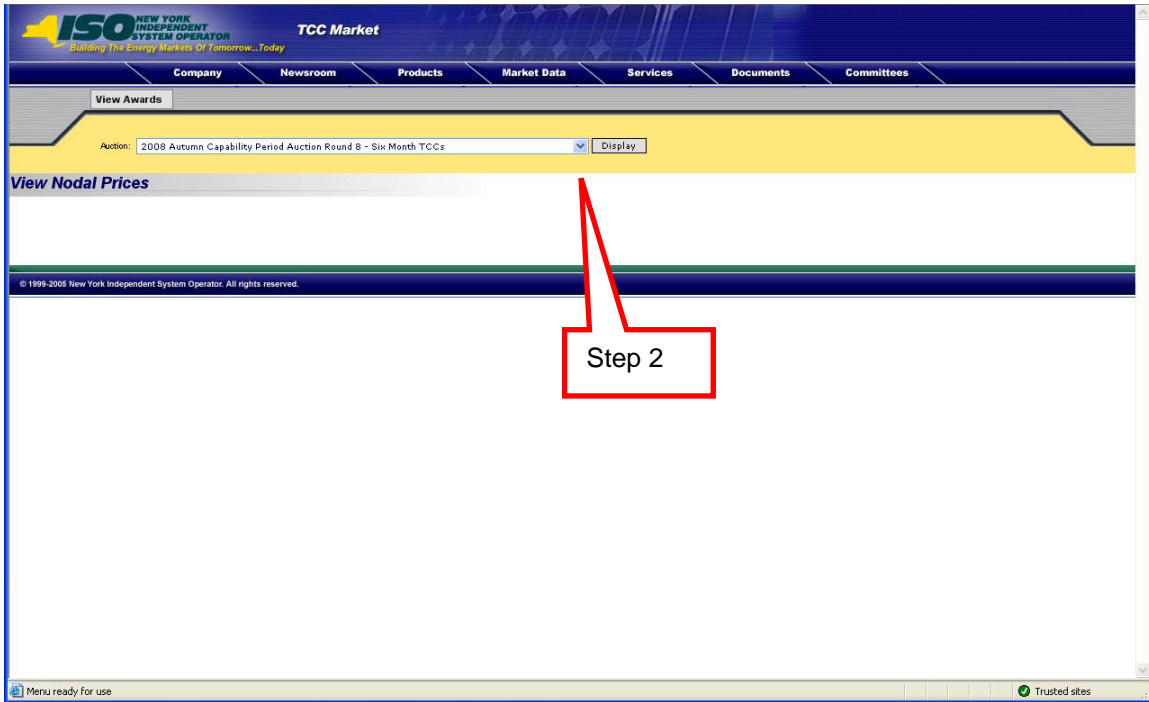The View Nodal Prices page opens (as shown in the following figure).

Figure 14-10 View Nodal Prices Page

2.   Click the **Auction** drop-down arrow to view the available reports (as shown in the following figure).
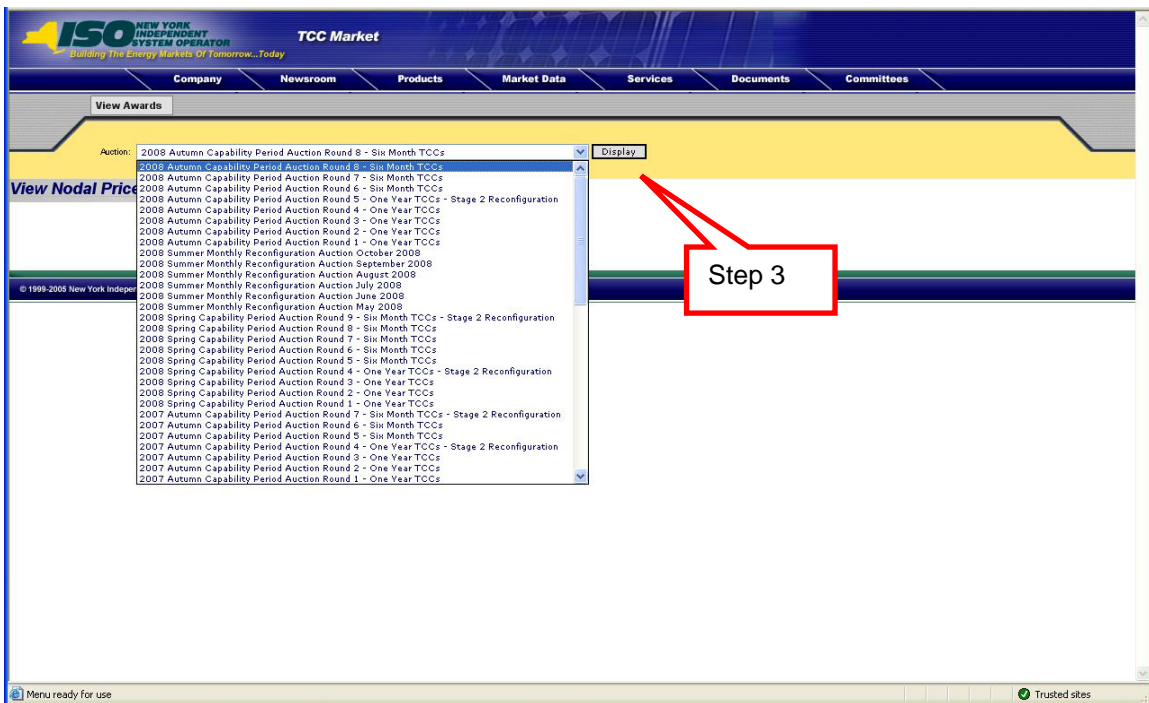

Figure 14-11 View Nodal Prices Page Showing Available Auction Round

3. After selecting the desired report, click the **Display** button.

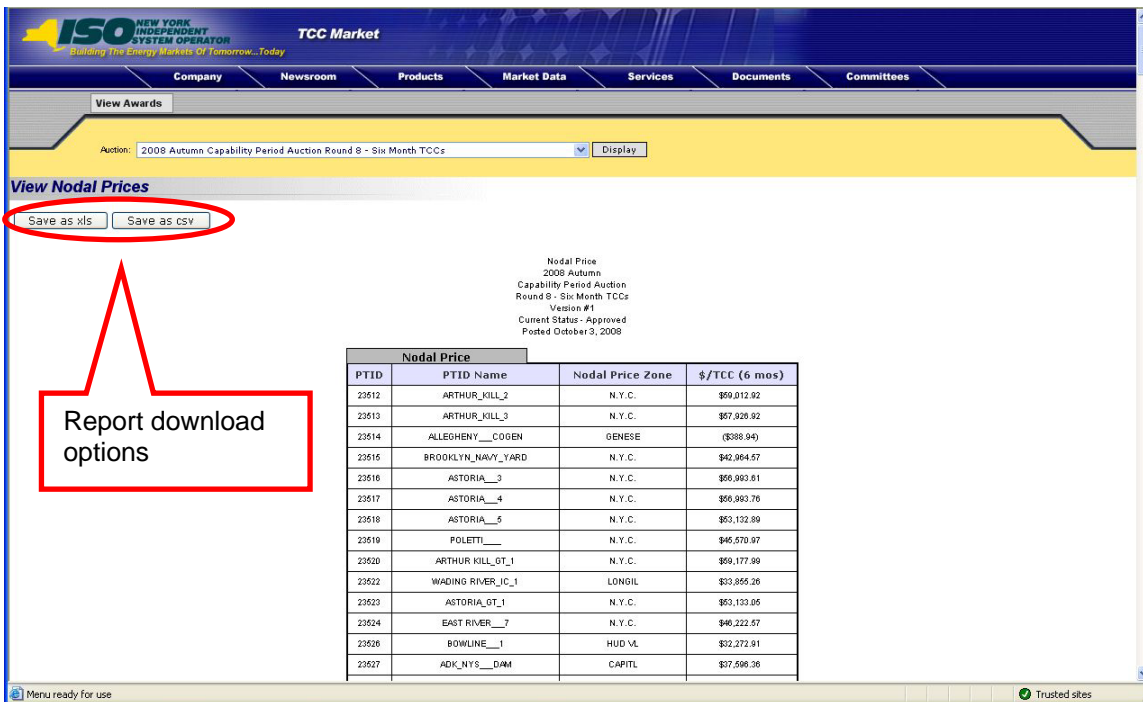The report appears (as shown in the following figure).

Figure 14-12 View Nodal Prices Report Page

> **Note:** The report may be downloaded in *.xls* or *.csv* formats (as shown in the above figure).

14.2.3   Awards Public Reports

🖳 *To view the Awards reports*

> **Pre-Requisite:** This procedure assumes that you have already navigated to the NYISO TCC web page. If this is not the case, complete the procedure outlined under <u>Section 14.1</u> before completing the steps below.

1. On the NYISO TCC Auction Information page, click the **View Awards** link (as shown in the following figure).
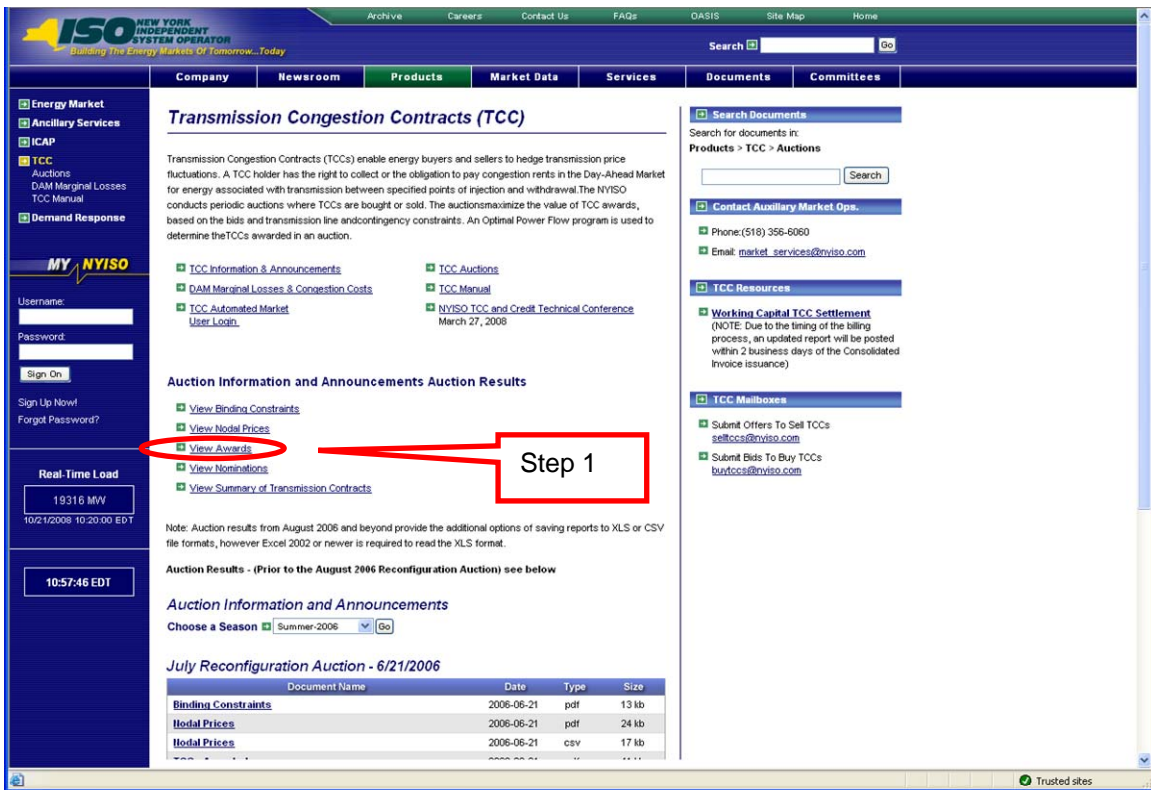
Figure 14-13 *View Awards* Link on NYISO TCC Page

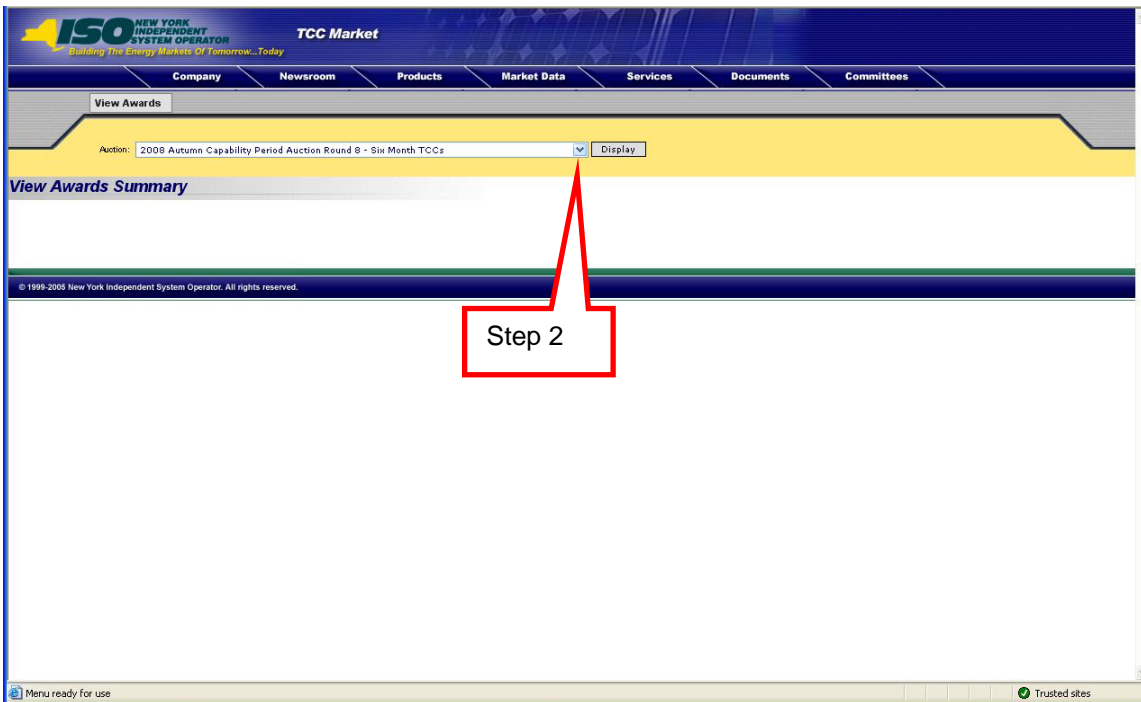The View Awards Summary page opens (as shown in the following figure).

Figure 14-14 View Awards Summary Page

2. Click the **Auction** drop-down arrow to view the available reports (as shown in the following figure).
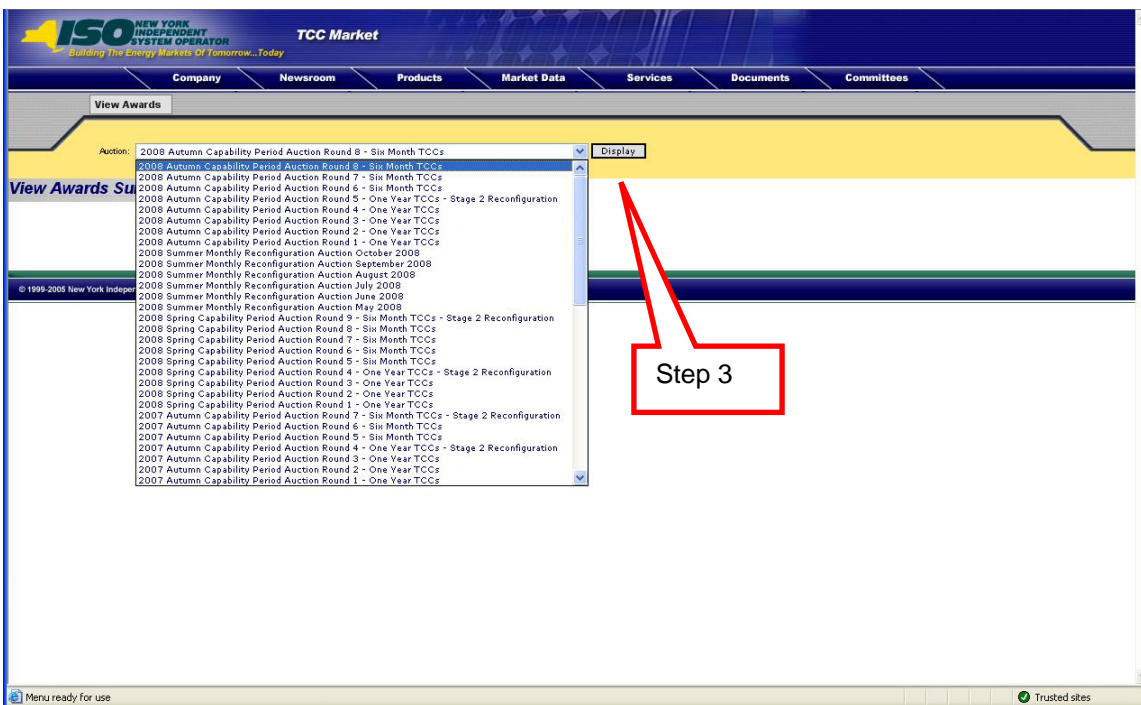

Figure 14-15 View Awards Summary Page Showing Available Auction Rounds

3. After selecting the desired report, click the **Display** button.

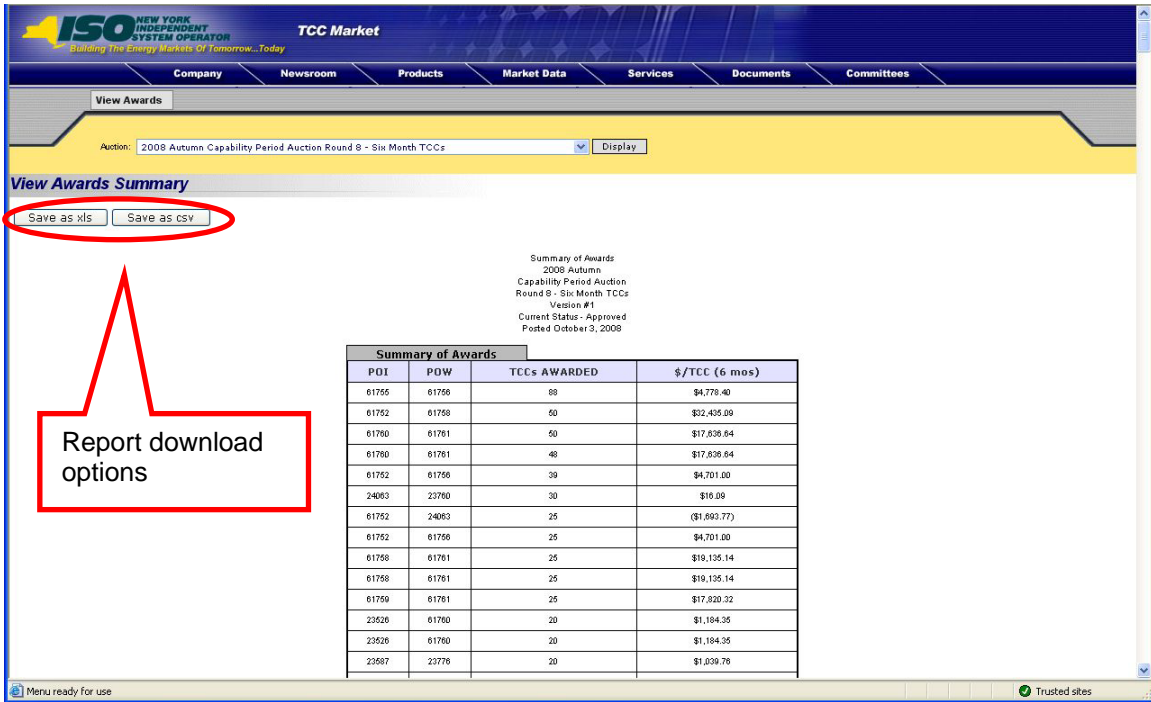The report appears (as shown in the following figure).

Figure 14-16 View Awards Summary Report Page

> *Note:* The report may be downloaded in *.xls* or *.csv* formats (as shown in the above figure).

14.2.4   Nominations Public Reports

⌨ *To view the Nominations report*

Pre-Requisite: This procedure assumes that you have already navigated to the NYISO TCC web page. If this is not the case, complete the procedure outlined under Section 14.1 before completing the steps below.

1. On the NYISO TCC Auction Information page, click the **View Nominations** link (as shown in the following figure).
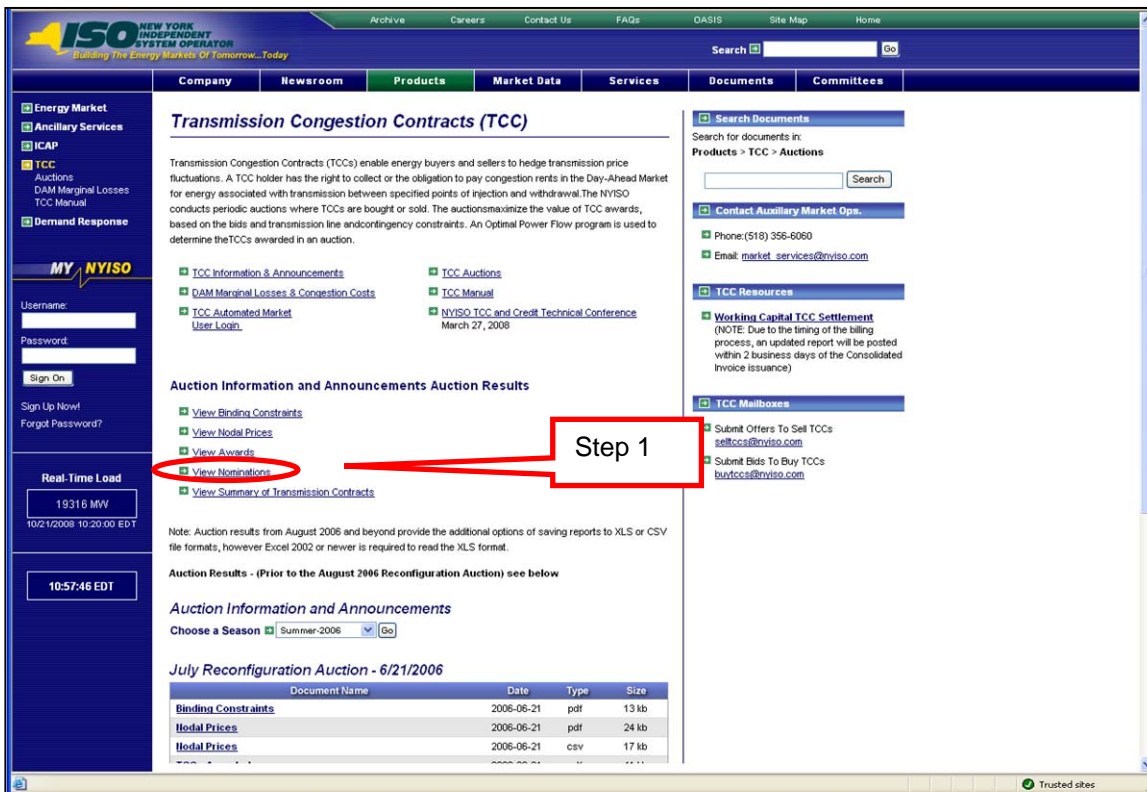
Figure 14-17   *View Nominations* Link on the NYISO TCC Page

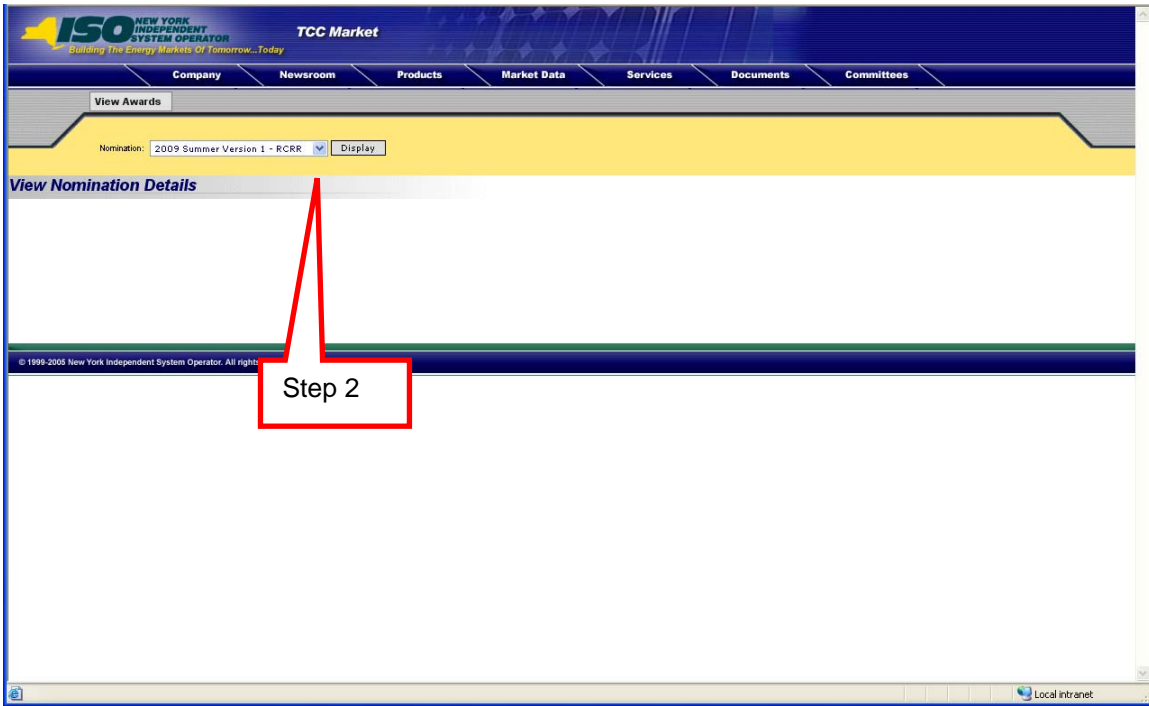The View Nominations Details page opens (as shown in the following figure).

Figure 14-18 View Nomination Details Page

2. Click the **Auction** drop-down arrow to view the available reports (as shown in the following figure).
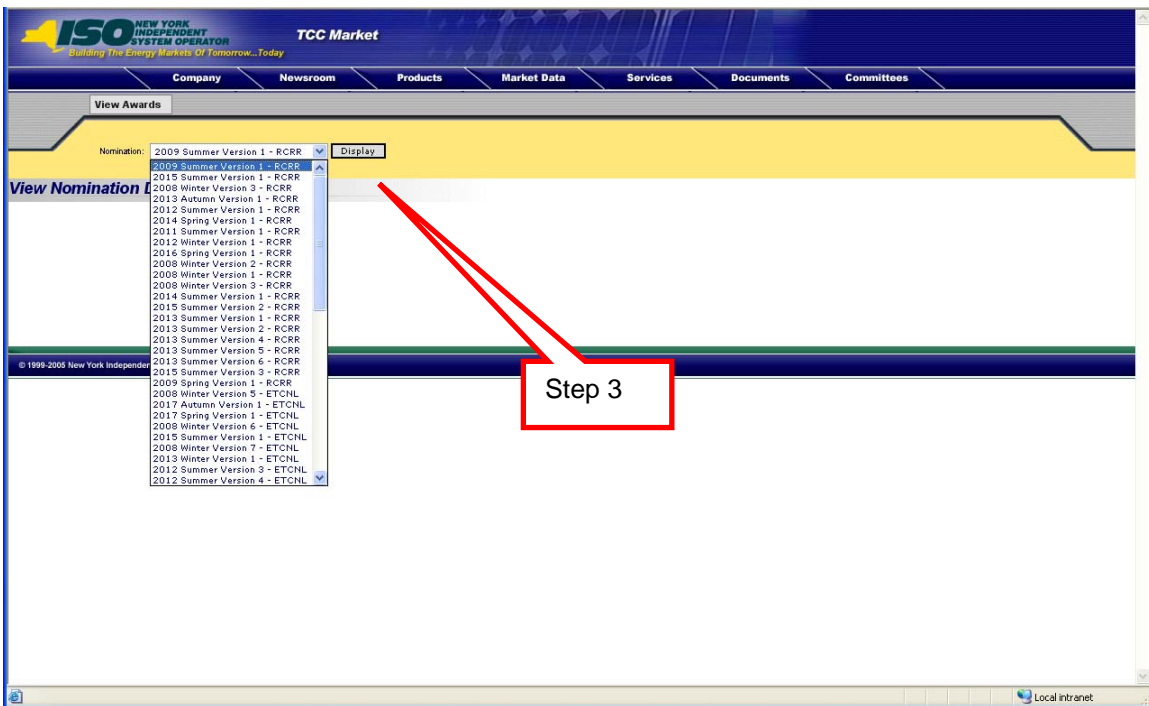

Figure 14-19 View Nomination Details Page Showing Available Reports

3. After selecting the desired report, click the **Display** button.

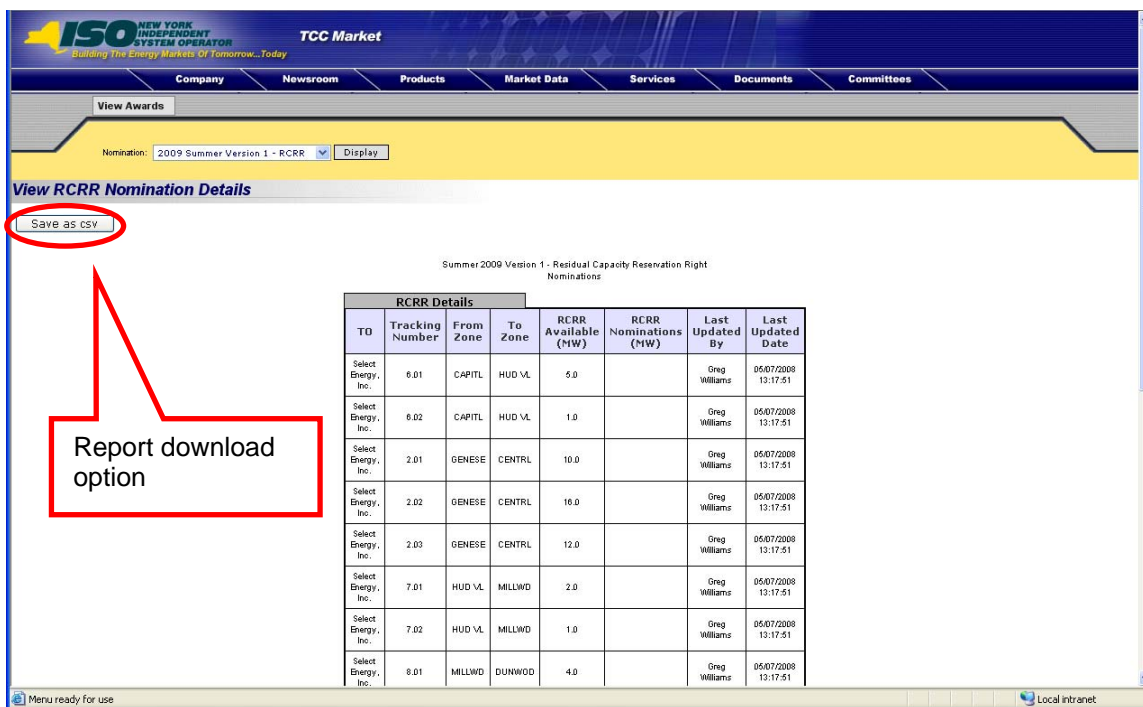The report appears (as shown in the following figure).

Figure 14-20 View RCRR Nominations Details Report Page

Note: The report may be downloaded in the *.csv* format (as shown in the above figure).

14.2.5   Summary of Transmission Contracts Public Reports

⌨ *To view the Summary of Transmission Contracts report*

Pre-Requisite: This procedure assumes that you have already navigated to the NYISO TCC web page. If this is not the case, complete the procedure outlined under Section 14.1 before completing the steps below.

1. On the NYISO TCC Auction Information page, click the **View Summary of Transmission Contracts** link (as shown in the following figure).
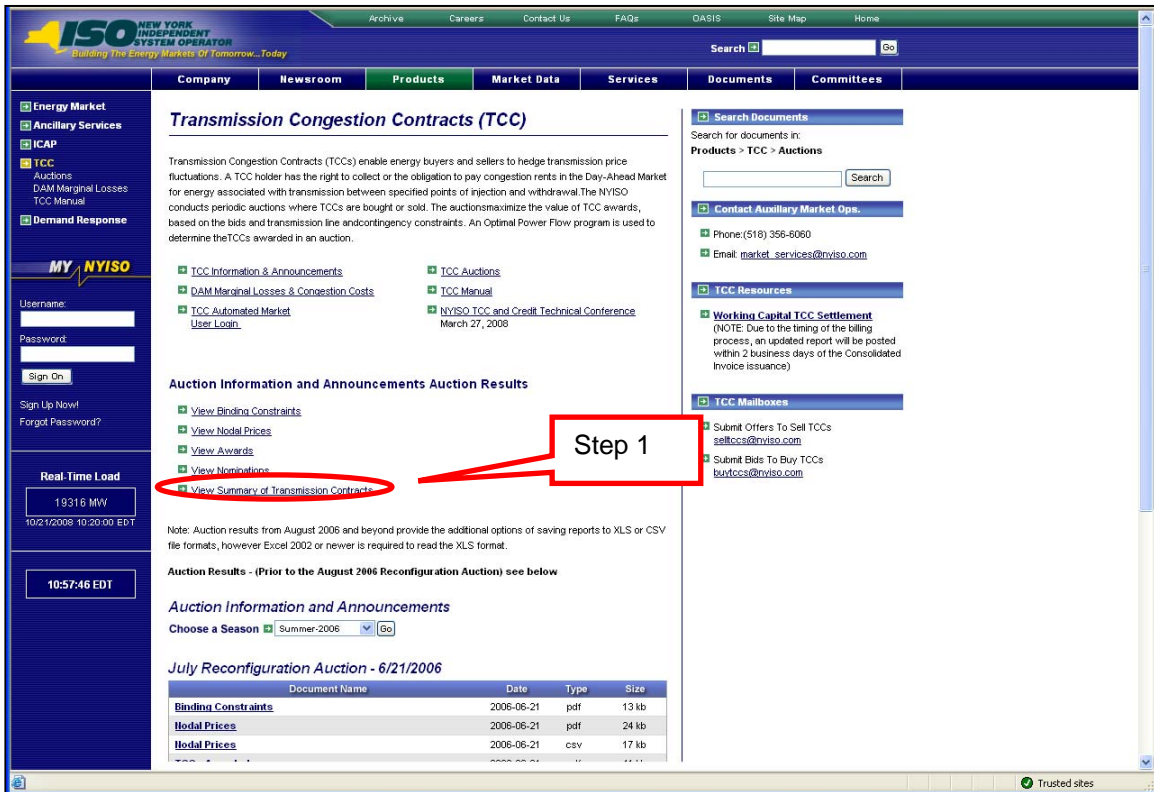
Figure 14-21 *View Summary of Transmission Contracts* **Link on the NYISO TCC Page**

The View Summary of Transmission Contracts Details page opens (as shown in the following figure).
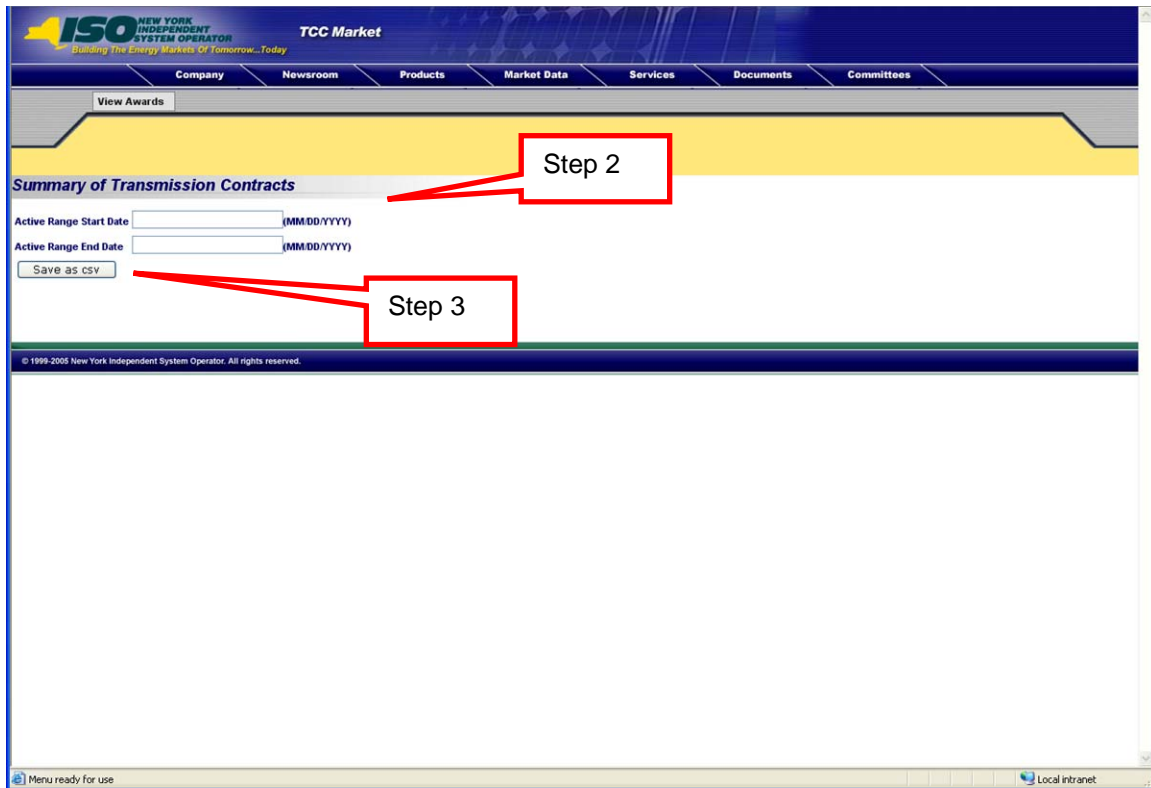
Figure 14-22 Summary of Transmission Contracts Page

2. Enter the **Active Range Start Date** and the **Active Range End Date**.

> **Note:** If dates are not selected, all inventories will be shown in the results. Entering dates is optional.

3. Click the **Save as CSV** button.

The report appears in a CSV format.

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Appendix A.   TCC Acronyms

Acronym	Definition
AMO	Auxiliary Market Operations
AMS	Automated Market System
BAS	Billing and Accounting System
BT	Bilateral Transaction
CRD	Customer Relations Department
DAM	Day-ahead Market
ETCNL	Existing Transmission Capacity for Native Load
FERC	Federal Energy Regulatory Commission
GFR	Grandfathered Right
GFT	Grandfathered TCC
LBMP	Locational Based Marginal Price
LSE	Load Serving Entity
LT TCC	Long Term TCC
MCP	Market Clearing Price
MP	Market Participant
MPUG	Market Participant User Guide
MW	Megawatt
NYISO	New York Independent System Operator
NYS	New York State
OASIS	Open Access Same Time Information System
OATT	Open Access Transmission Tariff
ORTCC	Original Residual TCC
OPF	Optimal Power Flow
POI	Point of Injection
POW	Point of Withdrawal
PTID	Point Identification
RCRR	Residual Capacity Revenue Rights
SSR	Settlement System Replacement
TCC	Transmission Congestion Contract
TMO	TCC Market Operations
TO	Transmission Owner
TSC	Transmission Service Charge
TUC	Transmission Usage Charge

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