

ICAP Automated Market System User's Guide



June 2016

Version:

2.2

Effective Date:

06/23/2016

This document was prepared by:

NYISO Customer Support

New York Independent System Operator

10 Krey Blvd

Rensselaer, NY 12144

(518) 356-6060

www.nyiso.com

Disclaimer

The information contained within this guide, along with the other NYISO documents, is intended to be used for informational purposes and is subject to change. The NYISO is not responsible for the user's reliance on these publications or for any erroneous or misleading material.

Table of Contents

Table of Figures	ix
Table of Tables	xi
Revision History	xv
1. Introduction	1-1
1.1 What is the ICAP Automated Market?	1-1
1.2 Who is the ICAP Automated Market System For?	1-1
1.3 What this User's Guide Covers	1-2
1.4 Functions Not Automated	1-5
2. Background Topics	2-1
2.1 Introduction to the Capacity Auctions	2-1
3. Requirements	3-1
3.1 System Requirements	3-1
3.2 Using Digital Certificates	3-1
3.3 Market Participant Administrator and User Tasks	3-1
4. Certification	4-1
4.1 How to View Market Position	4-2
4.1.1 Screen Descriptions	4-2
4.1.2 Viewing Market Position	4-4
4.2 How to Enter, Maintain, and Delete Bilateral Agreements	4-5
4.2.1 Screen Descriptions	4-6
4.2.2 Inserting Bilateral Agreements	4-8
4.2.2.1 Exporting Capacity	4-9
4.2.2.2 Import Right Bilateral Agreements	4-10
4.2.3 Maintaining Bilateral Agreements	4-10
4.2.4 Deleting Bilateral Agreements	4-11
4.2.5 Confirming Bilateral Agreements	4-11
4.3 How to Enter, Maintain and Delete External CRIS Right Bilateral Agreements	4-11
4.3.1 Screen Descriptions	4-12
4.3.2 Viewing External CRIS Right Bilateral Agreements	4-14
4.3.3 Enter External CRIS Right Bilateral Agreements	4-14
4.3.4 Maintain External CRIS Right Bilateral Agreements	4-15
4.4 How to View Certification Detail Transactions	4-16
4.4.1 Screen Descriptions	4-16
4.4.2 Viewing Certification Detail Transactions	4-18
4.5 How to View Summary of Purchases and Sales	4-18
4.5.1 Screen Descriptions	4-19
4.5.2 Viewing Summary of Purchases and Sales	4-19
4.6 How to View PTID Capacity and Sales Allocations	4-20
4.6.1 Screen Descriptions	4-20
4.6.2 Viewing PTID Capacity and Sales Allocations	4-23
4.7 How to Allocate Sales to PTIDs	4-24
4.7.1 Screen Descriptions	4-24
4.7.2 Allocating Sales to PTIDs	4-28
4.7.3 Zero Dollar MW Offer Commitment	4-31
4.8 How to Assign a Transaction ID to External Transactions for ICAP	4-32
4.8.1 Screen Descriptions	4-33
4.8.2 Viewing External Transactions	4-36

4.8.3	Inserting External Transaction Details	4-36
4.9	How to View Supply-Side Mitigation Summary	4-38
4.9.1	Screen Descriptions	4-38
4.9.2	Viewing Supply-Side Mitigation Summary	4-40
4.10	How to View Default Reference Prices Summary	4-41
4.10.1	Screen Descriptions	4-41
4.10.2	Viewing Default Reference Prices Summary	4-42
4.11	How to Report and Manage MP Affiliate Information	4-43
4.11.1	Screen Descriptions	4-44
4.11.2	Viewing MP Affiliate Information	4-46
4.11.3	Updating Existing MP Affiliate Information	4-46
4.11.4	Inserting New MP Affiliate Information	4-47
4.12	How to View Floor Prices	4-48
4.12.1	Screen Descriptions	4-48
4.12.2	Viewing Floor Prices	4-49
4.13	How to View Deliverability Limits	4-50
4.13.1	Screen Descriptions	4-50
4.13.2	Viewing Generator Deliverability Limits	4-51
5.	Bids to Purchase UCAP	5-1
5.1	How to Enter Bids to Purchase UCAP	5-1
5.1.1	Screen Descriptions	5-2
5.1.2	Entering Bids	5-3
5.2	How to View and Maintain Bids to Purchase UCAP	5-5
5.2.1	Screen Descriptions	5-6
5.2.2	Maintaining Bids to Purchase UCAP	5-8
5.2.3	Deleting Bids	5-9
5.3	How to Copy Bids to Purchase UCAP	5-9
5.3.1	Screen Descriptions	5-9
5.3.2	Copying Bids	5-11
5.4	How to View Buyer Awards	5-12
5.4.1	Screen Descriptions	5-13
5.4.2	Viewing Buyer Awards	5-13
6.	Offers to Sell UCAP	6-1
6.1	How to Enter Offers to Sell UCAP	6-1
6.1.1	Screen Descriptions	6-2
6.1.2	Entering Offers	6-4
6.2	How to Maintain and View Offers to Sell UCAP	6-7
6.2.1	Screen Descriptions	6-7
6.2.2	Maintaining Offers	6-10
6.2.3	Deleting Offers	6-11
6.2.4	Changing the Order of Offers (ICAP Spot Market Auction Only)	6-12
6.3	How to Copy Offers	6-12
6.3.1	Screen Descriptions	6-12
6.3.2	Copying UCAP Offers	6-14
6.4	How to View Seller Awards	6-15
6.4.1	Screen Descriptions	6-15
6.4.2	Viewing Seller Awards	6-16
6.5	How to View Spot Offer Summary	6-17
6.5.1	Screen Descriptions	6-18
6.5.2	Spot Offer Summary	6-19

7.	Load Forecasts and UCAP Requirements	7-1
7.1	How to View and/or Record LSE Load Forecasts.....	7-1
7.1.1	Screen Descriptions.....	7-4
7.1.2	Entering and Maintaining LSE Load Forecasts	7-5
7.2	How to Maintain Transmission Owner Lists of LSEs	7-5
7.2.1	Screen Descriptions.....	7-6
7.2.2	Adding a New LSE Name to the List of Transmission Owner LSEs	7-7
7.2.3	Deactivating a LSE from Transmission Owner List of LSEs.....	7-7
7.2.4	Deleting a LSE from Transmission Owner List of LSEs	7-8
7.3	How to View ICAP and UCAP Calculations	7-8
7.3.1	Screen Descriptions.....	7-8
7.3.2	Viewing ICAP and UCAP Calculations	7-9
8.	ICAP Event Calendar	8-1
8.1	How to View the ICAP Event Calendar	8-1
8.1.1	Screen Descriptions.....	8-1
8.1.2	Viewing Event Calendar	8-2
9.	Auction results.....	9-1
9.1	How to View Strip / Monthly Auction Bid Results.....	9-1
9.1.1	Screen Descriptions.....	9-1
9.1.2	Viewing Strip or Monthly Auction Bid Results.....	9-2
9.2	How to View Spot Market Auction Purchases.....	9-4
9.2.1	Screen Descriptions.....	9-4
9.2.2	Viewing Spot Market Purchases.....	9-5
9.3	How to View Offer Auction Results	9-5
9.3.1	Screen Descriptions.....	9-6
9.3.2	Viewing Offer Auction Results	9-7
9.4	How to View Strip Auction Summary	9-9
9.4.1	Screen Descriptions.....	9-9
9.4.2	Viewing Strip Auction Summaries.....	9-11
9.5	How to View Monthly Auction Summary	9-12
9.5.1	Screen Descriptions.....	9-13
9.5.2	Viewing Monthly Auction Summaries	9-14
9.6	How to View ICAP Spot Auction Summary.....	9-15
9.6.1	Screen Descriptions.....	9-15
9.6.2	Viewing Spot Auction Summaries.....	9-17
9.7	How to View Rebate Summary	9-19
9.7.1	Screen Descriptions.....	9-19
9.7.2	Viewing Rebate Summaries	9-20
10.	Derating Factors	10-1
10.1	How to View Seasonal Derating Factors	10-1
10.1.1	Screen Descriptions.....	10-1
10.1.2	Viewing Derating Factors.....	10-2
11.	Dependable Maximum Net Capability	11-1
11.1	How to Maintain DMNC Results.....	11-1
11.1.1	Screen Descriptions.....	11-2
11.1.2	Entering DMNC Data	11-8
11.1.2.1	Entering DMNC Data for an SCR	11-10
11.1.3	Entering Effective Dates	11-11
11.1.4	Entering Pre-Test Ratings	11-11
11.1.5	Modifying Remarks	11-11

11.1.6	Deleting Test Results.....	11-12
11.1.7	Filtering DMNC Test Results	11-12
11.2	How to View Monthly DMNC Test Results.....	11-13
11.2.1	Screen Descriptions.....	11-13
11.2.2	Viewing and Filtering Monthly DMNC Results.....	11-15
12.	Billing.....	12-1
12.1	How to Maintain Daily Forecasted Loads and Actual True-Up Loads	12-1
12.1.1	Screen Descriptions.....	12-2
12.1.2	Maintaining LSE Daily Forecasted Load and Actual True-Up Load	12-2
12.1.3	Transmission Owners Can Allow LSEs to View Data.....	12-4
12.2	How to View Daily Forecasted Load and True-up Load	12-4
12.2.1	Screen Descriptions (Available Only to Transmission Owners)	12-4
12.2.2	Viewing Daily Forecasted Load and True-Up Load Summary	12-5
12.3	How to View Load Shift Billing Adjustments Details	12-6
12.3.1	Screen Descriptions.....	12-6
12.3.2	Viewing Load Shift Billing Adjustments Details	12-7
12.4	How to View Consolidated Billing.....	12-8
12.4.1	Screen Descriptions.....	12-8
12.4.2	Viewing the Consolidated Billing Summary	12-11
12.4.3	Viewing the Consolidated Billing Details	12-11
12.4.4	Save Consolidated Billing Report	12-12
13.	Special Case Resources (SCRs), Municipal Generation, and Load Modifiers	13-1
13.1	How to View SCRs, Load Modifiers and Municipal Generation.....	13-1
13.1.1	Screen Descriptions.....	13-1
13.1.2	Viewing SCRs, Load Modifiers, and Municipal Generation.....	13-2
14.	Upload / Download	14-1
14.1	How to Send and Receive Upload Download Files	14-3
14.1.1	Request File Format	14-5
14.1.2	Response File Format	14-5
14.2	Templates for Bids to Purchase	14-6
14.2.1	Data Dictionary	14-6
14.2.2	Upload Bids Template	14-7
14.2.2.1	<i>Request Parameters.....</i>	<i>14-7</i>
14.2.2.2	<i>Response Parameters.....</i>	<i>14-7</i>
14.2.2.3	<i>Request File Example.....</i>	<i>14-7</i>
14.2.2.4	<i>Response File Example.....</i>	<i>14-7</i>
14.2.3	Download Bids Template.....	14-7
14.2.3.1	<i>Request Parameters.....</i>	<i>14-7</i>
14.2.3.2	<i>Response Parameters.....</i>	<i>14-7</i>
14.2.3.3	<i>Request File Example.....</i>	<i>14-7</i>
14.2.3.4	<i>Response File Example.....</i>	<i>14-8</i>
14.3	Templates for Offers to Sell	14-9
14.3.1	Data Dictionary	14-9
14.3.2	Upload Offers Template.....	14-10
14.3.2.1	<i>Request Parameters.....</i>	<i>14-10</i>
14.3.2.2	<i>Response Parameters.....</i>	<i>14-10</i>
14.3.2.3	<i>Request File Example.....</i>	<i>14-10</i>
14.3.2.4	<i>Response File Example.....</i>	<i>14-11</i>
14.3.2.5	<i>Response File Example for Offer Validation Error</i>	<i>14-11</i>
14.3.3	Download Offers Template	14-11
14.3.3.1	<i>Request Parameters.....</i>	<i>14-11</i>

14.3.3.2	<i>Response Parameters</i>	14-11
14.3.3.3	<i>Request File Example</i>	14-11
14.3.3.4	<i>Response File Example</i>	14-11
14.3.4	Download Zero Dollar Offers Template	14-11
14.3.4.1	<i>Request Parameters</i>	14-12
14.3.4.2	<i>Response Parameters</i>	14-12
14.3.4.3	<i>Request File Example</i>	14-12
14.3.4.4	<i>Response File Example</i>	14-12
14.4	Templates for Record Load Forecasts.....	14-12
14.4.1	Data Dictionary	14-12
14.4.2	Upload Load Forecasts.....	14-14
14.4.2.1	<i>Request Parameters</i>	14-14
14.4.2.2	<i>Response Parameters</i>	14-14
14.4.2.3	<i>Request File Example</i>	14-15
14.4.2.4	<i>Response File Example</i>	14-15
14.4.3	Download Load Forecasts	14-15
14.4.3.1	<i>Request Parameters</i>	14-15
14.4.3.2	<i>Response Parameters</i>	14-15
14.4.3.3	<i>Request File Example</i>	14-15
14.4.3.4	<i>Response File Example</i>	14-15
14.5	Templates for Certify.....	14-17
14.5.1	Data Dictionary	14-17
14.5.2	Download Bilaterals	14-19
14.5.2.1	<i>Request Parameters</i>	14-19
14.5.2.2	<i>Response Parameters</i>	14-19
14.5.2.3	<i>Request File Example</i>	14-19
14.5.2.4	<i>Response File Example</i>	14-19
14.5.3	Download Certification Detail Transactions.....	14-19
14.5.3.1	<i>Request Parameters</i>	14-19
14.5.3.2	<i>Response Parameters</i>	14-19
14.5.3.3	<i>Request File Example</i>	14-19
14.5.3.4	<i>Response File Example</i>	14-20
14.5.4	Download Summary of Purchases and Sales	14-20
14.5.4.1	<i>Request Parameters</i>	14-20
14.5.4.2	<i>Response Parameters</i>	14-20
14.5.4.3	<i>Request File Example</i>	14-20
14.5.4.4	<i>Response File Example</i>	14-20
14.5.5	Download PTID Capacity.....	14-20
14.5.5.1	<i>Request Parameters</i>	14-20
14.5.5.2	<i>Response Parameters</i>	14-21
14.5.5.3	<i>Request File Example</i>	14-21
14.5.5.4	<i>Response File Example</i>	14-21
14.6	Templates for DMNC	14-21
14.6.1	Data Dictionary	14-21
14.6.2	Upload DMNC Results.....	14-23
14.6.2.1	<i>Request Parameters</i>	14-23
14.6.2.2	<i>Response Parameters</i>	14-23
14.6.2.3	<i>Request File Example</i>	14-24
14.6.2.4	<i>Response File Example</i>	14-25
14.6.3	Download DMNC Results	14-25
14.6.3.1	<i>Request Parameters</i>	14-25
14.6.3.2	<i>Response Parameters</i>	14-25
14.6.3.3	<i>Request File Example</i>	14-25

14.6.3.4 Response File Example..... 14-25

15. Rights.....15-1

15.1 How to View Unforced Capacity Deliverability Right (UDR) Generator Monthly Parameters 15-1

15.1.1 Screen Descriptions..... 15-3

15.1.2 Viewing Unforced Capacity Deliverability Right Generator Monthly Parameters..... 15-5

15.2 How to View External CRIS Right Offer Caps 15-6

15.2.1 Screen Descriptions..... 15-6

15.2.2 Viewing External CRIS Right Offer Caps 15-7

15.3 How to View External CRIS Right Obligations and Violations 15-8

15.3.1 Screen Descriptions..... 15-9

15.3.2 Viewing External CRIS Rights Obligations & Violations..... 15-10

Appendix A. List of AcronymsA-1

Table of Figures

Figure 3-1	MIS New User Screen.....	3-2
Figure 3-2	MIS Screen for Managing Users.....	3-3
Figure 4-1	Certify Menu.....	4-2
Figure 4-2	Mitigation Menu.....	4-2
Figure 4-3	Market Position Screen Section.....	4-4
Figure 4-4	Create Bilateral Agreement Screen Section.....	4-9
Figure 4-5	Maintain Unconfirmed Agreements Screen Section.....	4-10
Figure 4-6	View Confirmed Agreements Screen Section.....	4-11
Figure 4-7	External CRIS Right Bilateral Information Screen Section.....	4-14
Figure 4-8	Add External CRIS Right Bilateral Screen Section.....	4-15
Figure 4-9	Add External CRIS Right Bilateral - Validation Error.....	4-15
Figure 4-10	Maintain External CRIS Right Bilateral Screen Sections.....	4-16
Figure 4-11	Auction and Bilateral Agreement Transactions Screen Section.....	4-18
Figure 4-12	Sales Summary and Purchases Summary Screen Sections.....	4-20
Figure 4-13	Summary of Capacity and Sales Allocations Screen Section.....	4-24
Figure 4-14	Location Sales Summary, Buyer-Side Mitigation Resource Summary, and Sales Allocations Screen Sections.....	4-29
Figure 4-15	Error - Attempting to Allocate Sales above Location's Total Sales.....	4-30
Figure 4-16	Error - Attempting to Allocate Sales above Available UCAP.....	4-30
Figure 4-17	Error Displayed when Sales Allocation and/or Zero Dollar MW Offer Commitment exceeds PTID's associated Buyer-Side Mitigation Resource Current Exemption MW Remaining.....	4-31
Figure 4-18	Success Message displayed for successful update.....	4-32
Figure 4-19	Event Calendar - External Transactions Deadlines.....	4-32
Figure 4-20	External Transaction Types.....	4-33
Figure 4-21	External Transactions Screen Section.....	4-36
Figure 4-22	Add Transaction Details Screen Section.....	4-37
Figure 4-23	Add Transaction Details Screen Section.....	4-37
Figure 4-24	Add Transaction Details - MIS TID Validation Error.....	4-37
Figure 4-25	Supply-Side Mitigation Summary After Mitigation is Run.....	4-41
Figure 4-26	Default Reference Prices Screen Section.....	4-43
Figure 4-27	MP Affiliate Form Screen Section.....	4-48
Figure 4-28	PTIDs Subject to Floor Price Screen Section.....	4-50
Figure 4-29	CERTIFY Menu - Deliverability Limits Option.....	4-52
Figure 4-30	Deliverability Limits with Effective Capacity Month.....	4-53
Figure 4-31	CRIS Adjusted DMNC Displayed on View PTIDs screen.....	4-53
Figure 5-1	Bids To Purchase Menu - Enter Bids Option.....	5-1
Figure 5-2	Current Status and Credit Status Screen Sections.....	5-4
Figure 5-3	Add to Cart and Insert Bids to Purchase Screen Sections.....	5-4
Figure 5-4	Add to Cart Screen Section.....	5-5
Figure 5-5	Insert Bids to Purchase.....	5-5
Figure 5-6	Bids To Purchase Menu - Maintain Bids Option.....	5-6
Figure 5-7	Maintain Bids To Purchase Status Screen Sections.....	5-6
Figure 5-8	Maintain Bids To Purchase Screen Section.....	5-8
Figure 5-9	Copy Bids To Purchase Screen.....	5-11
Figure 5-10	Copy To Bid Month Screen Section.....	5-11
Figure 5-11	Bids To Purchase Menu - View Buyer Awards Option.....	5-12
Figure 5-12	Buyer Awards Screen Section.....	5-14
Figure 6-1	Offers To Sell Menu - Enter Offers Option.....	6-4
Figure 6-2	Insert Offers to Sell Screen.....	6-5

Figure 6-3 Current Status Screen Section.....6-5

Figure 6-4 Add to Cart Screen Section.....6-5

Figure 6-5 Supply-Side Offer Validation Error.....6-6

Figure 6-6 Buyer-Side Offer Validation Error Message.....6-6

Figure 6-7 External CRIS Right Offer Validation Error Message.....6-6

Figure 6-8 Insert Offers to Sell Screen Section.....6-6

Figure 6-9 Offers To Sell Menu - Maintain Offers Option.....6-7

Figure 6-10 Supply-Side Offer Validation Error Message.....6-10

Figure 6-11 Buyer-Side Offer Validation Error Message.....6-10

Figure 6-12 External CRIS Right Offer Validation Error Message.....6-11

Figure 6-13 Maintain Offers to Sell Screen Section.....6-11

Figure 6-14 View Zero Dollar Offers to Sell Screen Section.....6-11

Figure 6-15 Offers To Sell Menu - Copy Offers Option.....6-12

Figure 6-16 Copy To Offer Month Screen Section.....6-14

Figure 6-17 Copy Offers to Sell Screen Section.....6-15

Figure 6-18 Offers To Sell Menu - View Seller Awards Option.....6-16

Figure 6-19 Seller Awards Screen Section.....6-17

Figure 6-20 Offers To Sell Menu - Spot Offer Summary Option.....6-18

Figure 6-21 Spot Offer Summary Screen Section.....6-20

Figure 7-1 Load Forecast Menu - Record LSE Load Forecasts Option.....7-1

Figure 7-2 LSE Load Forecasts Screen Section.....7-2

Figure 7-3 Transmission Owner View of Record LSE Load Forecasts.....7-2

Figure 7-4 Record LSE Load Forecasts Screen Section.....7-3

Figure 7-5 Record LSE Load Forecasts - Transmission Owner View.....7-3

Figure 7-6 Record Load Forecasts - Load Serving Entity View.....7-3

Figure 7-7 Load Forecast Menu.....7-6

Figure 7-8 Transmission Owner LSEs Screen Section.....7-6

Figure 7-9 Add LSEs and Transmission Owner LSEs Screen Sections.....7-6

Figure 7-10 Add LSE Name Screen Section.....7-7

Figure 7-11 Transmission Owner LSEs Screen Section.....7-8

Figure 7-12 Load Forecast Menu - View ICAP and UCAP Calculations.....7-8

Figure 7-13 View ICAP and UCAP Calculations Screen Sections.....7-10

Figure 8-1 Calendar Menu - View Event Calendar Option.....8-1

Figure 8-2 Event Calendar - Filter Screen Section.....8-2

Figure 8-3 Event Calendar - Legend Screen Section.....8-3

Figure 8-4 Event Calendar - Events Screen Section.....8-3

Figure 9-1 Auction Menu.....9-1

Figure 9-2 Auction Bid Results Screen.....9-3

Figure 9-3 Auction Bid Results Filter Screen Section.....9-3

Figure 9-4 Auction Bid Results Screen Section.....9-4

Figure 9-5 Spot Market Auction Purchases.....9-5

Figure 9-6 Auction Offer Results Filter Screen Section.....9-7

Figure 9-7 Auction Offer Results Screen Section.....9-7

Figure 9-8 Auction Offer Results - Single Offer awarded in multiple locations.....9-8

Figure 9-9 View Strip Auction Summary Filter Screen Section.....9-11

Figure 9-10 View Strip Auction Summary Screen Section.....9-11

Figure 9-11 View Monthly Auction Summary Filter Screen Section.....9-14

Figure 9-12 View Monthly Auction Summary Screen Section.....9-15

Figure 9-13 View Spot Auction Summary Filter Screen Section.....9-17

Figure 9-14 View ICAP Spot Auction Summary Screen Section.....9-18

Figure 9-15 View ICAP Spot Auction Summary Footnote Section.....9-18

Figure 9-16 View Rebate Summary Filter Screen Section.....9-20

Figure 9-17 View Rebate Summary Screen Section.....9-20

Figure 10-1	Derating Factor Menu.....	10-1
Figure 10-2	Maintain Seasonal Derating Factor Screen.....	10-1
Figure 10-3	Maintain Seasonal Derating Factors Filter Screen Section.....	10-2
Figure 11-1	Maintain DMNC Results.....	11-2
Figure 11-2	Maintain DMNC Screen.....	11-8
Figure 11-3	Maintain DMNC Screen Filter Screen Section.....	11-8
Figure 11-4	Add DMNC Screen Section.....	11-9
Figure 11-5	Maintain DMNC Screen Section.....	11-12
Figure 11-6	Maintain DMNC Screen - Editable Remarks and Delete Checkbox.....	11-12
Figure 11-7	Filter Screen Section.....	11-13
Figure 11-8	View Monthly DMNC.....	11-13
Figure 11-9	View Monthly DMNC Filter Screen Section.....	11-15
Figure 11-10	View Monthly DMNC Screen Section.....	11-15
Figure 12-1	Maintain Daily Forecasted Load and Actual True Up Load.....	12-1
Figure 12-2	Maintain Daily Forecasted Load and Actual True Up Load Filter Screen Section..	12-3
Figure 12-3	Daily Loads Screen Section.....	12-3
Figure 12-4	TO Allow LSEs to View Load Data.....	12-4
Figure 12-5	Billing Menu.....	12-5
Figure 12-6	View Daily Forecasted Load and True Up Load.....	12-6
Figure 12-7	Load Shift Billing Adjustment Details.....	12-6
Figure 12-8	View Load Shift Billing Adjustments Details Filter Screen Section.....	12-7
Figure 12-9	Load Adjustment Billing Details Screen Section.....	12-8
Figure 12-10	Consolidated Billing - Summary.....	12-8
Figure 12-11	Consolidated Billing Summary.....	12-11
Figure 12-12	Consolidated Billing Detail.....	12-12
Figure 12-13	Consolidated Billing Report.....	12-12
Figure 12-14	Consolidated Billing Report.....	12-13
Figure 13-1	SCR Menu.....	13-1
Figure 13-2	Maintain SCR/EDRP Screen Section.....	13-3
Figure 14-1	Upload/Download.....	14-3
Figure 15-1	Rights Menu.....	15-1
Figure 15-2	View Generator Monthly Parameters.....	15-6
Figure 15-3	View External CRIS Right Offer Caps - Internal and External Components.....	15-8
Figure 15-4	External CRIS Right Obligations and Violations.....	15-11
Figure 15-5	External CRIS Right Obligations and Violations - Violation.....	15-11

Table of Tables

Table 1.1	User Roles and Privileges.....	1-2
Table 4.1	View Market Position Filter Screen Section.....	4-2
Table 4.2	Market Position Screen Section.....	4-3
Table 4.3	Bilateral Agreements Filter Screen Section.....	4-6
Table 4.4	Location Sales Summary Screen Section.....	4-6
Table 4.5	Create Bilateral Agreement Screen Section.....	4-6
Table 4.6	Maintain Unconfirmed Agreements Screen Section.....	4-7
Table 4.7	View Confirmed Agreements Screen Section.....	4-8
Table 4.8	External CRIS Right Bilaterals Filter Section.....	4-12
Table 4.9	External CRIS Right Bilateral Information Screen.....	4-12
Table 4.10	Add External CRIS Right Bilateral Information.....	4-12

Table 4.11	Maintain External CRIS Right Bilateral Information Screen Section	4-13
Table 4.12	View Certification Details Filter Screen Section.....	4-16
Table 4.13	Auction and Bilateral Agreement Transactions Screen Section.....	4-16
Table 4.14	View Summary of Purchases and Sales Filter Screen Section.....	4-19
Table 4.15	Sales Summary Screen Section	4-19
Table 4.16	Purchase Summary Screen Section	4-19
Table 4.17	View PTIDs Filter Screen Section.....	4-20
Table 4.18	Summary of Capacity and Sales Allocations Screen Section	4-20
Table 4.19	Allocate Sales Filter Screen Section.....	4-24
Table 4.20	Location Sales Summary Screen Section.....	4-25
Table 4.21	Buyer-Side Mitigation Resource Summary Screen Section	4-25
Table 4.22	Allocate Sales Screen Section.....	4-26
Table 4.23	Assign Transaction IDs Filter Screen Section	4-33
Table 4.24	Add Transaction Details Screen Section	4-33
Table 4.25	External Transactions Screen Section.....	4-34
Table 4.26	Supply-Side Mitigation Summary Filter Screen Section	4-38
Table 4.27	Mitigation Information Screen Section	4-38
Table 4.28	Affiliate Portfolio Information Screen Section	4-38
Table 4.29	Current [Mitigated Capacity Zone] Mitigation Parameters Screen Section	4-38
Table 4.30	[Location] PTID Information Screen Section.....	4-40
Table 4.31	View Default Reference Price Summary Filter Screen Section.....	4-41
Table 4.32	Default Reference Prices [Mitigated Capacity Zone] Screen Section	4-41
Table 4.33	MP Affiliate Form Filter Screen Section	4-44
Table 4.34	Legal Information Screen Section.....	4-44
Table 4.35	MP Affiliate Form Screen Section (View and Update Existing Information).....	4-45
Table 4.36	MP Affiliate Form Screen Section (Insert New Information).....	4-45
Table 4.37	Relationship of Affiliated Entity Selection List.....	4-47
Table 4.38	PTIDs Subject to Floor Price Screen Section.....	4-48
Table 4.39	Deliverability Limits Filter Screen Section.....	4-50
Table 4.40	Selected Market Participant Screen Section	4-50
Table 4.41	Maintain Deliverability Limits Screen Section.....	4-50
Table 5.1	Insert Bids To Purchase Filter Screen Section.....	5-2
Table 5.2	Current Status Screen Section.....	5-2
Table 5.3	Credit Status Screen Section.....	5-3
Table 5.4	Add to Cart Screen Section.....	5-3
Table 5.5	Insert Bids to Purchase Screen Section	5-3
Table 5.6	Maintain Bids to Purchase Filter Screen Section.....	5-6
Table 5.7	Current Status Screen Section.....	5-7
Table 5.8	Credit Status Screen Section.....	5-7
Table 5.9	Maintain Bids to Purchase Screen Section.....	5-8
Table 5.10	Copy Bids to Purchase Filter Screen Section.....	5-9
Table 5.11	Current Status Screen Sections.....	5-9
Table 5.12	Credit Status Screen Section.....	5-10
Table 5.13	Copy to Bid Month Screen Section	5-10
Table 5.14	Copy Bids to Purchase Screen Section.....	5-10
Table 5.15	View Buyer Awards Filter Screen Section	5-13
Table 5.16	Current Status Screen Section.....	5-13
Table 5.17	Buyer Awards Screen Section	5-13
Table 6.1	Insert Offers To Sell Filter Screen Section.....	6-2
Table 6.2	Insert Offers To Sell Current Status Screen Section	6-2
Table 6.3	Add to Cart Screen Section.....	6-3
Table 6.4	Insert Offers to Sell Screen Section.....	6-4
Table 6.5	Maintain Offers to Sell Filter Screen Section.....	6-7

Table 6.6	Current Status Screen Section.....	6-8
Table 6.7	Maintain Offers to Sell Screen Section	6-8
Table 6.8	View Zero Dollar Offers to Sell Screen Section	6-9
Table 6.9	Copy Offers to Sell Filter Screen Section	6-12
Table 6.10	Current Status Screen Section.....	6-13
Table 6.11	Copy to Offer Month Screen Section	6-13
Table 6.12	Copy Offers to Sell Screen Section	6-13
Table 6.13	View Seller Awards Filter Screen Section.....	6-15
Table 6.14	Current Status Screen Section.....	6-15
Table 6.15	Seller Awards Screen Section.....	6-15
Table 6.16	Spot Offer Summary Filter Screen Section.....	6-18
Table 6.17	Search Criteria Screen Section.....	6-18
Table 6.18	Spot Offer Summary Screen Section.....	6-18
Table 7.1	Record LSE Load Forecasts Filter Screen Section	7-4
Table 7.2	Locational Data Screen Section.....	7-4
Table 7.3	LSE Load Forecasts Screen Section	7-4
Table 7.4	Maintain List of TO's LSE Filter Screen Section.....	7-6
Table 7.5	View UCAP and ICAP Calculations Screen Sections.....	7-8
Table 8.1	Event Calendar - Filter Screen Section.....	8-1
Table 9.1	Auction Bid Results Filter Screen Section	9-1
Table 9.2	Auction Bid Results Screen Section	9-2
Table 9.3	Spot Market Auction Purchases Filter.....	9-4
Table 9.4	Spot Market Auction Purchases Screen Section	9-4
Table 9.5	Auction Offer Results Filter Screen Section	9-6
Table 9.6	Auction Offer Results Screen Section.....	9-6
Table 9.7	View Strip Auction Summary Filter Screen Section.....	9-9
Table 9.8	View Strip Auction Summary Screen Section.....	9-10
Table 9.9	View Monthly Auction Summary Filter Screen Section	9-13
Table 9.10	View Monthly Auction Summary Screen Section.....	9-13
Table 9.11	View Spot Auction Summary Filter Screen Section.....	9-15
Table 9.12	View Spot Auction Summary Screen Section.....	9-15
Table 9.13	View Rebate Summary Filter Screen Section.....	9-19
Table 9.14	View Rebate Summary Screen Section.....	9-19
Table 10.1	Maintain Seasonal Derating Factor - Filter Screen Section.....	10-1
Table 11.1	Maintain DMNC - Filter Screen Section	11-2
Table 11.2	Filter Screen Section.....	11-2
Table 11.3	Add DMNC Screen Section.....	11-4
Table 11.4	Maintain DMNC Screen Section	11-5
Table 11.5	Generator Type to Test Hours Cross-Reference.....	11-9
Table 11.6	View Monthly DMNC Filter Screen Section	11-13
Table 11.7	Filter Screen Section.....	11-14
Table 11.8	View Monthly DMNC Screen Section	11-14
Table 12.1	Maintain Daily Forecasted Load - Filter Screen Section	12-2
Table 12.2	View Load Adjustments Filter Screen Section.....	12-4
Table 12.3	View Load Adjustments Screen Section	12-4
Table 12.4	Load Adjustment Billing Details Filter Screen Section.....	12-6
Table 12.5	Load Adjustment Billing Details Screen Section.....	12-7
Table 12.6	Consolidated Billing Summary Filter Screen Section	12-8
Table 12.7	Consolidated Billing Summary Screen Section	12-9
Table 12.8	Consolidated Billing Detail Screen Sections.....	12-9
Table 12.9	For each Auction (Strip, Monthly, Spot, and Supplemental).....	12-9
Table 12.10	Load Shift	12-10
Table 12.11	Load Shift True Up	12-10

Table 12.12	Special Adjustments.....	12-10
Table 13.1	Maintain SCR/EDRP Filter Screen Section	13-1
Table 15.1	Example UDR Rights Holder "A" Generator PTID Definition.....	15-1

Revision History

Version	Date	Revisions
2.2	06/23/2016	<p>Section 3</p> <ul style="list-style-type: none"> ➤ Updated to clarify that digital certificates will no longer be NYISO issued and must be NAESB compliant
2.1	10/29/2015	<p>This document was modified for the CMS ICAP Spot Market Offers Enhancements implemented in the October 2015 software release.</p> <p>Section 1.3</p> <ul style="list-style-type: none"> ➤ Added User Roles to Table 1.1: <p>Section 3.2</p> <ul style="list-style-type: none"> ➤ Updated Digital Certificate requirements <p>Section 4</p> <ul style="list-style-type: none"> ➤ Updated Certification screens ➤ Added new Section 4.7.3 " Zero Dollar MW Commitment " ➤ Updated Tables <p>Section 6.2</p> <ul style="list-style-type: none"> ➤ Added clarifying language ➤ Updated Table 6.7 <p>Section 14.3</p> <ul style="list-style-type: none"> ➤ Added Zero Dollar MW Offer Download template <p>Global</p> <ul style="list-style-type: none"> ➤ Replaced various screen shots to incorporate Zero Dollar MW Commitment Notation
2.0	11/3/2014	<p>This document was modified for the External Transactions screen changes implemented as part of the October 2014 software release.</p> <p>Section 4</p> <ul style="list-style-type: none"> ➤ Updated Bilateral Agreements - Section 4.2 ➤ Updated External CRIS Right Bilaterals - Section 4.3 ➤ Updated Assign Transaction IDs - Section 4.8
1.10	02/01/2014	<p>This document was modified for the following January 2013 ICAP AMS application changes for New Capacity Zones.</p> <ul style="list-style-type: none"> ➤ New Capacity Zones - ICAP Automated Market System ➤ New Capacity Zones - ICAP Market Mitigation ➤ Removed former references to In-City Mitigation and clarified date when Historic Divestiture was deactivated. ➤ Removed obsolete references to PMPC. ➤ Clarified that Special Case Resources are displayed as SCR Aggregation PTIDs in ICAP AMS. <p>Section 1</p> <ul style="list-style-type: none"> ➤ Updated for January 2012 Demand Response Information System (DRIS) Integration Implementation. The ICAP AMS now sources ICAP/UCAP for SCR Aggregation PTIDs from DRIS. ➤ Replaced several definitions of terms with tariff references.

		<p>Section 2</p> <ul style="list-style-type: none"> ➤ Minor updates to clarify language. <p>Section 3</p> <ul style="list-style-type: none"> ➤ Updated ICAP AMS System access requirements <p>Section 4</p> <ul style="list-style-type: none"> ➤ Updated Certification and ICAP Mitigation Measures screens and screen descriptions. ➤ Updated Relationship of Affiliated Entity Selection List table to match NYISO MST - Attachment H. 'In-City ICAP Supplier' was changed to 'Mitigated Capacity Zone Supplier'. <p>Section 5</p> <ul style="list-style-type: none"> ➤ Updated Bids To Purchase UCAP screens and screen descriptions. <p>Section 6</p> <ul style="list-style-type: none"> ➤ Updated Offers To Sell UCAP screens and screen descriptions. <p>Section 7</p> <ul style="list-style-type: none"> ➤ Updated Load Forecast and UCAP Requirements screens and screen descriptions. <p>Section 8</p> <ul style="list-style-type: none"> ➤ Minor updates to clarify language. <p>Section 9</p> <ul style="list-style-type: none"> ➤ Updated Auction Results screens and screen descriptions. <p>Section 10</p> <ul style="list-style-type: none"> ➤ Updated Derating Factors screens and screen descriptions. ➤ Modified to indicate that SCR Aggregation PTID Derating Factor values are sourced from the Demand Response Information System (DRIS) as of January 2012. <p>Section 11</p> <ul style="list-style-type: none"> ➤ Updated Dependable Maximum Net Capability (DMNC) screens and screen descriptions. ➤ Modified to indicate that SCR Aggregation PTID DMNC values are sourced from the DRIS as of January 2012. <p>Section 12</p> <ul style="list-style-type: none"> ➤ Updated Billing screens and screen descriptions. <p>Section 13</p> <ul style="list-style-type: none"> ➤ Updated Special Case Resources (SCRs) screens and screen descriptions. <p>Section 14</p> <ul style="list-style-type: none"> ➤ Updated Upload/Download Data Dictionaries for the NCZ Implementation. <p>Section 15</p> <ul style="list-style-type: none"> ➤ Updated Rights screens and screen descriptions. <p>Appendix A</p> <p>Updated acronym list.</p>
1.9	10/04/2010	<p>This document was modified for the following 2010 ICAP AMS application changes:</p> <ul style="list-style-type: none"> ➤ ICAP Deliverability / External CRIS Rights Implementation ➤ ICAP Import Rights - Unforced Capacity Deliverability Rights (UDRs)

		<p>Implementation.</p> <p>Section 1.3</p> <ul style="list-style-type: none"> ➤ Added User Roles to Table 1.1: <ul style="list-style-type: none"> ○ How to Enter and Maintain External CRIS Right Bilaterals ○ How to View UDR Generator Monthly Parameters ○ How to View External CRIS Right Offer Caps ○ How to View External CRIS Rights Obligations & Violations <p>Section 4</p> <ul style="list-style-type: none"> ➤ Revised Figure 4-1 Certify Menu ➤ Added new Section 4.3 "How to Enter, Maintain and Delete External CRIS Right Bilateral Agreements" ➤ Added new Tables 4.6, 4.7, 4.8, and 4.9 ➤ Added new Figures 4-6, 4-7, 4-8, and 4-9 ➤ Revised Section 4.4 "How to View Certification Details" to include Right Type [FCFSR, GFR, ECR and UDR]. ➤ Revised "View Certification Details" for a column name change to Excluded From Pivotal Control Test. ➤ Revised Section 4.6 "How to View PTID Capacity and Sales Allocations" so that PTIDs include UDR Interfaces. Added column UDR IDCAP to the screen and extended the definition of ICAP Sold for DAM for Gen, UDR and SCR Aggregation PTIDs. ➤ Revised Section 4.7 "How to Allocate Sales to PTIDs" to remove Historic Divestiture and defined PTIDs to include Generator, SCR and UDR Interfaces. ➤ Revised Section 4.9 "How to View Supply-Side In-City Mitigation Summary" to include UDR PTIDs. <p>Section 6</p> <ul style="list-style-type: none"> ➤ Revised Insert Offer To Sell to include External CRIS Right # ➤ Revised Maintain Offer To Sell to include External CRIS Right # ➤ Revised Copy Offer To Sell to include External CRIS Right # ➤ Revised Spot Offer Summary to include Generators, SCRs and UDRs. <p>Section 9</p> <ul style="list-style-type: none"> ➤ Revised Offer Auction Results to include External CRIS Right #. ➤ Revised Strip Auction Summary to rename IMO to IESO. <p>Section 10</p> <ul style="list-style-type: none"> ➤ Revised Derating Factors table to split Filter and Maintain into two tables for consistency with other tables. <p>Section 11</p> <ul style="list-style-type: none"> ➤ Revised Maintain DMNC/PMPC to clarify that PTID includes generators and SCRs. <p>Section 12</p> <ul style="list-style-type: none"> ➤ Revised the Billing Menu to display the Consolidated Billing sub-menu. <p>Section 13</p> <ul style="list-style-type: none"> ➤ Revised View SCRs to include new Supplier Type [SCR, MUNI, LM] column and removed Transmission Owner column. <p>Section 14</p> <ul style="list-style-type: none"> ➤ Revised Upload/Download to rename IMO to IESO and to include Right#. ➤ Updated Data Dictionary to include Right # for External CRIS Rights.
--	--	--

		<p>Section 15</p> <ul style="list-style-type: none"> ➤ Added new Section 15.1 How to View UDR Generator Monthly Parameters ➤ Added new Section 15.2 How to View External CRIS Right Offer Caps ➤ Added new Section 15.3 How to View External CRIS Rights Obligations & Violations
<p>1.8</p>	<p>04/07/2010</p>	<p>Global</p> <ul style="list-style-type: none"> ➤ Updated links for accessing external documents, secondary to NYISO Web site redesign. ➤ Replaced various screen shots to either improve readability or reflect presentation improvements in the System interface. ➤ Implemented minor clarifying edits. ➤ Edited text references and replaced screen shots to reflect change of terminology from <i>EFORd</i> to <i>Derating Factor</i> secondary to Buyer-Side Mitigation modifications deployed in June 2009. ➤ Implemented additional changes secondary to Buyer-Side Mitigation modifications deployed in June 2009, as detailed in section-specific entries following. ➤ Screens are sized Width = 6.23 inches, Menus are sized Width = 4.0 inches. <p>Section 1.3</p> <ul style="list-style-type: none"> ➤ Added User Roles for Generator Floor Price Summary to Table 1.1. <p>Section 4</p> <ul style="list-style-type: none"> ➤ Replaced Figure 4-2 to reflect addition of View Generator Floor Price Summary option to Mitigation Menu. <p>Section 4.6.1</p> <ul style="list-style-type: none"> ➤ Revised Table 4.15 to reflect addition of Subject to Buyer-Side Mitigation column after Mitigated Generator Group. <p>Section 4.6.2</p> <ul style="list-style-type: none"> ➤ Replaced Figure 4-9 to reflect addition of Subject to Buyer-Side Mitigation column to Allocate Sales" screen. ➤ Added new Figure 4-10, Error Displayed if Attempting to Allocate Sales above Available UCAP, resulting in renumbering of subsequent figures within section 4. ➤ Revised Table 4.15 to reflect that sales cannot be allocated to a PTID subject to buyer-side mitigation. <p>Section 4.11</p> <ul style="list-style-type: none"> ➤ Inserted as new and titled "How to View Generator Floor Price Summary," resulting in renumbering of subsequent subsections in section 4. <p>Section 6.1</p> <ul style="list-style-type: none"> ➤ Added material specific to Spot Market Auction Offers, including pricing thresholds and potential for generators to be subject to both Supply-Side and Buyer-Side In-City Mitigation. <p>Section 6.1.2</p> <ul style="list-style-type: none"> ➤ Added new Figure 6.5, "Supply-Side Offer Validation Errors". <p>Section 9.1.2</p> <ul style="list-style-type: none"> ➤ Revised to reflect obsolescence of DGO mitigation rules and certain implications thereof.

		<p>Section 10.1.2</p> <ul style="list-style-type: none"> ➤ Removed Figure 10-4 and corresponding EFORD example. ➤ Deleted as obsolete text reflecting a limit of 10 records being displayed at one time on the Maintain Seasonal Derating Factors screen. <p>Section 14.5.1</p> <ul style="list-style-type: none"> ➤ Revised Data Dictionary. <p>Section 14.5.5.2</p> <ul style="list-style-type: none"> ➤ Revised UCAP_DOWNLOAD_PTID_CAPACITY response parameters.
1.7	09/04/2009	<p>Global</p> <ul style="list-style-type: none"> ➤ Reformatted per new template to standardize presentation. ➤ Implemented minor stylistic changes. ➤ Standardized labeling and numbering of graphical and tabular material. ➤ Revised external-document links to explicitly cite URLs from which documents may be accessed. ➤ Named all Tables and Figures ➤ Implemented Best Practices for User Guide <ul style="list-style-type: none"> • "Screen Names" in double quotes • Screen Sections have no double quotes • Report Names and Report Sections have no double quotes • Menus, submenus and menu options have no double quotes. • "Button Names" and checkboxes in double quotes with style = FONT-KEYSTROKE • "User Privileges" in double quotes • "Text Messages" in double quotes • Column Names, Field Names, and Filter Criteria have no double quotes • New User Interface – replaced Yellow Menu Bar with Filter Section <p>Front Matter</p> <ul style="list-style-type: none"> ➤ Add Table of Figures and Table of Tables <p>Revision History Table</p> <ul style="list-style-type: none"> ➤ Changed column headings as follows: <ul style="list-style-type: none"> • "Revision" changed to "Version" • "Changes" changed to "Revisions" <p>Section 4 – CERTIFICATION:</p> <ul style="list-style-type: none"> ➤ Added changes for Deliverability Project ➤ Existing In-City Mitigation references were modified to clarify Supply-Side In-City Mitigation so that any future revisions particular to Buyer-Side In-City Mitigation will be distinct.
1.6	02/09/2009	<p>Section 1 – INTRODUCTION</p> <ul style="list-style-type: none"> ➤ Added one new row to Table 1.1 in Section 1.3 under "Certification" called "How to Report and Manage MP Affiliate Information" <p>Section 4 – CERTIFICATION:</p> <ul style="list-style-type: none"> ➤ New functionality for "How to Report and Manage MP Affiliate Information" ➤ Updated screenshots of Certify Menu (Figure 4.1.1) and Mitigation Menu (Figure 4.1.2). ➤ Updated Section 4.9.1 to include new screen fields in Tables 4.21 and 4.22. ➤ Updated Section 4.9.2 for updated screenshot of "View Default Reference Prices" screen (Figure 4.12).

		<p>NEW SECTION 4.10:</p> <ul style="list-style-type: none"> ➤ Described MP Processes to Manage MP Affiliate Information ➤ New Section 4.10.1 Screen Descriptions for "MP Affiliate Form", Tables 4.23, 4.24, 4.25 and 4.26. ➤ New Section 4.10.2 "Viewing MP Affiliate Information". ➤ New Section 4.10.3 "Updating MP Affiliate Information" ➤ New Section 4.10.4 "Inserting MP Affiliate Information" with new Table 4.27 and Figures 4.13 and 4.14 "MP Affiliate Form".
1.5	June 2008	<p>Section 1 – INTRODUCTION</p> <ul style="list-style-type: none"> ➤ Updated Table in 1.3 for new functionality. <p>Section 4 – CERTIFICATION:</p> <ul style="list-style-type: none"> ➤ Modified Section 4.3 for a new version of "View Certification Details" screen to include a new column – "Excluded from In-City Mitigation" ➤ New Section 4.9 for Default Reference Prices <p>Section 6 – OFFERS TO SELL UCAP:</p> <ul style="list-style-type: none"> ➤ New Section 6.5 for new Spot Offer Summary <p>Section 14 – UPLOAD/DOWNLOAD</p> <ul style="list-style-type: none"> ➤ Modified Section 14.5.3 and Revision History for addition of "Excluded from In-City Mitigation " parameter
1.4	May 2008	<p>Section 4 – CERTIFICATION</p> <ul style="list-style-type: none"> ➤ Added a new Post-Certification Functionality to Certification (Section 4.0) called Supply-Side In-City Mitigation. ➤ Added new menu option called "Mitigation". This is used to navigate to the new "View Supply-Side In-City Mitigation Summary" Screen. ➤ Removed references to historic DGO Mitigation and former "Mitigated Capacity". ➤ "Mitigated Generator Group" will now be used only to reference historic data. (Tables 4.4, 4.5, 4.7, 4.9, 4.10, 4.12, 4.13, 4.14, and 4.15). ➤ Replaced Figure 4.3 to show "Mitigated Generator Group" field has been removed from the "Insert Bilateral Agreement" Screen. ➤ Replaced Figure 4.4 to show "Mitigated Generator Group" field has been removed from the "Maintain Unconfirmed Agreements" Screen. ➤ Added new Section 4.8 "How to View Supply-Side In-City Mitigation Summary". This includes new Tables 4.18, 4.19 and 4.20. It also includes new Figures 4.10 and 4.11. <p>Section 6 – OFFERS TO SELL UCAP</p> <ul style="list-style-type: none"> ➤ Added language to indicate that Spot Market Auction Offers that are subject to Supply-Side In-City Mitigation cannot exceed the reference price. ➤ Removed references to historic "Mitigated Generator Group" and DGO Mitigation. ➤ Tables 6.1, 6.2, 6.3 and 6.4 were modified to indicate that the "Mitigated Generator Group" column will only reference historic data. ➤ Replaced Figure 6.2 with modified "Insert Offers to Sell" Screen. ➤ Replaced Figure 6.4 with modified "Add to Cart" Screen. ➤ New Figure 6.5 illustrates the error message when a Spot Market Offer exceeds reference price. ➤ Existing "Maintain Offers to Sell" Screens replaced in Figures 6.8 and 6.9. <p>Section 14 – UPLOAD/DOWNLOAD</p>

		<ul style="list-style-type: none"> ➤ Updated Sect 14 Revision History with a new entry for April 2008. ➤ MIT_GEN_GROUP will now be ignored but is kept in the document to avoid making the MPs change their local applications. ➤ Updated 14.3.2 to illustrate the new Offer Validation Error if Spot Offer Exceeds Reference.
1.3	March 2008	<p>Section 5</p> <ul style="list-style-type: none"> ➤ Change to View Buyer Awards screen (Fig. 5.14). No change to text. <p>Section 9</p> <ul style="list-style-type: none"> ➤ Pg. 9.3, change to ROS language (ROS Awards can be from multiple locations-automation); also new View Bid Results screen (Fig. 9.4).
1.2	10/05/2007	<p>Section 3</p> <ul style="list-style-type: none"> ➤ Page 3-1, inserted bullet "Login and Logout of User Sessions". <p>Section 4</p> <ul style="list-style-type: none"> ➤ Table 4.5, Screen Field "Import Right #", changed description (here redlined); Unique Identifier of an Import Right in a selected location that allows an MP to resell purchased external capacity to another MP in that location. ➤ Also, on p. 4-6 inserted "will appear after location is selected and" after the words "Import Right #". <p>Section 11</p> <ul style="list-style-type: none"> ➤ Page 11-1, 3rd paragraph, "Section 5.12" replaced "Section 5.11.8." ➤ Also, Table 11.4, "Expiration Date" and "Days to Expiration" Screen Fields (rows) added. ➤ Also, Figure 11.2 screenshot replaced to show new columns "Expiration Date" and "Days to Expiration" <p>Section 12</p> <ul style="list-style-type: none"> ➤ Section 12.4 new descriptions starting with "To access the report;" and ending with "9. Grand Total" added, (just before Figure 12.11) <p>Section 14</p> <ul style="list-style-type: none"> ➤ Upload/Download Revision History new entry for October 2007 added. ➤ Also, "EXCEPTION: ICAP System Uploads delete data previously entered via the Web page forms" was added to beginning of Section 14 after the first paragraph. ➤ Also, corrected missing ampersands on pp 14-5, 14-13, 14-18, 14-19, 14-20, 14-23, 14-24 (corrections). ➤ Also, on page 14-19, an "S" was added to "PURCHASE..." in Sections 14.5.4.3 and 14.5.4.4 (correction). ➤ Also, in Section 14.6.1 the new parameters "EXP_DATE" and "DAYS_TO_EXP" were added. ➤ Also, in Section 14.6.3.2 EXP_DATE and DAYS_TO_EXP were added to the list of parameters. ➤ Also, in Section 14.6.3.4, ""04/30/2005",270" was added to the response file example.
1.1	05/30/2006	<p>Section 4</p> <ul style="list-style-type: none"> ➤ Small procedural change Section 4.2.2 and field description added Table 4.15; Section 8 includes a note at very beginning about posting Event Calendars for each Capability Period; Section 11, numerous clarifying details about Screen Fields, SCRs.
1.0	02/14/2006	Initial Release

This page intentionally blank.

1. INTRODUCTION

1.1 What is the ICAP Automated Market?

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

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

1.2 Who is the ICAP Automated Market System For?

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

- **Load Serving Entities (LSEs)** as defined in Section 2.12 of the *MST* - Market Participants that are required to satisfy capacity requirements through self-supply, bilateral transactions, or through purchased capacity in the ICAP auctions to meet load plus any excess capacity determined by the ICAP Spot Market Auction.
- **Installed Capacity Marketers (Marketers)** as defined in Section 2.9 of the *MST* – Customers that submit bids to purchase and offers to sell capacity in the ICAP market.
- **Installed Capacity Suppliers (ICAP Suppliers)** as defined in Section 2.9 of the *MST*, including the **Responsible Interface Parties (RIPs)**.
- **Responsible Interface Parties (RIPs)** defined in Section 2.18 of the *MST* – Customers that are qualified to certify and submit offers of Unforced Capacity ("UCAP") that are derived from the load reduction capability associated with Special Case Resources that it properly enrolled in the ICAP/SCR program.

- **Transmission Owners (TOs)** as defined in Section 2.20 of the *MST* – Metering authorities that are responsible for submitting Load data for LSEs within their Transmission District.

[Table 1.1](#) details the type of data (read-only or editable) available to each Market Participant. Also, some of the functionality and web pages described in this document are available to the general public. Additionally, this User's Guide distinguishes between Billing Organizations and Non-Billing Organizations. Billing Organizations have satisfied NYISO credit requirements to participate in the NYISO ICAP market. Non-Billing Organizations have Billing Organizations (Financially Responsible Parties) acting on their behalf for certain ICAP auction activities.

1.3 What this User's Guide Covers

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

Table 1.1 User Roles and Privileges

Functionality / ICAP Automated Market System User's Guide Section	Billing Org MP	Non-Billing Org MP	TO	Public
<i>Certification (Section 4)</i>				
How to View Market Position	R	R		
How to Maintain and Enter Bilateral Agreements	R/E	R/E		
How to Enter and Maintain External CRIS Right Bilaterals	R/E	R/E		
How to View Certification Detail Transactions	R	R		
How to View Summaries of Purchases and Sales	R	R		
How to View PTID Capacity and Sales Allocations	R	R		
How to Allocate Sales to Internal PTIDs	R/E	R/E		
How to Assign Trans ID to External Transactions	R/E	R		
How to View Supply-Side Mitigation Summary	R	R		
How to View Default Reference Price Summary	R	R		
How to Report and Manage MP Affiliate Information	R/E	R/E		
How to View Floor Prices	R	R		
How to View Deliverability Limits	R	R		
How to View Zero Dollars MW Offers	R/E	R		
<i>Bids to Purchase UCAP (Section 5)</i>				
How to Enter Bids to Purchase UCAP	R/E ¹			

Functionality / ICAP Automated Market System User's Guide Section	Billing Org MP	Non-Billing Org MP	TO	Public
How to Maintain and View Bids to Purchase UCAP	R/E	R		
How to Copy Bids to Purchase UCAP	R/E ¹			
How to View Buyer Awards	R	R		
Offers to Sell UCAP (Section 6)				
How to Enter Offers to Sell UCAP	R/E ²			
How to Maintain and View Offers to Sell UCAP	R/E	R		
How to Copy Offers	R/E ²			
How to View Seller Awards	R	R		
How to View Spot Offer Summary	R	R		
Load Forecasts and UCAP Requirements (Section 7)				
How to View and/or Record LSE Load Forecasts	R	R	R/E	
How to Maintain Transmission Owner Lists of LSE's			R/E	
How to View ICAP and UCAP Calculations	R	R	R	R
ICAP Market Event Calendar (Section 8)				
How to View the Event Calendar	R	R	R	R
Auction Results (Section 9)				
How to View Strip / Monthly Auction Bid Results	R	R		
How to View Spot Market Auction Purchases	R	R		
How to View Offer Auction Results	R	R		
How to View Strip Auction Summary	R	R	R	R
How to View Monthly Auction Summary	R	R	R	R
How to View Spot Auction Summary	R	R	R	R
How to View Rebate Summary	R	R	R	R
Derating Factors (Section 10)				
How to View Seasonal Derating Factors	R	R		
Dependable Maximum Net Capability (Section 11)				
How to Maintain DMNC Results	R/E	R/E		

NYISO ICAP AUTOMATED MARKET SYSTEM USER'S GUIDE

Functionality / ICAP Automated Market System User's Guide Section	Billing Org MP	Non-Billing Org MP	TO	Public
How to View Monthly DMNC Test Results	R	R		
Billing (Section 12)				
How to View and/or Maintain Daily Forecasted Load and Actual True-Up Load	R	R	R/E	
How to View Daily Forecasted Load and True-Up Load			R	
How to View Load Shift Billing Adjustment Details	R	R	R	
How to View Consolidated Billing	R	R		
Special Case Resources (SCRs) (Section 13)				
How to View SCRs, Load Modifiers and Municipal Generation	R			
Upload / Download⁶ (Section 14)				
UCAP_UPLOAD_BID	E ⁴			
UCAP_UPLOAD_OFFER	E ⁵			
UCAP_UPLOAD_LOADFORECASTS			E	
UCAP_UPLOAD_DMNC	E	E		
UCAP_DOWNLOAD_DMNC	R	R		
UCAP_DOWNLOAD_BID	R	R		
UCAP_DOWNLOAD_OFFER	R	R		
UCAP_DOWNLOAD_LOADFORECAST	R	R	R	
UCAP_DOWNLOAD_BILATERALS	R	R		
UCAP_DOWNLOAD_CERT_DETAIL	R	R		
UCAP_DOWNLOAD_PURCHASES_SALES	R	R		
UCAP_DOWNLOAD_PTID_CAPACITY	R	R		
UCAP_DOWNLOAD_ZERO_DOLLAR_OFFER	R	R		
Rights (Section 14)				
How to View Unforced Capacity Deliverability Right (UDR) Generator Monthly Parameters	R	R		
How to View External CRIS Right Offer Caps	R	R		
How to View External CRIS Rights Obligations & Violations	R	R		
R = Read-only				

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

Table Notes:

1. Access granted to this page only if "Bid to Purchase" User attribute is checked.
2. Access granted to this page only if "Offer to Sell" User attribute is checked
3. Security is controlled by the User ID and password in the templates.
4. Only Users with the "Bid to Purchase" attribute can submit this template.
5. Only Users with the "Offer to Sell" attribute can submit this template.

1.4 Functions Not Automated

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

- Submitting GADS Data
- Reporting and calculation of generator Derating Factor
- Requesting External Import Rights and Unforced Capacity Deliverability Rights (UDRs)
- For RIPs participating in the ICAP/SCR program, the registration of Responsible Interface Party, the enrollment of SCRs with the required meter data and load reduction information, the reporting of SCR performance data and the maintenance of SCR enrollment data, and performance factors for individual and aggregations of SCRs as well as RIPs, are implemented in the Demand Response Information System (DRIS).

This page intentionally blank.

2. BACKGROUND TOPICS

2.1 Introduction to the Capacity Auctions

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

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

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

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

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

Additional information concerning NYISO capacity requirements and the Installed Capacity Market is available in the *NYISO Installed Capacity Manual* located on the

NYISO Web site at

http://www.nyiso.com/public/markets_operations/documents/manuals_guides/index.jsp.

3. REQUIREMENTS

3.1 System Requirements

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

- Microsoft Internet Explorer (Version 9 or higher) or Firefox (Version 17 or higher)
- Minimum 1024x768 screen resolution
- A NAESB compliant digital certificate
- Internet connection with a recommended connection of at least 56Kbps

3.2 Using Digital Certificates

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

http://www.nyiso.com/public/markets_operations/documents/manuals_guides/index.jsp

3.3 Market Participant Administrator and User Tasks

As discussed in detail in the *NYISO Market Participant User's Guide* (MPUG), available from the NYISO Web site at:

http://www.nyiso.com/public/markets_operations/documents/manuals_guides/index.jsp, the NYISO has created the position of Administrator to manage Users, Organizations, Generators, and Load assignments in the NYISO Market Information System. In other words, each Market Participant's ("MP's") Administrator is responsible for managing its organization's Users with regard to their allowed function(s) in the NYISO markets. First, however, the MP organization itself must have ICAP market privileges to participate.

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

The ICAP Automated Market System does not pre-populate Users or User permissions; i.e., they will not be carried forward from any Market Trial, nor will they be carried forward from any other NYISO market product, system, or record. Users with ICAP permissions must be created by the MP's Administrator (see screen shot below). ICAP Automated Market System passwords, which are managed by Administrators, are case-sensitive.

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

- Login and Logout of User sessions
- Submit bids/offers

- Insert Bilateral Agreements
- Allocate Sales to Generators
- Record Load Forecasts
- Record DMNC Test Results
- View Seasonal Derating Factors
- View Auction Results

Figure 3-1 below shows the MIS New User screen, through which MP Administrators create User accounts.

The screenshot shows a web browser window with a navigation bar at the top containing links: Administrators - Generators - Log Out - New User - Organization Users - Organizations - Sub-Zone Parameters - Zone Parameters - . Below the navigation bar is the title "New User".

The form includes the following fields and options:

- Organization: [Dropdown menu] Active:
- Name: * [Text input]
- Primary Phone: * [Text input]
- Secondary Phone: [Text input]
- FAX: [Text input]
- E-Mail: [Text input]
- Pager: [Text input]
- Oracle User Name: * [Text input]
- Address: [Text input]

Privileges

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

ICAP-related Privileges

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

Metering-related Privileges

Metering

Memo

[Large text area for memo]

Buttons: Insert, Reset

Figure 3-1 MIS New User Screen

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

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

The screen used for *managing current* Users, under Organization Users Menu, is nearly the same (see [Figure 3-2](#) below).

The screenshot displays the 'User Detail' page in the NYISO MIS. At the top, there is a navigation menu with items like 'Company', 'Newsroom', 'Products', 'Market Data', 'Services', 'Documents', and 'Committees'. Below this is a breadcrumb trail: 'Administrators - Generators - Log Out - New User - Organization Users - Organizations - Sub-Zone Parameters - Zone Parameters'. The page title is 'User Detail' and it includes a 'Page Ref. M-3' indicator.

The main content area is divided into several sections:

- Organization:** Type: NYISO CUSTOMER, Updated By: 1012996, Update Time: 12/05/2005, Active:
- Contact Information:** Fields for Name, Address, Primary Phone, Secondary Phone, FAX, E-Mail, Pager, and Oracle User Name.
- Privileges:** A grid of checkboxes for various system functions:

DAM Generators	HAM Generators	Physical Load	Virtual Load	Virtual Supply	DAM Transactions
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
HAM Transactions	Non-Firm Transactions	TCC	ICAP	Update UC Data	Billing
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
- ICAP-related Privileges:** A section highlighted with a red border, containing checkboxes for 'Bid To Purchase', 'Offer To Sell', 'Certify', and 'DMNC', all of which are currently unchecked.
- Memo:** A large text area for notes.
- Buttons:** 'Update', 'Reset', and 'Delete' buttons are located below the memo field.
- Footer:** 'Change Password', 'Authorized Generators', and 'Authorized Loads' links are at the bottom of the form area. A copyright notice '© 1999-2005 New York Independent System Operator. All rights reserved.' is at the very bottom.

Figure 3-2 MIS Screen for Managing Users

4. CERTIFICATION

This section describes how Market Participants certify the UCAP they are supplying and also how they certify the amount of Unforced Capacity they have obtained for the upcoming Obligation Procurement Period. These processes are described in greater detail in the *NYISO Installed Capacity Manual* (available from the NYISO Web site at the following URL: http://www.nyiso.com/public/markets_operations/documents/manuals_guides/index.jsp).

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

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

- How to View Market Position
- How to Enter, Maintain and Confirm Bilateral Agreements
- How to Enter, Maintain and Delete External CRIS Right Bilateral Agreements.
- How to Assign Sold Capacity to PTIDs
- How to Assign MIS Transaction IDs to Imports, Exports, and Unforced Capacity Deliverability Rights (UDRs)
- How to View Confirmed Bilateral Agreements and Summarized Auction Results Details
- How to View Summarized Bilateral Agreements and Auction Results
- How to View Activity and Remaining Capacity of PTIDs
- How to View Supply-Side Mitigation Summary
- How to View Default Reference Prices Summary
- How to Report and Manage Market Participant Affiliate Information
- How to View Floor Prices
- How to View Deliverability Limits
- How to Enter and Maintain Zero Dollar MW Offers

Download templates for certification functions are described in Section 14.5 of this User's Guide.

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

The Certify Menu appears as follows:



Figure 4-1 Certify Menu

The Mitigation Menu appears as follows:



Figure 4-2 Mitigation Menu

4.1 How to View Market Position

Users may view their purchases and sales, requirements, excess capacity, and overall long or short position by location. To utilize this feature, Users may select View Market Position option from the Certify Menu displayed in [Figure 4-1](#).

4.1.1 Screen Descriptions

Table 4.1 View Market Position Filter Screen Section

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

Table 4.2 Market Position Screen Section

Screen Field	Data Type	Editable	Description
Location	Text	N	List of all unique internal and external locations.
Purchases	Numeric	N	Sum of all confirmed purchased MW (bilateral transactions and auctions) for the Market Participant and Month specified and the Location listed.
Sales Allocated to Purchases	Numeric	N	Sum of all confirmed sold MW for the Location listed that are not allocated to PTIDs.
Requirements	Numeric	N	UCAP requirements for the Location listed (valid for LI, NYC, GHI (i.e., Load zones G, H, and I), and ROS (Rest of State). Value will be zero for HQ, IESO, NE and PJM.
Generator Capacity	Numeric	N	Sum of Available For Sale UCAP Capacity of all PTIDs for the Market Participant and Month specified and the Location listed. (See Table 4.15 in Section 4.6 for calculation of Available For Sale UCAP.)
Sales Allocated to Generators	Numeric	N	Sum of confirmed sold MW allocated to PTIDs for the Market Participant and the Location listed.
Excess Capacity	Numeric	N	Generator Capacity minus Sales Allocated to Generators. <i>Note:</i> The Excess Capacity does not carry a Day-Ahead Market bidding obligation.
Overall Position Long / (Deficient)	Numeric	N	Purchases less Sales Allocated to Purchases less Requirements.

4.1.2 Viewing Market Position

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

Figure 4-3 Market Position Screen Section

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

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

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

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

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

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

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

Step 2: The “Allocate Sales” screen (see Section [4.7](#)) is then used to allocate the self-supply bilateral sale to PTIDs. This moves the sale from Sales Allocated to Purchases to Sales Allocated to Generators on the "View Market Position" screen.

Purchases	110 MW (100 MW purchased plus 10 MW self-supply)
Sales Allocated to Purchases	0 MW
Requirements	110 MW
Generator Capacity	90 MW
Sales Allocated to Generator	25 MW
Excess Capacity	65 MW
Overall Position	0 MW (100 minus 0 minus 110)

4.2 How to Enter, Maintain, and Delete Bilateral Agreements

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

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

Unconfirmed bilateral agreements can only be modified by the User which entered them, and only MW values can be changed. Bilateral agreements that are unconfirmed at the time the Certification Period closes do not serve to reduce a Market Participant's requirements. In order for self-supply generating capacity to meet any ICAP requirements, Users must first enter the required MW as a bilateral agreement with themselves listed as the second party. Such transactions are automatically confirmed by the System; i.e., for all self-

supplied UCAP, the functionality operates so that for self-supply only Users do not need to take a second action, and thus in effect bypass the functionality described in Section [4.2.5](#).

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

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

4.2.1 Screen Descriptions

Table 4.3 Bilateral Agreements Filter Screen Section

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

Table 4.4 Location Sales Summary Screen Section

Screen Field	Data Type	Editable	Description
Location	Text	N	Internal and external locations.
Auction and Bilateral Sales	Numeric	N	Supplier's auction awards and confirmed bilateral sales from this location.
Unallocated Balance	Numeric	N	Supplier's capacity sales not yet allocated to PTIDs.
Balance After 2nd Party Confirmation	Numeric	N	Supplier's Unallocated Balance minus Bilateral Sales pending 2nd party confirmation for this location.

Table 4.5 Create Bilateral Agreement Screen Section

Screen Field	Data Type	Editable	Description
Purchase / Sale	Text	Y	Select either Purchase or Sale.
Location	Text	Y	Select from list of internal locations (See Sections 4.2.2.1 and 4.2.2.2 on Importing and Exporting Capacity).
2 nd Party	Text	Y	Select from list of Market Participants.
Import Right #	Text	Y	Select from list. List consists of unique Import Right #'s on confirmed FCFS bilateral agreement purchases for the MP performing the insert. This field is optional.

Screen Field	Data Type	Editable	Description
MW	Numeric	Y	Number of MW either purchased or sold on the bilateral agreement. (Format 9999.9; always positive) Sales and Purchases are entered and displayed as UCAP.

Table 4.6 Maintain Unconfirmed Agreements Screen Section

Screen Field	Data Type	Editable	Description
Purchase / Sale	Text	N	Identifies whether the bilateral agreement is a purchase or sale.
Location	Text	N	Internal location.
2 nd Party	Text	N	The Market Participant that capacity was purchased from or sold to.
Import Right #	Text	N	Unique identifier of an Import Right in a selected location that allows a Market Participant to resell purchased external capacity to another Market Participant in that location.
Bilateral ID	Numeric	N	System-generated Bilateral Agreement ID number. This value is only displayed if the Bilateral Agreement is an Export Transaction. This number will be displayed as the ID # for Type=EBT transaction records on the "Assign Transaction IDs" screen.
MW	Numeric	Y	Purchased or Sold MW. (Format 9999.9; always positive). Sales and Purchases are entered and displayed as UCAP.
Confirmed By MP	Text	N	Indicates if the Market Participant has confirmed the bilateral agreement (automatically confirmed for the Market Participant that enters the bilateral agreement).
Confirmed By 2 nd Party	Text	Y Only 2nd Party can Edit	Indicates if the 2 nd Party has confirmed the bilateral agreement. The MP that submitted the bilateral agreement cannot edit this field.
Last Updated By	Text	N	Identifies who last updated the bilateral agreement data.
Last Update Date	Date / Time	N	Date the bilateral agreement data was last updated.
Delete	Check Box	Y	Used to mark record for deletion.

Table 4.7 View Confirmed Agreements Screen Section

Screen Field	Data Type	Editable	Description
Purchase / Sale	Text	N	Identifies whether the bilateral agreement is a purchase or sale.
Location	Text	N	Internal location.
2nd Party	Text	N	The Market Participant that capacity was purchased from or sold to.
Import Right #	Text	N	Unique identifier of an FCFS Import Right that allows a Market Participant to resell purchased external capacity to another Market Participant in that location.
Bilateral ID	Numeric	N	System-generated Bilateral Agreement ID number. This value is only displayed if the Bilateral Agreement is an Export. This number will be displayed as the ID # for Type=EBT transaction records on the "Assign Transaction IDs" screen.
MW	Numeric	N	Purchased or Sold MW. (Format 9999.9; always positive). Sales and Purchases are entered and displayed as UCAP.
Confirmed By MP	Text	N	Indicates if the Market Participant has confirmed the bilateral agreement (automatically confirmed for the Market Participant that enters the bilateral agreement).
Confirmed By 2nd Party	Text	N	Indicates if the 2nd Party has confirmed the bilateral agreement. The MP that submitted the bilateral agreement cannot edit this field.
Last Updated By	Text	N	Identifies who last updated the bilateral agreement data.
Last Update Date	Date / Time	N	Date the bilateral agreement data was last updated.

4.2.2 Inserting Bilateral Agreements

Users may add bilateral agreements by selecting the appropriate Month in the filter and then clicking the “**DISPLAY**” button at the top of the "Bilateral Agreements" screen to view existing bilateral agreements:

Success
Bilateral Agreement has been created successfully.

Location Sales Summary

Location	Auction and Bilateral Sales	Unallocated Balance	Balance After 2nd Party Confirmation
NE	150.0	0.0	0.0
ROS	78.9	78.9	73.4

Create Bilateral Agreement

Purchase / Sale	Location	2nd Party	Import Right #	MW
<input type="text"/>	Location: <input type="text"/>	<input type="text"/>	Right #: <input type="text"/>	<input type="text"/>

Maintain Unconfirmed Agreements

Purchase / Sale	Location	2nd Party	Import Right #	Bilateral ID	MW	Confirmed by MP	Confirmed by 2nd Party	Last Updated By	Last Update Date	Delete
Sale	ROS	CONTROL AREA - PJM		901101	5.5	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Billy Watts	22-Sep-2014 02:07 PM	<input type="checkbox"/>

View Confirmed Agreements

Purchase / Sale	Location	2nd Party	Import Right #	Bilateral ID	MW	Confirmed by MP	Confirmed by 2nd Party	Last Updated By	Last Update Date
-----------------	----------	-----------	----------------	--------------	----	-----------------	------------------------	-----------------	------------------

Figure 4-4 Create Bilateral Agreement Screen Section

To add bilateral agreements, Users must select the following parameters in the Create Bilateral Agreement screen section: Purchase / Sale, Location, 2nd Party, Import Right # (optional), and then enter a MW value. Users must save the transaction by clicking the “SAVE” button. The screen will automatically refresh and the newly inserted bilateral agreement will be displayed in the Maintain Unconfirmed Agreements screen section. If Users make a change without saving the data and attempt to proceed to another screen, the System will confirm Users want to leave the page without saving the changes.

Note: Import Right # will appear after location is selected and can only be entered for a sale, not a purchase; the MW cannot exceed the remaining MW value for the Import Right.

4.2.2.1 Exporting Capacity

To enter sales of NYCA UCAP to neighboring External Control Areas, enter a bilateral agreement per the normal process for Inserting Bilateral Agreements and specify the 2nd Party as the Organization representing the External Control Area to which the capacity is being exported:

2 nd Party Organization Name	Control Area
CONTROL AREA - PJM	PJM (Pennsylvania, New Jersey, Maryland)
CONTROL AREA - ISO-NE	ISO-New England
CONTROL AREA - HQ	Hydro Quebec

The NYISO will confirm the bilateral agreements (acting as the 2nd Party on behalf of the External Control Area) prior to the close of the certification period. These export bilateral transactions (EBT) will have a system-generated Bilateral ID specified. Section 4.8 describes the confirmed export bilateral transactions as Type=EBT on the "Assign Transaction IDs" screen.

4.2.2.2 Import Right Bilateral Agreements

Import Rights are requested following the process specified in the *ICAP Manual* and not through the ICAP Automated Market System. The "first-come, first-serve" (FCFS) Import Rights are different from External CRIS Rights, which are described below in Section 4.3.) For FCFS Import Rights received through the process described in the ICAP Manual, the NYISO will create all bilateral agreements associated with FCFS Import Rights in the ICAP Automated Market System. They will appear as confirmed bilateral agreements. The NYISO will notify Import Rights holders when these bilateral agreements will be visible to Users in the application according to the process specified in the *ICAP Manual*. These FCFS Import Rights are described in Section 4.8 as Type=FCFSR on the "Assign Transaction IDs" screen.

Note: Market Participants do not enter any data in the Automated Market System regarding the initial FCFS Import Right bilateral agreements.

4.2.3 Maintaining Bilateral Agreements

Utilizing this feature, Users may change the MW value of existing unconfirmed bilateral agreements that they have entered (before it has been confirmed by the second Market Participant. (This features does not does not apply to Import Rights bilateral agreements.) In order to retrieve and display all applicable bilateral agreements, Users must select a month and click “**DISPLAY**” in the screen filter. These fields are described in [Table 4.3](#). The following screen will appear:

Maintain Unconfirmed Agreements										
Purchase / Sale	Location	2nd Party	Import Right #	Bilateral ID	MW	Confirmed by MP	Confirmed by 2nd Party	Last Updated By	Last Update Date	Delete
Sale	ROS	CONTROL AREA - PJM		9744001	20.2	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Billy Watts	20-Oct-2014 11:00:00 AM	<input type="checkbox"/>
Sale	ROS	Beta Trading			88.8	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Kathy Ohm	06-Oct-2014 11:00:00 AM	<input type="checkbox"/>
Sale	ROS	Beta Trading			7.7	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Billy Watts	16-Oct-2014 11:00:00 AM	<input type="checkbox"/>

Save

Figure 4-5 Maintain Unconfirmed Agreements Screen Section

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

Users change MW values by typing the new value into the MW column in the Maintain Bilateral Agreements screen section and clicking “**SAVE.**” Users wishing to modify any other fields must delete the bilateral agreement and re-enter the information. If Users make a change without saving the change and attempt to proceed to another screen, the System will confirm Users want to leave the page without saving the changes.

4.2.4 Deleting Bilateral Agreements

Users may delete unconfirmed bilateral agreements by selecting the delete check box in the far right of the screen displayed in [Figure 4-4](#) and then clicking the “SAVE” button. The refreshed screen will no longer display those bilateral agreements selected for deletion. Only the Market Participant that entered the agreement can delete it and only before it is confirmed.

4.2.5 Confirming Bilateral Agreements

The screen displayed above in [Figure 4-5](#) allows the party that did not enter the bilateral agreement (i.e., the 2nd party) to confirm the transaction. (As indicated in Section 4.2, this Section 4.2.5 does not apply to self-supply bilateral agreements.) Users should check the “Confirmed by MP” check box in the Maintain Unconfirmed Agreements screen section and select the “SAVE” button. The screen will automatically refresh and confirmed bilateral agreements will then display in the View Confirmed Agreements screen section displayed in [Figure 4-6](#).

View Confirmed Agreements									
Purchase / Sale	Location	2nd Party	Import Right #	Bilateral ID	MW	Confirmed by MP	Confirmed by 2nd Party	Last Updated By	Last Update Date
Purchase	ROS	Acme Energy			45.5	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Billy Watts	06-Oct-2014 11:11:11 AM
Sale	NE	Beta Trading	123456		77.7	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Kathy Ohm	16-Oct-2014 10:33 AM
Sale	ROS	Acme Energy			20.2	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Billy Watts	16-Oct-2014 11:11:11 AM

Figure 4-6 View Confirmed Agreements Screen Section

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

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

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

4.3.1 Screen Descriptions

Table 4.8 External CRIS Right Bilaterals Filter Section

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

Table 4.9 External CRIS Right Bilateral Information Screen

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

Table 4.10 Add External CRIS Right Bilateral Information

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

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

Table 4.11 Maintain External CRIS Right Bilateral Information Screen Section

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

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

4.3.2 Viewing External CRIS Right Bilateral Agreements

When Users select the parameters described in [Table 4.12](#) (Season and Month) and then click the “**DISPLAY**” button, the following screen will appear summarizing the data:

Figure 4-7 External CRIS Right Bilateral Information Screen Section

4.3.3 Enter External CRIS Right Bilateral Agreements

When Users select the parameters described in [Table 4.12](#) (Right #, PTID, Purchaser, Obligation Type, and Bilateral Sale ICAP) and then click the “**SAVE**” button, the following screen will appear summarizing the data:

Figure 4-8 Add External CRIS Right Bilateral Screen Section

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

Figure 4-9 Add External CRIS Right Bilateral - Validation Error

4.3.4 Maintain External CRIS Right Bilateral Agreements

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

Figure 4-10 Maintain External CRIS Right Bilateral Screen Sections

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

4.4 How to View Certification Detail Transactions

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

4.4.1 Screen Descriptions

Table 4.12 View Certification Details Filter Screen Section

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

Table 4.13 Auction and Bilateral Agreement Transactions Screen Section

Screen Field	Data Type	Editable	Description
--------------	-----------	----------	-------------

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

Screen Field	Data Type	Editable	Description
Excluded from Pivotal Control Test	Text [Y,N]	N	Screen value is "Yes" for bilateral sales manually excluded from Market Participant's adjusted market position and "No" for bilateral sales not manually excluded (default). A Market Participant must have a NYISO-Approved request to "rebut presumption of control" in order to have a bilateral sale in the Mitigated Capacity Zone manually excluded by NYISO from their Adjusted Market Position used for Supply-Side Mitigation. See the NYISO <i>Market Services Tariff – Attachment H, Section 23.4.5.5.</i>

4.4.2 Viewing Certification Detail Transactions

When Users select the parameters described in [Table 4.12](#) (Season, Location, and Month) and then click the "DISPLAY" button, the following screen will appear summarizing the data:

Location	2nd Party	Right #	Type	Mitigated Generator Group	Purchased MW	Sold MW	Last Updated By	Last Update Date	Excluded from Pivotal Control Test
NYC						50.0			
ROS					106.6				
ROS					452.8				
ROS					24.9				
HQ		99	UDR			70.0			
HQ		11111	FCFSR			24.9			
HQ		22222	GFR			40.0			
HQ		33	ECR			128.2			
Total:					584.3	765.0			

Figure 4-11 Auction and Bilateral Agreement Transactions Screen Section

4.5 How to View Summary of Purchases and Sales

The "View Summary of Purchases and Sales Summary" screen displays higher level details than the functionality described in Section 4.3. Confirmed bilateral agreement sales and purchases are summarized for each location. Awarded auction sales and purchases are summarized for each individual auction (e.g., Strip, May Monthly, June Monthly, etc.) location. Users may select View Summary of Purchases and Sales option from the Certify Menu.

4.5.1 Screen Descriptions

Table 4.14 View Summary of Purchases and Sales Filter Screen Section

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

Table 4.15 Sales Summary Screen Section

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

Table 4.16 Purchase Summary Screen Section

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

4.5.2 Viewing Summary of Purchases and Sales

After selecting View Summary of Purchases and Sales in the Certify Menu and choosing the parameters (Season and Month) described in [Table 4.8](#) and clicking the “**DISPLAY**” button, the “View Summary of Purchases and Sales” screen will populate. This screen summarizes data based on Type and Location:

Installed Capacity
View Summary of Purchases and Sales

MP Name: Acme Energy Season: Summer 2009 Month: May/2009 Display

Sales Summary

Type	Location	Mitigated Generator Group	MW
Bilateral Agreements	ROS		2
Monthly Auction Sales - MAY	NYC		1
Spot Auction Sales	ROS		1
Strip Auction Sales	NYC		1
Total:			7

Purchases Summary

Type	Location	Mitigated Generator Group	MW
Bilateral Agreements	ROS		1
Total:			1

Figure 4-12 Sales Summary and Purchases Summary Screen Sections

4.6 How to View PTID Capacity and Sales Allocations

Users must select View PTIDs from the Certify Menu to view the capacity and sales allocations for each PTID associated with their organization. For each PTID, both Available For Sale UCAP and ICAP Sold For DAM are calculated.

4.6.1 Screen Descriptions

Table 4.17 View PTIDs Filter Screen Section

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

Table 4.18 Summary of Capacity and Sales Allocations Screen Section

Screen Field	Data Type	Editable	Description
PTID	Text	N	All Generator, SCR, and UDR PTIDs associated with the MP Name shown in the Data Selection window.
PTID Name	Text	N	Generator/SCR name or UDR Interface name.
Location	Text	N	Location of the Generator or SCR, or the sink location associated with a UDR Interface.
Zone	Text	N	LBMP Zone Letter associated with the Generator or SCR Aggregation PTID, or the LBMP Zone Letter associated with the UDR sink location.

Screen Field	Data Type	Editable	Description
Mitigated Generator Group	Text	N	<p>Mitigated Generator Group to which the PTID belongs.</p> <p><i>Note:</i> As of May/2008, this parameter is obsolete. Supply-Side Mitigation replaced historic DGO Mitigation. This field is retained only to view historic DGO capacity.</p>
Capacity (DMNC)	Numeric	N	<p>MW Capacity of the PTID for the selected month.</p> <p>For UDR PTIDs, this value is the same as the Organization Total ICAP MW for the UDR PTID as displayed on the "UDR Generator Monthly Parameters" screen.</p>
CRIS Adjusted DMNC	Numeric	N	<p>MW Capacity of the Generator PTID for the selected month, adjusted for seasonal deliverability limit.</p> <p>CRIS Adjusted DMNC_{Summer} = MIN (Summer CRIS CAP, Summer DMNC)</p> <p>CRIS Adjusted DMNC_{Winter} = Winter CRIS % X Winter DMNC</p> <p><i>Note:</i> Units requesting interconnection prior to the Class Year 2007 are grandfathered with: Summer CRIS CAP = MAX (Summer DMNC for 2004-2008) and Winter CRIS % = 100%.</p> <p>For each UDR PTID, this value is set from Capacity (DMNC).</p> <p>For each SCR Aggregation PTID, this value is set using the SCR enrollment data provided in DRIS and the applicable Transmission Loss Factors</p>
UDR ICAP	Numeric	N	<p>ICAP MW associated with one or more UDRs for the month.</p> <p>This value is subtracted from a generator's CRIS Adjusted DMNC before calculating the Generator PTID's Available For Sale UCAP.</p> <p><i>Note:</i> See also the ICAP MW displayed on the "UDR Generator Monthly Parameters" screen on Rights Menu.</p> <p>UDR ICAP is 0.0 for all PTIDs except Generator PTIDs associated with UDRs for the month.</p>
Derating Factor	Numeric	N	<p>Derating Factor (expressed as a percentage between 0 and 100%) for the Generator PTID for the month selected.</p> <p>This field is left blank for UDR PTIDs.</p>

Screen Field	Data Type	Editable	Description
Available For Sale UCAP	Numeric	N	<p>For Generator PTIDs, Available For Sale UCAP MW is equal to (CRIS Adjusted DMNC - UDR ICAP) times (1 minus the decimal equivalent of Derating Factor).</p> <p>For SCR Aggregation PTIDs, the Available For Sale UCAP MW is equal to (Eligible Installed Capacity times the SCR Aggregation Performance Factor). These values calculated in the DRIS</p> <p>For UDR PTIDs, Available For Sale UCAP MW is the same as the Organizational Total UCAP MW for the UDR PTID as displayed on the "UDR Generator Monthly Parameters" screen on the Rights Menu. The calculation of the individual Generator and Total UDR UCAP for a given UDR Rights Holder are as follows:</p> <p style="padding-left: 40px;">For each Generator PTID associated with the UDR: UCAP = TRUNCATE [((ICAP MW – Portion of Losses MW) * (1 - UDR Unavailability %) * (1 - PTID Derating Factor)) , 1]</p> <p style="padding-left: 40px;">For the UDR PTID: UCAP = \sum Generator UCAP MW for all Generator PTIDs associated with the UDR PTID.</p>
Auction and Bilateral Sales	Numeric	N	Sum of Auction and Bilateral Agreement Sales allocated to the Generator, UDR, or SCR for the selected month.
Supplemental Sales	Numeric	N	Post Spot Auction capacity sales (if necessary)
Unsold	Numeric	N	Unsold UCAP remaining on the PTID/SCR ID; calculated as Available For Sale UCAP less the Auction and Bilateral Sales less the Supplemental Sales.

Screen Field	Data Type	Editable	Description
ICAP Sold for DAM	Numeric	N	<p>DAM ICAP obligation of the PTID for the selected Month.</p> <p>SOLD MW = AVAILABLE FOR SALE UCAP - UNSOLD MW</p> <p>For Generator PTIDs, ICAP Sold for DAM = (SOLD MW / AVAILABLE FOR SALE UCAP) * (CRIS Adjusted DMNC - UDR ICAP)</p> <p>For UDR PTIDs, ICAP Sold for DAM = (SOLD MW / AVAILABLE FOR SALE UCAP) * (Org Tot ICAP MW – UDR Interface Losses (ICAP) MW).</p> <p><i>Note:</i> The Org Tot ICAP MW and the UDR Interface Losses are the same values displayed on "View Install Capacity Supplier with UDR - Monthly UCAP Parameters".</p> <p>For SCR Aggregation PTIDs, ICAP Sold for DAM = 0.0</p> <p><i>Note:</i> DAM Obligation does not apply to RIPs. For each SCR Aggregation PTID, the Derating Factor is 100.00%, the ICAP Sold for DAM is 0.0, and the Available For Sale UCAP is 0.0.</p> <p>ICAP SOLD FOR DAM is truncated to tenths MW.</p>

4.6.2 Viewing PTID Capacity and Sales Allocations

After selecting parameters (Season and Month) described in [Table 4.17](#) and clicking the “**DISPLAY**” button, the Summary of Capacity and Sales Allocations screen section will populate:

PTID	PTID Name	Location	Zone	Capacity (DMNC)	CRIS Adjusted DMNC	UDR ICAP	Derating Factor	Available For Sale UCAP	Auction and Bilateral Sales	Supplemental Sales	Unsold	ICAP Sold for DAM
		NYC	J	0.0	0.0	0.0		0.0	0.0	0.0	0.0	0.0
		NYC	J	0.0	0.0	0.0		0.0	0.0	0.0	35.0	0.0
		NE	N	0.0	0.0	0.0	100.00%	0.0	0.0	0.0	0.0	0.0
		NE	N	0.0	0.0	0.0	100.00%	0.0	0.0	0.0	0.0	0.0
		NE	N	0.0	0.0	0.0	100.00%	0.0	0.0	0.0	0.0	0.0
		NE	N	0.0	0.0	0.0	100.00%	0.0	0.0	0.0	0.0	0.0
		NE	N	0.0	0.0	0.0	100.00%	0.0	0.0	0.0	0.0	0.0
		NE	N	0.0	0.0	0.0	100.00%	0.0	0.0	0.0	0.0	0.0
		NE	N	0.0	0.0	0.0	100.00%	0.0	0.0	0.0	0.0	0.0
		PJM	P	0.0	0.0	0.0	100.00%	0.0	0.0	0.0	0.0	0.0
		PJM	P	0.0	0.0	0.0	100.00%	0.0	0.0	0.0	0.0	0.0
		NE	N	0.0	0.0	0.0	100.00%	0.0	0.0	0.0	0.0	0.0
		NE	N	0.0	0.0	0.0	100.00%	0.0	0.0	0.0	0.0	0.0
		PJM	P	0.0	0.0	0.0	100.00%	0.0	0.0	0.0	0.0	0.0
		PJM	P	0.0	0.0	0.0	100.00%	0.0	0.0	0.0	0.0	0.0
		NYC	J	0.0	0.0	0.0	100.00%	0.0	0.0	0.0	0.0	0.0
		ROS	F	0.0	0.0	0.0	0.00%	0.0	0.0	0.0	0.0	0.0
		GHI	G	0.0	0.0	0.0	0.00%	0.0	0.0	0.0	0.0	0.0
		LI	K	0.0	0.0	0.0	0.00%	0.0	0.0	0.0	0.0	0.0
		GHI	H	0.0	0.0	0.0	0.00%	0.0	0.0	0.0	0.0	0.0
		Total:			0.0	0.0	0.0		0.0	0.0	0.0	0.0

Figure 4-13 Summary of Capacity and Sales Allocations Screen Section

4.7 How to Allocate Sales to PTIDs

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

4.7.1 Screen Descriptions

Table 4.19 Allocate Sales Filter Screen Section

Screen Field	Type	Editable	Description
MP Name	Text	N	Defaults based on Market Participant Logged On.
Season	Text	Y	Capability Period.

Screen Field	Type	Editable	Description
Location	Text	Y	Location of PTIDs to allocate sales to selection. "All" displays all Locations.
Month	Date	Y	Month to be displayed within the Season selected.

Table 4.20 Location Sales Summary Screen Section

Screen Field	Type	Editable	Description
Location	Text	N	Lists all locations for which there are either confirmed bilateral agreement sales or auction awarded sales.
Auction and Bilateral Sales	Numeric	N	Sum of confirmed bilateral sales and auction awarded sales for the Location
Unallocated Balance	Numeric	N	Sum of confirmed bilateral sales and auction awarded sales minus Allocated Auction and Bilateral Sales for the Location.

Table 4.21 Buyer-Side Mitigation Resource Summary Screen Section

Screen Field	Type	Editable	Description
This screen section is not available for view unless the User has a Generator registered to it or UDR PTIDs that have Floor Prices and Resource Exemption effective for selected month.			
Resource Name	Text	N	<p>The UDR or Generator Project subject to Buyer-Side Mitigation.</p> <p><i>Note:</i> RIPs enrolling new SCRs that are subject to a Buyer-Side Mitigation analysis are not currently handled in the ICAP AMS.</p> <p>This Resource Name is used to track the Resource Current Exemption MW defined in the NYISO <i>Market Services Tariff – Attachment H, Section 23.4.5.7</i> as "UCAP that has cleared for any twelve, not-necessarily-consecutive, months shall cease to be subject to the Offer Floor requirement" (referred to as the "BSM Clearing Rule").</p>

Resource Current Exemption MW	Numeric	N	<p>The monthly-calculated UCAP exempt from Buyer-Side Mitigation.</p> <p>This is the minimum of the twelve highest (not necessarily consecutive) monthly Spot UCAP MW cleared for this resource since the Floor Prices became effective for each PTID.</p> <p>See the NYISO <i>Market Services Tariff – Attachment H, Section 23.4.5.7. Resource Current Exemption MW</i> is the same as the "UCAP that has cleared pursuant to the BSM Clearing Rule".</p>
Resource Current Exemption MW Remaining	Numeric	N	<p>The current difference between the monthly calculated Resource Current Exemption MW minus Sales Allocated and/or non-exempt Spot Offers submitted using PTIDs associated with the Resource subject to Buyer-Side Mitigation.</p> <p>This column decrements as Sales Allocations and/or Spot Offer (UCAP MW) are entered by the User specifying PTIDs associated with this Resource.</p>

Table 4.22 Resale MW by Location

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

Table 4.22 Allocate Sales Screen Section

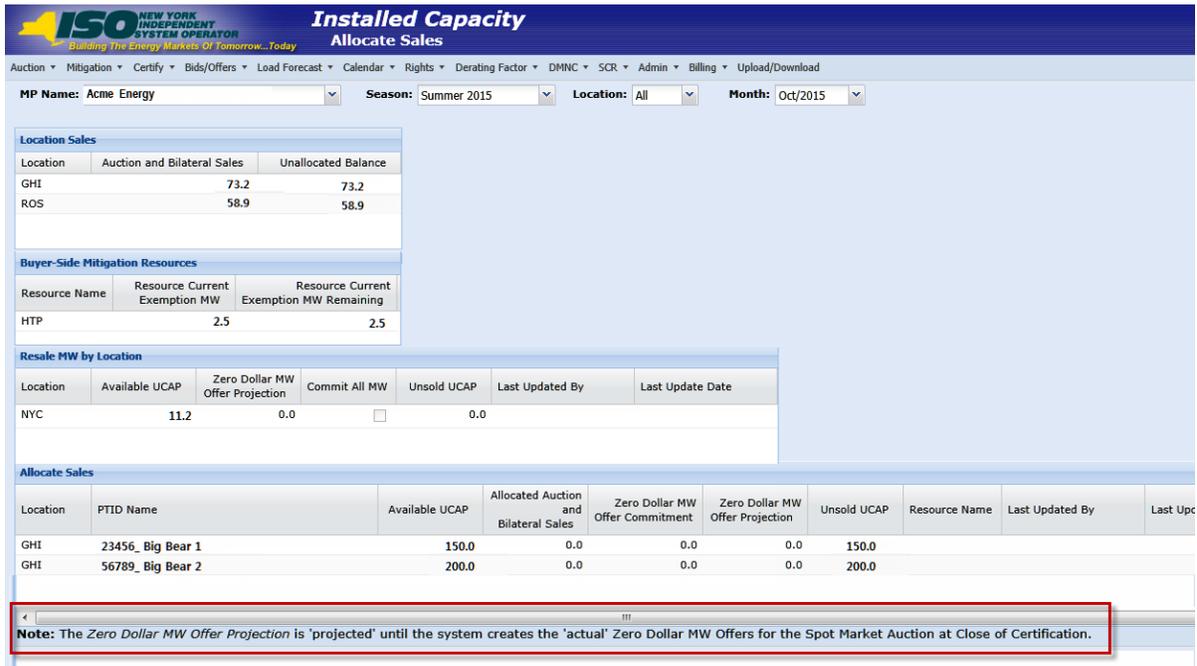
Screen Field	Type	Editable	Description
Location	Text	N	Location of the PTID.

Screen Field	Type	Editable	Description
PTID Name	Text	N	PTID Number and Name for Generator, SCR or UDR.
Available UCAP	Numeric	N	Capacity of the PTID for the Month specified in UCAP. (See Table 4.13 in Section 4.6 for calculation of Available For Sale UCAP.)
Allocated Auction and Bilateral Sales	Numeric	Y	Amount of UCAP sales to allocate to the Generator, SCR or UDR for the auction month. <i>Note:</i> Spot Market and Supplemental auction awards and the ICAP-equivalent of this allocation establish the Day-Ahead Market bidding obligation for the unit. (Format 9999.9) Locations internal to NYCA only
Zero Dollar MW Offer Commitment	Numeric	Y	An MP commitment of Zero Dollar MW Offers, including any Allocated Auction and Bilateral Sales. [Locations internal to the NYCA only
Zero Dollar MW Offer Projection	Numeric	N	System calculated Zero Dollar MW Offers for the Spot Market. This value is projected until the system creates the actual Zero Dollar MW Offer for the Spot Market at close of certification. Locations Internal to NYCA only
Unsold UCAP	Numeric	N	Unsold UCAP is the Available UCAP minus (Allocated Auction and Bilateral Sales + Zero Dollar MW Offer Projection). Prior to the October 2015 software release: Available UCAP _{PTID} = Allocated Auction and Bilateral Sales + Unsold UCAP After the October 2015 software release: Available UCAP _{PTID} = Allocated Auction and Bilateral Sales + Zero Dollar MW Offer Projection + Unsold UCAP where Allocated Auction and Bilateral Sales + Zero Dollar MW Offer Projection = Zero Dollar MW Offer Commitment

Screen Field	Type	Editable	Description
Resource Name	Text	N	<p>The name of the Resource Subject to Buyer-Side Mitigation associated with this PTID.</p> <p>This Resource Name is used to track the Resource Current Exemption MW defined in the NYISO <i>Market Services Tariff – Attachment H, Section 23.4.5.7</i> as "Cleared UCAP".</p> <p>(This field is blank for PTIDs not associated with Generator or UDR Resource Subject to Buyer-Side Mitigation.)</p>
Last Updated By	Text	N	<p>User who last updated the Allocation. (Blank for allocations through auctions)</p>
Last Update Date	Text	N	<p>Date Allocation was last changed. (Blank for allocations through auctions)</p>

4.7.2 Allocating Sales to PTIDs

After selecting the parameters described in [Table 4.19](#) (Season, Location, and Month) and clicking the “**DISPLAY**” button, the Location Sales Summary, Resale MW by Location, Buyer-Side Mitigation Resource Summary (if a Resource is Subject to Buyer-Side Mitigation), and Allocate Sales screen sections will appear:



Location Sales

Location	Auction and Bilateral Sales	Unallocated Balance
GHI	73.2	73.2
ROS	58.9	58.9

Buyer-Side Mitigation Resources

Resource Name	Resource Current Exemption MW	Resource Current Exemption MW Remaining
HTP	2.5	2.5

Resale MW by Location

Location	Available UCAP	Zero Dollar MW Offer Projection	Commit All MW	Unsold UCAP	Last Updated By	Last Update Date
NYC	11.2	0.0	<input type="checkbox"/>	0.0		

Allocate Sales

Location	PTID Name	Available UCAP	Allocated Auction and Bilateral Sales	Zero Dollar MW Offer Commitment	Zero Dollar MW Offer Projection	Unsold UCAP	Resource Name	Last Updated By	Last Update Date
GHI	23456_Big Bear 1	150.0	0.0	0.0	0.0	150.0			
GHI	56789_Big Bear 2	200.0	0.0	0.0	0.0	200.0			

Note: The Zero Dollar MW Offer Projection is "projected" until the system creates the "actual" Zero Dollar MW Offers for the Spot Market Auction at Close of Certification.

Figure 4-14 Location Sales Summary, Buyer-Side Mitigation Resource Summary, and Sales Allocations Screen Sections

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

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



Figure 4-15 Error - Attempting to Allocate Sales above Location's Total Sales.

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



Figure 4-16 Error - Attempting to Allocate Sales above Available UCAP

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

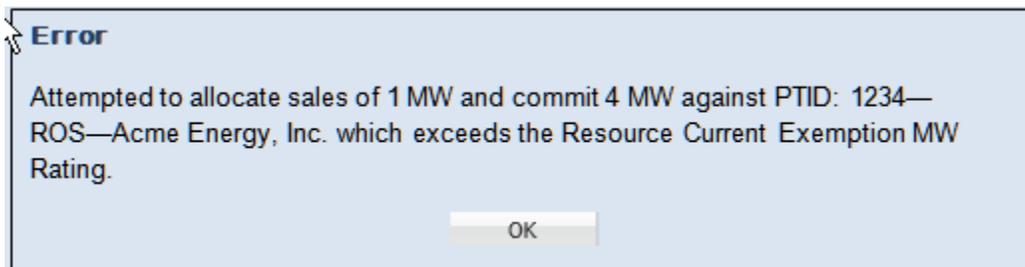


Figure 4-17 Error Displayed when Sales Allocation and/or Zero Dollar MW Offer Commitment exceeds PTID's associated Buyer-Side Mitigation Resource Current Exemption MW Remaining

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

4.7.3 Zero Dollar MW Offer Commitment

With the implementation of the CMS ICAP Spot Market Offers Enhancements effective for the December/2015 Spot Market Auction, the Market Participants have the ability to commit some or all of its unsold capacity to be sold in the Spot Market Auction at \$0.00 prior to the close of certification through the "Allocate Sales" screen. Users with both "Certify" and "Offer" privilege can enter Zero Dollar MW Offer Commitments for specific internal PTIDs using the same screen section where they allocate sales to PTIDs.

Through the Allocate Sales option on the Certify Menu, User selects season, location and month, displaying the screen in Figure 4-14. The Buyer-Side Mitigation Resource Summary screen section is only visible to MPs that have resources subject to Buyer-Side Mitigation. The User is able to indicate "Commit All MW" for Resale (only when internal to the NYCA and only if Available UCAP is greater than zero) by checking the box in the "Commit All MW" column. The MW available as Resale will have Zero Dollar MW Offers created at the close of certification. In the Allocate Sales screen section, the User can edit the "Allocated Auction and Bilateral Sales" and the "Zero Dollar MW Offer Commitment" columns. The User double clicks on the row to enter the MW value amount of sales allocated to the PTID for the Month. Then, the User enters the Zero Dollar MW Offer Commitment, including any Allocated Auction and Bilateral Sales. The User clicks "Update" or "Cancel". The values are entered and the "Zero Dollar MW Offer Projection" is calculated based on the User updates. An error message is displayed; Figure 4-16, if the User's sales allocation exceeds the PTID's Available UCAP. For a PTID associated with a Resource Subject to Buyer-Side Mitigation, an error message is displayed; Figure 4-17, if the User's sales allocations or Zero Dollar MW Offer Commitment exceed the Resource Current Exemption Remaining.

A success message is displayed, Figure 4-18, when the User's edits have passed all validations and the record is saved. At the close of certification, using the system-derived Zero Dollar MW Offer Projections, the system creates the actual Zero Dollar MW Offers

for the Spot Market Auction for the affected internal PTIDs and Resale MW. The MPs will be able to view, but will not be able to edit these Spot Market Auction Offers.

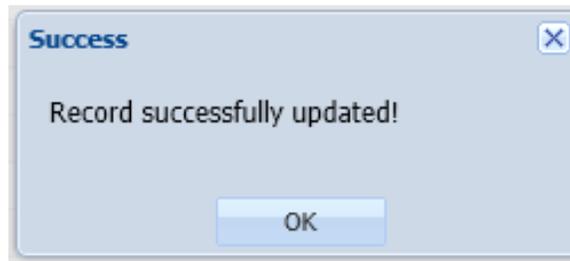


Figure 4-18 Success Message displayed for successful update

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

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

 Installed Capacity Event Calendar	
Auction ▾ Mitigation ▾ Certify ▾ Bids/Offers ▾ Load Forecast ▾ Calendar ▾ Rights ▾ Derating Factor ▾ DMNC ▾ SCR ▾ Admin ▾ Billing ▾ Upload/Download	
Start Date From:	<input type="text" value="10/20/2014"/> <input type="button" value="..."/>
To:	<input type="text" value="10/31/2014"/> <input type="button" value="..."/>
<input type="button" value="Display"/>	
Event Schedule	
Legend:	
Winter Season Event	Summer Season Event
Monday Oct 20, 2014	
08:00 AM	SCR - Enrollment Period for auction month of Dec Opens
05:00 PM	ESTABLISH CREDIT - Deadline to establish credit to purchase in Nov Spot Auction
05:00 PM	GADS - Deadline for Suppliers to submit GADS data for Sep activity
05:00 PM	IMPORT RIGHTS - ISO notifies Requestors if Import Rights Requests were accepted or rejected
Tuesday Oct 21, 2014	
05:00 PM	EXTERNAL TRANSACTIONS - Deadline to submit MIS TID #s for Import Rights Wheels Exports and UDRS

Figure 4-19 Event Calendar - External Transactions Deadlines

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

The "Assign Transaction IDs" screen supports entry of the following External Transaction detail types: Export Bilateral Transactions [EBT], External CRIS Right Auction Sales [ECR Auction Sales], External CRIS Right Bilateral Sales [ECR Bilateral], Auction Sales into the NYCA from External Control Areas [External Auction Sales], First-Come First-Serve Import Rights [FCFSR], and Unforced Capacity Deliverability Rights [UDR] as displayed in [Figure 4-17](#).



Figure 4-20 External Transaction Types

4.8.1 Screen Descriptions

Table 4.23 Assign Transaction IDs Filter Screen Section

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

Table 4.24 Add Transaction Details Screen Section

Screen Field	Type	Editable	Description
--------------	------	----------	-------------

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

Table 4.25 External Transactions Screen Section

Screen Field	Type	Editable	Description
ID #	Numeric	N	Transaction ID.
Type	Numeric	N	External transaction type.
Import/Export	Numeric	N	All external transactions except Type=EBT will display as 'Import'. The EBT transactions will display as 'Export'.
ICAP MW	Numeric	Y	The transaction record or transaction detail record's ICAP Sold MW.

Screen Field	Type	Editable	Description
Derating Factor	Numeric	N	The generator PTID's Derating Factor.
UCAP MW	Numeric	Y	The transaction record or transaction detail record's UCAP Sold MW.
Source Location	Text	N	External transaction's source location (where capacity is coming from).
Sink Location	Text	N	External transaction's sink location.
MIS Transaction ID	Numeric	N	The associated MIS TID configured in the Market Information System (MIS). This value is specified only on the transaction detail records.
Seller Organization	Text	N	MP Name of the Seller Organization. The MP can view only rows where they are the Seller Organization.
Buyer Organization	Text	N	MP Name of the Buyer Organization. For Type=EBT, the Buyer Organization will be CONTROL AREA - HQ, CONTROL AREA - ISO-NE, or CONTROL AREA - PJM] For Types ECR Auction Sales, External Auction Sales, and UDR, THE Buyer Organization will be unspecified.
PTID	Numeric	N	Generator PTID associated with this external transaction's confirmed or awarded sales.
Name	Text	N	The Generator PTID's resource name.
Int Log	Text	N	NYISO Internal Log used to enter comments specific to this MIS TID.
Ext Log	Text	N	NYISO External Log used to enter comments specific to this MIS TID that will be visible to External Control Areas via the external checkout report.
Confirm	Checkbox	N	Indicates if NYISO has confirmed the external transaction detail record.
24x7 Contact Phone#	Text	N	The Market Participant Contact's Phone Number. (Format: 999-999-9999)
Last Updated By	Text	N	Last User to update the record.
Last Updated Date	Date	N	Date the record was last updated.
Delete	Checkbox	N	Delete checkbox used to mark transaction detail record for deletion.

4.8.2 Viewing External Transactions

The “Assign Transaction IDs” screen can be accessed from the Certify Menu. For the selected Season and Month, the Users may view all External Transactions and any associated Transaction Detail records created. The Transaction Detail records are displayed and will include a valid MIS Transaction ID, PTID, and associated Capacity as displayed in Figure 4-19.

ID #	Type	Import /Export	ICAP MW	Derating Factor	UCAP MW	Source Location	Sink Location	MIS Transaction ID	Seller Organization	Buyer Organization	PTID
	ECR Auction	Import	0	0	7	HQ	ROS		Acme Energy		1
	ECR Auction	Import	0	0	7			33333			1
	External Auc.	Import	0	0	3	NE	ROS		Acme Energy		1
	External Auc.	Import	0	0	3	NE	ROS		Acme Energy		1
	External Auc.	Import	0	0	3	NE	ROS		Acme Energy		1
	External Auc.	Import	0	0	3	NE	ROS		Acme Energy		1
	FCFSR	Import	0	0	1	NE	ROS		Acme Energy		3
	FCFSR	Import	0	0	2	NE	ROS		Acme Energy		3
	FCFSR	Import	0	0	4	NE	ROS		Acme Energy		3
	FCFSR	Import	0	0	4	NE	ROS		Acme Energy		3
	FCFSR	Import	0	0	7	NE	ROS		Acme Energy		3
	FCFSR	Import	0	0	7			44444			3
	FCFSR	Import	0	0	2	NE	ROS		Acme Energy		3
	UDR	Import	0	0	1	PJM	N.Y.C.		Acme Energy		1
	UDR	Import	0	0	1			55555			2

Figure 4-21 External Transactions Screen Section

4.8.3 Inserting External Transaction Details

The Transaction Detail records are inserted for a selected External Transaction Type as shown in Figure 4-20. The ID, Capacity, MIS Transaction ID, PTID and 24X7 Contact Phone# are specified by the Users in the Transaction Details and must be configured before clicking the **ADD** button.

Note: The Capacity is entered as UCAP MW for all Types except FCFSR and UDR which are entered as ICAP MW.

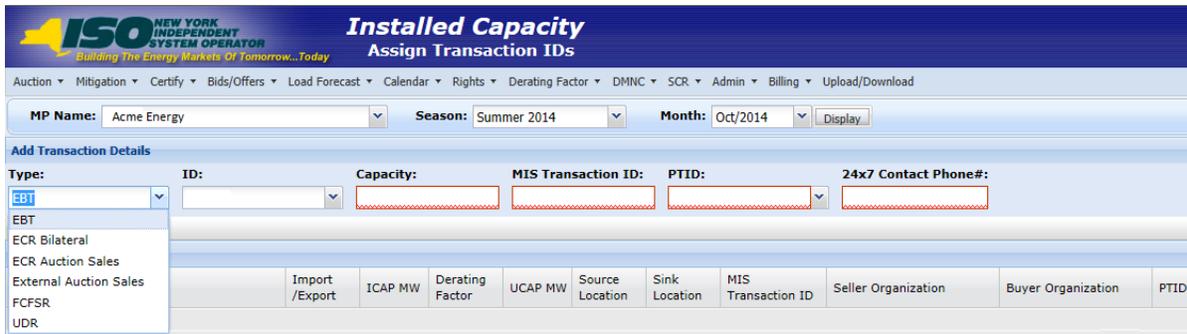


Figure 4-22 Add Transaction Details Screen Section

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

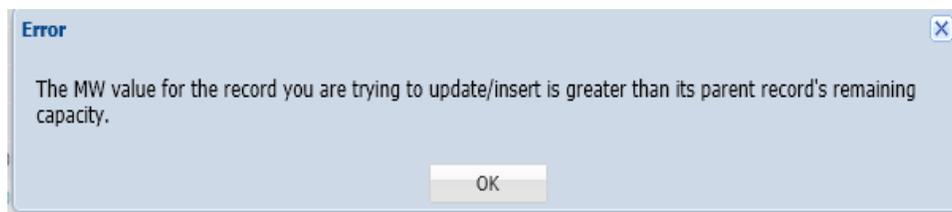


Figure 4-23 Add Transaction Details Screen Section

The MIS Transaction ID entered into the ICAP AMS will be validated to ensure a valid MIS TID already exists for this month in the Market Information System (MIS). If not, the user will get a validation error when attempting to Add Transaction Detail record:



Figure 4-24 Add Transaction Details - MIS TID Validation Error

4.9 How to View Supply-Side Mitigation Summary

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

4.9.1 Screen Descriptions

Table 4.26 Supply-Side Mitigation Summary Filter Screen Section

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

Table 4.27 Mitigation Information Screen Section

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

Table 4.28 Affiliate Portfolio Information Screen Section

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

Table 4.29 Current [Mitigated Capacity Zone] Mitigation Parameters Screen Section

Screen Field	Type	Editable	Description
--------------	------	----------	-------------

Screen Field	Type	Editable	Description
Pivotal Supplier?	Text	N	<p>Indicates if the MP is a Pivotal Supplier in this Mitigated Capacity Zone.</p> <p>Once Supply-Side Mitigation runs and posts, this value is set to "Yes" or "No" for this MP in this Mitigated Capacity Zone. (See Affiliate Portfolio attribute in the table above.)</p> <p><i>Note:</i> The NYISO <i>Market Services Tariff – Attachment H, Section 23.4.5</i> defines the Pivotal Supplier in terms of a 2-part test based on the Minimum Pivotal Control Threshold and the (monthly calculated) Pivotal Control Threshold described below. This 2-part test is performed for each Mitigated Capacity Zone.</p>
Default Reference Price	Numeric	N	<p>Default Reference Price (\$/kW-month) calculated after monthly certification prior to Spot Market Offer Open for this Mitigated Capacity Zone. This field displays as null until Supply-Side Mitigation is run and is calculated using this Mitigated Capacity Zone's Demand Curve.</p> <p>This value is the price on the Mitigated Capacity Zone UCAP Demand Curve corresponding to the Total UCAP MW for the month for that Mitigated Capacity Zone.</p> <p><i>Note:</i> This value is the same as the term defined as the UCAP Offer Reference Level in the <i>Market Services Tariff - Attachment H</i> definitions.</p>
Minimum Pivotal Control Threshold	Numeric	N	<p>FERC-Approved Minimum Pivotal Control Threshold for this Mitigated Capacity Zone. Used in the 2-Part Threshold Test when Supply-Side Mitigation runs.</p> <p><i>Note:</i> This value is included as "part a" in the 2-part definition of the Pivotal Supplier in the <i>Market Services Tariff - Attachment H</i> definitions.</p>

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

Table 4.30 [Location] PTID Information Screen Section

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

4.9.2 Viewing Supply-Side Mitigation Summary

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

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

Installed Capacity Supply-Side Mitigation Summary

MP Name: Acme Energy | Month: May/2014 | Display

Mitigation Information			
MP Name	Acme Energy	Current Eastern Time	
Month	May/2014	Posted Date	

Affiliate Portfolio Information			
MP Name	Acme Energy	Current Eastern Time	
Month	May/2014	Posted Date	

Current NYC Mitigation Parameters			
Pivotal Supplier?	No	Minimum Pivotal Control Threshold	500.0
Default Reference Price	3.24	Pivotal Control Threshold	812.0

NYC PTID Information			
PTID Name	Adjusted Reference Price		
12222 -- Big Apple 2	7.45		
12347 -- Big Apple 7			

Current G-J Locality Mitigation Parameters			
Pivotal Supplier?	Yes	Minimum Pivotal Control Threshold	650.0
Default Reference Price	2.65	Pivotal Control Threshold	1165.3

GHI PTID Information			
PTID Name	Adjusted Reference Price		
1244 -- Happy Hudson Steam	6.35		

Figure 4-25 Supply-Side Mitigation Summary After Mitigation is Run

4.10 How to View Default Reference Prices Summary

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

4.10.1 Screen Descriptions

Table 4.31 View Default Reference Price Summary Filter Screen Section

Screen Field	Type	Editable	Description
Season	Text	Y	Capability Period.

Table 4.32 Default Reference Prices [Mitigated Capacity Zone] Screen Section

Screen Field	Type	Editable	Description
Auction Month	Text	N	ICAP Spot Market Auction Month.

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

4.10.2 Viewing Default Reference Prices Summary

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

Installed Capacity
View Default Reference Prices

Season: Summer 2014

Default Reference Prices G-J Locality

Auction Month	Default Reference Price (\$/kW-month)	Generator UCAP	SCR UCAP	Total UCAP
05/2014	---	---	---	---
06/2014	---	---	---	---
07/2014	---	---	---	---
08/2014	---	---	---	---
09/2014	---	---	---	---
10/2014	---	---	---	---

Default Reference Prices NYC

Auction Month	Default Reference Price (\$/kW-month)	Generator UCAP	SCR UCAP	Total UCAP
05/2014	---	---	---	---
06/2014	---	---	---	---
07/2014	---	---	---	---
08/2014	---	---	---	---
09/2014	---	---	---	---
10/2014	---	---	---	---

Figure 4-26 Default Reference Prices Screen Section

4.11 How to Report and Manage MP Affiliate Information

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

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

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

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

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

4.11.1 Screen Descriptions

Table 4.33 MP Affiliate Form Filter Screen Section

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

Table 4.34 Legal Information Screen Section

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

Table 4.35 MP Affiliate Form Screen Section (View and Update Existing Information)

Screen Field	Type	Editable	Description
Affiliated Entity	Text	N	Market Participant's identified Affiliate Organizations
Relationship of Affiliated Entity	Text	N	Market Participant's designated Affiliate Organization Relationship Type. <i>See Table 4.35 - Relationship of Affiliated Entity Selection List.</i>
Affiliation Start Date	Date	Y	Date that the Market Participant's affiliation with this organization started.
First Effective Spot Auction Month	Date	N	Month and Year of ICAP Spot Market Auction where this affiliation is effective.
Affiliation End Date	Date	Y	Date the Market Participant's affiliation with this organization will end.
Last Effective Spot Auction Month	Date	N	Month and Year of the latest ICAP Spot Market Auction where this affiliation will still be effective.
Last Updated By	Text	N	Last User to update this affiliation.
Last Update Date	Text	N	Date affiliation was last changed.
DELETE	Checkbox	Y	Market Participant checks this box before executing SAVE to DELETE this affiliation. Record only has an active checkbox if the deadline to submit changes for the First Effective ICAP Spot Auction Month is in the future.

Table 4.36 MP Affiliate Form Screen Section (Insert New Information)

Screen Field	Type	Editable	Description
Affiliated Entity	Text	Y	Market Participant selects existing Affiliate Organization Name from a pull-down list.
Relationship of Affiliated Entity	Text	Y	Market Participant selects the applicable Affiliated Entity Relationship Description from a pull-down list. <i>See Table 4.35 - Relationship of Affiliated Entity Selection List.</i>
Affiliation Start Date	Date	Y	Market Participant selects the Affiliation Relationship Start Date from a Calendar picker.
First Effective Spot Auction Month	Date	N	The AMS will calculate and display the First Effective ICAP Spot Market Auction Month when the Market Participant executes SAVE.

Screen Field	Type	Editable	Description
Affiliation End Date	Date	Y	Market Participant selects the Affiliation Relationship End Date if known. Otherwise, the field will be left null and relationship is in effect indefinitely.
Last Effective Spot Auction Month	Date	N	For a specified Affiliation End Date, the AMS will calculate and display the Last Effective ICAP Spot Market Auction Month when the Market Participant executes SAVE. For a null Affiliation End Date, the Last Effective Spot Auction Month will be null.
Last Updated By	Text	N	Last User to update this affiliation.
Last Update Date	Text	N	Date affiliation was last changed.
DELETE	Checkbox	N	This field is null when the Market Participant inserts new information.

4.11.2 Viewing MP Affiliate Information

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

In the Legal Information screen section, the Market Participant will find the Current ICAP Spot Market Auction Month and the associated Deadline to Submit Changes for the Current Spot Auction Month based on the associated ICAP Event Calendar entry for the Current Spot Auction Month: "AFFILIATES - Deadline to select or de-select affiliate names for *Month* ICAP Market".

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

4.11.3 Updating Existing MP Affiliate Information

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

4.11.4 Inserting New MP Affiliate Information

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

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

The Market Participant selects the Relationship of Affiliated Entity from a list of pull-down descriptions on the “MP Affiliate Form” screen. See *NYISO Market Services Tariff – Attachment H*, in general, and *Market Services Tariff - Section 2.1* definition of Affiliated Entity and defined terms within the definition of Affiliated Entity, in particular, for the full description of relationships. (The *NYISO Market Services Tariff* is available from the NYISO Web site at http://www.nyiso.com/public/markets_operations/documents/tariffs/index.jsp.)

Table 4.37 Relationship of Affiliated Entity Selection List

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

Note: The "Relationship of Affiliated Entity" in the table above represents the column on the "MP Affiliate Form" screen. In the event that *Market Services Tariff – Attachment H* (available from the NYISO Web site at http://www.nyiso.com/public/markets_operations/documents/tariffs/index.jsp) is amended, as it may be from time to time, the descriptions in Attachment H, rather than the terms in the table above will control.

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

Figure 4-27 MP Affiliate Form Screen Section

4.12 How to View Floor Prices

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

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

4.12.1 Screen Descriptions

Table 4.38 PTIDs Subject to Floor Price Screen Section

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

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

4.12.2 Viewing Floor Prices

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

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

PTIDs Subject to a Floor Price		Start Month	End Month	Resource Name	Summer Floor Price	Winter Floor Price	Last Update Date	Last Updated By
12345 - BV Unit 1	Nov/2014			Big Valley Gen Project	7.50	5.75	09:48:14 AM	Billy Watts
23456 - BV Unit 2	Nov/2014			Big Valley Gen Project	7.50	5.75	09:48:14 AM	Billy Watts

Figure 4-28 PTIDs Subject to Floor Price Screen Section

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

4.13 How to View Deliverability Limits

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

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

The Market Participant may also navigate to the "View PTIDs" screen from the Certify Menu to see how deliverability limits affect the UCAP calculation.

4.13.1 Screen Descriptions

Table 4.39 Deliverability Limits Filter Screen Section

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

Table 4.40 Selected Market Participant Screen Section

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

Table 4.41 Maintain Deliverability Limits Screen Section

Screen Field	Type	Editable	Description
--------------	------	----------	-------------

Screen Field	Type	Editable	Description
PTID	Text	N	PTID and Generator Name that the deliverability limits apply to.
Summer CRIS_CAP (MW)	Text	N	The Summer deliverability limit. This limit is a MW value with precision to tenths of MW. This value is used to calculate the Summer CRIS Adjusted DMNC and the Available For Sale UCAP columns described in Table 4.18 .
Winter CRIS_%	Text	N	The Winter deliverability limit, expressed as a percentage. The percentage is to hundredths of a percent. This value is used to calculate the Winter CRIS Adjusted DMNC and the Available For Sale UCAP columns described in Table 4.18 .
First Effective Capacity Month	Date	N	Auction Month/Year when deliverability limits are first used in the calculation of Available For Sale UCAP. (See Table 4.18 .)
Last Effective Capacity Month	Date	N	Auction Month/Year when deliverability limits are last used in the calculation of Available For Sale UCAP. (See Table 4.18 .)
Last Updated By	Text	N	Last NYISO Employee User to update this generator's deliverability limits.
Last Update Date	Text	N	Date this generator's deliverability limits were last changed. Format: mm/dd/yyyy hr:mn:ss
SAVE AS XLS	Button	Y	The Market Participant has access to the Save as XLS button to save the screen query as Excel Report to a location indicated by the user.

4.13.2 Viewing Generator Deliverability Limits

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

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

$$\text{CRIS_ADJUSTED_DMNC_SUMMER} = \text{MIN [Summer_CRIS_CAP, Summer_DMNC]}$$

For each generator, the Winter CRIS_% will indicate the percentage of Winter DMNC that can be used as the maximum CRIS Adjusted DMNC in the calculation of Available For Sale UCAP for a winter month in which deliverability limits are effective:

$$\text{CRIS_ADJUSTED_DMNC_WINTER} = [\text{WINTER_CRIS_}\% * \text{Winter_DMNC}]$$

Note: Units requesting interconnection prior to the Class Year 2007 are grandfathered with: Summer CRIS CAP = MAX (Summer DMNC for 2004-2008) and Winter CRIS % = 100%.

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



Figure 4-29 CERTIFY Menu - Deliverability Limits Option

The following "Deliverability Limits" screen displays Summer and Winter CRIS Limits with a First Effective Capacity Month set to June 2009.

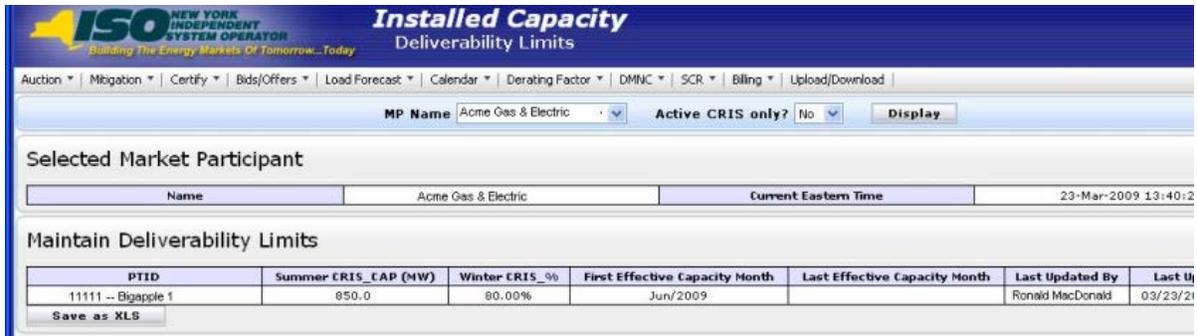


Figure 4-30 Deliverability Limits with Effective Capacity Month

The following Summary of Capacity and Sales Allocations screen section of the corresponding "View PTIDs" screen illustrates an example where this MP's CRIS Adjusted DMNC is not equal to Capacity DMNC for Bigapple 1 after corresponding deliverability limits shown above are effective.

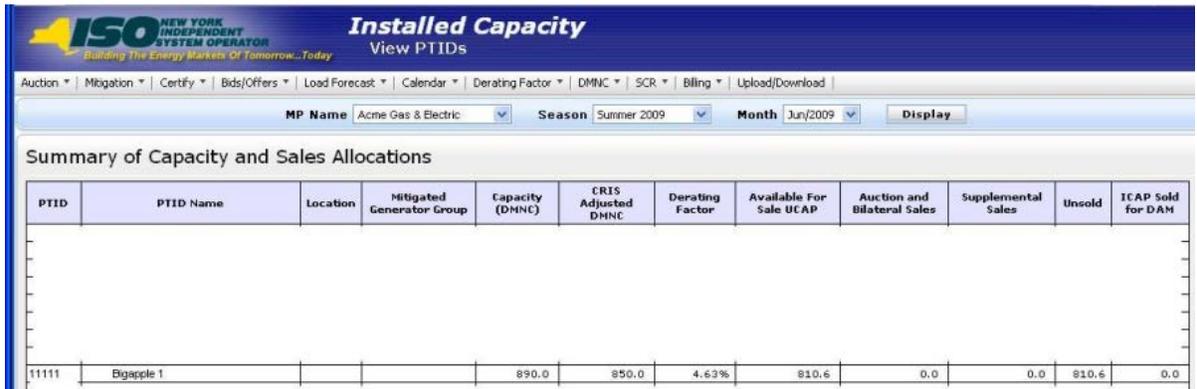


Figure 4-31 CRIS Adjusted DMNC Displayed on View PTIDs screen

This page intentionally blank.

5. BIDS TO PURCHASE UCAP

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

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

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

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

5.1 How to Enter Bids to Purchase UCAP

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

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

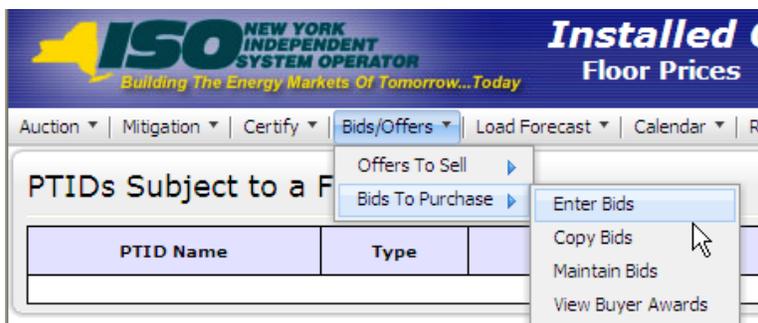


Figure 5-1 Bids To Purchase Menu - Enter Bids Option

Market Participants may create bids to purchase UCAP for the Capability Period (Strip), and Monthly Auction; the ICAP Spot Market Auction only accepts offers to sell UCAP. Each bid to purchase UCAP submitted into the Strip Auction is considered a bid to purchase UCAP in each month within the Capability Period corresponding to that Strip Auction. Each bid to purchase UCAP submitted into the Monthly Auction is considered a bid to purchase UCAP only in the month specified as the selected bid month. All bid MW must be greater than 0.0 and must be entered to a tenth of a MW. The bid price (displayed in \$/kW/Month) must be greater than or equal to \$0.00 and must be entered to the cent.

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

5.1.1 Screen Descriptions

Table 5.1 Insert Bids To Purchase Filter Screen Section

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

Table 5.2 Current Status Screen Section

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on Market Participant Logged On.
Auction Type	Text	N	Select from list of open auction types. List consists of Strip and Monthly.
Auction Month	Text	N	If Strip Auction, selection list only consists of first month of open Season. (e.g., May/2003 or Nov/2003) If Monthly auction, selection list consists of open auction months.
Bid Month	Text	N	For Strip Auction, cannot be modified. For Monthly Auction, selection list consists of open months within the Season, and selected Auction Month.
Eastern Time	Date/Time	N	Current date and Eastern time when screen was last refreshed.
Bid Period Closes	Date/Time	N	Date and time the bid submittal period closes for the selected auction.
Total Bid Exposure for Month	Numeric	N	The maximum amount of money that could be owed for the bid month based upon saved bids for the selected bid month. For Strip Auctions, this value will be 1/6 of Total Bid Exposure for Auction.
Total Bid Exposure for Auction	Numeric	N	The maximum amount of money that could be owed based upon saved bids for the selected auction.

Table 5.3 Credit Status Screen Section

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

Table 5.4 Add to Cart Screen Section

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

Table 5.5 Insert Bids to Purchase Screen Section

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

5.1.2 Entering Bids

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

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

Installed Capacity
Insert Bids To Purchase

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

Current Status

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

Credit Status

Posted Collateral		Total Bid Exposure	
Unpaid Awarded Bids		Available Collateral	

Figure 5-2 Current Status and Credit Status Screen Sections

Add to Cart

Location	Bid MW	Bid \$/kW/Month
LI		

Add to Cart

Insert Bids To Purchase

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

Figure 5-3 Add to Cart and Insert Bids to Purchase Screen Sections

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

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

Market Participants cannot submit bids to purchase UCAP that could result in awards that exceed the available collateral displayed in Credit Status screen section shown in [Figure 5-2](#).

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

Add to Cart

Location	Bid MW	Bid \$/kW/Month
LI 	<input type="text"/>	<input type="text"/>

Add to Cart

Figure 5-4 Add to Cart Screen Section

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

Insert Bids To Purchase

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

Save

Figure 5-5 Insert Bids to Purchase

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

Before saving, Users may delete bids from the shopping cart by selecting the trash icon in the “Delete from Cart” column as displayed in [Figure 5-5](#). If Users attempt to leave the “Insert Bids to Purchase” screen with unsaved data in the cart, the System will confirm Users want to leave the page without saving the changes.

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

5.2 How to View and Maintain Bids to Purchase UCAP

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

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



Figure 5-6 Bids To Purchase Menu - Maintain Bids Option

The following screen will appear:

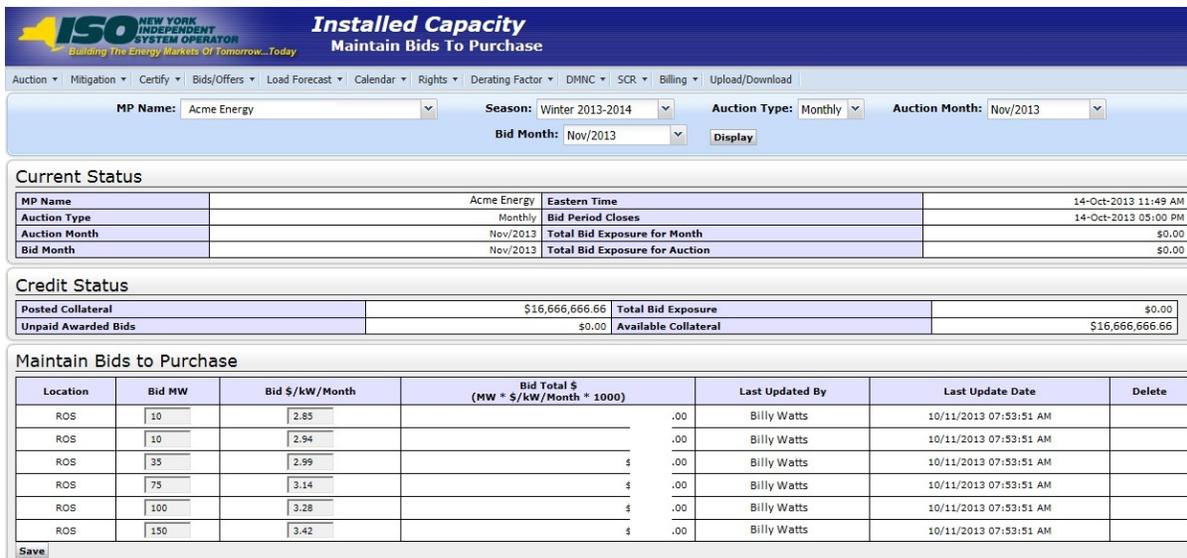


Figure 5-7 Maintain Bids To Purchase Status Screen Sections

5.2.1 Screen Descriptions

Table 5.6 Maintain Bids to Purchase Filter Screen Section

Screen Field	Data Type	Editable	Rule
MP Name	Text	N	Defaults based on MP Logged on.
Season	Text	Y	Capability Period.
Auction Type	Text	Y	Select from list of auction. List consists of Strip and Monthly Auctions. Bids are not submitted for the ICAP Spot Market Auction.
Auction Month	Text	Y	If Strip Auction, selection list only consists of first month of the selected Capability Period

Screen Field	Data Type	Editable	Rule
			(e.g., May/2003 or Nov/2003) If Monthly Auction, select from list of all months within the selected Season
Bid Month	Text	Y	If Strip Auction, cannot be modified. If Monthly auction, select from list of all valid months within the applicable Capability Period and selected Auction Month.

Table 5.7 Current Status Screen Section

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

Table 5.8 Credit Status Screen Section

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

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

Table 5.9 Maintain Bids to Purchase Screen Section

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

5.2.2 Maintaining Bids to Purchase UCAP

Users may change Location, Bid MW, and Bid \$/kW/month for the selected auction as long as the period for submitting bids for the auction is not closed. Bids cannot be modified in a manner that could result in awards that exceed the available collateral displayed in the Current Status screen section. Only ten bids at a time can be displayed. If more than ten bids exist then “NEXT 10” and “PREV 10” buttons will appear at the top of the Maintain Bids to Purchase screen section.

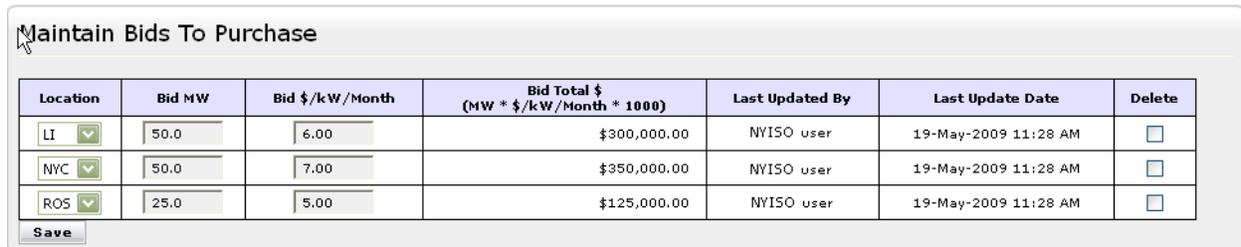


Figure 5-8 Maintain Bids To Purchase Screen Section

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

Users must click “SAVE” for changes to any of the displayed bids before clicking the “NEXT 10” or “PREV 10” button or the changes will be lost.

5.2.3 Deleting Bids

As long as the bid period is open, any bid that has been successfully saved through the ICAP Automated Market System may be deleted through the “Maintain Bids to Purchase” screen. Users should select the check box in the Delete column, as shown in [Figure 5-8](#), for all bids they wish to delete and click the “SAVE” button to confirm the deletion. After the deletion has been successfully processed, the following confirmation message will appear: “Successfully updated xx records in the database,” where xx is the number of modified bids.

5.3 How to Copy Bids to Purchase UCAP

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

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

5.3.1 Screen Descriptions

Table 5.10 Copy Bids to Purchase Filter Screen Section

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

Table 5.11 Current Status Screen Sections

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

Screen Field	Data Type	Editable	Descriptions
Copy to Current Auction Month	Text	N	Current open monthly auction month and year.
Bid Period Closes	Date/Time	N	Date and time bid submittal period closes for current open auction month.
Total Bid Exposure for Auction (Copy to Auction Month)	Numeric	N	The maximum amount of money that could be owed based upon saved bids for the Current Open Auction Month.

Table 5.12 Credit Status Screen Section

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

Table 5.13 Copy to Bid Month Screen Section

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

Table 5.14 Copy Bids to Purchase Screen Section

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

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

5.3.2 Copying Bids

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

Users can select the monthly auction month and bid month that bid data will be copied from the filter at the top of the screen as shown in [Figure 5-9](#).

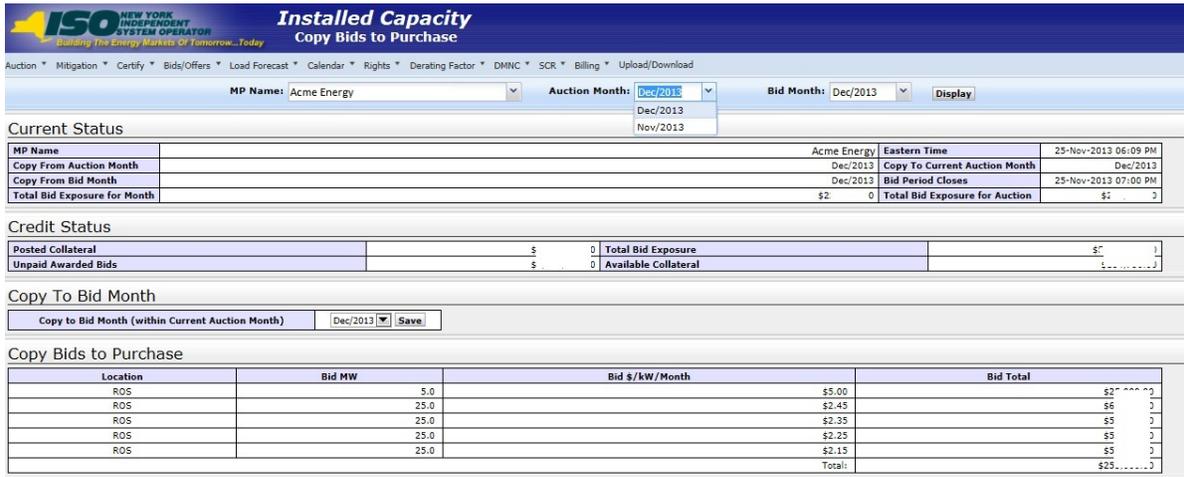


Figure 5-9 Copy Bids To Purchase Screen

When the User clicks the “**DISPLAY**” button, all relevant data to be copied will appear.

Users may then select the bid month in the current auction month they wish to copy the data to and press “**SAVE**” to confirm the request in the Copy to Bid Month screen section shown in [Figure 5-10](#). Any bids in the Copy to Bid Month will be overwritten. The copy bids request will not be allowed if the resulting bids could result in awards that exceed the available collateral displayed in the Credit Status screen section shown in Figure 5-9.

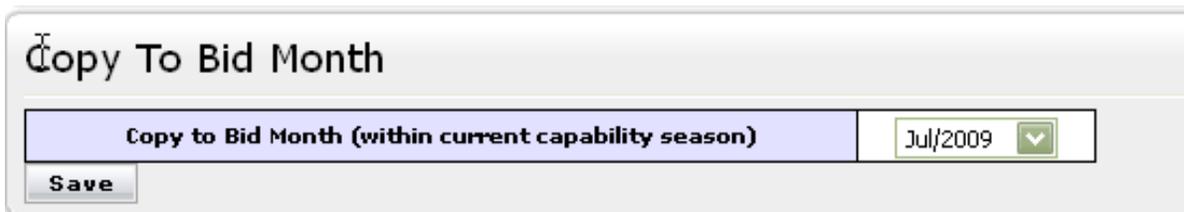


Figure 5-10 Copy To Bid Month Screen Section

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

5.4 How to View Buyer Awards

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



Figure 5-11 Bids To Purchase Menu - View Buyer Awards Option

5.4.1 Screen Descriptions

Table 5.15 View Buyer Awards Filter Screen Section

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

Table 5.16 Current Status Screen Section

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

Table 5.17 Buyer Awards Screen Section

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

5.4.2 Viewing Buyer Awards

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

Month	Auction Type	Auction Month	Location	Mitigated Group	Total Awarded MW	Total Awarded \$
Nov/2013	MONTHLY	Nov/2013	ROS			0.00
Nov/2013	STRIP	Nov/2013	NYC			0.00
Nov/2013	STRIP	Nov/2013	ROS			0.00
Dec/2013	MONTHLY	Nov/2013	ROS			0.00
Dec/2013	MONTHLY	Dec/2013	ROS			0.00
Dec/2013	STRIP	Nov/2013	NYC			0.00
Dec/2013	STRIP	Nov/2013	ROS			0.00
Jan/2014	MONTHLY	Nov/2013	ROS			0.00
Jan/2014	MONTHLY	Dec/2013	ROS			0.00
Jan/2014	STRIP	Nov/2013	NYC			0.00
Jan/2014	STRIP	Nov/2013	ROS			0.00
Feb/2014	MONTHLY	Nov/2013	ROS			0.00
Feb/2014	MONTHLY	Dec/2013	LI			0.00
Feb/2014	MONTHLY	Dec/2013	ROS			0.00
Feb/2014	STRIP	Nov/2013	NYC			0.00
Feb/2014	STRIP	Nov/2013	ROS			0.00
Mar/2014	MONTHLY	Nov/2013	ROS			0.00
Mar/2014	MONTHLY	Dec/2013	ROS			0.00
Mar/2014	STRIP	Nov/2013	NYC			0.00
Mar/2014	STRIP	Nov/2013	ROS			0.00
Apr/2014	MONTHLY	Nov/2013	ROS			0.00
Apr/2014	STRIP	Nov/2013	NYC			0.00
Apr/2014	STRIP	Nov/2013	ROS			0.00
Total:					1,050.000	\$2,840,500.00

Figure 5-12 Buyer Awards Screen Section

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

6. OFFERS TO SELL UCAP

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

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

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

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

6.1 How to Enter Offers to Sell UCAP

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

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

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

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

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

- Any ICAP Spot Market Auction Offer subject to Supply-Side Mitigation cannot include an offer price that exceeds the higher of the most restrictive (monthly-calculated) UCAP Offer Reference Level (defined in the NYISO Market Services Tariff - Attachment H) and the Adjusted Reference Price (set only if a Going Forward Cost (GFC) Determination by the NYISO is in effect for the PTID for that Spot Auction month) defined in the Market Services Tariff - Attachment H, Section 23.4.5.3.

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

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

6.1.1 Screen Descriptions

Table 6.1 Insert Offers To Sell Filter Screen Section

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

Table 6.2 Insert Offers To Sell Current Status Screen Section

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

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

Table 6.3 Add to Cart Screen Section

Screen Field	Data Type	Editable	Description
Location	Text	Y	Select from a list of all generation locations.
PTID	Text	Y	Select from list of PTIDs tied to the MP and the selected Location (required external location).
Right #	Text	Y	Select from list of unique External CRIS Rights held by the MP performing the insert. If specified, then the Offer MW will contribute to the Non-Contract External CRIS Right Obligation.
Mitigated Generator Group	Text	Y	Select from list of mitigated generator groups. If a Mitigated Generator PTID is specified, this field defaults to the correct value. <i>Note:</i> As of May/2008, this parameter is obsolete. Supply-Side Mitigation replaced historic DGO Mitigation. This field is retained only to view historic DGO capacity.
Offer MW	Numeric	Y	Offer MW (Format 9999.9)
Offer \$/kW/Month	Numeric	Y	Offer Price (Format 999.99). Minimum price the offering party is willing to accept for the Offer MW. If the offer is submitted by a Pivotal Supplier, Spot Market Offer Price cannot exceed the higher of the most restrictive UCAP Offer Reference Level defined in the NYISO <i>Market Services Tariff - Attachment H</i> and the Adjusted Reference Price (if a GFC determination is in effect for this PTID as per the provisions in <i>Market Services Tariff - Attachment H, Section 23.4.5.3</i>). If offer is associated with an External CRIS Right, the offer price cannot exceed the External CRIS Right Offer Cap. For non-exempt UCAP offers associated with Generators or UDRs subject to Buyer-Side Mitigation, Spot Market Offer Price cannot be below the Offer Floor. <i>Note:</i> See NYISO <i>Market Services Tariff, Attachment H, Section 23.4.5.7</i> .

Table 6.4 Insert Offers to Sell Screen Section

Screen Field	Data Type	Editable	Description
Location	Text	N	Selected generation location.
PTID	Text	N	Selected PTID tied to the MP and the selected Location (required external location).
Right #	Text	N	Selected External CRIS Right.
Mitigated Generator Group	Text	N	Selected mitigated generator group. If a Mitigated Generator PTID is specified, this field defaults to the correct value. <i>Note:</i> As of May/2008, this parameter is obsolete. Supply-Side Mitigation replaced historic DGO Mitigation. This field is retained only to view historic DGO capacity.
Offer MW	Numeric	N	Offer MW (Format 9999.9)
Offer \$/kW/Month	Numeric	N	Offer Price (Format 999.99). Minimum price the offeror is willing to accept for the Offer MW.
Offer Total	Numeric	N	Calculated as Offer MW * Offer \$/kW/Month * 1000
Delete From Cart	Trash Icon	Y	Click on icon to delete this record on Save.

6.1.2 Entering Offers

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

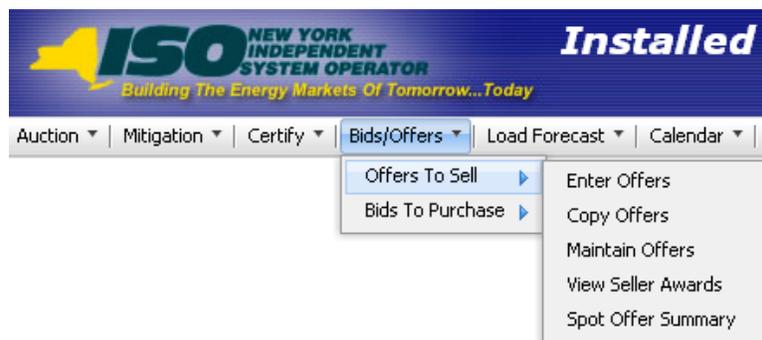


Figure 6-1 Offers To Sell Menu - Enter Offers Option

The following screen, through which Users can enter offers, will appear:

Figure 6-2 Insert Offers to Sell Screen

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

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

Figure 6-3 Current Status Screen Section

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

Figure 6-4 Add to Cart Screen Section

If a Spot Market Auction offer is subject to Supply-Side Mitigation and the offer price exceeds the higher of the most restrictive applicable UCAP Offer Reference Level and the Adjusted Reference Price if a GFC determination is in effect for that month, then the offer validation Error Message displayed below will appear once “**ADD TO CART**” is clicked.



Figure 6-5 Supply-Side Offer Validation Error

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



Figure 6-6 Buyer-Side Offer Validation Error Message

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

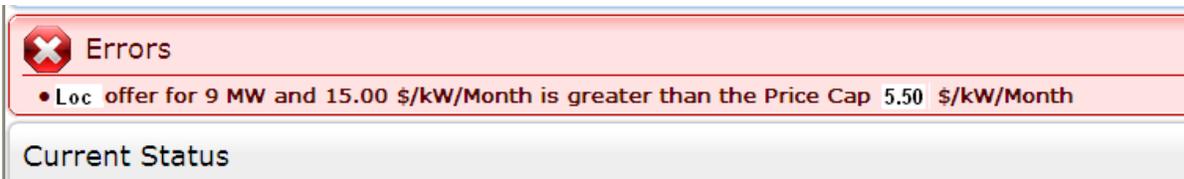


Figure 6-7 External CRIS Right Offer Validation Error Message

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

Insert Offers to Sell

Location	PTID	Offer MW	Offer \$/kW/Month	Offer Total	Delete From Cart
LI		5.0	\$60.00	\$300,000.00	
Total				\$300,000.00	

Figure 6-8 Insert Offers to Sell Screen Section

After “SAVE” is selected, a confirmation message will appear stating, “Successfully saved xx record(s) to the database,” where xx is the number of records in the shopping cart.

Before saving, Users may delete offers by selecting the trash icon in the “Delete from Cart” column as displayed in [Figure 6-8](#).

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

6.2 How to Maintain and View Offers to Sell UCAP

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

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

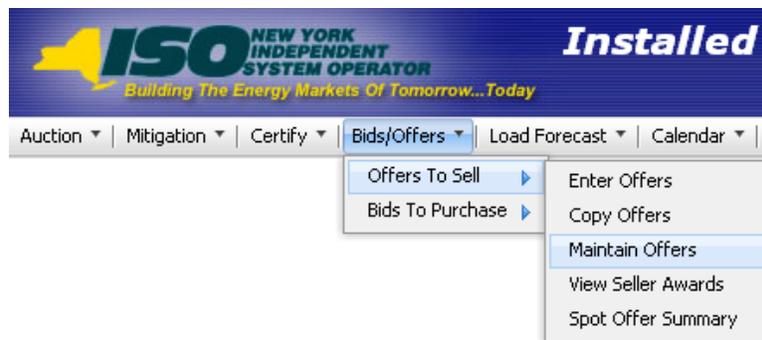


Figure 6-9 Offers To Sell Menu - Maintain Offers Option

6.2.1 Screen Descriptions

Table 6.5 Maintain Offers to Sell Filter Screen Section

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

Screen Field	Data Type	Editable	Description
			If Monthly auction, select from list of all months within the selected Season and the selected Auction Month.

Table 6.6 Current Status Screen Section

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

Table 6.7 Maintain Offers to Sell Screen Section

Screen Field	Data Type	Editable	Description
Offer Number	Decimal	N	System assigned unique sequence number. Can only be changed if ICAP Spot Market Auction selected. (Offers with the same offer price will be processed in order of lowest to highest Offer Numbers in the Spot market Auction.
Location	Text	N	Location of capacity.
PTID	Text	N	PTID Number and Name for Generator, SCR or UDR from which capacity is being offered.
Right #	Text	N	External CRIS Right associated with the offer.
Mitigated Generator Group	Text	N	Mitigated Generator Group from which capacity is being offered. <i>Note:</i> As of May/2008, this parameter is obsolete. Supply-Side Mitigation replaced historic DGO Mitigation. This field is retained only to view historic DGO capacity.
Offer MW	Numeric	Y	Offer MW (format 9999.9) <i>Note:</i> Offer MW can appear as 9999.999 if the offer was automatically generated by the System for excess capacity purchased in NYC, LI, or GHI and offered back into the NYCA. This field is editable only during an open Offer Period.
Offer \$/kW/Month	Numeric	Y	Offer Price (format 999.99) minimum price the party making the offer is willing to accept for the Offer

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

Table 6.8 View Zero Dollar Offers to Sell Screen Section

Screen Field	Data Type	Editable	Description
Location	Text	N	Location of capacity.
PTID	Text	N	PTID Number and Name for Generator, SCR or UDR from which capacity is being offered.
Offer MW	Numeric	N	Zero Dollar MW Offer
Offer \$/kW/Month	Numeric	N	Zero Dollar MW Offer (always \$0.00)

6.2.2 Maintaining Offers

Users may change Offer MW and Offer \$/kW/Month for the selected auction as long as the period for submitting offers for the auction is not closed. These parameters may be edited through the Maintain Offers to Sell screen section. If more than ten bids exist then "NEXT 10" and "PREV 10" buttons will appear at the top of the Maintain Offers to Sell screen section. For the Spot Market Auction Offers subject to Supply-Side Mitigation, Offer Price cannot exceed the *higher of* the most restrictive **UCAP Offer Reference Level** defined in the *Market Services Tariff - Attachment H* and the Adjusted Reference Price if a GFC determination is in effect for this PTID, otherwise, an Offer Validation Error will be displayed.

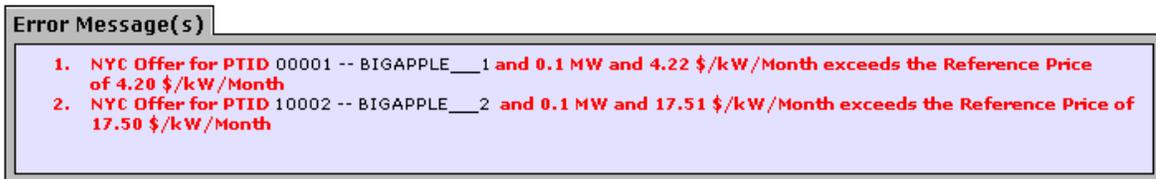


Figure 6-10 Supply-Side Offer Validation Error Message

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

Offer Number	Location	PTID	Mitigated Generator Group	Offer MW	Offer \$/kW/Month	Offer Total	Last Updated By	Last Update Date	Move After	Delete
1	NYC			1.5	5.00	\$7,500.00		26-May-2009 04:39 PM	<input type="checkbox"/>	<input type="checkbox"/>
2	ROS			123.0	1.23	\$151,290.01		26-May-2009 01:32 PM	<input type="checkbox"/>	<input type="checkbox"/>

Figure 6-11 Buyer-Side Offer Validation Error Message

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



Figure 6-12 External CRIS Right Offer Validation Error Message

Offer Number	Location	PTID	Right #	Offer MW	Offer \$/kW/Month	Offer Total	Last Updated By	Last Update Date	Delete
1	ROS	--		150.0	\$2.00	\$3,000.00	Billy Watts	Fri Sep 27 10:47:33 GMT 2013	
2	ROS	--		75.0	\$2.20	\$1,650.00	Billy Watts	Fri Sep 27 10:47:33 GMT 2013	
3	ROS	--		75.0	\$2.25	\$1,687.50	Billy Watts	Fri Sep 27 10:47:33 GMT 2013	
4	ROS	--		75.0	\$2.30	\$1,725.00	Billy Watts	Fri Sep 27 10:47:33 GMT 2013	
5	ROS	--		100.0	\$2.35	\$2,350.00	Billy Watts	Fri Sep 27 10:47:33 GMT 2013	
6	ROS	--		200.0	\$2.42	\$4,840.00	Billy Watts	Fri Sep 27 10:47:33 GMT 2013	
7	ROS	--		115.0	\$2.49	\$2,863.50	Billy Watts	Fri Sep 27 10:47:33 GMT 2013	
8	ROS	--		115.0	\$2.56	\$2,944.00	Billy Watts	Fri Sep 27 10:47:33 GMT 2013	
9	ROS	--		115.0	\$2.63	\$3,024.75	Billy Watts	Fri Sep 27 10:47:33 GMT 2013	
10	ROS	--		115.0	\$2.70	\$3,112.50	Billy Watts	Fri Sep 27 10:47:33 GMT 2013	

Figure 6-13 Maintain Offers to Sell Screen Section

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

Users must click “SAVE” to save changes applied to the displayed offers before clicking the “NEXT 10” or “PREV 10” button or the changes will be lost.

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

Location	PTID	Offer MW	Offer \$/kW/Month
NYC	?		\$0.00
NYC	?		\$0.00
ROS	?		\$0.00
ROS	?		\$0.00
GHI	?		\$0.00
GHI	?		\$0.00

Figure 6-14 View Zero Dollar Offers to Sell Screen Section

6.2.3 Deleting Offers

Any offer that has been successfully saved in the ICAP Automated Market System may be deleted through the “Maintain Offers to Sell” screen as long as the period for submitting offers for the auction is not closed. Users should select the check box in the Delete column

in [Figure 6-13](#) for all offers they wish to delete and click the “SAVE” button to confirm the deletion. After the deletion has been successfully processed, the following confirmation message will appear: “Successfully updated xx records in the database,” where xx is the number of modified records.

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

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

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

6.3 How to Copy Offers

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

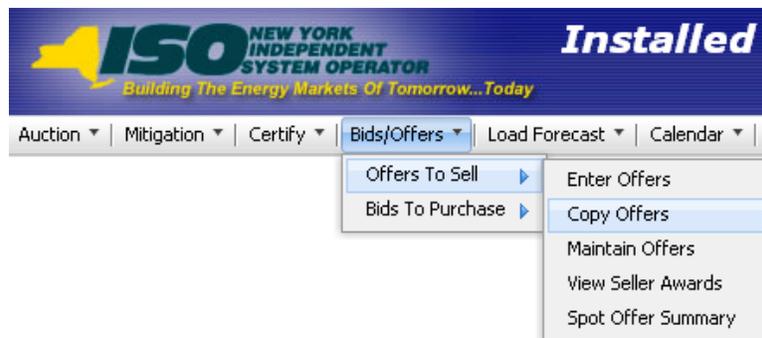


Figure 6-15 Offers To Sell Menu - Copy Offers Option

6.3.1 Screen Descriptions

Table 6.9 Copy Offers to Sell Filter Screen Section

Screen Field	Data Type	Editable	Description
--------------	-----------	----------	-------------

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Defaults based on MP Logged On.
Copy from Auction Month	Text	Y	Select from a list consisting of the previous or current auction months.
Copy from Offer Month	Text	Y	Select from list of offer months within the selected Copy From Auction Month.

Table 6.10 Current Status Screen Section

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

Table 6.11 Copy to Offer Month Screen Section

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

Table 6.12 Copy Offers to Sell Screen Section

Screen Field	Data Type	Editable	Description
Offer Number	Decimal	N	Unique sequence number assigned by the System.
Location	Text	N	Location of capacity.
PTID	Text	N	PTID from which capacity is being offered.
Right #	Text	N	External CRIS Right associated with offer.
Mitigated Generator Group	Text	N	Mitigated Generator Group from which capacity is being offered. <i>Note:</i> As of May/2008, this parameter is obsolete. Supply-Side Mitigation replaced historic DGO Mitigation. This field is retained only to view historic DGO capacity.
Offer MW	Numeric	N	Offer MW (format 9999.9)
Offer \$/kW/Month	Numeric	N	Offer Price (format 999.99). Minimum price the offering party will accept for the Offer MW.

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

6.3.2 Copying UCAP Offers

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

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



Figure 6-16 Copy To Offer Month Screen Section

Copy Offers to Sell

Offer Number	Location	PTID	Offer MW	Offer \$/kW/Month	Offer Total
1	NYC	--	32.0		200.00
2	LI	--	0.3		\$1,275.00
3	ROS	--		\$3.40	
		--			
		--			
Total:					

Figure 6-17 Copy Offers to Sell Screen Section

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

6.4 How to View Seller Awards

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

6.4.1 Screen Descriptions

Table 6.13 View Seller Awards Filter Screen Section

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

Table 6.14 Current Status Screen Section

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

Table 6.15 Seller Awards Screen Section

Screen Field	Data Type	Editable	Description
Month	Text	N	Month and year within the selected Season. This is equivalent to the Offer month of an auction.
Auction Type	Text	N	Auction Type [Spot, Monthly, Strip]
Auction Month	Text	N	The month and year that the auction was executed
Offer Location	Text	N	Internal or External location where MW were supplied

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

6.4.2 Viewing Seller Awards

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

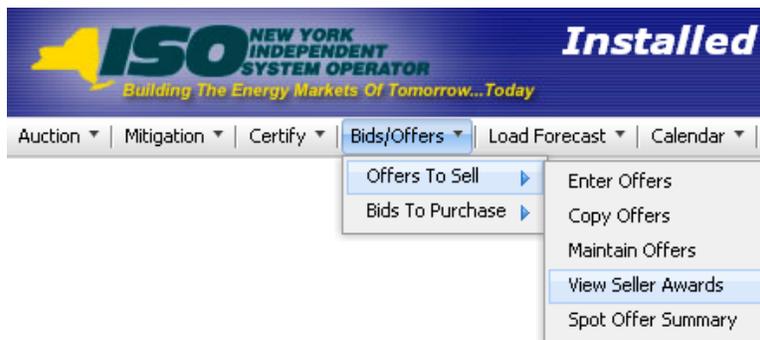


Figure 6-18 Offers To Sell Menu - View Seller Awards Option

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

Month	Auction Type	Auction Month	Offer Location	Award Location	Total Awarded MW	Total Awarded \$
May/2013	Strip	May/2013	NYC	NYC	10	\$ 1.00
May/2013	Strip	May/2013	ROS	ROS	10	\$ 1.00
May/2013	Monthly	May/2013	NYC	NYC	10	\$ 1.00
May/2013	Spot	May/2013	LI	LI	10	\$ 1.00
May/2013	Spot	May/2013	NYC	NYC	10	\$ 1.00
May/2013	Spot	May/2013	ROS	ROS	10	\$ 1.00
Jun/2013	Strip	May/2013	NYC	NYC	10	\$ 1.00
Jun/2013	Strip	May/2013	ROS	ROS	10	\$ 1.00
Jun/2013	Monthly	Jun/2013	NYC	NYC	10	\$ 1.00
Jun/2013	Monthly	Jun/2013	ROS	ROS	10	\$ 1.00
Jun/2013	Spot	Jun/2013	LI	LI	10	\$ 1.00
Jun/2013	Spot	Jun/2013	ROS	ROS	19	\$ 1.83
Jun/2013	Spot	Jun/2013	NYC	NYC	10	\$ 1.00
Jun/2013	Spot	Jun/2013	ROS	ROS	10	\$ 1.30
Jun/2013	Spot	Jun/2013	ROS	ROS	10	\$ 1.00
Jul/2013	Strip	May/2013	NYC	NYC	10	\$ 1.00
Jul/2013	Strip	May/2013	ROS	ROS	10	\$ 1.00
Jul/2013	Monthly	Jul/2013	NYC	NYC	10	\$ 1.00
Jul/2013	Spot	Jul/2013	LI	LI	10	\$ 1.00

Figure 6-19 Seller Awards Screen Section

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

6.5 How to View Spot Offer Summary

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

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

The User navigates from Bids/Offers Menu option Offers To Sell and selects the Spot Offer Summary option shown in [Figure 6-20](#).



Figure 6-20 Offers To Sell Menu - Spot Offer Summary Option

6.5.1 Screen Descriptions

Table 6.16 Spot Offer Summary Filter Screen Section

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

Table 6.17 Search Criteria Screen Section

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

Table 6.18 Spot Offer Summary Screen Section

Screen Field	Data Type	Editable	Description
PTID --Name	Text	N	Gen, SCR or UDR PTID and Name from which capacity is being offered. Unallocated capacity acquired in prior Auctions or Bilateral Transactions is available for resale and will display as a row called "Resale".

Screen Field	Data Type	Editable	Description
Available For Offer	Text	N	The initial capacity available for offer prior to entering Offers to Sell in the Spot Market Auction. This value is static and will be greater than or equal to zero. For the Mitigated Capacity Zone, if the MP is a Pivotal Supplier, these MW will have Must Offer displayed as "Yes", but rows that have a zero Available For Offer will display "No" for Must Offer.
Capacity Un-Offered	Text	N	The current capacity yet to be offered into the Spot Market Auction. This dynamic value decrements as corresponding Spot Auction Offers are entered. For capacity with a Must Offer set to "Yes", once all Capacity Un-Offered decrements to zero, the Total Capacity Un-Offered will be zero and the Supply-Side Mitigation "must offer" requirement has been satisfied by this MP. Capacity Un-Offered will be greater than or equal to zero.
Must Offer	Text	N	For the Mitigated Capacity Zone, if a Pivotal Supplier has a non-zero Available For Offer Capacity, the Must Offer will display as "Yes". Rows with a zero Available For Offer will have a Must Offer set to "No" for that generator. If a supplier is not Pivotal in that Locality, the Must Offer will be set to "No". For each row with a Must Offer set to "Yes", the MP must offer capacity into the Spot Market Auction until Capacity Un-Offered decrements to zero.

6.5.2 Spot Offer Summary

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

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

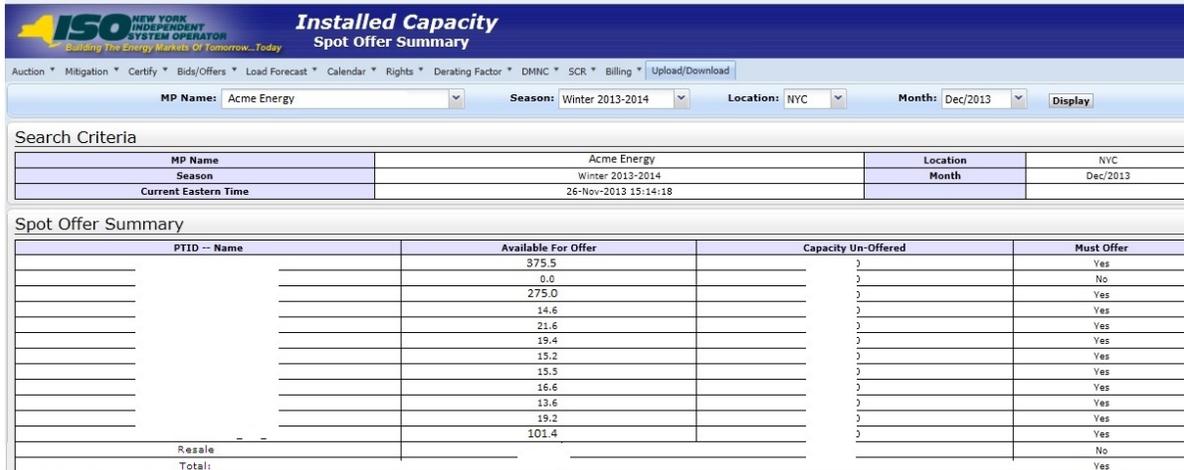


Figure 6-21 Spot Offer Summary Screen Section

7. LOAD FORECASTS AND UCAP REQUIREMENTS

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

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

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

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

The requirements for the functionality described in this section are described in greater detail in the *NYISO Installed Capacity Manual* (available from the NYISO Web site at the following URL: http://www.nyiso.com/public/markets_operations/documents/manuals_guides/index.jsp).

7.1 How to View and/or Record LSE Load Forecasts

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



Figure 7-1 Load Forecast Menu - Record LSE Load Forecasts Option

The following screen will appear:

Locational Data

Effective UCAP % %

LSE Load Forecasts

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

Figure 7-2 LSE Load Forecasts Screen Section

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



Figure 7-3 Transmission Owner View of Record LSE Load Forecasts

The screen depicted in [Figure 7-3](#) would appear if a User logged into the System as a TO. There are Event Calendar events to indicate True Up, Load Shift, and Estimated Load Submittal Periods. TOs recording their district load forecasts for TD and Localities through this screen are able to select from their full list of associated LSEs. LSEs viewing their load forecast data can only have their own organization name available in the LSE drop-down box on this menu and would also have to select which TOs they are associated with.

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

Record LSE Load Forecasts						
LSE	Load Forecast	Fixed Load	Total Load	UCAP Requirements	Last Update Date	Last Updated By
XXXXXX	<input type="text" value="0.5"/>	<input type="text" value="0.0"/>	0.5	0.6	08-Sep-2004 12:12 PM	Dave McKay
Total	0.5	0.0	0.5			
Transmission Owner Load Forecast			1,140.1			
<input type="button" value="Save"/>						

Figure 7-4 Record LSE Load Forecasts Screen Section

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

Figure 7-5 Record LSE Load Forecasts - Transmission Owner View

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

Figure 7-6 Record Load Forecasts - Load Serving Entity View

7.1.1 Screen Descriptions

Table 7.1 Record LSE Load Forecasts Filter Screen Section

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

Table 7.2 Locational Data Screen Section

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

Table 7.3 LSE Load Forecasts Screen Section

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

7.1.2 Entering and Maintaining LSE Load Forecasts

In the LSE Load Forecasts screen section depicted in [Figure 7-4](#), TOs may either enter forecast data or modify forecast data that has been entered previously either using the functionality described in this section or uploaded using the processes described in [Section 14](#) of this Users' Guide. Data is alphabetically sorted by LSE name.

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

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

Load Forecast numbers for TD and Localities must be the total load number for the Transmission District within NYCA. For example, if TO Metering Authority Consolidated Edison is reporting LSE1's portion of load and LSE1 has 10 MWs of the total load In-City and 2 MW outside NYC but still within the G-J Locality and another 3MW outside the G-J Locality (but still within the Consolidated Edison Transmission District), then the TO would use the "Record LSE Load Forecasts" screen to report 15 MW for TD, 10 MW for In-City and 12 MW for In-GHIJ, entering values in the Load Forecast (MW) column in the LSE1 row.

7.2 How to Maintain Transmission Owner Lists of LSEs

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

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



Figure 7-7 Load Forecast Menu

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

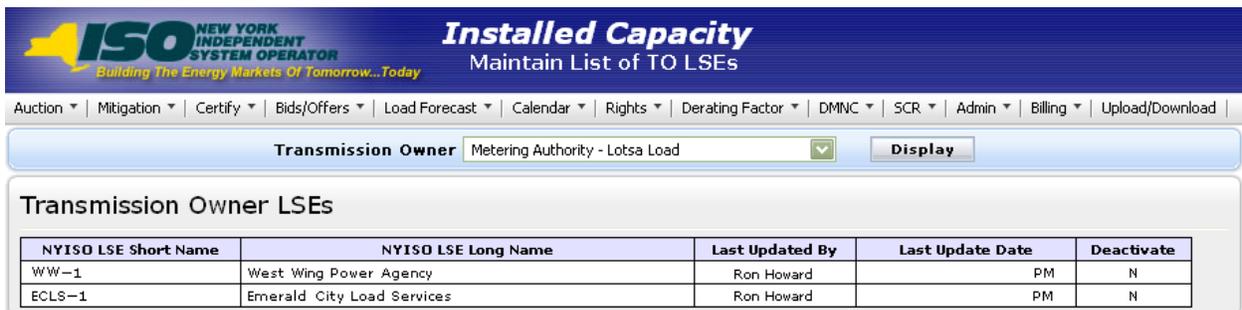


Figure 7-8 Transmission Owner LSEs Screen Section

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

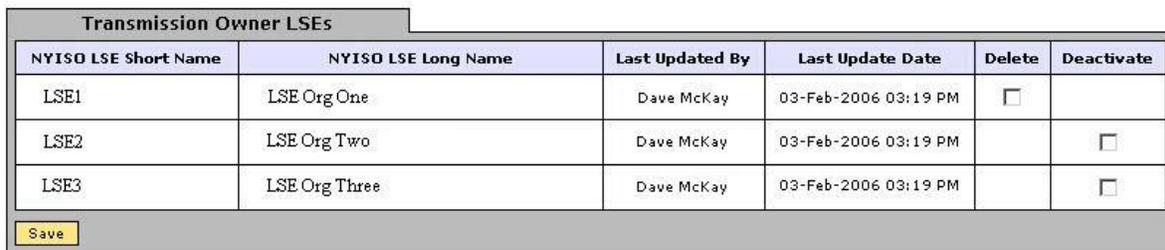
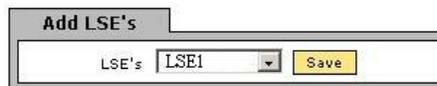


Figure 7-9 Add LSEs and Transmission Owner LSEs Screen Sections

7.2.1 Screen Descriptions

Table 7.4 Maintain List of TO's LSE Filter Screen Section

Screen Field	Data Type	Editable	Description
--------------	-----------	----------	-------------

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

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

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

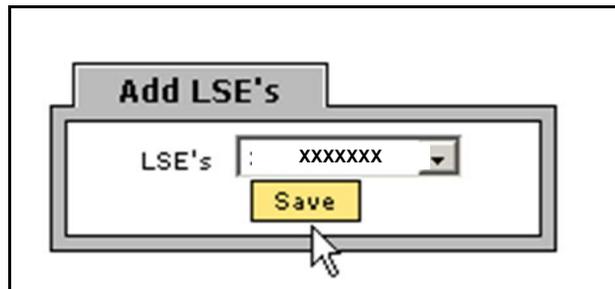


Figure 7-10 Add LSE Name Screen Section

7.2.3 Deactivating a LSE from Transmission Owner List of LSEs

If a TO has added an LSE to its list and wants to deactivate the name, and load data exists for that LSE (either currently or historically), it may do so by checking the appropriate box, adjacent to the LSE name, in the deactivate column on the Transmission Owner LSEs screen section (Figure 7-11), and clicking the “SAVE” button. For example, if LSE1 is associated with Metering Authority Central Hudson and this TO Deactivates this association, then LSE1 will not appear as a row (in future months where load data is not yet configured for this LSE) on the "Record LSE Load Forecast" screen for this TO. The LSE1 data will still be visible as a row for months prior to the deactivation of this TO-LSE association on the "Record LSE Load Forecast" screen.

7.2.4 Deleting a LSE from Transmission Owner List of LSEs

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

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

Save

Figure 7-11 Transmission Owner LSEs Screen Section

7.3 How to View ICAP and UCAP Calculations

The public may view ICAP and UCAP calculations and the data used in the calculations. These calculations are described in greater detail in the *NYISO Installed Capacity Manual* (available from the NYISO Web site at the following URL:

http://www.nyiso.com/public/markets_operations/documents/manuals_guides/index.jsp)

and Section 5.12 of the *ISO Market Services Tariff* (available from the NYISO Web site at the following URL:

http://www.nyiso.com/public/markets_operations/documents/tariffs/index.jsp). This functionality is accessible from the View ICAP and UCAP Calculations from the Load Forecast Menu:



Figure 7-12 Load Forecast Menu - View ICAP and UCAP Calculations

7.3.1 Screen Descriptions

Table 7.5 View UCAP and ICAP Calculations Screen Sections

Screen Field	Data Type	Editable	Description
Season	Text	Y	Select from list containing all Seasons.
Posted Date	Date	N	Date data was posted to the Web.

Screen Field	Data Type	Editable	Description
Posted By	Text	N	Identifies User that posted data to the Web
Locational Calculations			
Location	Text	N	Locations for which data exists. (NYCA and Localities)
Forecasted Peak Load MW	Number	N	Forecasted Peak Load for the location (NYCA and Localities) for the Capability Year.
Requirement %	Number	N	Percent used to calculate ICAP requirements for the location (determined by the IRM Study).
Derating Factor %	Number	N	Percent used to calculate UCAP requirements for the location (seasonal translation factor).
ICAP MW Requirement	Number	N	Peak Load for Location* (Requirement %).
UCAP MW Requirement	Number	N	ICAP MW Requirement * (1 – Derating Factor %).
UCAP Effective %	Number	N	UCAP Requirement MW / Forecasted Peak Load.
Transmission District and Locality Loads			
Transmission Owner	Text	N	All TOs with Requirements in TD or Locality
Forecasted Peak Load MW	Number	N	NYISO-defined forecasted peak load for this TO in TD or Locality.
ICAP MW Requirement	Number	N	Forecasted Peak Load * (Requirement %) for this TO in TD or Locality.
UCAP MW Requirement	Number	N	ICAP MW Requirement * (1 – Derating Factor) for this TO in TD or Locality.

7.3.2 Viewing ICAP and UCAP Calculations

The screen in [Figure 7-13](#) is displayed after the selection of a Season. Data will only display after Users click “**DISPLAY**”.

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

Installed Capacity
View ICAP and UCAP Calculations

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

Season: Summer 2014

Post Data

Posted Date	Posted By

Locational Calculations

Location	Forecasted Peak Load MW	Requirement %	Derating Factor %	ICAP MW Requirement	UCAP MW Requirement	UCAP Effective %
G-J Locality	11,000.0	%	%	10,450.0	9,927.5	90.25%
LI	5,000.0	%	%	5,250.0	4,882.5	97.65%
NYC	9,000.0	%	%	7,650.0	7,191.0	79.90%
NYCA	32,500.0	%	%	37,375.0	34,385.0	105.80%

Transmission District Loads G-J Locality

Transmission Owner	Forecasted Peak Load MW	ICAP MW Requirement	UCAP MW Requirement
Metering Authority			
Total	11,000.0	10,450.0	9,927.5

Transmission District Loads LI

Transmission Owner	Forecasted Peak Load MW	ICAP MW Requirement	UCAP MW Requirement
Metering Authority - Long Island Power Authority	5,000.0	5,250.0	4,882.5
Total	5,000.0	5,250.0	4,882.5

Transmission District Loads NYC

Transmission Owner	Forecasted Peak Load MW	ICAP MW Requirement	UCAP MW Requirement
Metering Authority - Consolidated Edison of NY	9,000.0	7,650.0	7,191.0
Total	9,000.0	7,650.0	7,191.0

Transmission District Loads NYCA

Transmission Owner	Forecasted Peak Load MW	ICAP MW Requirement	UCAP MW Requirement

© 2006-2013 New York Independent System Operator. All rights reserved. Build Date: Jenkins[Nov 29, 2013 12:07] You are logged in as morrispo

Figure 7-13 View ICAP and UCAP Calculations Screen Sections

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

8. ICAP EVENT CALENDAR

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

8.1 How to View the ICAP Event Calendar

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

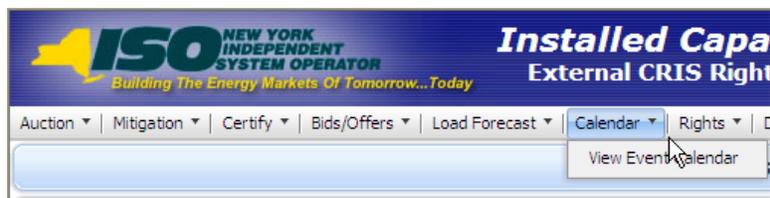


Figure 8-1 Calendar Menu - View Event Calendar Option

8.1.1 Screen Descriptions

Table 8.1 Event Calendar - Filter Screen Section

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

Table 8.2 Event Calendar - Events Screen Section

Screen Field	Data Type	Editable	Rule
Legend	Text	N	Color Key for Event Calendar rows [Winter Season Event, Summer Season Event, and Season Change Event]
Calendar Date	Date	N	Date formatted: Day of Week, Mon dd, yyyy

Events	Text	N	ICAP Event Calendar entries: Event Time (hh:mm:ss AM/PM) Event Description text
--------	------	---	---

8.1.2 Viewing Event Calendar

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

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

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

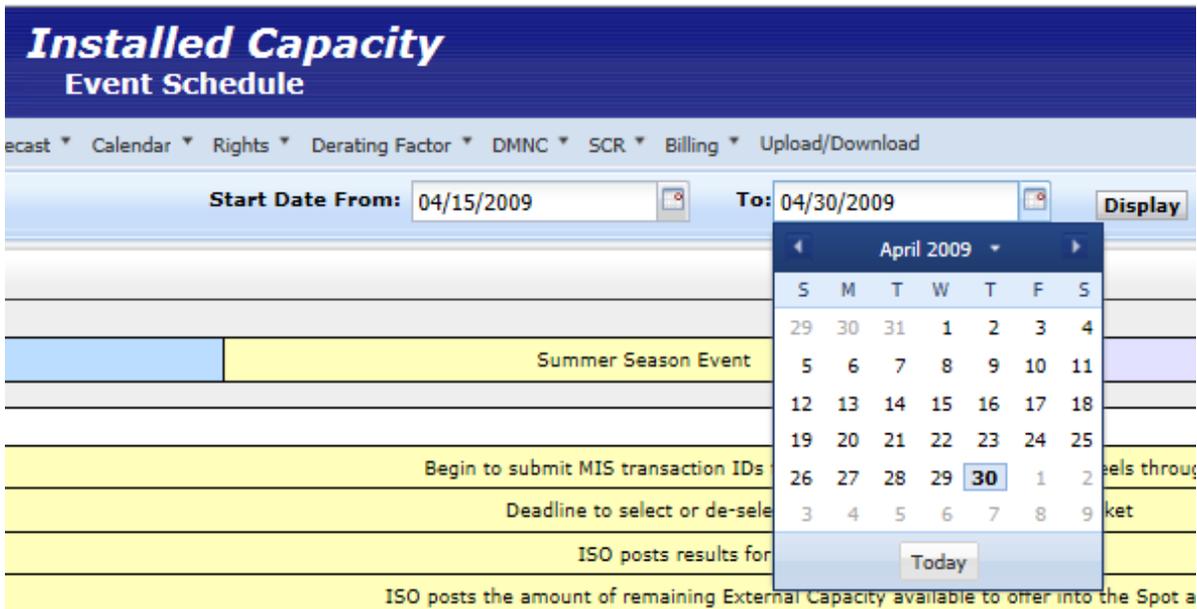


Figure 8-2 Event Calendar - Filter Screen Section

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



Figure 8-3 Event Calendar - Legend Screen Section

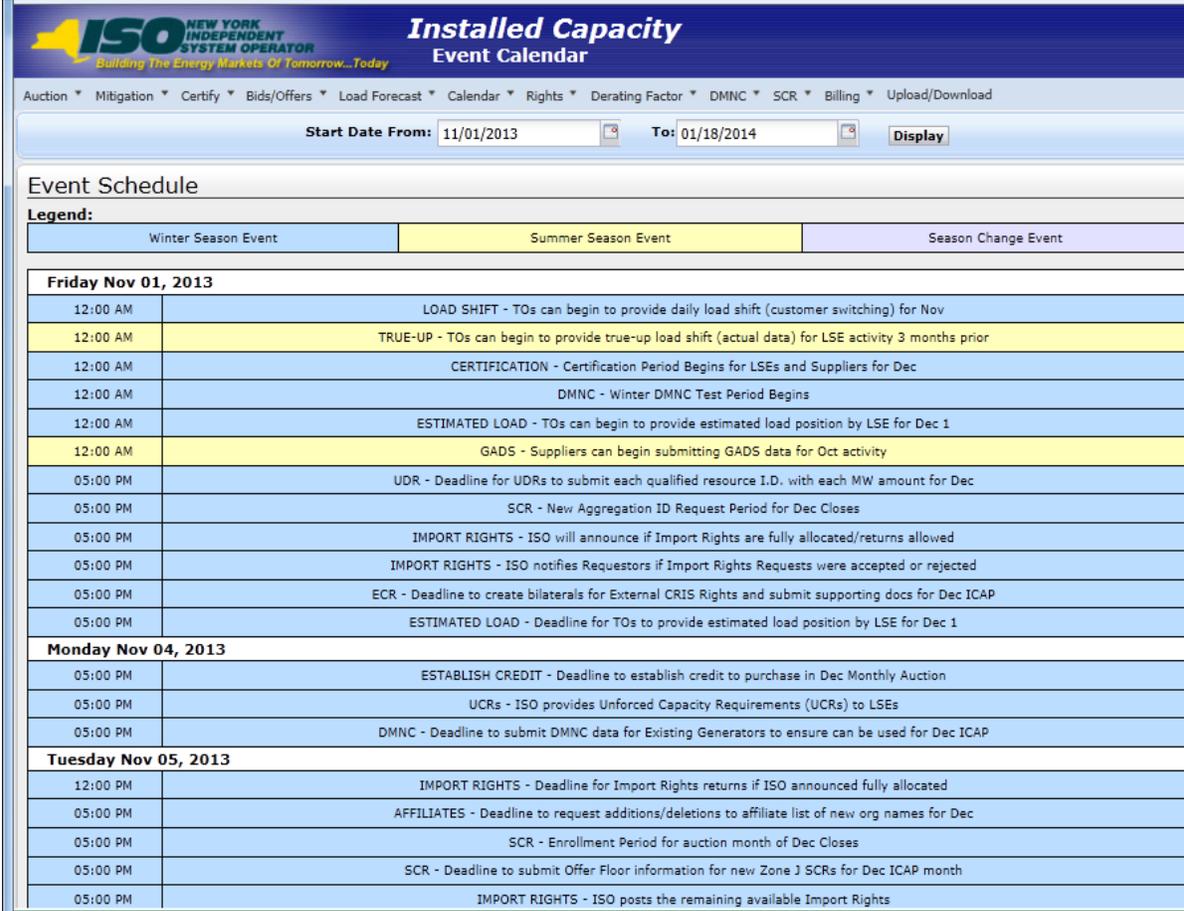


Figure 8-4 Event Calendar - Events Screen Section

This page intentionally blank.

9. AUCTION RESULTS

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

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

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

9.1 How to View Strip / Monthly Auction Bid Results

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



Figure 9-1 Auction Menu

9.1.1 Screen Descriptions

Table 9.1 Auction Bid Results Filter Screen Section

Screen Field	Data Type	Editable	Description
--------------	-----------	----------	-------------

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

Table 9.2 Auction Bid Results Screen Section

Screen Field	Data Type	Editable	Description
Location	Text	N	Location in the NYCA.
Bid Price	Numeric	N	Bid price per MW (\$/kW per month).
Bid MW	Numeric	N	Number of MW at the bid price.
Awarded MW	Numeric	N	Number of MW awarded.
MCP \$kW/month	Numeric	N	Market-Clearing Price for the location (weighted average for Rest-of-State)
Awarded \$ Amount	Numeric	N	Calculated as Awarded MW * Market-Clearing Price * 1000 (multiply again by 6 for Strip Auctions).
Mitigated MW (Historic Divestiture)	Numeric	N	Number of mitigated MW awarded. <i>Note:</i> As of May/2008, Supply-Side Mitigation replaced historic DGO Mitigation and this field is retained only to view historic DGO capacity. Therefore, as of May/2008, this field will display 0.0 MW.

9.1.2 Viewing Strip or Monthly Auction Bid Results

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

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

Figure 9-2 Auction Bid Results Screen

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

Figure 9-3 Auction Bid Results Filter Screen Section

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

Auction Bid Results						
Bids			Awards			
Location	Bid Price [(\$/kW-per month) expressed to nearest \$.01]	Bid MW (Expressed to nearest 0.1MW)	Awarded MW	MCP \$/kW/Month	Awarded \$ Amount	Mitigated MW
NYC	8.25	25.0	0.0	8.69	0	0.0
NYC	8.20	40.0	0.0	8.69	0	0.0
NYC				8.69	0	0.0
NYC				8.69	0	0.0
NYC				8.69	0	0.0
GHI				6.62	1	0.0
GHI				6.62	1	0.0
GHI				6.62	1	0.0
GHI				6.62	1	0.0
GHI				6.62	1	0.0
GHI				6.62	1	0.0
GHI				6.62	1	0.0
LI				2.85	0	0.0
ROS				2.24	0	0.0
ROS	2.15			2.24	0	0.0
ROS	2.05			2.24	0	0.0
Total		4.	1.1		\$7	0

Figure 9-4 Auction Bid Results Screen Section

Bids and Awards are clearly demarcated in the Auction Bid Results screen section by a double vertical line as shown in Figure 9-4. Also, bids may be sorted by location by clicking on the Location column heading.

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

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

9.2 How to View Spot Market Auction Purchases

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

9.2.1 Screen Descriptions

Table 9.3 Spot Market Auction Purchases Filter

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

Table 9.4 Spot Market Auction Purchases Screen Section

Screen Field	Data Type	Editable	Description
--------------	-----------	----------	-------------

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

9.2.2 Viewing Spot Market Purchases

Users should select the View Spot Market Auction Purchases option from the Auction Menu in [Figure 9-1](#). Select Auction Type and Auction Month/Year filters and then click the “DISPLAY” button. The screen in [Figure 9-15](#) will appear.

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

Figure 9-5 Spot Market Auction Purchases

9.3 How to View Offer Auction Results

Users may review offers and awards for any auction by selecting the View Auction Offer Results option from the Auction Menu, as displayed in [Figure 9-1](#).

9.3.1 Screen Descriptions

Table 9.5 Auction Offer Results Filter Screen Section

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

Table 9.6 Auction Offer Results Screen Section

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

9.3.2 Viewing Offer Auction Results

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

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



Figure 9-6 Auction Offer Results Filter Screen Section

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

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

Figure 9-7 Auction Offer Results Screen Section

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

Installed Capacity Auction Offer Results										
Auction Offer Results										
Offers						Awards				
Offer #	Location	PTID	Right #	Offer Price [(\$/kW-per month) expressed to nearest \$.01]	Offer MW (Expressed to nearest 0.1MW)	Awarded Location	Awarded MW	Awarded Price (MCP/Mitigated \$/kW/Month)	Awarded \$ Amount	Mitigated MW
1	LI					LI		0.75		
2	LI					LI		0.75		
3	LI	12345		0.00	387.0	LI	295,954	0.75		
3	LI	12345		0.00	387.0	ROS	91,046	0.50		
4	LI					ROS		0.50		
Total										

Figure 9-8 Auction Offer Results - Single Offer awarded in multiple locations

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

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

9.4 How to View Strip Auction Summary

Users may view summaries of bid awards and offer awards from strip auctions by selecting View Strip Auction Summary option from the Auction Menu displayed in [Figure 9-1](#).

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

9.4.1 Screen Descriptions

Table 9.7 View Strip Auction Summary Filter Screen Section

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

Table 9.8 View Strip Auction Summary Screen Section

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

9.4.2 Viewing Strip Auction Summaries

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



Figure 9-9 View Strip Auction Summary Filter Screen Section

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

Winter 2013-2014		
Strip Auction Results for UCAP, Auction Starting 11/2013		
Posted Date: 10/02/2013 08:49 AM		
G-I Locality		
Awarded (MW)		705
Price (\$/kW - Month)		3
LI		
Awarded (MW)		5
Price (\$/kW - Month)		3
NYC		
Awarded (MW)		1
Price (\$/kW - Month)		4
NYCA		
Awarded (MW)		7
Price (\$/kW - Month)		3
HQ		
Awarded (MW)		3
Price (\$/kW - Month)		3
IESO		
Awarded (MW)		3
Price (\$/kW - Month)		3
NE		
Awarded (MW)		3
Price (\$/kW - Month)		3
PJM		
Awarded (MW)		3
Price (\$/kW - Month)		3
Total ROS Awarded (MW)		27
Total Awarded (MW)		24
ROS Price Paid By Bidders (Weighted Avg.)		\$...3

Footnotes:

Figure 9-10 View Strip Auction Summary Screen Section

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

9.5 How to View Monthly Auction Summary

Users may view monthly auction awards by selecting View Monthly Auction Summary from the main Auction Menu displayed in [Figure 9-1](#).

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

9.5.1 Screen Descriptions

Table 9.9 View Monthly Auction Summary Filter Screen Section

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

Table 9.10 View Monthly Auction Summary Screen Section

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

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

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

9.5.2 Viewing Monthly Auction Summaries

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



Figure 9-11 View Monthly Auction Summary Filter Screen Section

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

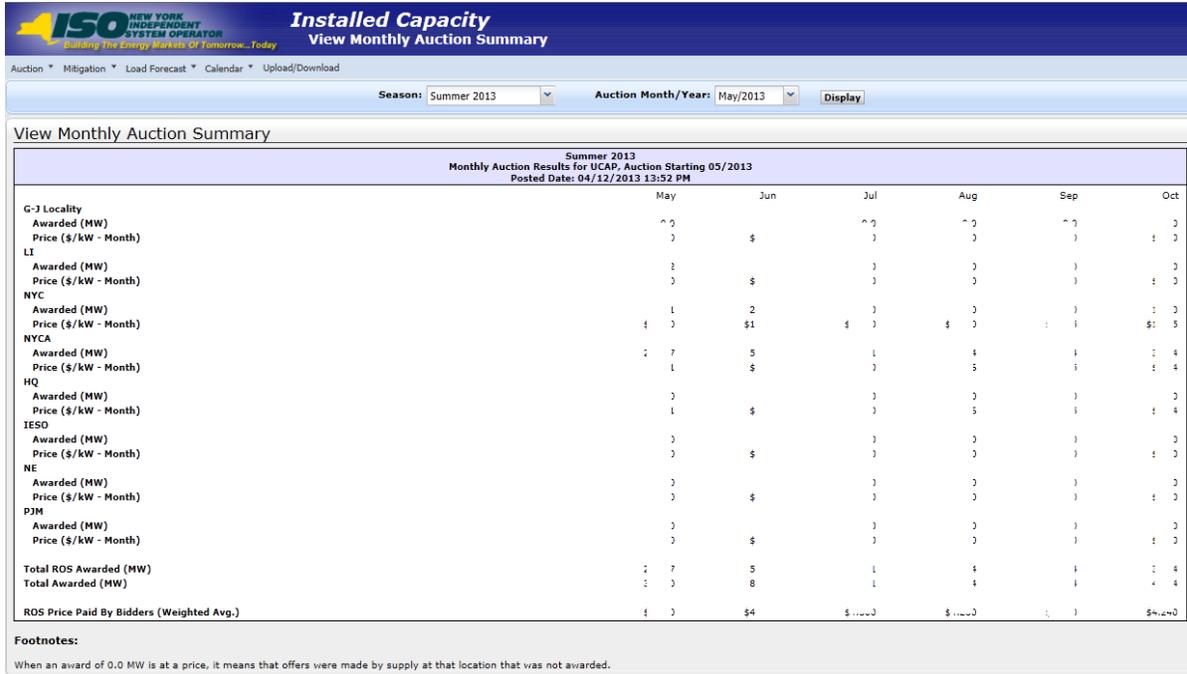


Figure 9-12 View Monthly Auction Summary Screen Section

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

9.6 How to View ICAP Spot Auction Summary

Users may view ICAP Spot Market Auction results by selecting View Spot Auction Summary option from the Auction Menu displayed in [Figure 9-1](#).

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

9.6.1 Screen Descriptions

Table 9.11 View Spot Auction Summary Filter Screen Section

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

Table 9.12 View Spot Auction Summary Screen Section

Screen Field	Data Type	Editable	Rule
Posted Date	Date	N	Date report posted to the Web.

Screen Field	Data Type	Editable	Rule
G-J Locality			Locality defined by G,H,I and J.
Awarded Deficiency (MW)	Numeric	N	Sum of deficiency MW awarded for G-J Locality.
Awarded Excess (MW)	Numeric	N	Sum of excess MW awarded for G-J Locality (awarded excess is credited to an LSE's G-J Locality requirement).
% Excess Above Requirements	Numeric	N	Awarded Excess MW / UCAP Requirements for G-J Locality.
NYC			New York City locality
Awarded Deficiency (MW)	Numeric	N	Sum of deficiency MW awarded for NYC.
Awarded Excess (MW)	Numeric	N	Sum of excess MW awarded for NYC (awarded excess is credited to an LSE's GHI requirement).
% Excess Above Requirements	Numeric	N	Awarded Excess MW / UCAP Requirements for NYC
Price (\$/kW-M)	Numeric	N	Market-Clearing Price for NYC.
LI			Long Island locality
Awarded Deficiency (MW)	Numeric	N	Sum of deficiency MW awarded for LI.
Awarded Excess (MW)	Numeric	N	Sum of excess MW awarded for LI. (awarded excess is credited to an LSE's ROS requirement)
% Excess Above Requirements	Numeric	N	Awarded Excess MW / UCAP Requirements for LI.
Price (\$/kW-M)	Numeric	N	Market-Clearing Price for LI.
NYCA			New York Control Area
Awarded Deficiency (MW)	Numeric	N	Sum of deficiency MW awarded for ROS/NYCA entities.
Awarded Excess (MW)	Numeric	N	Sum of excess MW awarded for the NYCA.
% Excess Above Requirements	Numeric	N	Awarded Excess MW / UCAP Requirements for NYCA.
Price (\$/kW-M)	Numeric	N	Market-Clearing Price for all of NYCA (excluding external locations).
NE			ISO-New England
Awarded as part of NYCA Def./ Exc. (MW)	Numeric	N	MW awarded to offers from NE. (Included in NYCA deficiency/excess MW figures).
Price (\$/kW-M)	Numeric	N	Market-Clearing Price for NE offers.
IESO			Independent Electricity System Operator (Ontario)
Awarded as part of NYCA Def./ Exc.	Numeric	N	MW awarded to offers from IESO. (Included in NYCA deficiency/excess MW figures).

Screen Field	Data Type	Editable	Rule
(MW)			
Price (\$/kW-M)	Numeric	N	Market-Clearing Price for IESO offers.
PJM			PJM control area
Awarded as part of NYCA Def./ Exc. (MW)	Numeric	N	MW awarded to offers from PJM. (Included in NYCA deficiency/excess MW figures).
Price (\$/kW-M)	Numeric	N	Market-Clearing Price for PJM offers.
HQ			Hydro Quebec
Awarded as part of NYCA Def./ Exc. (MW)	Numeric	N	MW awarded to offers from HQ. (Included in NYCA deficiency/excess MW figures).
Price (\$/kW-M)	Numeric	N	Market-Clearing Price for HQ offers.
Total Awarded Deficiency (MW)	Numeric	N	Sum of deficiency MW awarded for NYC, LI, GHI, and ROS (NYCA).
Total Awarded (MW)	Numeric	N	Sum of Total Awarded Deficiency MW plus NYCA Awarded Excess (MW).
ROS Price Paid by LSE's (Weighted avg price)	Numeric	N	Weighted average of ROS, HQ, IESO, NE, and PJM offer MCPs (price paid by NYCA LSEs).
Footnotes	Text	N	Footnoted text entered by the NYISO.

9.6.2 Viewing Spot Auction Summaries

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



Figure 9-13 View Spot Auction Summary Filter Screen Section

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

Winter 2013-2014 Capability Period 12/2013 Spot Market Auction Results - UCAP Posted Date: 11/26/2013 09:35 AM		12/2013
G-J Locality		
Awarded Deficiency (MW)		0.000
Awarded Excess (MW)		0.000
% Excess Above Requirement		0.000
Price (\$/kW-M)		0.000
NYC		
Awarded Deficiency (MW)		0.000
Awarded Excess (MW)		0.000
% Excess Above Requirement		0.000
Price (\$/kW-M)		0.000
LI		
Awarded Deficiency (MW)		0.000
Awarded Excess (MW)		0.000
% Excess Above Requirement		0.000
Price (\$/kW-M)		0.000
NYCA		
Awarded Deficiency (MW)		0.000
Awarded Excess (MW)		0.000
% Excess Above Requirement		0.000
Price (\$/kW-M)		0.000
HQ		
Awarded as part of NYCA Def./Exc. (MW)		0.000
Price (\$/kW-M)		0.000
IESO		
Awarded as part of NYCA Def./Exc. (MW)		0.000
Price (\$/kW-M)		0.000
NE		
Awarded as part of NYCA Def./Exc. (MW)		0.000
Price (\$/kW-M)		0.000
PJM		
Awarded as part of NYCA Def./Exc. (MW)		0.000
Price (\$/kW-M)		0.000
Total Awarded Deficiency (MW)		0.000
Total Awarded (MW)		0.000
*ROS Price Paid By LSE's (Weighted Avg.)		

Footnotes:
External CA MW are included in the NYCA MW Totals

Figure 9-14 View ICAP Spot Auction Summary Screen Section

This screen displays ICAP Spot Market Auction Awards and summarizes the awards, for the month selected, by location, awarded deficiency, and awarded excess.

Footnotes:	
When an award is 0.0 MW at a price, it means that offers were made by supply at the location that was not awarded.	

Figure 9-15 View ICAP Spot Auction Summary Footnote Section

9.7 How to View Rebate Summary

Users may view a summary of locational rebates due to the sale of mitigated capacity for Capability Periods prior to Summer/2008 (when Historic Divestiture rules were still in effect) by selecting View Rebate Summary option from the Auction Menu displayed in [Figure 9-1](#).

9.7.1 Screen Descriptions

Table 9.13 View Rebate Summary Filter Screen Section

Screen Field	Data Type	Editable	Description
Season	Text	Y	Select from list of available Capability Periods. <i>Note:</i> User will only view data for Seasons prior to Summer/2008. Supply-Side Mitigation replaced historic DGO Mitigation. This screen is retained only to view historic DGO capacity.
Location	Text	Y	Select from NYC, LI, and ROS locations. Currently only NYC has mitigated rebates and they exist only prior to Summer/2008).

Table 9.14 View Rebate Summary Screen Section

Screen Field	Data Type	Editable	Description
Auction			
Strip	Numeric	N	Sum of mitigated rebates by bid month in season for the strip auction (same amount for every month).
Monthly – Month1	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month1 auction.
Spot – Month1	Numeric	N	Sum of mitigated rebates for the Month1 month for the spot market auction.
Monthly – Month2	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month2 auction.
Spot – Month2	Numeric	N	Sum of mitigated rebates for the Month2 month for the spot market auction.
Monthly – Month3	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month3 auction.
Spot – Month3	Numeric	N	Sum of mitigated rebates for the Month3 month for the spot market auction.
Monthly – Month4	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month4 auction.
Spot – Month4	Numeric	N	Sum of mitigated rebates for the Month4 month for the spot market auction.
Monthly – Month5	Numeric	N	Sum of mitigated rebates for each bid month in

Screen Field	Data Type	Editable	Description
			season for the monthly Month5 auction.
Spot – Month5	Numeric	N	Sum of mitigated rebates for the Month5 month for the spot market auction.
Monthly – Month6	Numeric	N	Sum of mitigated rebates for each bid month in season for the monthly Month6 auction.
Spot – Month6	Numeric	N	Sum of mitigated rebates for the Month6 month for the spot market auction.
Supply Award Rebate	Numeric	N	Supplemental Award rebate for each month in season.
Total	Numeric	N	Sum of all rebates by month.
Footnotes	Text	N	Footnoted text entered by the NYISO.
Posted Date	Date	N	Date report posted to Web.

9.7.2 Viewing Rebate Summaries

The following screen appears which enables Users to select Season and Location.



Figure 9-16 View Rebate Summary Filter Screen Section

The View Rebate Summary screen section will appear after selecting Season and Location filters and then clicking the “DISPLAY” button:

UCAP Market							
Local Rebaters for Mitigated Capacity							
Purchased at a Market Clearing Price Greater than the Mitigated Price Caps							
Posted Date: 05/13/2008 10:03 AM							
Auction	May	Jun	Jul	Aug	Sep	Oct	
Strip	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00
May	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00
May-Spot	\$ 341,460.00	0.00	0.00	0.00	0.00	0.00	0.00
June	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00
June-Spot	\$ 0.00	276,990.00	0.00	0.00	0.00	0.00	0.00
July	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00
July-Spot	\$ 0.00	0.00	316,993.00	0.00	0.00	0.00	0.00
August	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00
August-Spot	\$ 0.00	0.00	0.00	333,416.00	0.00	0.00	0.00
September	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00
September-Spot	\$ 0.00	0.00	0.00	0.00	281,375.00	0.00	0.00
October	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00
October-Spot	\$ 0.00	0.00	0.00	0.00	0.00	0.00	297,825.00
Total	\$ 341,460.00	276,990.00	316,993.00	333,416.00	281,375.00	0.00	297,825.00

 Below the table is a 'Footnotes:' section which is currently empty.

Figure 9-17 View Rebate Summary Screen Section

This screen displays rebates specific to Historic Divestiture for DGO mitigated capacity that was purchased at a Market-Clearing Price greater than the mitigated price cap and summarizes awards by Auction Type and Bid Month, within the Season through the most recently closed ICAP Spot Market Auction.

This page intentionally blank.

10. DERATING FACTORS

This section describes how to view seasonal Derating Factors.

10.1 How to View Seasonal Derating Factors

Suppliers may view the seasonal Derating Factors used to translate a generator's DMNC rating into a seasonal UCAP rating. This information is accessed from the Derating Factor option on the top level navigation bar:



Figure 10-1 Derating Factor Menu

By selecting the Maintain Seasonal Derating Factors option from the Derating Factor Menu, the following screen will appear:

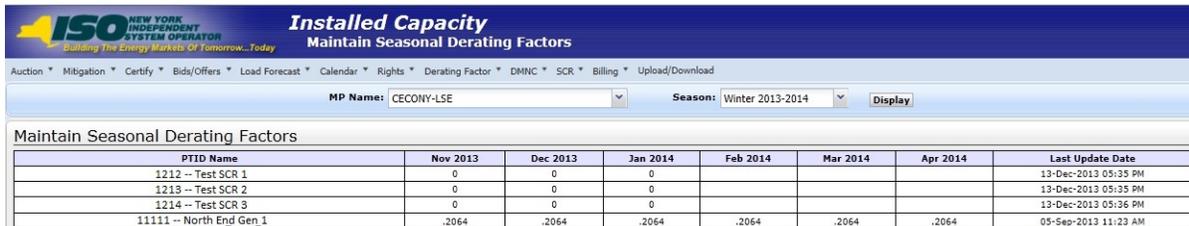


Figure 10-2 Maintain Seasonal Derating Factor Screen

10.1.1 Screen Descriptions

Table 10.1 Maintain Seasonal Derating Factor - Filter Screen Section

Screen Field	Data Type	Editable	Rule
MP Name	Text	Y	Defaults based on MP logged on.
Season	Text	Y	Select from list of Capability Period.

Table 10.2 Maintain Seasonal Derating Factor - Maintain Screen Section

Screen Field	Data Type	Editable	Rule
PTID Name	Text	N	List of all Generator and SCR Aggregation PTIDs and Names.

Months (6 column headings)	Text	N	The six months of the selected Capability Period.
Derating Factors per month	Numeric	N	Seasonal Derating Factor rating. This value is used to calculate the UCAP rating of a Generator or SCR Aggregation PTID for a Capability Period. For SCR Aggregation PTIDs, this value is null for months where the corresponding DMNC has not yet been populated from the DRIS.
Last Update Date	Date	N	Date Derating Factor last updated.

10.1.2 Viewing Derating Factors

After selecting the appropriate Capability Period in the Season filter section at the top of the screen, Users should click the “**DISPLAY**” button.

PTID Name	Nov 2013	Dec 2013	Jan 2014	Feb 2014	Mar 2014	Apr 2014	Last Update Date
1212 -- Test SCR 1	0	0	0				13-Dec-2013 05:35 PM
1213 -- Test SCR 2	0	0	0				13-Dec-2013 05:35 PM
1214 -- Test SCR 3	0	0	0				13-Dec-2013 05:36 PM
11111 -- North Eng Gen_1	.2064	.2064	.2064	.2064	.2064	.2064	05-Sep-2013 11:23 AM

Figure 10-3 Maintain Seasonal Derating Factors Filter Screen Section

The resulting screen will display all PTIDs for the organization, with seasonal Derating Factors for every month of the selected Season.

For all Summer Capability Periods, Derating Factors for May through October will display, and for all Winter Capability Periods, values for November through April will display.

In general, the displayed values will be identical for all six months. Only in certain circumstances would the seasonal Derating Factor value of a PTID be changed within the months of a Capability Period. The seasonal Derating Factor value displayed is used to calculate the UCAP rating of a PTID for the respective months.

11. DEPENDABLE MAXIMUM NET CAPABILITY

This section describes how Dependable Maximum Net Capability (*DMNC*) data is captured and used in the ICAP Automated Market System.

Note: Proven Maximum Production Capability (PMPC) data is not used in the ICAP System, so it is not entered via the screens described in this section.

The ICAP System uses the DMNC Post-Test Rating in conjunction with Derating Factor data to calculate the available UCAP for each generator. The following functions are described:

- How to Maintain DMNC Results
- How to View Monthly DMNC Test Results

Capacity Suppliers must follow certain procedures and provide pertinent information to the NYISO in order to qualify as ICAP suppliers. Submitting DMNC data is one of the requirements necessary to qualify as an ICAP supplier. Supplier requirements and information about DMNC procedures that may have a direct bearing on DMNC data entry described herein are intermittently updated in Section 4 of the *NYISO Installed Capacity Manual* (available from the NYISO Web site at the following URL:

http://www.nyiso.com/public/markets_operations/documents/manuals_guides/index.jsp) and Section 5.12 of the *ISO Market Services Tariff* (available from the NYISO Web site at the following URL: http://www.nyiso.com/public/markets_operations/documents/tariffs/index.jsp).

Upload / download templates for DMNC test result data are described in Section 14 of this User's Guide.

As of January 2012, the DMNC data for SCR Aggregation PTIDs is no longer entered interactively by the ICAP supplier via the "Maintain DMNC" screen. The DMNC data for SCR Aggregation PTIDs is now sourced from the DRIS.

For internal generators, Summer and Winter Deliverability Limits exist as described in Section 4.13. The UCAP MW calculated for these internal generators is based on the CRIS Adjusted DMNC described in Section 4.6.

11.1 How to Maintain DMNC Results

Generation suppliers can enter, maintain, and view their DMNC data. The functionality and menus described in this section are not available to TO Users. In order to maintain the data associated with the screens described below, the user's "DMNC" privilege flag must be checked – otherwise these screens will be provide read-only access.

Users may access the Maintain DMNC Results option from the DMNC Menu located on the main menu bar:



Figure 11-1 Maintain DMNC Results

11.1.1 Screen Descriptions

The screen described in this section utilizes three screen sections: Filter, Add DMNC, and Maintain DMNC. The Add DMNC screen is available only for Users with the “DMNC” User privilege. The fields and associated descriptions for the menu bar and the screen sections are enumerated below:

Table 11.1 Maintain DMNC - Filter Screen Section

Screen Field	Data Type	Editable	Description
MP Name	Text	N	Market Participant’s name (typically the generator owner or RIP).
Season	Text	Y	Season in which the DMNC test was performed (not necessarily the Season when the test is to be used).
Sort By Expiration Date	Checkbox	Y	User checks this field to sort by Expiration Date.
DMNC Test Period	Text	N	The test period for the selected Season. DMNC Test Period is defined in the <i>MST</i> Section 2.4

Table 11.2 Filter Screen Section

Screen Field	Data Type	Editable	Description
PTID Type	Text	Y	Filters “Maintain DMNC” table. Select from a list of ‘Internal’, ‘External’, ‘SCR’, ‘All’.
Generation Types	Text	Y	Select from a list of valid generation types. Filters “Maintain DMNC” table based on Generation Type. Values include: “Combined Cycle”, “Combustion”, “Energy Limited”, “Fossil Fuel”, “Hydro”, “Nuclear Steam”, “Other”, “Solar”, “Wind”, and “All”. For the purpose of this filter, SCR is Generation Type “Other”, Run of River Hydro is Generation Type “Hydro”, and Landfill Gas is Generation Type

			"Combustion".
Undecided	Text		This filters data records based on whether test has been approved or rejected by the NYISO ("No") or has yet to be acted upon ("Yes"). Select from a list of [All, Yes, No]

Table 11.3 Add DMNC Screen Section

Screen Field	Data Type	Editable	Description
PTID Name	Text	Y	Select from list of Generator PTIDs associated with the filter criteria selected. As of January 2012, DMNC for SCR Aggregation PTIDs will be sourced from the DRIS, not entered interactively by the RIP via this screen.
Date of Test	Date	Y	Date when the test was executed (mm/dd/yyyy). The value must be within selected 'Season'.
Begin Hour	Numeric	Y	Hour when test began. Select from list of values 0 through 23.
Avg Amb Temp. (°F)	Number	Y	The average of the ambient temperatures recorded at the time of the Transmission District's seasonal peak during the previous four like-Capability Periods, as recorded at the nearest weather station or on an auditable recording device at the generator site.
Pre Test Rating (MW)	Number	Y	Previous like-season Post Test Rating. If value is present from data within the ICAP Automated Market System, the value will be displayed automatically and cannot be modified. Format 9999.9 (Valid values 0 to 9999.9)
Test Temp (°F)	Number	Y	Temperature measured at the top of the hour at the start of the test period obtained from the applicable location (see above: Avg Amb Temp). Format 999.99 (Valid values -999.99 to 999.99)
Hour 1 (MW)	Number	Y	Integrated hourly average MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 1. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 2 (MW)	Number	Y	Integrated hourly average MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 2. This value can be omitted if the required test duration is only 1 hour. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Hour 3 (MW)	Number	Y	Integrated hourly average MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 3. This value can be omitted if the required test duration is only 1 hour. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)

Screen Field	Data Type	Editable	Description
Hour 4 (MW)	Number	Y	Integrated hourly average MW (net revenue meter, not temperature adjusted) starting at top of the hour for Hour 4. This value can be omitted if the required test duration is only 1 hour. The MW net value excludes any auxiliary loads, including station service. Format 9999.9 (Valid values 0 to 9999.9)
Per Curve (MW)	Number	Y	This value is calculated by temperature adjusting the 4 distinct MW readings provided above then averaging them. If a 1-hour test is required, then this field is the temperature-adjusted value. Optional additional information for generators that do not adjust their test data for temperature; enter the 1-hour test value. Format 9999.9 (Valid values 0 to 9999.9)
Post Test Rating (MW)	Number	Y	Final DMNC rating of unit (temperature adjusted, if required) to be effective for the PTID. This value must be less than or equal to the Per Curve (MW) value. Format 9999.9 (Valid values 0 to 9999.9)
Effective Date	Date	Y	The DMNC Post Test Rating value above is valid for this Auction date. Must be in the future and must be greater than the Date of Test. For example, if date of test = 07/15/2004, Effective Date could be set to 05/01/2005 to be effective for the May 2005 auction month. For an in-period test it must be in the future and greater than the existing Effective Date. Format (mm/dd/yyyy)
Remarks	Text	Y	Additional or informational text used by the supplier to contextualize the data up to 100 characters).

Table 11.4 Maintain DMNC Screen Section

Screen Field	Data Type	Editable	Description
Generation Type	Text	N	Generation type associated with the Generator PTID. Values include: "Combined Cycle", "Combustion", "Energy Limited", "Fossil Fuel", "Hydro", "LESR", "Nuclear Steam", "Other", "Solar" and "Wind". For SCR Aggregation PTIDs, this value is null.
PTID Type	Text	N	PTID Type. Values include: 'Internal,' 'External,' and 'SCR.' <i>Note:</i> Even though SCR data is sourced from the DRIS, the user may view SCR DMNC data via this screen, so 'SCR' is included in the filter.
PTID Name	Text	N	PTID Number and Name.
Date of Test	Date	N	For Generator PTIDs, this is the Date when test was executed, (mm/dd/yyyy). For SCR Aggregation PTIDs, this is the DRIS

Screen Field	Data Type	Editable	Description
			Aggregation Management Close Date for the Effective Auction Month published from DRIS (mm/dd/yyyy).
Beg Hour	Numeric	N	Hour when test began.
Avg Amb Temp (°F)	Number	N	For Generator PTIDs, this is the average of the ambient temperatures recorded at the time of the Transmission District's seasonal peak during the previous four like-Capability Periods, as recorded at the nearest weather station or on an auditable recording device at the generator site. For SCR Aggregation PTIDs, this value is null.
Pre Test Rating (MW)	Number	N	For Generator PTIDs, this is the previous like-season Post Test Rating. If value is present from data within the ICAP Automated Market System, the value will be displayed automatically and cannot be modified. For SCR Aggregation PTIDs, this value is published from the DRIS.
Test Temp (°F)	Number	N	For Generator PTIDs, this is the temperature measured at the top of the hour at the start of the test period obtained from the applicable location (see above: Avg Amb Temp). For SCR Aggregation PTIDs, this value is null.
Demonstrated MW Hour 1 (MW)	Number	N	For Generator PTIDs, this is the integrated hourly average MW (net revenue meter, not temperature adjusted) starting at top of hour for Hour 1. The MW net value excludes any auxiliary loads, including station service. For SCR Aggregation PTIDs, this value is null.
Demonstrated MW Hour 2 (MW)	Number	N	For Generator PTIDs, this is the integrated hourly average MW (net revenue meter, not temperature adjusted) starting at top of hour for Hour 2. This value can be omitted if the required test duration is only 1 hour. The MW net value excludes any auxiliary loads, including station service. For SCR Aggregation PTIDs, this value is null.
Demonstrated MW Hour 3 (MW)	Number	N	For Generator PTIDs, this is the integrated hourly average MW (net revenue meter, not temperature adjusted) starting at top of hour for Hour 3. This value can be omitted if the required test duration is only 1 hour. The MW net value excludes any auxiliary loads, including station service. For SCR Aggregation PTIDs, this value is null.
Demonstrated MW Hour 4 (MW)	Number	N	For Generator PTIDs, this is the integrated hourly average MW (net revenue meter, not temperature adjusted) starting at top of hour for Hour 4. This value can be omitted if the required test duration is only 1 hour. The MW net value excludes any auxiliary loads, including station service. For SCR Aggregation PTIDs, this value is null.

Screen Field	Data Type	Editable	Description
Average (MW)	Number	N	For Generator PTIDs, this is the average of the entered Demonstrated hours. For SCR Aggregation PTIDs, this value is published from the DRIS.
Per Curve (MW)	Number	N	For Generator PTIDs, this value is calculated by temperature adjusting the 4 distinct MW readings provided above then averaging them. If a 1-hour test is required, then this field is the temperature-adjusted value. Optional additional information for generators that do not adjust their test data for temperature; enter the 1-hour test value. For SCR Aggregation PTIDs, this value is null.
Post Test Rating (MW)	Number	N	For Generator PTIDs, this is the final DMNC rating of unit (temperature adjusted, if required) to be effective for the PTID. This value must be less than or equal to the Per Curve (MW) value. For SCR Aggregation PTIDs, this value is published from the DRIS.
Difference (Post - Pre)	Number	N	Computed as Post Test Rating less Pre Test Rating.
Effective Date	Date	N	For Generator PTIDs, this is the Auction Month when data becomes effective. For SCR Aggregation PTIDs, this is the effective Auction Month published from the DRIS.
Expiration Date	Date	Y	The date the DMNC rating is no longer valid. Once a DMNC rating has expired no MW will be available to Certify or Offer into the Spot Market for that generator. The initial date that appears will be validated and corrected by NYISO before it is approved. For SCR Aggregation PTIDs, this is the end of the Capability Period.
Days to Expiration	Number	N	For Generator and SCR Aggregation PTIDs, Days to Expiration Date; >31 days = green, > 0 (zero days) = yellow, < 0 (zero days) = red.
Remarks	Text	Y	For Generator PTIDs, Free Format – up to 100 characters. For SCR Aggregation PTIDs, this will not be editable and will be set to null.
Status (3 columns)	Text	N	For Generator PTIDs, the status of NYISO approval. An "X" in the "Approved" column indicates the test has been approved by the NYISO. An "X" in the Rejected" column indicates the NYISO has rejected or invalidated this test entry. An "X" in the "Undecided" column indicates the NYISO has neither approved nor rejected the test data. For SCR Aggregation PTIDs, parameters are published from the DRIS and stored with Status "Approved".

Screen Field	Data Type	Editable	Description
Last Update By	Text	N	For Generator PTIDs, the User that last updated the row. For SCR Aggregation PTIDs which are published from the DRIS, this user will be set to 'NYISO'.
Last Update Date	Date	N	Date row was last updated.

11.1.2 Entering DMNC Data

Market Participants should select Supplier and Season filters (the Capability Period when the DMNC was *performed*) and click the “**DISPLAY**” button. The following screen, populated with existing data for the selected season, will be displayed:

Figure 11-2 Maintain DMNC Screen

Users should select the Season filter based on the date of the DMNC Test.

Figure 11-3 Maintain DMNC Screen Filter Screen Section

Users must enter all test results through the Add DMNC screen section:

Figure 11-4 Add DMNC Screen Section

Test results may be entered by supplying data in the following fields in the Add DMNC Screen Section: PTID Name, Date of Test, Begin Hour, Avg Amb Temp, Pre Test Rating, Test Temp, Demonstrated MW (Hours 1-4), Per Curve, Effective Date, Post Test Rating, and Remarks. Users should note that the ICAP Automated Market System application creates a default Pre Test Rating based on the last like Capability Period's Post Test Rating. This means that if a like Capability Period's Post Test Rating exists, the Pre Test Rating field will not be editable.

Market Participants may save their test results by clicking the “SAVE” button directly under the “PTID Name” field. The data will be validated according to the following validation rules:

- Effective Date is a required field. The date must be greater than the System date and cannot be for the same month as the Date of Test field month.
- Effective Date cannot be for a month for which the Spot Market Auction has already been run.
- PTID Name, Date of Test, Begin Hour, Post Test Rating and Pre Test Rating, (if not supplied automatically by the System), are required
- The number of entries of demonstrated MW test hours used to demonstrate MW must be equal to or greater than the minimum number required based on Generation Type (see [Table 11.5](#)).
- Generation Type is used to determine if Avg Amb Temp and Test Temp are required fields (see [Table 11.5](#)).

Table 11.5 Generator Type to Test Hours Cross-Reference

Generation Type	Minimum Number of Test Hours	Avg Amb Temp & Test Temp Required
Combined Cycle	4	Y
Combustion	1	Y
Energy Limited	4	N
See also Energy Limited Resources defined in Section 5.12.11.3 of the <i>MST</i> and Energy Limited	Certain Internal Combustion and Combustion Turbines defined as Energy Limited and Capacity	

Generation Type	Minimum Number of Test Hours	Avg Amb Temp & Test Temp Required
and Capacity Limited Resources defined in the <i>ICAP Manual Section 4.2</i> .	Limited Resources in the <i>ICAP Manual Section 4.2</i> will only have one hour of test data, so the user must enter that DMNC value four times.	
Fossil Fuel	4	N
Hydro	4	N
LESR See also Limited Energy Storage Resource and Limited Energy Storage Resource Energy Management terms, defined in the <i>NYISO MST Definitions</i> .	4 Certain LESR will have only one hour of test data, so the user must enter that DMNC value four times.	N
Nuclear Steam	4	N
Other	Varies	N
Solar	1	N
Wind	1	N

Market Participants are must enter all generation unit test results into the System. Results that have been saved and successfully validated will appear in the Maintain DMNC screen section. However, the NYISO will not automatically approve all test results for use in an upcoming auction. Results in the Maintain DMNC screen section are color-coded according to whether they violate either of two conditions. If the post-test results are greater than the pre-test results (Red), data is colored red. If Market Participants enter “Out-of-Period” test results the data is colored blue. All tests results that have been approved by the NYISO will be used in the certification process.

11.1.2.1 **Entering DMNC Data for an SCR**

As of January 2012, DMNC for SCR Aggregation PTIDs will be sourced automatically from the DRIS, not entered interactively by the RIP via the "Maintain DMNC" screen. However, the RIP may still view SCR Aggregation PTID DMNC values via the "Maintain DMNC" and "View Monthly DMNC" screens.

11.1.3 Entering Effective Dates

Users may enter an Effective Date by selecting the calendar icon directly adjacent to the Effective Date field.

Users may navigate back and forward: by year by clicking on the double arrows (<< or >>), and by month by clicking on the single arrows (< or >). Clicking on a specific day (which closes the calendar window) will force the desired start or end day to appear in the From Day and To Day fields, respectively. In order for events that fall on or in between the From Day and To Day values specified, to appear in the Event Calendar, Users must click the “**DISPLAY**” button in the filter section at the top of the screen.

11.1.4 Entering Pre-Test Ratings

If a previous like Capability Period post-test rating does not exist, the Pre Test Rating field on the Add DMNC screen section will be blank and editable. Market Participants must manually enter this data into the field. A new generator's Pre Test Rating will be 0.0.

11.1.5 Modifying Remarks

After Market Participants enter and save DMNC data, they can view data and modify the remark field through the Maintain DMNC screen section if the test has not been approved or rejected by the NYISO yet. Modified remarks can only be saved if Users click the “**SAVE**” button after editing the “Remark” field. Please see [Figure 11-4](#) above for a view of an editable Remark field.

Legend:

Pre Test < Post Test
Out of Season

Maintain DMNC

Generation Type	PTID Type	PTID Name	Date of Test	Beg Hour	Avg Amb Temp (°F)	Pre Test Rating (Mw)	Test Temp (°F)	Demonstrated MW				Average (Mw)	Per Curve (Mw)	Post Test Rating (Mw)	Difference (Post-Pre)	Effective Date	Expiration Date	Days to Expiration	Remarks	Approved
								Hour 1 (Mw)	Hour 2 (Mw)	Hour 3 (Mw)	Hour 4 (Mw)									
OTHER	Internal		07/17/2013	18	94.8	3.1	87.1	3.2	3.3	3.3	3.3	3.2	3.1	3.1	0.0	05/01/2014	10/31/2014	325		X
HYDRO	Internal		07/01/2013	0				0.0	0.0	0.0	0.0	0.0		0.0	0.0	05/01/2014	10/31/2014	325		X
HYDRO	Internal		06/14/2013	14		6.3		12.4	12.5	12.4	12.4	12.4		12.4	6.1	05/01/2014	10/31/2014	325		X
HYDRO	Internal		06/14/2013	15		6.2		6.1	6.1	6.1	6.1	6.1		6.1	-0.1	05/01/2014	10/31/2014	325		X
HYDRO	Internal		07/12/2013	15		6.7		7.1	7.1	7.1	7.1	7.1		7.1	0.4	05/01/2014	10/31/2014	325		X
FOSSIL FUEL	Internal		06/13/2013	17		32.8		32.7	32.5	32.5	32.4	32.5		32.5	-0.3	05/01/2014	10/31/2014	325		X

Figure 11-5 Maintain DMNC Screen Section

Days to Expiration	Remarks	Status			Last Updated By	Last Update Date	Delete
		Approved	Rejected	Undecided			
325		X			J	14-Nov-2013 02:12 PM	
325		X			J	14-Nov-2013 02:13 PM	
325		X			J	14-Nov-2013 02:07 PM	
325		X			J	14-Nov-2013 02:12 PM	
325	Test DMNC Remarks			X	C	10-Dec-2013 06:02 PM	<input type="checkbox"/>
325		X			J	14-Nov-2013 02:08 PM	

Figure 11-6 Maintain DMNC Screen - Editable Remarks and Delete Checkbox

11.1.6 Deleting Test Results

Users may delete DMNC data, directly from the Maintain DMNC screen section if the NYISO has not approved or rejected the test results. To delete results, Users should check the box in the Delete field shown in [Figure 11-6](#) and click the “SAVE” button:

11.1.7 Filtering DMNC Test Results

Test results that have been saved through the Add DMNC screen section and are visible through the Maintain DMNC screen section may be filtered through the Filter screen section. This feature limits data in instances where Users have entered test results for multiple units:

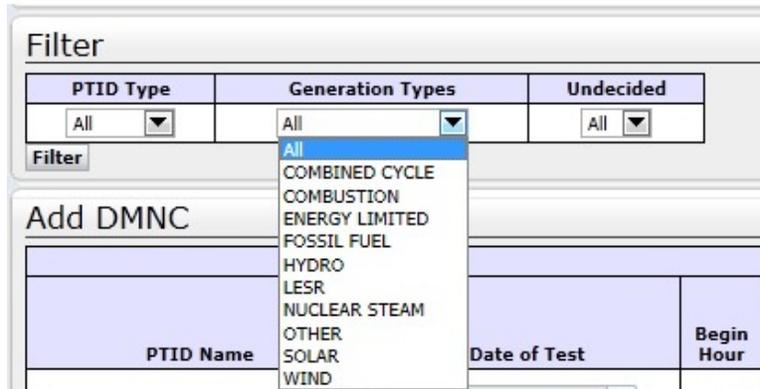


Figure 11-7 Filter Screen Section

Data can be filtered by PTID type, generation type, and the NYISO’s approval/ rejection status of test results. After selecting these parameters and clicking the “**FILTER**” button, the appropriate data will appear in the Maintain DMNC screen section.

11.2 How to View Monthly DMNC Test Results

This functionality allows Users to view *DMNC* “active” data (“active” denoting test results that are in effect) for each month in a selected Capability Period. Users may access the View Monthly DMNC option from the DMNC Menu:

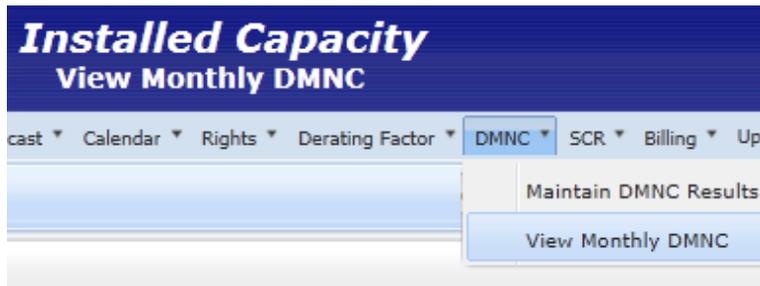


Figure 11-8 View Monthly DMNC

11.2.1 Screen Descriptions

The screen described in this section utilizes two screen sections: Filter and View Monthly DMNC. The fields and associated descriptions for the filter and the screen sections are listed below:

Table 11.6 View Monthly DMNC Filter Screen Section

Screen Field	Data Type	Editable	Description
--------------	-----------	----------	-------------

MP Name	Text	N	Market Participant's name.
Season	Text	Y	Selection list of Capability Periods. Indicates the Season in which the DMNC data is effective.

Table 11.7 Filter Screen Section

Screen Field	Data Type	Editable	Description
PTID Type	Text	Y	Filters "View Monthly DMNC" table (see Table 11.8) based on Generation Category. Select from a list of "Internal", "External", "SCR", "All". As of January 2012, ICAP values for SCR Aggregation PTIDs are sourced from the DRIS System, but can be viewed by the RIP via this screen for any period during which it is/was authorized.
Generation Type	Text	Y	Select from a list of valid generation types. Filters "View Monthly DMNC" table based on Generation Type. Values include: "Combined Cycle", "Combustion", "Energy Limited", "Fossil Fuel", "Hydro", "LESR", "Nuclear Steam", "Other", "Solar", "Wind" and "All". For the purpose of this filter, SCR is Generation Type "Other", Run of River Hydro is Generation Type "Hydro", and Landfill Gas is Generation Type "Combustion".

Table 11.8 View Monthly DMNC Screen Section

Screen Field	Data Type	Editable	Description
Supplier	Text	N	Market Participant name.
PTID Type	Text	N	'Internal', 'External', 'SCR'
Generation Type	Text	N	Generation Type associated with the Generator PTID. This will be set to null for SCR Aggregation PTIDs.
PTID Name	Text	N	Gen or SCR Aggregation PTID and Name.
Auction Month (Header)	Text	N	All auction months in selected season
Date of Test	Date	N	For Generator PTIDs, this is the date test was executed (dd/mm/yyyy) For SCR Aggregation PTIDs, this is the DRIS Aggregation Management Close Date for the Effective Auction Month published from DRIS (mm/dd/yyyy).
Rating	Number	N	DMNC rating

11.2.2 Viewing and Filtering Monthly DMNC Results

Market Participants should select Supplier and Season (Capability Period in which DMNC ratings are to be effective) from the filter screen section and then click the “**DISPLAY**” button. The following screen, populated with existing data for each month of the selected season. For example, if “Summer 2003” is selected, the System would display data for May through October 2003.



Figure 11-9 View Monthly DMNC Filter Screen Section

Market Participants may use the Filter screen section to sort data by PTID, and Generation Type. After selecting these parameters and clicking the “**FILTER**” button, the data will appear in the View Monthly DMNC screen section. If a filter is not selected by the user, then the System defaults to “All PTID Types,” “All Generation Types,” and “DMNC Ratings.”

The Legend indicates that DMNC Tests will be displayed with red background if "Expired" and blue background if "Expirable." Otherwise, DMNC Tests will be displayed with white background.

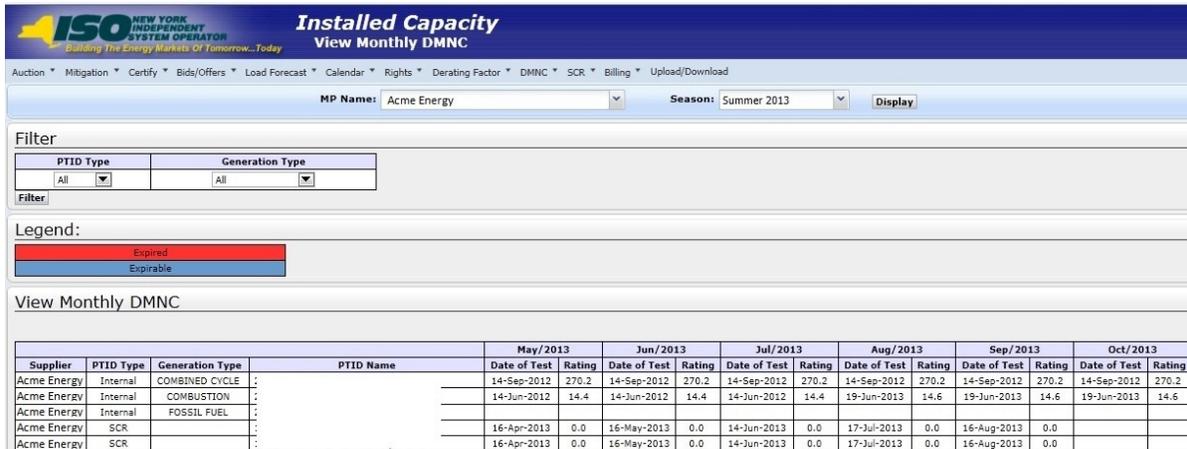


Figure 11-10 View Monthly DMNC Screen Section

This page intentionally blank.

12. BILLING

This section describes how to view and maintain billing information related to consolidated billing.

The following functions are described:

- How to Maintain Daily Forecasted Load and Actual True-Up Load
- How to View Daily Forecasted Load and True-up Load
- How to View Load Shift Billing Adjustments
- How to View Consolidated Billing

Upload/download templates for daily load data are described in Section [14.2](#) of this Users' Guide.

12.1 How to Maintain Daily Forecasted Loads and Actual True-Up Loads

The upload template detailed in Section [14.4](#) allows Transmission Owners (TOs) to record and maintain load shift and true-up load shift in the ICAP Automated Market.

LSEs may also view their own daily loads for a selected month and year using the screens described in this section. Users may also enter and maintain this daily load data directly through the Web interface.

Note: The screen described in this section will be read-only for all non-TO Users and also TO Users without the "Maintain TO Data" privilege.

Users may access the "Maintain Daily Forecasted Load and Actual True Up Load" screen from the Billing Menu:

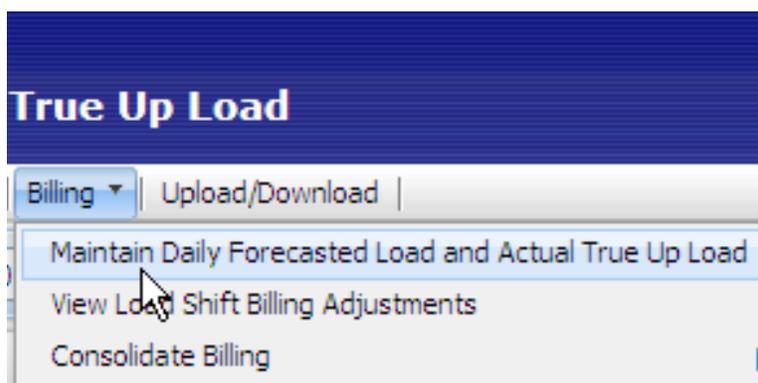


Figure 12-1 Maintain Daily Forecasted Load and Actual True Up Load

12.1.1 Screen Descriptions

Table 12.1 Maintain Daily Forecasted Load - Filter Screen Section

Screen Field	Data Type	Editable	Description
Transmission Owner	Text	Y	For TOs, displays the currently logged in organization (not modifiable). For LSEs, select from a list of associated TOs.
LSE	Text	Y	For TOs, select from a list of valid LSEs associated with the TO. For LSEs, displays the currently logged-in LSE (not modifiable)
Season	Text	Y	Select from a list of Seasons.
Load Month	Text	Y	Select from a list of months.
Location	Text	Y	Select from a list of locations (some TO/LSE Location combinations may not be valid).

Table 12.2 Maintain Daily Forecasted Load Daily Loads Screen Section

Screen Field	Data Type	Editable	Description
Day	Number	N	Displays all days of the selected month
Forecast MW	Number	Y	Daily load value (MW) for each day for the location for the selected month to be used for initial load-shift adjustments (3 decimals).
True-up MW	Number	Y	Daily load value (MW) MW for each day for the location for the selected month to be used for final true-up load-shift (3 decimals).
Last Updated By	Text	N	User that last updated row.
Last Update Date	Date	N	Date row was last updated.

12.1.2 Maintaining LSE Daily Forecasted Load and Actual True-Up Load

Users select Transmission Owner, LSE, Year, Load Month, and Location filters and then click the “**DISPLAY**” button:

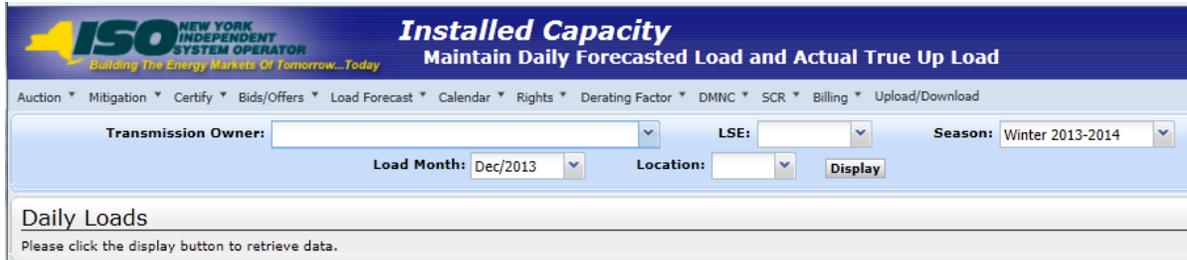


Figure 12-2 Maintain Daily Forecasted Load and Actual True Up Load Filter Screen Section

The following screen, showing daily forecasted load and true-up load, sorted chronologically, will display:

Daily Loads				
Day	Forecast	Trueup	Last Updated By	Last Update Date
1				02-Mar-2009 04:19 PM
2				02-Mar-2009 04:19 PM
3				02-Mar-2009 04:19 PM
4				02-Mar-2009 04:19 PM
5				02-Mar-2009 04:19 PM
6				02-Mar-2009 04:19 PM
7				02-Mar-2009 04:19 PM
8				02-Mar-2009 04:19 PM

Figure 12-3 Daily Loads Screen Section

TOs may enter and modify daily forecasted and true-up load forecasts (excluding fixed loads) through this screen. Fixed-load data is entered and maintained by the NYISO and should not be reported by the TOs.

Note: This screen is “view-only” access for LSEs.

If the load forecast submittal period is open, the TOs can enter and maintain this data. If the true-up submittal period is open, then the TOs can enter and maintain this data. For example, in [Figure 12-3](#) the forecast column is editable. Users may save any changes by clicking the “SAVE” button after entering modifications. The "SAVE" button is displayed in [Figure 12-4](#).

Load data numbers for “TD” Locations must be the total load number for the Transmission District (not just the load that resides outside a Locality (In-City, On-Island or In-GHIJ)). For example, if an LSE has 10 MW of total load In-City and 2 MW outside of NYC but still in the Consolidated Edison Transmission District, the load data would be reported as TD = 12 MW, In-City = 10 MW.

Transmission District data should be entered before Location data as the System ensures TD values are greater or equal to the sum of Location values.

12.1.3 Transmission Owners Can Allow LSEs to View Data

TOs can allow LSEs to view daily forecasted and actual true-up load data. In order to do so, TOs should select the Make Available to LSEs check box and then click the “SAVE” button, as shown in [Figure 12-4](#).

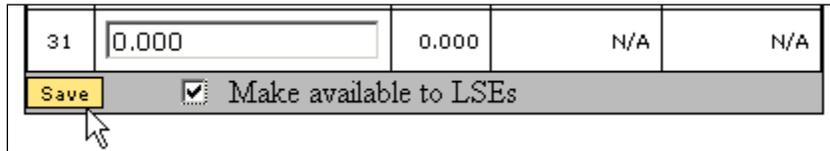


Figure 12-4 TO Allow LSEs to View Load Data

However, TOs cannot selectively block one or more individual LSEs from viewing the data; the TO can either allow all or allow none of the LSEs associated with it to view the LSEs own data. If the TO allows LSEs to view data, each LSE can only view its own data.

12.2 How to View Daily Forecasted Load and True-up Load

12.2.1 Screen Descriptions (Available Only to Transmission Owners)

Table 12.2 View Load Adjustments Filter Screen Section

Screen Field	Data Type	Editable	Description
Transmission Owner	Text	N	Displays the TO organization currently logged-in.
Type	Text	Y	Select from list of Forecasted and True Up.
Season	Text	Y	Selection list of Capability Periods.
Load Month	Text	Y	Select from list of months.
Location	Text	Y	Select from list of applicable locations (“TD”, “In-City”, “In-GHIJ”, “On-Island”).

Table 12.3 View Load Adjustments Screen Section

Screen Field	Data Type	Editable	Description
LSE	Text	N	All LSE’s associated with the TO.
Location	Text	N	Location of LSE load forecast.
Total Load MW	Number	N	Total adjusted load MW. (Load forecast (excluding fixed load) plus weighted average load shift or weighted average true-up load shift.)
Total Load Shift MW	Number	N	Monthly forecast load minus load for last day of

Screen Field	Data Type	Editable	Description
			month, (not the shift).

12.2.2 Viewing Daily Forecasted Load and True-Up Load Summary

The functionality described in this section allows TOs to verify that the sum of all load adjustments (forecasted load or true-up) for all their LSE's within each location net to zero. As described in Section [12.1](#), the TO can only enter and view forecasted loads and true-up loads by LSE and location. This screen's functionality can be used to verify that the information entered and displayed on the "Maintain Daily Forecasted Load and Actual True-up Load" screen is accurate and complete. TOs may confirm that their daily forecasted load adjustments and their True-up Load adjustments are in balance by location before the billing process is executed.

Users can select this screen from the Billing Menu:

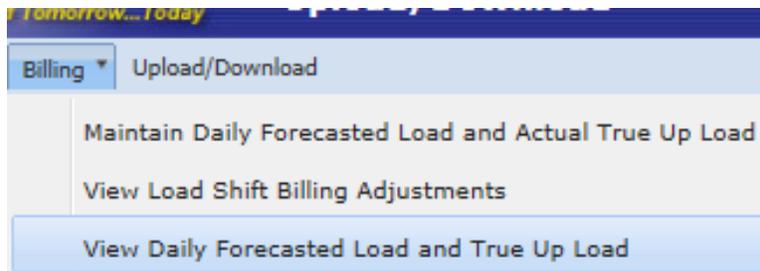


Figure 12-5 Billing Menu

The following screen will appear:

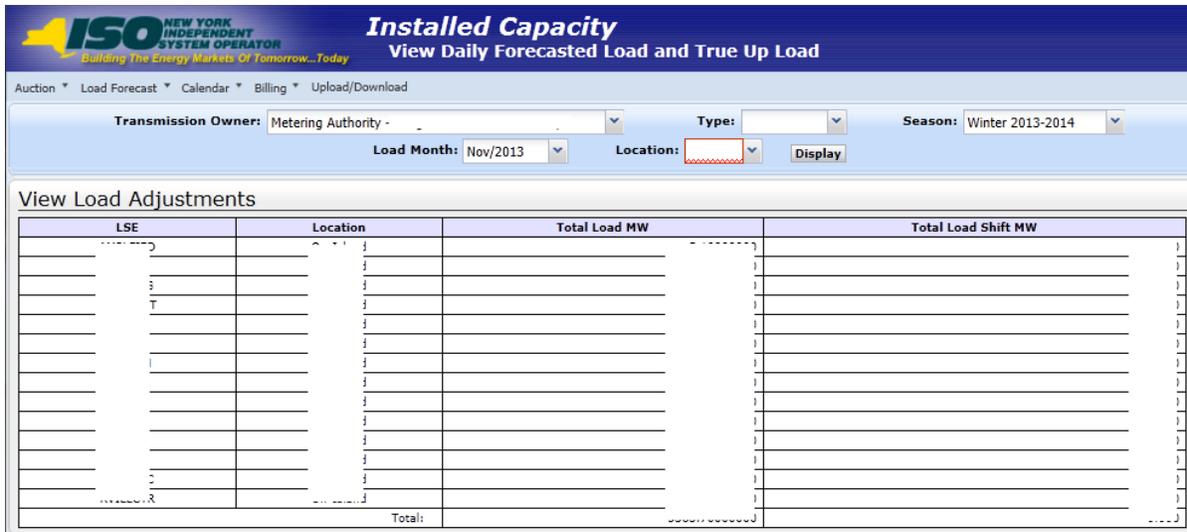


Figure 12-6 View Daily Forecasted Load and True Up Load

Users should select Transmission Owner, Type, Year, Load Month, and Location filters and then click the “**DISPLAY**” button. The resulting screen will display MW adjustments for the TO, LSE, Type, Month, and Location selected.

12.3 How to View Load Shift Billing Adjustments Details

TOs and the Load Serving Entities can view load shift data that is used to calculate billing adjustments. TOs may view data for all associated LSEs, whereas LSEs may only view data for their own organization. This functionality is available through the following Billing Menu option:

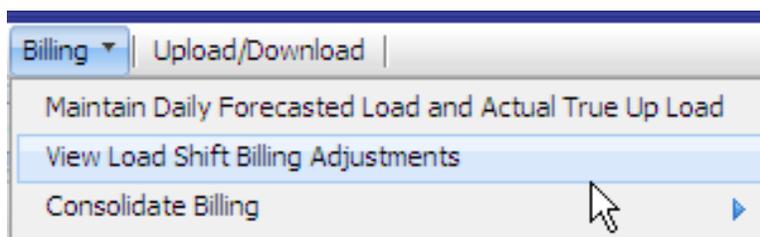


Figure 12-7 Load Shift Billing Adjustment Details

12.3.1 Screen Descriptions

Table 12.4 Load Adjustment Billing Details Filter Screen Section

Screen Field	Data Type	Editable	Description
Transmission Owner	Text	Y	For TOs, displays the currently logged in organization

Screen Field	Data Type	Editable	Description
			(not modifiable). For LSEs, select from a list of associated Transmission Owners.
LSE	Text	Y	For TOs, select from a list of valid LSEs associated with the TO. For LSEs, displays the currently logged-in LSE (not modifiable)
Type	Text	Y	Select from list of Forecasted and True-up.
Season	Text	Y	Selection list of Capability Periods.
Month	Text	Y	Select from a list of months within the selected Season.
Location	Text	Y	Select from list of locations (TD, In-City, On-Island, or In-GHIJ). Some TO/LSE/Location combinations may not be valid.

Table 12.5 Load Adjustment Billing Details Screen Section

Screen Field	Data Type	Editable	Description
Day	Date	N	List of days within the selected month.
Load MW	Number	N	Daily Load for the day of the selected month for the selected LSE for the selected location and Type (display 3 decimals).
Load Adjustment MW	Number	N	Change in load from previous day.
Weighted Load Adjustment MW	Number	N	Weighted average load shift or true-up load shift.

12.3.2 Viewing Load Shift Billing Adjustments Details

After selecting Detail from the Billing Menu option displayed in [Figure 12-7](#), the following screen will appear:

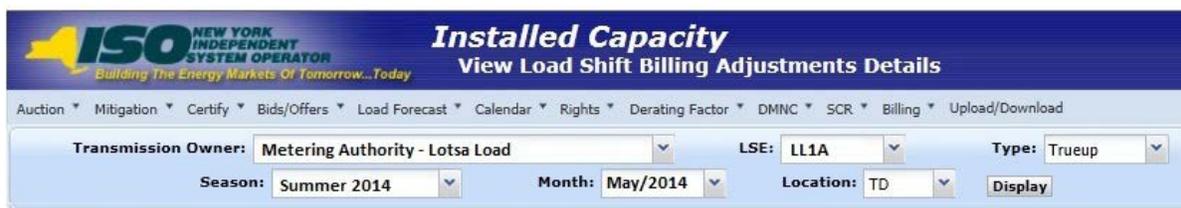


Figure 12-8 View Load Shift Billing Adjustments Details Filter Screen Section

To display data, Users should select TO, LSE, the Type of load shift (Forecasted or True-up), Season, Month, and the Location and click the “**DISPLAY**” button. The following screen will display load shift details ordered chronologically:

Load Adjustment Billing Details				
Day	Load MW	Load Adjustment MW		Weighted Load Adjustment MW
01-May-2013	3,014,291		7.191	222.921
02-May-2013	3,014,458		0.167	5.010
03-May-2013	3,014,259		-0.199	-5.771
04-May-2013	3,014,296		0.037	1.036
05-May-2013	3,014,327		0.031	0.837
06-May-2013	3,014,021		-0.306	-7.956
07-May-2013	3,014,232		0.211	5.275

Figure 12-9 Load Adjustment Billing Details Screen Section

12.4 How to View Consolidated Billing

Market Participants may view the ICAP portion of their monthly Consolidated Invoice (CI) through the ICAP Market Automation interface. Where the CI displays ICAP charges as a single amount, the consolidated billing screens in the ICAP market automation display all intermediary charges including auction results, calculated billing adjustments due to Load Shifting, True-ups, manual adjustments, and rebates. Data may be viewed in either summary or detailed modes. Each option is available from the Consolidate Billing option located on the Billing Menu:

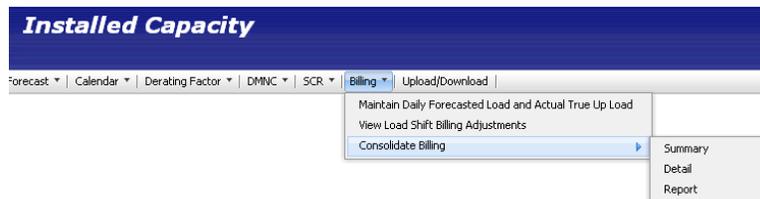


Figure 12-10 Consolidated Billing - Summary

12.4.1 Screen Descriptions

Table 12.6 Consolidated Billing Summary Filter Screen Section

Screen Field	Data Type	Editable	Description
MP Name	Text	N	User's Organization that is currently logged in.
Season	Text	Y	Select from a list of Capability Periods.
Month	Text	Y	Select from a list of months in the selected Season.

Table 12.7 Consolidated Billing Summary Screen Section

Screen Field	Data Type	Editable	Description
Billing Org	Text	N	Organization that will be billed.
MP Name	Text	N	MP Name tied to the Billing Org. If the MP selected is a Billing Org, all MPs are shown that have the MP Name as its parent Billing Org.
Strip Auction	Number	N	Strip auction award amount for the MP for the month (purchases – sales).
Monthly Auction	Number	N	Monthly auction award amount for the MP for the month (purchases – sales).
Spot Auction	Number	N	Spot auction award amount for the MP for the month (purchases – sales).
Supplementary Auction	Number	N	Supplementary auction amount for the MP for the month. (0 - sales).
Total Auction	Number	N	Total auction award amount for the MP for the month. Sum of Strip, Monthly, Spot, and Supplementary.
Estimated Load Adjustment	Number	N	Total forecasted load shift billing adjustment for the MP for the month.
True-up Load Adjustment	Number	N	Total true-up load shift billing adjustment for the MP for the month (Adj. Is calculated for the 3 months prior).
LS Rebates	Number	N	Sum of load shift mitigated rebates for the MP for the selected month.
TU Rebates	Number	N	Sum of adjusted TU mitigated rebates for the MP (for the month that is 3 months prior to the selected month).
Adjustments	Number	N	Manual adjustments for the MP for the month.
Total Billed (per MP)	Number	N	Total amount billed to the MP for the month.

Table 12.8 Consolidated Billing Detail Screen Sections

Screen Field	Data Type	Editable	Rule
MP Name	Text	Y	Select from list organizations associated with log-in (i.e. if a Billing Org. logs in, the list contains all the Organizations it is financially responsible for)
Season	Text	Y	Select for a list of Capability Periods.
Month	Text	Y	Select from a list of months and years.

Table 12.9 For each Auction (Strip, Monthly, Spot, and Supplemental)

Screen Field	Data Type	Editable	Rule
Purchased \$	Number	N	Purchased MW * Clearing \$/KW * 1000 (does not

			appear for the Supplemental Auction).
Sold \$	Number	N	Sold MW * Clearing \$/KW * 1,000 * -1.
Total Auction \$	Number	N	Purchased \$ + Sold \$ (sold \$ always negative).

Table 12.10 Load Shift

Screen Field	Data Type	Editable	Rule
MW	Number	N	Load Shifted Adjusted UCAP MW.
Clearing \$/kW	Number	N	MCP of the spot auction of the load shift month
Total Load Shift \$	Number	N	MW * Clearing \$/kW * 1000.

Table 12.11 Load Shift True Up

Screen Field	Data Type	Editable	Rule
TU MW	Number	N	True-up Load Shifted adjusted UCAP MW for the month 3 months prior to the selected month.
Org MW	Number	N	Load Shifted adjusted UCAP MW for the month 3 months prior to selected month.
Shift	Number	N	TU MW – Org MW
Clearing \$/kW	Number	N	MCP of the spot auction for the month 3 months prior to the selected month
Total Load Shift TrueUp \$	Number	N	Shift * Clearing \$/kW * 1000.

Table 12.12 Special Adjustments

Screen Field	Data Type	Editable	Rule
Mitigated Capacity Rebate	Number	N	Sum of mitigated capacity rebates for the MP for the selected month.
Mitigated Rebate TU Adjustment	Number	N	TU mitigated rebate for the MP for the month that is 3 months prior to the selected month minus the LS Rebate for the month that is 3 months prior to the selected month.
Manual Adjustments	Number	N	Total Manual Adjustments amount. (Shown under the ROS column.)
Total Special Adjustment \$	Number	N	Mitigated Capacity Rebate + Mitigated Rebate TU Adjustment + Manual Adjustments.
GRAND TOTAL	Number	N	Sum of all subtotal dollar amounts.

12.4.2 Viewing the Consolidated Billing Summary

After selecting the Consolidate Billing Summary option from the Billing Menu, the following screen will appear. To view the summary report, Users should select the month for which they wish to view data, and then click the “**DISPLAY**” button.

Billing Org	MP Name	Auction					Load Adjustments		LS Rebates	TU Rebates	Adjustments	Total Billed
		Strip	Monthly	Spot	Supplementary	Total	Estimated	True Up				
Acme Energy	Acme Energy	00	00	09	00	00	0.00	0.00	0.00	0.00	0.00	09
Total		00	00	09	00	00	0.00	0.00	0.00	0.00	0.00	09

Figure 12-11 Consolidated Billing Summary

12.4.3 Viewing the Consolidated Billing Details

Detailed reports may be accessed from either the main menu options displayed in [Figure 12-10](#) or directly from the summary screen. To access detailed reports from the summary screen, Users should select and click the MP Name from the summary report. The consolidated billing detail screen will be displayed for that MP (see [Figure 12-12](#)).

		GHI	LI	NYC	ROS	Total
Strip Auction	Purchased \$	1.00	.00	.00	0.00	
	Sold \$	1.00	.00	.00	0.00	
Total Strip Auction \$		1.00	.00	.00	0.00	0.00
Monthly Auction	Purchased \$	1.00	.00	.00	0.00	
	Sold \$	1.00	.00	.00	0.00	
Total Monthly Auction \$		1.00	.00	.00	0.00	0.00
Spot Auction	Purchased \$	1.00	.66	.65	7.38	
	Sold \$	1.00	.00	.00	0.00	
Total Spot Auction \$		1.00	.66	.65	7.38	6.69
Supplemental Auction	Sold \$	1.00	.00	.00	0.00	0.00
Load Shift	MW	000	63)	43)	308)	
	Clearing \$/kW	1.00	.06	.06	2.06	
Total Load Shift \$		1.00	.00	.00	0.00	0.00
Load Shift True Up	TU MW	000	110	186	373)	
	Org MW	000	110	140	314)	
For Month: Aug/2014	Shift	000	300	54)	259)	
	Clearing \$/kW	1.00	.63	.63	5.63	
Total Load Shift True Up \$		1.00	.00	.00	0.00	0.00
Special Adjustments	Mitigated Capacity Rebate	1.00	.00	.00	0.00	
	Mitigated Rebate TU Adjustment	1.00	.00	.00	0.00	
	Manual Adjustments	1.00	.00	.00	0.00	

Figure 12-12 Consolidated Billing Detail

The view the detailed report, Users should select the month for which they wish to view data, and click the “**DISPLAY**” button.

12.4.4 Save Consolidated Billing Report

Consolidated Billing Report may be saved in Excel format. To navigate to this report functionality, navigate from the Billing Menu to the Consolidate Billing Option. When this option is selected, the User will see a Report Option.

The User may select the desired Season and execute the **SAVE AS XLS** button.

Figure 12-13 Consolidated Billing Report

The User will select a save location and will then open and view the saved report in Excel.

The report will display the six month period for the selected Capability Period (Summer or Winter). At the top of the report a header will contain:

- The name of the report "Billing Detail Report"
- The selected MP Organization name
- The selected Season (Capability Period)/(Capability)Year
- The date the report was generated in Eastern Time

The Billing Detail report contains the following sections in the order specified:

1. Strip Auction
2. Monthly Auctions
3. Spot Auctions
4. Supplemental Auction
5. Load Shift
6. Load Shift True-Up
7. Special Adjustments
8. Grand Total

The following captures sample Consolidated Billing Report content:

	A	B	C	D	E	F	G
1	Billing Detail Report						
2							
3	Market Participant:	Acme Gas and Electric					
4	Capability Season/Year:	Summer 2009					
5	Date Generated:	05/19/2009 15:22:55					
6	Auctions		May	June	July	August	September
7							
8	Strip Auction		May	June	July	August	September
9	NYC	Purchase MW	0	0	0	0	0
10		Purchase Clearing Price					
11		Purchase Extended Award Value					
12		Sold MW	7	7	7		
13		Sold Clearing Price					
14		Sold Extended Award Value	(\$)	(\$)	(\$)		(\$)
15		Total	(\$)	(\$)	(\$)		(\$)
16	LI	Purchase MW	0	0	0		0
17		Purchase Clearing Price					
18		Purchase Extended Award Value					
19		Sold MW	4	4	4		
20		Sold Clearing Price					
21		Sold Extended Award Value	(\$)	(\$)	(\$)		(\$)
22		Total	(\$)	(\$)	(\$)		(\$)

Figure 12-14 Consolidated Billing Report

This page intentionally blank.

13. SPECIAL CASE RESOURCES (SCRs), MUNICIPAL GENERATION, AND LOAD MODIFIERS

This section describes how RIPs may view information related to the Special Case Resources (SCRs). Municipal Generation (Muni), and Load Modifiers (LM) are also displayed in the SCR section even though they are not SCRs. This is merely a common screen to display them because, like SCRs, they are not modeled in the MIS and are therefore administered by IMO in ICAP AMS using the same screen.

13.1 How to View SCRs, Load Modifiers and Municipal Generation

The functionality in this section is only available when an organization is Billing Qualified.

Responsible Interface Parties (RIPs) may view SCRs. Market Participants with Load Modifiers and Munis may view information regarding these resources, but they are not SCRs. Although the screen is titled "Maintain SCRs", this screen is read-only for MPs. The data on this screen is maintained by the NYISO staff. Once configured by NYISO, SCR, Load Modifier, and Muni PTIDs are available to the ICAP AMS, but only SCR Aggregation PTIDs are treated as Special Case Resources. Load Modifiers and Munis are treated as Generators.

This informational screen is accessed from the "SCR" option on the top level navigation bar:



Figure 13-1 SCR Menu

13.1.1 Screen Descriptions

Table 13.1 Maintain SCR/EDRP Filter Screen Section

Screen Field	Data Type	Editable	Rule
MP Name	Text	N	Displays the MP that is currently logged in.

Program	Text	Y	<p>Select from a list of Program Types ("SCR", "EDRP", "All").</p> <p>All records have <i>Program Type</i> = "SCR", however, only the records with Supplier Type = "S" are treated as Special Case Resources.</p> <p><i>Note:</i> The "EDRP" program is currently not supported through the ICAP Automated Market System application.</p>
---------	------	---	--

Table 13.2 Maintain SCR/EDRP - Maintain Screen Section

Screen Field	Data Type	Editable	Rule
SCR/EDRP #	Numeric	N	<p>Unique System generated identification number assigned to the resource (replaces the SCR numbers used prior to the introduction of the ICAP Automated Market System application).</p> <p>The EDRP program is not currently implemented in ICAP AMS.</p>
SCR/EDRP Name	Text	N	Text name of the resource.
Program Type	Text	N	Program Type ("SCR" or "EDRP").
Supplier Type	Text	N	<p>Supplier Type ("S" - SCR, "M" - Muni, "L" - Load Modifier)</p> <p><i>Note:</i> Only Supplier Type "S" is treated as Special Case Resources. The "L" and "M" modeled here are treated by ICAP AMS as Generation.</p>
Non-Metered	Text	N	A "Yes" or "No" status indicating whether the resource is metered or not. "Yes" indicates the resource is non-metered.
LBMP Zone	Text	N	LMBP Zone where the resource is located ("WEST", "CENTRL", "MHK VL", "CAPITL", "HUD VL", "GENESE", "LONGIL", "NORTH", "N.Y.C.", "MILLWD", "DUNWOD").
Active	Text	N	Activation Status of the Resource ("Yes" indicates the resource is active; "No" indicates an inactive resource).
Last Updated By	Text	N	User that last updated the record. This user will always be a NYISO employee.
Last Update Date	Date	N	Date the record was last updated.

13.1.2 Viewing SCRs, Load Modifiers, and Municipal Generation

After selecting the Program type filter, Users should click the “**DISPLAY**” button at the top of the screen. The resulting screen will display all SCRs with a Supplier Type = "S".

Note: MPs with Load Modifiers can display records with Supplier Type "L" and MPs with Munis can display records with Supplier Type ="M", but these are Generators, not Special Case Resources.

SCR/EDRP #	SCR/EDRP Name	Program Type	Supplier Type	Non-Metered	LBMP Zone	Active	Last Updated By	Last Update Date
		SCR	M	Yes	LONGIL	Yes		
		SCR	S	Yes	N.Y.C.	Yes		
		SCR	S	Yes	N.Y.C.	Yes		
		SCR	S	Yes	N.Y.C.	Yes		
		SCR	S	Yes	LONGIL	Yes		
		SCR	S	Yes	N.Y.C.	Yes		
		SCR	L	Yes	CAPITL	Yes		
		SCR	S	Yes	NORTH	Yes		

Figure 13-2 Maintain SCR/EDRP Screen Section

This page intentionally blank.

14. UPLOAD / DOWNLOAD

Section 14 Upload/Download Revision History	
Date	Additions, deletions, modifications
October 28, 2015	Download Offer: <ul style="list-style-type: none"> ➤ Added Zero Dollar MW Offer download template
October 1, 2004	Distributed and posted
October 21, 2004	Updated required fields for Upload DMNC. Status removed, per_curve now optional, separate rules for SCR
February 23, 2005	CHARs in Upload/Download responses now surrounded by " " Updated examples for accuracy TIME_STAMP format updated (removed the seconds field "ss") LAST_UPDATE_DATE format updated Download Internal Sales Allocations template removed (no longer valid) Download Offers: <ul style="list-style-type: none"> ➤ PTID_TYPE field added to response parameters Upload/Download Load Forecasts: <ul style="list-style-type: none"> ➤ FORECAST_DATE format updated Download Bilaterals, Download Certification Details: <ul style="list-style-type: none"> ➤ TYPE and SEC_PARTY formats updated
July 8, 2005	Clarified rule of ampersand usage in Section 14.1.1 Upload Load Forecasts: <ul style="list-style-type: none"> ➤ New rule requiring In-City or On-Island data to be uploaded at the same time as or after the TD data Download Load Forecasts: <ul style="list-style-type: none"> ➤ TRANS_OWNER field added to response Download Certification Details: <ul style="list-style-type: none"> ➤ TYPE format updated Download PTID Capacity: <ul style="list-style-type: none"> ➤ EFORd format updated
October 13, 2005	Upload bids <ul style="list-style-type: none"> ➤ New rule requiring one Bid_Month_Year per upload file. Upload Offers: <ul style="list-style-type: none"> ➤ New rule requiring one Offer_Month_Year per upload file Upload DMNC: <ul style="list-style-type: none"> ➤ New Required parameter: POST_TEST_RATING ➤ At least one hour of DMNC data no longer required for SCRs Download DMNC: <ul style="list-style-type: none"> ➤ New parameter; POST_TEST_RATING
June 23, 2006	Insert "&" at end of MONTH parameter in the example in Section 14.5.3.2 .
October 2007 (Phase 2)	Inserted Expiration Date and Days-to-Expiration date at end of UCAP_DOWNLOAD_DMNC, added missing ampersands.

Section 14 Upload/Download Revision History	
April 2008 (Supply-Side Mitigation)	As of May/2008, the "MIT_GEN_GROUP" parameter, formerly used for DGO Mitigation, will be ignored. Added new Section 14.3.2.4 "Response File Example for Offer Validation Error" in the Upload Offers Template Section 14.3.2 .
June 11, 2008 (Supply-Side Mitigation)	New data parameter added to Section 14.5.3 Upload Certification Detail Transactions. This data parameter indicates Mitigated Capacity Zone Bilateral Sales that are marked as manually excluded from MP's Adjusted Market Position for the purpose of assessing a Portfolio's MW Controlled in Supply-Side Mitigation. The parameter is called EXCLUDED_FROM_INCITY_MITIGATION and is included in Section 14.5.1 Certify Data Dictionary.
March 2009 (Implementation of Internal Deliverability Limits)	Added CRIS_DMNC to Data Dictionary in Section 14.5.1 . Added CRIS_DMNC to Sections 14.5.5.2 and 14.5.5.4 .
October 2009 (Implementation of Buyer-Side Mitigation)	Renamed former EFORD to Derating Factor in Section 14.5.1 Data Dictionary and Section 14.5.5.2 .
December 2013	Added GHI to list of Locations in Bid to Purchase Data Dictionary. Added GHI to list of Locations in Offers to Sell Data Dictionary. Added In-GHIJ to existing In-City, On-Island, and TD Locations in Record Load Forecast Data Dictionary. Added GHI to list of Locations and Second Party Locations in the Certify Data Dictionary. Added details to DMNC Upload/Download specific to SCR Aggregation PTIDs to indicate changes implemented with ICAP-DRIS Integration implementation. Also removed references to 'PMPC' as obsolete.

Where previous sections in this User's Guide have described using the Web interface to enter data into the ICAP Automated Market System (AMS), this section describes functionality that uses programmatic interfaces that have been developed by ICAP Market Participants (MPs). This upload/download functionality facilitates the quick and efficient transfer of large sets of data between ICAP MPs and the NYISO.

The data that is prepared by the MP or is returned by the ICAP AMS in response to a Market Participant's bid or a query in a text file consisting of multiple records, each with one or more comma separated value fields, for example. This type of file is known as comma separated value, or "CSV."

This section assumes prior knowledge in the use of NYISO MIS upload/download batch procedures. For additional information on the upload/download batch procedures, and the related Digital Certificate requirements, please refer to the *NYISO Market Participant User's Guide*, available from the NYISO Web site at the following URL:

http://www.nyiso.com/public/markets_operations/documents/manuals_guides/index.jsp

14.1 How to Send and Receive Upload Download Files

Using the Upload/Download Batch interface requires selecting Upload/Download through a series of hyperlinks from the ICAP AMS home page. A Web Browser or a customer application that supports authentication and encryption is required to gain access.

From the ICAP AMS home page, select the "Upload/Download" option at the right of the horizontal menu bar.

With the proper Digital Certificate, the ICAP "Upload/Download" screen appears:



Figure 14-1 Upload/Download

The User then selects a file from his/her local disk by typing a file name or using the (file selection) "BROWSE" button. When the User clicks on the "SUBMIT" button, the input file is sent to the Web server where it is received by the ICAP AMS interface program.

An application processes the information in the template and generates a response. The browser receives and displays the CSV text response, which can then be saved as a file, if desired, on the Market Participant's local computer.

There are four upload templates and eight download templates available in the ICAP AMS:

Upload Templates:

- Bids
- Offers
- Load Forecasts
- DMNC Results

Download Templates:

- Bids
- Offers
- Load Forecasts
- Bilaterals
- Certification Detail Transactions
- Summary of Purchases and Sales
- PTID Capacity
- DMNC Results

These templates are described in the following five sections: "Templates for Bids to Purchase"; "

Templates for Offers to Sell"; "Templates for Record Load Forecasts"; "Templates for Certify"; and "Templates for DMNC." The template descriptions are organized in the manner in which batch templates are presented in the MPUG: template body (i.e., upload bids), data dictionary, template body submission fields, template body response fields, input file example, and output file example.

For each parameter used in a request or returned with a response, the parameter's definition is supplied. Two data type formats are provided:

- The CHAR(x) format indicates a variable length string with maximum number of characters equal to 'x'. A CHAR format without 'x' indicates a string of unrestricted length.
- The NUM(x,y) format indicates a maximum of 'x' digits excluding decimal point and sign, with 'y' digits of precision. For example, NUM(5,1) has limits of -9999.9 to 9999.9. A NUM format without 'x' and 'y' indicates an unrestricted numeric.

The Data Dictionary sections, included below within their corresponding template definitions, are not designed to show the order of the parameters. An ordered list of parameters that the program expects and returns is provided in the templates under the Request and Response sections. Required parameters are shown in bold under the Request section of the template. For download templates, non-required fields in the Request template provide for the ability to further filter the response.

Certain fields are common to all the UCAP templates. The data dictionary below lists these fields.

Parameter	Data Type	Description
TRAN_TYPE	CHAR	Name of template.
USERID	CHAR	UCAP User account name. Used only in upload and download request headers.
PASSWORD	CHAR	UCAP User account password. Used only in upload and download request headers.
DATA_ROWS	NUM(4)	Number of rows uploaded or downloaded. Used only in upload request headers and upload and download response headers.
MESSAGE	CHAR	Error Message. Used only in upload and download response headers when there is an error message. Field will be blank otherwise.
TIME_STAMP	CHAR	Time the request was processed, in prevailing Eastern Time: MM/DD/YYYY hh:mm MM = 01 – 12 (month) DD = 01 – 31 (day) YYYY = 0000 – 9999 (year) hh = 00 – 23 (hour) mm = 00 – 59 (minute) Indicates time request was processed (ex: "02/09/2004 14:34").

Parameter	Data Type	Description
		Used only in upload and download response headers.

14.1.1 Request File Format

Each request file is comprised of both a header and detail component. The header for each request file is identical, while the detail format is unique to each template. The one exception is DATA_ROWS, which only should be used for upload templates.

The names of the fields in the headers (TRAN_TYPE, USERID, etc) are case-sensitive and must be capitalized. This applies to both upload and download templates headers. The values of parameters in upload /download requests are not case-sensitive.

The different name/value pairs in the header must be separated by a '&'. The use of the '&' after the last name/value pair is not needed in Download requests.

Each upload template defines the order in which the detail fields must be submitted. For the request to be processed successfully, these parameters must be submitted in the specified order. Spaces in the detail rows between fields should be avoided. See example below for reference.

The example below is a sample request file for an upload template:

```

TRAN_TYPE=UCAP_UPLOAD_BID&
USERID=webuser&
PASSWORD=webuser&
DATA_ROWS=1&
strip,05/2004,05/2004,ROS,50.1,123.45
    
```

} Header

} Detail

The example below is a sample request file for a download template:

```

TRAN_TYPE=UCAP_DOWNLOAD_BID&
USERID=webuser&
PASSWORD=webuser&
AUCTION_TYPE=monthly&
AUCTION_MONTH_YEAR=05/2004&
BID_MONTH_YEAR=07/2004&
    
```

} Header

} Detail

14.1.2 Response File Format

Similar to requests, each response file has a header and detail component. However, the different name/value pairs in the header are no longer separated by a '&'. The header for each response is identical and is listed below. The message field only appears if there was an error processing the template.

The example below is a sample response file after a successful request:

```

TIME_STAMP=03/05/2004 15:20
TRAN_TYPE=UCAP_UPLOAD_BID
DATA_ROWS=1
strip,05/2004,05/2004,ROS,50.1,123.45
    
```

} Header

} Detail

The example below is a sample response file after an error has occurred in processing a request:

```

TIME_STAMP=03/05/2004 15:20
TRAN_TYPE=UCAP_UPLOAD_BID
DATA_ROWS=0
MESSAGE=Error-specific message.
    
```

} Header

14.2 Templates for Bids to Purchase

14.2.1 Data Dictionary

Parameter	Data Type	Description
AUCTION_TYPE	CHAR(8)	STRIP or MONTHLY
AUCTION_MONTH_YEAR	CHAR(8)	MM/YYYY
BID_MONTH_YEAR	CHAR(8)	MM/YYYY When AUCTION_TYPE = STRIP, BID_MONTH_YEAR must be the same as AUCTION_MONTH_YEAR (e.g. 05/2005, 11/2007) Only one BID_MONTH_YEAR can be specified per Upload template (e.g. when bidding into the May and June Bid Months of a May Monthly auction, two separate Upload templates must be submitted: one for the May Bid Month and one for the June Bid Month)
LOCATION	CHAR(3)	NYC, LI, GHI, or ROS
BID_MW	NUM(7,1)	Bid megawatts
BID_AMOUNT	NUM(8,2)	Bid \$/kW/Month
LAST_UPDATE_USER	CHAR	Last person to update row.
LAST_UPDATE_DATE	CHAR	DD-Mon-YYYY hh:mm AM/PM DD = 01 – 31 (day) Mon = Jan – Dec (month) YYYY = 0000 – 9999 (year) hh = 01 – 12 (hour) mm = 00 – 59 (minute) Date row last updated (ex: "09-Feb-2004 02:34 PM").

14.2.2 Upload Bids Template

TRAN_TYPE=UCAP_UPLOAD_BID

14.2.2.1 Request Parameters

AUCTION_TYPE, AUCTION_MONTH_YEAR, BID_MONTH_YEAR, LOCATION, BID_MW, BID_AMOUNT

14.2.2.2 Response Parameters

The response to an upload consists of a header that describes which upload was requested, when it was processed and how many rows were successfully processed. A message will also appear if an error occurred. Following the header will be the detail, which will consist of one row per row successfully processed.

AUCTION_TYPE, AUCTION_MONTH_YEAR, BID_MONTH_YEAR, LOCATION, BID_MW, BID_AMOUNT

14.2.2.3 Request File Example

TRAN_TYPE=UCAP_UPLOAD_BID&
 USERID=webuser&
 PASSWORD=webuser&
 DATA_ROWS=1&
 strip,05/2004,05/2004,ROS,50.1,123.45

14.2.2.4 Response File Example

TIME_STAMP=03/05/2004 15:20:49
 TRAN_TYPE=UCAP_UPLOAD_BID
 DATA_ROWS=1
 strip,05/2004,05/2004,ROS,50.1,123.45

14.2.3 Download Bids Template

TRAN_TYPE=UCAP_DOWNLOAD_BID

14.2.3.1 Request Parameters

AUCTION_TYPE, AUCTION_MONTH_YEAR, BID_MONTH_YEAR

14.2.3.2 Response Parameters

AUCTION_TYPE, AUCTION_MONTH_YEAR, BID_MONTH_YEAR, LOCATION, BID_MW, BID_AMOUNT, LAST_UPDATE_USER, LAST_UPDATE_DATE

14.2.3.3 Request File Example

TRAN_TYPE=UCAP_DOWNLOAD_BID&
 USERID=webuser&
 PASSWORD=webuser&
 AUCTION_TYPE=monthly&
 AUCTION_MONTH_YEAR=05/2004&

BID_MONTH_YEAR=07/2004&

14.2.3.4 *Response File Example*

TIME_STAMP=07/26/2003 14:10

TRAN_TYPE=UCAP_DOWNLOAD_BID

DATA_ROWS=2

"monthly","05/2004","07/2004","ROS",100.1,50.00,"webuser","04-Apr-2004 09:30 AM"

"monthly","05/2004","07/2004","NYC",17.8,14.78,"webuser","04-Apr-2004 03:11 PM"

14.3 Templates for Offers to Sell

14.3.1 Data Dictionary

Parameter	Type	Description
AUCTION_TYPE	CHAR(8)	STRIP, MONTHLY, or SPOT
AUCTION_MONTH_YEAR	CHAR(8)	MM/YYYY
OFFER_MONTH_YEAR	CHAR(8)	MM/YYYY When AUCTION_TYPE = STRIP or SPOT, OFFER_MONTH_YEAR must be the same as AUCTION_MONTH_YEAR Only one OFFER_MONTH_YEAR can be specified per Upload template (e.g. when offering into the May and June Offer Months of a May Monthly auction, two separate Upload templates must be submitted: one for the May Offer Month and one for the June Offer Month)
LOCATION	CHAR(4)	NYC, LI, GHI, ROS, PJM, HQ, IESO or NE
OFFER_MW	NUM(7,1)	Offer megawatt. [Format for upload requests and responses.]
	NUM(9,3)	Offer megawatt. [Format for download responses.]
OFFER_AMOUNT	NUM(8,2)	Offer \$/kW/Month
PTID_TYPE	CHAR(3)	Required if specifying PTID. Valid values are GEN or SCR.
PTID	NUM(8)	Required if PTID_TYPE is specified.
MIT_GEN_GROUP	CHAR(50)	Mitigated generator group Can only be specified when PTID is not specified (i.e. if a PTID is specified, the ICAP Automated Market System will determine whether the unit is mitigated or not) <i>Note:</i> As of May/2008, this parameter is obsolete. Supply-Side Mitigation replaced historic DGO Mitigation. This parameter will now be ignored. Only historic data can be viewed.
RIGHT#	NUM(8)	External CRIS Right associated with Offer. This field will be NULL for all offers that are not associated with External CRIS Rights.
LAST_UPDATE_USER	CHAR	Last person to update row.
LAST_UPDATE_DATE	CHAR	DD-Mon-YYYY hh:mm AM/PM DD = 01 – 31 (day) Mon = Jan – Dec (month) YYYY = 0000 – 9999 (year) hh = 01 – 12 (hour) mm = 00 – 59 (minute)Date row last updated (ex: "09-Feb-2004 02:34 PM").

14.3.2 Upload Offers Template

TRAN_TYPE=UCAP_UPLOAD_OFFER

As of May/2008, for new offers submitted, the historic DGO Mitigation parameter "MIT_GEN_GROUP" will be ignored. Historic DGO Mitigation has been deactivated and the parameter is retained only to view history.

14.3.2.1 Request Parameters

There are two main scenarios by which offers to sell can be submitted. The difference lies in whether the location is external or internal. The response to both will always have the same format.

Internal Location

If the specified offer is for an internal then PTID_TYPE and PTID can only be entered (optional) if auction type is 'SPOT', otherwise they have to be null.

AUCTION_TYPE, AUCTION_MONTH_YEAR, OFFER_MONTH_YEAR, LOCATION, OFFER_MW, OFFER_AMOUNT, PTID_TYPE, PTID, MIT_GEN_GROUP

External Location

If the specified offer is for an external offer then PTID_TYPE and PTID are required.

AUCTION_TYPE, AUCTION_MONTH_YEAR, OFFER_MONTH_YEAR, LOCATION, OFFER_MW, OFFER_AMOUNT, PTID_TYPE, PTID, RIGHT#

14.3.2.2 Response Parameters

The response to an upload consists of a header that describes which upload was requested, when it was processed and how many rows were successfully processed. A message will also appear if an error occurred. Following the header will be the detail, which will consist of one row per row successfully processed.

AUCTION_TYPE, AUCTION_MONTH_YEAR, OFFER_MONTH_YEAR, LOCATION, OFFER_MW, OFFER_AMOUNT, PTID_TYPE, PTID, RIGHT#

14.3.2.3 Request File Example

```
TRAN_TYPE=UCAP_UPLOAD_OFFER&
USERID=webuser&
PASSWORD=webuser&
DATA_ROWS=1&
strip,05/2004,05/2004,ROS,50.1,123.45,GEN,99999,111
```

14.3.2.4 Response File Example

TIME_STAMP=03/05/2004 15:20:49
 TRAN_TYPE=UCAP_UPLOAD_OFFER
 DATA_ROWS=1
 "strip","05/2004","05/2004","ROS",50.1,123.45,"GEN",99999,111

14.3.2.5 Response File Example for Offer Validation Error

TIME_STAMP=04/07/2008 12:51:00
 TRAN_TYPE=UCAP_UPLOAD_OFFER
 DATA_ROWS=0
 MESSAGE=NYC Offer for 0.1 MW and 4.22 \$/kW/Month exceeds the Reference Price of 4.20 \$/kW/Month.

14.3.3 Download Offers Template

TRAN_TYPE=UCAP_DOWNLOAD_OFFER

14.3.3.1 Request Parameters

AUCTION_TYPE, AUCTION_MONTH_YEAR, OFFER_MONTH_YEAR

14.3.3.2 Response Parameters

AUCTION_TYPE, AUCTION_MONTH_YEAR, OFFER_MONTH_YEAR, LOCATION,
 OFFER_MW, OFFER_AMOUNT, PTID_TYPE, PTID, MIT_GEN_GROUP,
 LAST_UPDATE_USER, LAST_UPDATE_DATE, RIGHT#

14.3.3.3 Request File Example

TRAN_TYPE=UCAP_DOWNLOAD_OFFER&
 USERID=webuser&
 PASSWORD=webuser&
 AUCTION_TYPE=monthly&
 AUCTION_MONTH_YEAR=05/2004&
 OFFER_MONTH_YEAR=07/2004&

14.3.3.4 Response File Example

TIME_STAMP=07/26/2003 14:10
 TRAN_TYPE=UCAP_DOWNLOAD_OFFER
 DATA_ROWS=1
 "monthly","05/2004","07/2004","ROS",50.1,123.45,"GEN",99999,"GEN_GROUP_A","webuser",
 14-Apr-2004 02:09 PM",111

14.3.4 Download Zero Dollar Offers Template

TRAN_TYPE=UCAP_DOWNLOAD_ZERO_DOLLAR_OFFER

Beginning with Dec/2015 Spot Market Auction, any system-created un-editable Zero Dollar MW Offers can be viewed via the View Zero Dollar Offers To Sell screen section on the "Maintain Offers To Sell" screen or via the Download described below.

14.3.4.1 Request Parameters

AUCTION_TYPE_AUCTION_MONTH_AUCTION_YEAR_OFFER_MONTH_YEAR

14.3.4.2 Response Parameters

AUCTION_TYPE, AUCTION_MONTH_YEAR, OFFER_MONTH_YEAR, LOCATION, OFFER_MW, OFFER_AMOUNT, PTID_TYPE, PTID, LAST_UPDATE_USER, LAST_UPDATE_DATE

14.3.4.3 Request File Example

TRAN_TYPE=UCAP_DOWNLOAD_ZERO_DOLLAR_OFFER&
 USERID=USERID&
 PASSWORD=PASSWORD&
 DATA_ROWS=1&
 AUCTION_MONTH_YEAR=08/2015&

14.3.4.4 Response File Example

TIME_STAMP=09/22/2015 07:43
 TRAN_TYPE=UCAP_DOWNLOAD_ZDO_OFFER
 DATA_ROWS=4
 "SPOT","08/2015","08/2015","NYC",2,0,"UDR",261,"",1046380,"09/17/2015 11:07 AM",
 "SPOT","08/2015","08/2015","ROS",20,0,"GEN","12345","",1046308,"09/17/2015 11:07 AM",
 "SPOT","08/2015","08/2015","ROS",0.9,0,"GEN","54321","",1046308,"09/17/2015 11:07 AM",
 "SPOT","08/2015","08/2015","NYC",4.5,0,"","",1046308,"09/17/2015 11:07 AM",

14.4 Templates for Record Load Forecasts

14.4.1 Data Dictionary

Parameter	Type	Description
LSE	CHAR(8)	Load Serving Entity (LSE) organization short name. <i>Note:</i> A single upload file must contain LSE data for every LSE, not a subset of the TOs LSEs.

Parameter	Type	Description
LOCATION	CHAR(10)	In-City, In-GHIJ, On-Island, or TD <i>Note:</i> A single upload file specifies one and only one LOCATION [In-City, In-GHIJ, On-Island, or TD]
FORECAST_DATE	CHAR(10)	For Upload Requests & Responses and Download Responses: If FORECAST_TYPE=ESTLOAD: MM/01/YYYY If FORECAST_TYPE=LOADSHIFT or TRUEUP: MM/DD/YYYY For Download Requests: MM/YYYY <i>Note:</i> A single upload file specifies one and only one FORECAST_DATE. That is, Nov/2011 and Dec/2011 cannot be uploaded in a single file.
LOAD_FORECAST_TYPE	CHAR(8)	For Upload Requests and Responses: ACTUAL For Download Requests and Responses: ESTIMATE or ACTUAL. ESTIMATE indicates an estimated forecast used to estimate an LSE's UCAP requirement before each Capability Period's Strip Auction. <i>Note:</i> A single upload file specifies one and only one LOAD_FORECAST_TYPE [ESTIMATE or ACTUAL]
FORECAST_TYPE	CHAR(10)	ESTLOAD (monthly forecasted load), LOADSHIFT (initial daily load), TRUEUP (final daily load) <i>Note:</i> A single upload file specifies one and only one FORECAST_TYPE [ESTLOAD, LOADSHIFT or TRUEUP]
FORECAST	NUM(9,3)	Depending on FORECAST_TYPE, this field could represent a load forecast, initial daily load or final daily load value. Cannot have more than 1 decimal place when FORECAST_TYPE=ESTLOAD.
TRANS_OWNER	CHAR(50)	Transmission Owner (TO) name.
FIXED_LOAD	NUM(7,1)	LSE fixed load forecast for the TO and LSE combination as set by the NYISO.
UCAP_REQ	NUM(7,1)	UCAP Requirements
LOAD_FORECAST	NUM(7,1)	Monthly load forecast number.
DAILY_LOAD	NUM(9,3)	Initial Daily Load (Load Shift) numbers.
TRUE_UP	NUM(9,3)	Final Daily Load (True Up) numbers.

Parameter	Type	Description
LAST_UPDATE_USER	CHAR	Last person to update row.
LAST_UPDATE_DATE	CHAR	DD-Mon-YYYY hh:mm AM/PM DD = 01 – 31 (day) Mon = Jan – Dec (month) YYYY = 0000 – 9999 (year) hh = 01 – 12 (hour) mm = 00 – 59 (minute) Date row last updated (ex: "09-Feb-2004 02:34 PM").

14.4.2 Upload Load Forecasts

TRAN_TYPE=UCAP_UPLOAD_LOADFORECAST

The TO will submit the monthly forecast (ESTLOAD) data for *all of their LSE's for a single month* at one time. They must submit forecast data for all LSE's in a single upload file for one location per upload file. Additionally, the upload will allow TOs to update previously submitted data, as long as submittal period is still open. The TO must include data for all of their LSEs since the upload file replaces the previously upload data.

Note: For this monthly forecast (ESTLOAD) data, the system will validate that the sum of the monthly forecast values in the file plus the fixed loads already in the database for this Transmission Owner, Location, and Month equals the TO Forecast Peak Load values for this Location and Month.

Additionally, this template will support uploading initial (LOADSHIFT) and final (TRUEUP) daily load data. Again, this will be allowed as long as their respective submittal periods are still open. For initial and final daily load data, however, the User must submit data for *every day* of the submittal month. Also, initial and final daily load data can only be submitted for months that already have actual (ACTUAL) monthly forecasted load entered.

A TO can only upload one location and one forecast month per upload file.

14.4.2.1 Request Parameters

LSE, LOCATION, FORECAST_DATE, FORECAST_TYPE, LOAD_FORECAST_TYPE, FORECAST

14.4.2.2 Response Parameters

The response to an upload consists of a header that describes which upload was requested, when it was processed, and how many rows were successfully processed. A message will also appear if an error occurred. Following the header will be the detail, which will consist of one row per row successfully processed.

LSE, LOCATION, FORECAST_DATE, FORECAST_TYPE, LOAD_FORECAST_TYPE, FORECAST

14.4.2.3 Request File Example

TRAN_TYPE=UCAP_UPLOAD_LOADFORECAST&
 USERID=webuser&
 PASSWORD=webuser&
 DATA_ROWS=1&
 lse_1,TD,04/01/2004,ESTLOAD,ACTUAL,123.5

14.4.2.4 Response File Example

TIME_STAMP=03/05/2004 15:20
 TRAN_TYPE=UCAP_UPLOAD_LOADFORECAST
 DATA_ROWS=1
 "lse_1","TD","04/01/2004","ESTLOAD","ACTUAL",123.5

14.4.3 Download Load Forecasts

TRAN_TYPE=UCAP_DOWNLOAD_LOADFORECAST

14.4.3.1 Request Parameters

FORECAST_DATE, LSE, LOCATION, LOAD_FORECAST_TYPE

14.4.3.2 Response Parameters

TRANS_OWNER, LSE, LOCATION, FORECAST_DATE, LOAD_FORECAST_TYPE,
 LOAD_FORECAST, FIXED_LOAD, UCAP_REQ, DAILY_LOAD, TRUE_UP,
 LAST_UPDATE_USER, LAST_UPDATE_DATE

14.4.3.3 Request File Example

TRAN_TYPE=UCAP_DOWNLOAD_LOADFORECAST&
 USERID=webuser&
 PASSWORD=webuser&
 FORECAST_DATE=05/2004&
 LSE=lse_1&
 LOCATION=TD&
 LOAD_FORECAST_TYPE=actual&

14.4.3.4 Response File Example

TIME_STAMP=07/26/2004 14:10
 TRAN_TYPE=UCAP_DOWNLOAD_LOADFORECAST
 DATA_ROWS=31
 "Metering Authority – MA3","lse_1","TD","05/01/2004","Actual",100.1,120.1,246.4,100.218,
 100.192,"webuser","10-Apr-2004 12:31 PM"
 "Metering Authority – MA3","lse_1","TD","05/02/2004","Actual",100.1,120.1,246.4,100.228,
 100.193,"webuser","10-Apr-2004 12:31 PM"
 "Metering Authority – MA3","lse_1","TD","05/03/2004","Actual",100.1,120.1,246.4,100.219,
 100.193,"webuser","10-Apr-2004 12:31 PM"
 "Metering Authority – MA3","lse_1","TD","05/04/2004","Actual",100.1,120.1,246.4,100.218,
 100.194,"webuser","10-Apr-2004 12:31 PM"

"Metering Authority – MA3", "lse_1", "TD", "05/30/2004", "Actual", 100.1, 120.1, 246.4, 100.218, 100.192, "webuser", "10-Apr-2004 12:31 PM"

"Metering Authority – MA3", "lse_1", "TD", "05/31/2004", "Actual", 100.1, 120.1, 246.4, 100.232, 100.192, "webuser", "10-Apr-2004 12:31 PM"

14.5 Templates for Certify

14.5.1 Data Dictionary

Parameter	Type	Description
MONTH	CHAR(8)	Name of month within Season. (MM/YYYY)
TYPE	CHAR(50)	For Download Bilaterals, indicates type of bilateral: PURCHASE or SALE For Download Certification Details: F (First-come, first-serve import right), G (Grandfathered import right), or U (UDR) For Download Summary of Purchases and Sales: "Purchase – Bilateral Agreements", "Sale – Bilateral Agreements", "Purchase – Monthly Auction Purchases – Mon", "Sale – Monthly Auction Sales – Mon", "Purchase – Strip Auction Purchases", "Sale – Strip Auction Sales", "Purchase – Spot Auction Purchases", or "Sale – Spot Auction Sales" where: Mon = JAN – DEC (auction month)
LOCATION	CHAR(3)	NYC, LI, GHI, ROS, HQ, PJM, IESO, NE
SEC_PARTY_LOCATION	CHAR(3)	NYC, LI, GHI, ROS, HQ, PJM, IESO, NE
SEC_PARTY	CHAR(100)	For Download Bilaterals: Name of second party to bilateral For Download Certification Details: Name of second party to bilateral, or Auction type: "Strip Auction", "Mon Monthly Auction", "Spot Auction" where: Mon = Jan – Dec (auction month)
RIGHT_NBR	NUM(8)	Number associated with either an Import Right or UDR.
MIT_GEN_GROUP	CHAR(50)	Name of Mitigated Generator Group tied to location selected. <i>Note:</i> As of May/2008, this parameter is obsolete and is only retained to view historical information. Supply-Side Mitigation replaced historic DGO Mitigation.
MW	NUM(9,3)	Number of MW either purchased or sold on the bilateral agreement or through an auction.

Parameter	Type	Description
PURCHASED_MW	NUM(9,3)	Purchased MW for bilateral agreements or auctions.
SOLD_MW	NUM(9,3)	Sold MW for bilateral agreements or auctions.
CONF_MP	CHAR(1)	Indicates if the MP has confirmed the bilateral. (Y or N)
CONF_SEC_PARTY	CHAR(1)	Indicates if the second party has confirmed the bilateral. (Y or N)
PTID	NUM(8)	Uniquely identifies a generation unit.
PTID_NAME	CHAR(20)	Name of the PTID
AVAIL_SALE	NUM(7,1)	Available for sale UCAP. Capacity of the PTID for the month specified.
PTID_SALES	NUM(7,1)	Allocated Auction and Bilateral Sales. Amount of sales to allocate to the PTID for the month.
DMNC	NUM(7,1)	Capacity of the PTID
CRIS_DMNC	NUM(7,1)	Capacity of the PTID adjusted for deliverability limit
DERATING FACTOR	NUM(5,2)	Derating Factor for the PTID for the month selected (value between 0.00 and 100.00)
SUPP_SALES	NUM(7,1)	Supplemental Sales entered by the NYISO in the auction module.
UNSOLD	NUM(7,1)	Calculated as (Available for sale UCAP) minus (Auction and Bilateral Sales plus Supplemental Sales).
ICAP_DAM	NUM(7,1)	Calculated as (Auction and Bilateral Sales plus Supplemental Sales) divided by (1 minus the decimal equivalent of the Derating Factor).
LAST_UPDATE_USER	CHAR	Last person to update row. [Can be blank in Download Certification Details for auction capacity purchases and sales.]
LAST_UPDATE_DATE	CHAR	DD-Mon-YYYY hh:mm AM/PM DD = 01 – 31 (day) Mon = Jan – Dec (month) YYYY = 0000 – 9999 (year) hh = 01 – 12 (hour) mm = 00 – 59 (minute) Date row last updated (ex: "09-Feb-2004 02:34 PM"). [Can be blank in Download Certification Details for auction capacity purchases and sales.]
EXCLUDED_FROM_INCITY _MITIGATION	CHAR	Null, Y, N Indicates Mitigated Capacity Zone Bilateral Sales Manually Excluded from MP's Adjusted Market Position for the purpose of determining Portfolio's MW Controlled in Mitigated Capacity Zones. This exclusion value is only set to Y or N for Mitigated Capacity Zones. Otherwise it is null. This value is only set to Y for approved MP Requests to rebut presumption of control.

14.5.2 Download Bilaterals

TRAN_TYPE=UCAP_DOWNLOAD_BILATERALS

This Download will return only unconfirmed bilaterals. Details on confirmed bilaterals can be retrieved with the Download Certification Detail Transactions template.

As of May/2008, bilaterals inserted into the System will not include "MIT_GEN_GROUP" associated with historic DGO Mitigation. "MIT_GEN_GROUP" will be ignored by DOWNLOAD BILATERALS. This parameter is retained only to view history.

14.5.2.1 Request Parameters

MONTH

14.5.2.2 Response Parameters

MONTH, TYPE, LOCATION, SEC_PARTY, RIGHT_NBR, MIT_GEN_GROUP, MW, CONF_MP, CONF_SEC_PARTY, LAST_UPDATE_USER, LAST_UPDATE_DATE

14.5.2.3 Request File Example

TRAN_TYPE=UCAP_DOWNLOAD_BILATERALS&
 USERID=webuser&
 PASSWORD= webuser&
 MONTH=06/2004&

14.5.2.4 Response File Example

TIME_STAMP=11/26/2004 14:10
 TRAN_TYPE=UCAP_DOWNLOAD_BILATERALS
 DATA_ROWS=1
 "06/2004","PURCHASE","ROS","Party A",,"Mit Gen Group A",100.1,"N","Y","webuser","10-May-2004 12:31 PM"

14.5.3 Download Certification Detail Transactions

TRAN_TYPE=UCAP_DOWNLOAD_CERT_DETAIL

14.5.3.1 Request Parameters

MONTH, LOCATION

14.5.3.2 Response Parameters

MONTH, LOCATION, SEC_PARTY_LOCATION, SEC_PARTY, RIGHT_NBR, TYPE, MIT_GEN_GROUP, PURCHASED_MW, SOLD_MW, LAST_UPDATE_USER, LAST_UPDATE_DATE, EXCLUDED_FROM_INCIITY_MITIGATION

14.5.3.3 Request File Example

TRAN_TYPE=UCAP_DOWNLOAD_CERT_DETAILS&
 USERID=webuser&
 PASSWORD=webuser&

MONTH=06/2004&
LOCATION=ROS&

14.5.3.4 Response File Example

TIME_STAMP=07/26/2004 14:10
TRAN_TYPE=UCAP_DOWNLOAD_CERT_DETAILS
DATA_ROWS=2
"06/2004","ROS","Party A",,"",,100.1,"webuser","10-Apr-2004 12:31 PM"
"06/2004","ROS","Strip Auction",,"",,312.3,"",,"",,""

14.5.4 Download Summary of Purchases and Sales

TRAN_TYPE=UCAP_DOWNLOAD_PURCHASES_SALES

This template will return data in the same order that it is presented on its corresponding Web page – sales data first, followed by purchases data. The value of the TYPE column will identify whether the row in the CSV response is a sale or purchase.

14.5.4.1 Request Parameters

MONTH

14.5.4.2 Response Parameters

MONTH, TYPE, LOCATION, MIT_GEN_GROUP, MW

14.5.4.3 Request File Example

TRAN_TYPE=UCAP_DOWNLOAD_PURCHASES_SALES&
USERID=webuser&
PASSWORD=webuser&
MONTH=06/2004&

14.5.4.4 Response File Example

TIME_STAMP=07/26/2004 14:10
TRAN_TYPE=UCAP_DOWNLOAD_PURCHASES_SALES
DATA_ROWS=2
"06/2004","Purchase – Bilateral Agreements","ROS","Mit Gen Group A",100.1
"06/2004","Sale – Strip Auction Sales","ROS",,"",,312.3

14.5.5 Download PTID Capacity

TRAN_TYPE=UCAP_DOWNLOAD_PTID_CAPACITY

14.5.5.1 Request Parameters

MONTH

14.5.5.2 Response Parameters

MONTH, PTID, PTID_NAME, LOCATION, MIT_GEN_GROUP, DMNC, DERATING_FACTOR, AVAIL_SALE, PTID_SALES, SUPP_SALES, UNSOLD, ICAP_DAM, CRIS_DMNC

14.5.5.3 Request File Example

TRAN_TYPE=UCAP_DOWNLOAD_PTID_CAPACITY&
 USERID=webuser&
 PASSWORD=webuser&
 MONTH=06/2004&

14.5.5.4 Response File Example

TIME_STAMP=07/26/2004 14:10
 TRAN_TYPE=UCAP_DOWNLOAD_PTID_CAPACITY
 DATA_ROWS=1
 "06/2004",123456,"Gen XYZ","NYC","Mit Gen Group A",104.0,5.45,100.1,50.0,25.0,25.1,79.3,
 104.0

14.6 Templates for DMNC

14.6.1 Data Dictionary

Parameter	Type	Description
SEASON	CHAR(6)	Season when the DMNC test was performed: SUMMER or WINTER
CAP_YEAR	NUM(4)	Capability year (YYYY) when the DMNC test was performed. The combination of SEASON and CAP_YEAR together specify a unique season, for example, WINTER 2004, which represents the winter season of 2004/2005.
TEST_TYPE	CHAR(4)	This is always DMNC. The PMPC Test Type has been disabled.
PTID	NUM(8)	Uniquely identifies a generation unit.
TEST_DATE	CHAR(10)	Date of test. MM/DD/YYYY For SCR Aggregation PTIDs, this date is set to the Aggregation Management Close Date for the specified Effective Date published from DRIS.
BEGIN_HR	NUM(2)	Beginning hour of test. 00 –23
AVG_AMB_TEMP	NUM(5,2)	The four year average temperature for a generator for the peak day and hour (of like-seasons) of the TO where the generator resides.
PRE_TEST_RATING	NUM(7,1)	Previous like season post-test rating
TEST_TEMP	NUM(5,2)	Temperature when DMNC test was performed.
DMNC1	NUM(7,1)	Hour 1 test output (positive number).

Parameter	Type	Description
DMNC2	NUM(7,1)	Hour 2 test output (positive number).
DMNC3	NUM(7,1)	Hour 3 test output (positive number).
DMNC4	NUM(7,1)	Hour 4 test output (positive number).
PER_CURVE	NUM(7,1)	DMNC rating determined using manufacturer's temperature adjustment curves.
EFF_DATE	CHAR(10)	Date (of auction month) to begin using the DMNC data (ex: for the test to be effective starting with the May 2004 auctions held in April 2004, specify 05/01/2004). MM/DD/YYYY For SCR Aggregation PTIDs, this will be the effective Auction Month published from DRIS.
REMARKS	CHAR(100)	Free Format Comments (cannot contain commas or an odd number of double quotation marks)
POST_TEST_RATING	NUM(7,1)	Post Test Rating – desired test rating to be applied as of the effective date (positive number).
GEN_TYPE	CHAR(50)	Generation type associated with the PTID: COMBUSTION, COMBINED CYCLE, HYDRO, FOSSIL FUEL, NUCLEAR STEAM, INTERMITTENT, ENERGY LIMITED, LESR, SOLAR, WIND, or OTHER <i>Note:</i> GEN_TYPE will be null in the Download Response when PTID_TYPE is equal to "SCR"
PTID_TYPE	CHAR(8)	PTID type: INTERNAL, EXTERNAL, or SCR
STATUS	CHAR(10)	Test approval status (performed by the NYISO): APPROVED, UNAPPROVED, UNDECIDED For SCR Aggregation PTIDs, this will always be set to APPROVED.
LAST_UPDATE_USER	CHAR	Last person to update row. For SCR Aggregation PTIDs, the data is published from DRIS and this user will be set to NYISO.
LAST_UPDATE_DATE	CHAR	DD-Mon-YYYY hh:mm AM/PM DD = 01 – 31 (day) Mon = Jan – Dec (month) YYYY = 0000 – 9999 (year) hh = 01 – 12 (hour) mm = 00 – 59 (minute) Date row last updated (ex: "09-Feb-2004 02:34 PM").
EXP_DATE	CHAR (10)	Date the DMNC Rating is no longer valid (in MM/DD/YYYY format) For SCR Aggregation PTIDs, this date is the end of the Capability Period.
DAYS_TO_EXP	NUM (5)	Number of Days to Expiration Date. A negative number means date has passed.

14.6.2 Upload DMNC Results

TRAN_TYPE=UCAP_UPLOAD_DMNC

14.6.2.1 Request Parameters

PTID is SCR Aggregation (As of January 2012, the user cannot upload any SCR data. The data for SCR Aggregation PTIDs will be published from DRIS.)

Not all fields are required when the specified PTID is for a SCR. The required fields are listed below in bold.

SEASON, CAP_YEAR, TEST_TYPE, PTID, TEST_DATE, BEG_HR, AVG_AMB_TEMP, PRE_TEST_RATING, TEST_TEMP, DMNC1, DMNC2, DMNC3, DMNC4, PER_CURVE, EFF_DATE, REMARKS, POST_TEST_RATING

PTID is Generator

The Number of hours of test data required and whether the two temperature fields are required (AVG_AMB_TEMP and TEST_TEMP) vary by the Generation Type of the unit:

GEN_TYPE = COMBUSTION (only **1 hour** of testing data is **required**; AVG_AMB_TEMP and TEST_TEMP are **required**):

SEASON, CAP_YEAR, TEST_TYPE, PTID, TEST_DATE, BEG_HR, AVG_AMB_TEMP, PRE_TEST_RATING¹, TEST_TEMP, DMNC1, DMNC2, DMNC3, DMNC4, PER_CURVE, EFF_DATE, REMARKS, POST_TEST_RATING

GEN_TYPE = COMBINED CYCLE (**4 hours** of testing data are **required**; AVG_AMB_TEMP and TEST_TEMP are **required**):

SEASON, CAP_YEAR, TEST_TYPE, PTID, TEST_DATE, BEG_HR, AVG_AMB_TEMP, PRE_TEST_RATING¹, TEST_TEMP, DMNC1, DMNC2, DMNC3, DMNC4, PER_CURVE, EFF_DATE, REMARKS, POST_TEST_RATING

GEN_TYPE = HYDRO, FOSSIL FUEL, NUCLEAR STEAM, INTERMITTENT, ENERGY LIMITED, or OTHER (**4 hours** of testing data are **required**; AVG_AMB_TEMP and TEST_TEMP are **optional**):

SEASON, CAP_YEAR, TEST_TYPE, PTID, TEST_DATE, BEG_HR, AVG_AMB_TEMP, PRE_TEST_RATING¹, TEST_TEMP, DMNC1, DMNC2, DMNC3, DMNC4, PER_CURVE, EFF_DATE, REMARKS, POST_TEST_RATING

14.6.2.2 Response Parameters

The response to an upload consists of a header that describes which upload was requested, when it was processed, and how many rows were successfully processed. A message will also appear if an error occurred. Following the header will be the detail, which will consist of one row per row successfully processed.

SEASON, CAP_YEAR, TEST_TYPE, PTID, TEST_DATE, BEG_HR, AVG_AMB_TEMP, PRE_TEST_RATING, TEST_TEMP, DMNC1, DMNC2, DMNC3, DMNC4, PER_CURVE, EFF_DATE, REMARKS, POST_TEST_RATING

¹ PRE_TEST_RATING is required only if no post-test rating exists for last previous like capability season.

14.6.2.3 Request File Example

TRAN_TYPE=UCAP_UPLOAD_DMNC&

USERID=webuser&

PASSWORD=webuser&

DATA_ROWS=1&

Winter,2004,DMNC,123456,01/01/2004,06,30.01,100,38.45,100.1,,,100.5,04/22/2004,abc,100.9

14.6.2.4 Response File Example

```
TIME_STAMP=03/05/2004 15:20
TRAN_TYPE=UCAP_UPLOAD_DMNC
DATA_ROWS=1
"Winter",2004,"DMNC",123456,"01/01/2004",06,30.01,100,38.45,100.1,,,,100.5,"04/22/2004","abc",100.9
```

14.6.3 Download DMNC Results

```
TRAN_TYPE=UCAP_DOWNLOAD_DMNC
```

14.6.3.1 Request Parameters

```
SEASON, CAP_YEAR, PTID_TYPE, TEST_TYPE, GEN_TYPE
```

14.6.3.2 Response Parameters

```
SEASON, CAP_YEAR, GEN_TYPE, PTID_TYPE, TEST_TYPE, PTID, TEST_DATE, BEG_HR,
AVG_AMB_TEMP, PRE_TEST_RATING, TEST_TEMP, DMNC1, DMNC2, DMNC3, DMNC4,
PER_CURVE, POST_TEST_RATING, EFF_DATE, REMARKS, STATUS,
LAST_UPDATE_USER, LAST_UPDATE_DATE, EXP_DATE, DAYS_TO_EXP
```

14.6.3.3 Request File Example

```
TRAN_TYPE=UCAP_DOWNLOAD_DMNC&
USERID=webuser&
PASSWORD=webuser&
SEASON=WINTER&
CAP_YEAR=2004&
```

14.6.3.4 Response File Example

```
TIME_STAMP=07/26/2004 14:10
TRAN_TYPE=UCAP_DOWNLOAD_DMNC
DATA_ROWS=1
"WINTER",2004,"HYDRO","Internal","DMNC",123456,"01/01/2004",06,30.01,100,38.45,100.1,,,,100.5,"04/22/2004","Test","APPROVED","webuser","05-Mar-2004 03:20 PM", "04/30/2005",270
```

This page intentionally blank.

15. RIGHTS

This section describes how to view Unforced Capacity Deliverability (UDR) Rights and External CRIS Rights. The Rights Menu appears as follows:



Figure 15-1 Rights Menu

15.1 How to View Unforced Capacity Deliverability Right (UDR) Generator Monthly Parameters

An ICAP Supplier that holds rights to Unforced Capacity Deliverability Rights (UDRs) is associated with a specific controllable and Scheduled Line. This ICAP Supplier, "Rights Holder" with such controllable and Scheduled Line with UDRs can view the "Scheduled Line" as a UDR Interface on the "UDR Generator Monthly Parameters" screen. There may be one or more suppliers with UDRs associated with the UDR Interface at any given time, but each supplier may only view its own portion of the Total UDR ICAP Award, tracked via a UDR PTID as capacity in the Scheduled Line's sink location.

The ICAP Automated Market System will use the current effective UDR PTID to "Behind-the-UDR" Generator PTID mappings for the calculation of a UDR PTID's associated UCAP. The Rights Holder may register multiple generators associated with each UDR Right.

As an example, assume a UDR Interface has a Total UDR Award 300 MW, Total UDR Losses 3.00 % and UDR Unavailability 1.00%. Assume that this UDR has three Rights Holders: Rights Holders A, B, and C. For the Total UDR Award 300 MW, assume Rights Holder A has 100 MW of the UDR, Rights Holder B has rights to 50 MW and Rights Holder C is awarded 150 MW. For this example, the generators registered as associated with the UDR and Losses for each Rights Holder are configured as follows:

Table 15.1 Example UDR Rights Holder "A" Generator PTID Definition

Example UDR Parameters				
Total UDR Award (ICAP MW)	300			

UDR Losses (%)	3.00%			
UDR Unavailability (%)	1.00%			
	Rights Holder A	Rights Holder B	Rights Holder C	Total
Rights (ICAP MW)	100	50	150	300
Losses (ICAP MW)	3.1	1.5	4.6	9.3
Generator associated with the UDR (ICAP MW)	103.1	51.5	154.6	309.3

In the table below, Rights Holder A designates Unit1 and Unit2.

Table 15.2 Example UDR Rights Holder "A" Generator PTID Definition

UDR Parameters	Sample Values
Unit 1	
ICAP(MW)	40
Unavailability (%)	3.00%
Portion of Losses (MW)	1.2
UCAP (MW)	37.2
Unit2	
ICAP(MW)	63.1
Unavailability (%)	5.00%
Portion of Losses (MW)	1.893
UCAP (MW)	57.5
Installed Capacity	94.7

Supplier Organization	
Total UCAP MW	

Using the table above, the Generator associated with the UDR for Rights Holder "A" is 103.1 MW, distributed as ICAP MW = 40 on Unit 1 and ICAP MW = 63.1 on Unit 2. Each unit's Unavailability (%) is their unit Derating Factor. Each unit's Portion of Losses (MW) is calculated to kW or thousandths of MW as follows:

$$\text{Portion of Losses (MW)} =$$

$$[\text{ICAP (MW)} / \text{Supply Behind UDR ICAP (MW)}] * \text{Rights Holder's Losses MW}$$

For Unit 1 above:

$$\text{Portion of Losses (MW)} = [40 / 103.1] * 3.1 = 1.2 \text{ MW}$$

For each Unit PTID:

$$\text{UCAP (MW)} = \text{TRUNCATE} [(\text{ICAP(MW)} - \text{Portion of Losses (MW)}) * (1 - \text{UDR Unavailability}\%) * (1 - \text{Unit Derating Factor } \%), 1]$$

UDR PTID UCAP is calculated as follows:

$$\text{UDR UCAP} = \sum \text{Unit UCAP MW for all units associated with the UDR PTID}$$

For Unit 1 above:

$$\text{UCAP (MW)} = \text{TRUNCATE} [(40 - 1.2) * (1 - 0.01) * (1 - 0.03), 1] = 37.2 \text{ MW}$$

Total UCAP for Rights Holder A is calculated as follows:

$$\text{UCAP} = \text{UCAP Unit 1} + \text{UCAP Unit 2} = 37.2 + 57.5 = 94.7$$

15.1.1 Screen Descriptions

Table 15.3 UDR Generator Monthly Parameters - Filter Screen Section

Screen Field	Data Type	Editable	Rule
Interface	Text	Y	Selectable UDR Interface List.
MP Name	Text	N	Defaults to Market Participant Logged On.
Season	Text	Y	Capability Period.
Month	Date	Y	Month within the Season to be displayed.

Table 15.4 Interface Information Screen Section

Screen Field	Data Type	Editable	Rule
--------------	-----------	----------	------

Interface	Text	N	UDR Interface Selected
Organization	Text	N	Market Participant Logged On
Season	Text	Y	Capability Period Selected
Month	Date	N	Auction Month Selected
Total UDR ICAP Award	Numeric	N	Market Participant's Total UDR Award on this UDR Interface, measured in ICAP MW.
UDR Interface Losses MW	Numeric	N	Market Participant's MW share of UDR Interface Losses for the specified UDR Interface.
UDR Interface Unavailability %	Numeric	N	UDR Interface Unavailability Percent
Current Eastern Time	Date	N	Current Date/Timestamp.

Table 15.5 Installed Capacity Suppliers' UCAP Screen Section

Screen Field	Data Type	Editable	Rule
UDR PTID	Text	N	Unique PTID for each MP's Unforced Capacity Deliverability Right on the associated UDR Interface.
Installed Capacity Supplier Organization	Text	N	Market Participant Logged In with the Unforced Capacity Deliverability Rights.
Interface	Text	N	The UDR Interface associated with the UDR PTID. There may be multiple UDR PTIDS and multiple Installed Capacity Supplier Organizations associated with a single UDR Interface.
PTID	Text	N	Unique identifier for the generator registered and associated with the UDR Interface. There may be multiple PTIDs associated with each UDR PTID for the selected Auction Month.
Auction Month	Date	N	Auction Month when designated PTID is associated with this UDR PTID.
ICAP MW	Numeric	N	This is the amount of generator ICAP associated with this UDR PTID. Once any portion of a generator is associated with a UDR, this ICAP value is subtracted from the Generator PTID's CRIS Adjusted DMNC prior to calculating the Generator PTID's Available UCAP displayed on "View PTIDs" as a field called UDR ICAP. This is the "Behind the UDR" MW amount reserved to supply one or more UDRs. $\text{UDR ICAP} = \sum \text{Unit ICAP MW for all generator PTIDs associated with the UDR PTID}$ and is displayed as an Organizational Totals row. This value is also displayed on the "View PTIDs" screen as the Capacity (DMNC) and CRIS Adjusted DMNC columns. (See also Footnote field described below.)
Derating Factor %	Numeric	N	The associated generator PTID's Derating Factor

			percentage.
Portion of Losses MW	Numeric	N	Portion of Losses MW is calculated as follows: (ICAP MW / ICAP MW Behind UDR Interface) * ICAP Losses MW
UCAP MW	Numeric	N	<p>When a generator PTID's DMNC tests are current, UCAP MW is calculated as follows for that portion of the UDR UCAP. The System performs the following calculation for each PTID associated with the UDR PTID:</p> $UCAP = \text{TRUNCATE} [((ICAP MW - \text{Portion of Losses MW}) * (1 - \text{UDR Unavailability \%}) * (1 - \text{PTID Derating Factor})) , 1]$ <p>UDR UCAP = \sum Unit UCAP MW for all generator PTIDs associated with the UDR PTID and is displayed as an Organizational Totals row. This value is also displayed on the "View PTIDs" screen as the Available For Sale UCAP column.</p> <p>When a generator PTID's DMNC Test or Derating Factor are not yet specified, the UCAP value for that generator's portion of the UDR UCAP will be 0.0.</p>
Footnote	Text	N	<p>Static Informational Text</p> <p>"If Interface sinks in Mitigated Capacity Zone, Monthly Organization Total UCAP MW are subject to Mitigation Rules unless physical generator associations are removed by the ICAP Event Calendar Deadline".</p> <p>This screen footnote will indicate that the Installed Capacity Supplier has until the ICAP Event Calendar Deadline to request any changes to the UDR to generator associations which affect the UCAP calculations displayed for their view on this screen.</p> <p>As long as the UDR to generator association is in effect, the UDR ICAP sum is deducted from the associated generator's CRIS-Adjusted DMNC and the "View PTIDs" screen will show resultant calculated UCAP for that Generator PTID on "View PTIDs".</p>

15.1.2 Viewing Unforced Capacity Deliverability Right Generator Monthly Parameters

Suppliers may view the UDR Generator Monthly Parameters. This feature is accessible from the Rights Menu as the UDR Generator Monthly Parameters option. The User filters for Interface, Season and Month and clicks "**DISPLAY**". The following screen will display for the Organization.

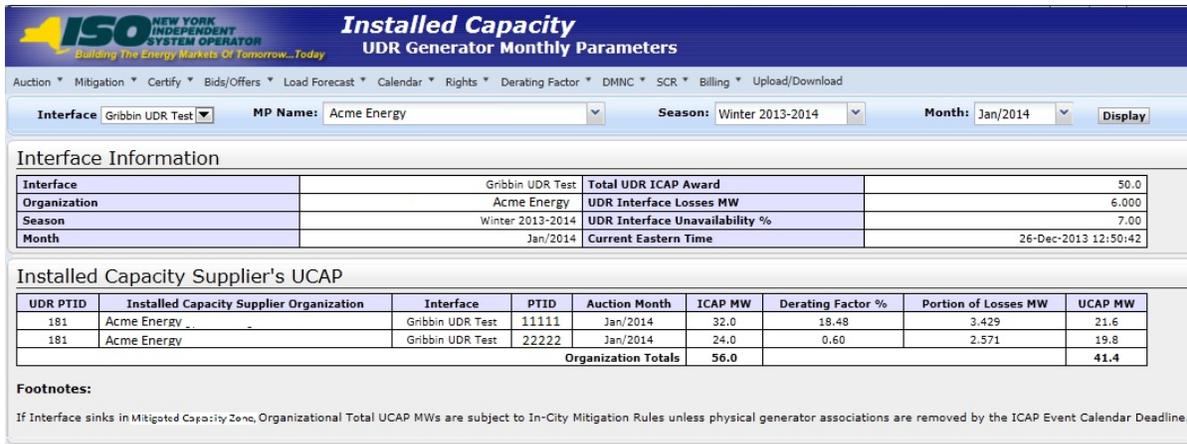


Figure 15-2 View Generator Monthly Parameters

15.2 How to View External CRIS Right Offer Caps

The business rules specific to External CRIS Rights are described in the *ICAP Manual* as follows:

- New Rights - Section 4.10.2
- Renewals - Section 4.10.3
- Transfers - Section 4.10.4
- Contract Rights - Section 4.10.5
- Non-Contract Must Offer Requirement - Section 4.10.6
- Offer Caps - Section 4.10.7
- Supply Failures - Section 4.10.8
- Terminations - Section 4.10.9

The AMS will calculate and display the External CRIS Right Offer Cap components used in the calculation of the resultant Offer Cap applied to External CRIS Right Offers.

15.2.1 Screen Descriptions

Table 15.6 External CRIS Right Offer Caps Filter Screen Section

Screen Field	Data Type	Editable	Rule
Season	Text	Y	Capability Period.

Table 15.7 Maintain External CRIS Rights - NYCA Internal Offer Caps Screen Section

Screen Field	Data Type	Editable	Rule
--------------	-----------	----------	------

Auction Type	Text	N	Auction associated with the Month and Internal Offer Cap displayed. [Strip, Monthly, Spot]
Month/Year	Text	N	Month/Year Internal Offer Cap is effective for the Season Selected
NYCA Offer Cap (\$ /kW-month)	Numeric	N	Applicable Internal Offer Cap for NYCA. Strip and first Monthly NYCA Internal Offer Cap are based on Load and Capacity Data report (Gold Book). Spot and Monthly NYCA Internal Offer Caps are calculated by the AMS at close of certification each month.
1.1 * NYCA Offer Cap (\$ /kW-month)	Numeric	N	System calculated as 1.10 times NYCA Offer Cap.
Last Updated By	Text	N	Identifies who last updated the data.
Last Update Date	Date	N	Date the NYCA Offer Cap data was last updated.

Table 15.8 Maintain External CRIS Rights - External Offer Caps Screen Section

Screen Field	Data Type	Editable	Rule
Interface	Text	N	Import Interface [IESO, HQ, NE, PJM]
Offer Cap	Numeric	N	External Offer Cap applicable for the Import Interface for the selected season. This value is effective for the selected Season and is based on the External Location Market-Clearing Prices.
Last Updated By	Text	N	Identifies who last updated the data.
Last Update Date	Date	N	Date the External Offer Cap data was last updated.

15.2.2 Viewing External CRIS Right Offer Caps

For each season, the External CRIS Rights holder ("ECR Rights Holder") may view the Internal and External Offer Cap components used by the AMS to determine the resultant applicable External CRIS Right Offer Cap for each auction.

Installed Capacity
External CRIS Right Offer Caps

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

Season: Summer 2012

Selected Season

Season Summer 2012

Maintain External CRIS Rights - NYCA Internal Offer Caps

Auction Type	Month/Year	NYCA Offer Cap (\$/kW-month)	1.10 * (NYCA Offer Cap) (\$/kW-month)	Last Updated By	Last Update Date
STRIP	May/2012	0.28	0.30	Pete Morrison	23-Mar-2012 01:38 PM
MONTHLY	May/2012	0.28	0.30	Pete Morrison	23-Mar-2012 01:38 PM
SPOT	May/2012	1.79	1.96	Valarie Caputo	20-Apr-2012 05:01 PM
MONTHLY	Jun/2012	1.79	1.96	Valarie Caputo	20-Apr-2012 05:01 PM
SPOT	Jun/2012	0.78	0.85	Valarie Caputo	22-May-2012 05:00 PM
MONTHLY	Jul/2012	0.78	0.85	Valarie Caputo	22-May-2012 05:00 PM
SPOT	Jul/2012	0.54	0.59	Valarie Caputo	21-Jun-2012 05:00 PM
MONTHLY	Aug/2012	0.54	0.59	Valarie Caputo	21-Jun-2012 05:00 PM
SPOT	Aug/2012	0.53	0.58	Valarie Caputo	23-Jul-2012 05:00 PM
MONTHLY	Sep/2012	0.53	0.58	Valarie Caputo	23-Jul-2012 05:00 PM
SPOT	Sep/2012	1.18	1.29	Valarie Caputo	23-Aug-2012 05:00 PM
MONTHLY	Oct/2012	1.18	1.29	Valarie Caputo	23-Aug-2012 05:00 PM
SPOT	Oct/2012	1.15	1.26	Valarie Caputo	20-Sep-2012 05:00 PM

Maintain External CRIS Rights - External Offer Caps

Interface	Offer Cap (\$/kW-month)	Last Updated By	Last Update Date
PJM			
NE			
HQ	0.55	Pete Morrison	21-Mar-2012 09:03 AM
IESO			

Figure 15-3 View External CRIS Right Offer Caps - Internal and External Components

The resultant Offer Cap for Strip, Monthly or Spot Auction applied to each External CRIS Right Offer is the higher of (1.1 * Offer Cap Internal Component) and (Offer Cap External Component) for that auction. For example, using the Summer/2012 values from the screen above, for ECR Rights Holders on the HQ Interface, in the May/2012 Monthly Auction, the resultant Offer Cap is set to \$0.55 since (external component) \$0.55 is higher than \$0.30 (1.1 * internal component). In the June/2012 Monthly Auction, the resultant Offer Cap is set to \$0.85 since \$0.85 (1.1 * internal component) is higher than \$0.55 (external component).

For a given Strip, Monthly or Spot Auction, if an External CRIS Right Offer includes an Offer Price that exceeds this Resultant Offer Cap, then the External CRIS Right Offer submitted by the ECR Rights Holder will fail offer validation.

15.3 How to View External CRIS Right Obligations and Violations

The System will use the configured External CRIS Rights to display the External CRIS Rights Holders' Contract and Non-Contract Obligations and their "Supply Failure" Violations.

15.3.1 Screen Descriptions

Table 15.9 External CRIS Right Obligations & Violations Filter Screen Section

Screen Field	Data Type	Editable	Rule
MP Name	Text	Y	Defaults based on Market Participant Logged On.
Year	Text	Y	Calendar Year Selected. The Obligations will be displayed for May Year n through April Year n+1.

Table 15.10 External CRIS Rights - ICAP Obligations & Violations Screen Section

Screen Field	Data Type	Editable	Rule
Right #	Text	N	Selected External CRIS Right # held by the Seller MP Organization.
Interface	Text	N	Import Interface associated with the External CRIS Right. [IESO, HQ, NE, PJM]
Organization	Text	N	MP Organization that holds the External CRIS Right.
Start Month	Text	N	First Month/Year that this External CRIS Right is effective for the selected Year. All External CRIS Rights are effective on seasonal boundaries.
End Month	Text	N	Last Month/Year that this External CRIS Right is effective for the selected Year. All External CRIS Rights are effective on seasonal boundaries.
Contract Commitment	Numeric	N	Monthly ICAP MW Obligation for this Right # for the specified Month for Obligation Type = "Contract".
ICAP (Actual) Amount Certified/Offered ("Contract")	Numeric	N	Total Actual Monthly ICAP MW certified as External CRIS Right Bilaterals of Obligation Type "Contract". To avoid a "Contract" Supply-Failure (described in the <i>ICAP Manual Sections 4.10.5 and 4.10.8</i>), for a non-zero Contract Commitment, this ICAP "Contract" Amount Certified (by the MP via ECR Bilaterals) cannot be less than the Contract Commitment by close of certification.
Non-Contract Commitment	Numeric	N	Monthly ICAP MW Obligation for this Right # for the specified Month for Obligation Type = "Non-Contract".
ICAP (Actual) Amount Certified/Offered ("Non-Contract")	Numeric	N	Total Actual Monthly ICAP MW certified as External CRIS Right Bilaterals of Obligation Type "Non-Contract" and the ICAP equivalent of External CRIS Right [Strip/Monthly/Spot] Offers. Because of the UCAP to ICAP conversion on

			<p>External CRIS Right Offers, it is possible for the MP to have an ICAP equivalent Amount Certified/Offered which is greater than their ICAP Non-Contract Commitment in order to meet their Non-Contract Obligation. The System will then limit UCAP Auction ECR Offer Awards to the ICAP equivalent Non-Contract Right.</p> <p><i>Note:</i> The Amount Certified/Offered is determined using the Spot Auction "Must Offer" Requirement calculated as follows by the MP. Note that the value displayed to the MP changes when ECR Bilaterals are approved by NYISO, when ECR Strip Offers are submitted and awarded, and when ECR Monthly or ECR Spot Offers are submitted.</p> <p style="text-align: center;">Spot Auction Must Offer Requirement (Non-Contract Obligation) ICAP MW = [MW External CRIS Commitment] – { MW Strip Offer + MAX [0, MW Monthly Offer – (MW Strip Offer - MW Strip Award)] }</p> <p>Where MW External CRIS Commitment is the MP's Non-Contract Right (ICAP) minus any ECR Bilateral (ICAP) approved by NYISO by close of certification.</p> <p>To avoid a "Non-Contract" Supply Failure (described in the <i>ICAP Manual Sections 4.10.6 and 4.10.8</i>) for a non-zero Non-Contract Commitment, this ICAP "Non-Contract" Amount, applied as ICAP using the equation above as a combination of ECR Bilaterals and/or ECR Offers, cannot be less than the Non-Contract Commitment by Close of Spot Offer Period.</p>
Violations	Numeric	N	<p>System -Calculated running sum of all "Must Offer" Supply Failures associated with this MP on this Right # for the period the External CRIS Right is effective.</p> <p>This value is [0 : 4]. On the 4th violation, this External CRIS Right is terminated. The MP may only incur a single "Supply Failure" Violation per month on any Right #, even if the MP fails to satisfy both their Contract and Non-Contract Obligation for this month.</p>

15.3.2 Viewing External CRIS Rights Obligations & Violations

After selecting the Year filter, Users should click the “**DISPLAY**” button at the top of the screen. The resulting screen will display all Contract and Non-Contract ICAP Obligations and the Actual Sum of ICAP Amount Certified/Offered for each External CRIS Right. In the following example, Acme Energy has an External CRIS Right # 12 on the HQ Interface and selected Year=2010 to display Summer 2010 and Winter 2010-2011 monthly obligations and actual monthly sum of ICAP amount certified via External CRIS Right

Bilaterals and/or ICAP equivalent of External CRIS Right Offers . In this example, for Right # 12, this MP has a Non-Contract Obligation 550.0 MW (ICAP) for November and 550.0 MW (ICAP) for April. This MP has a current running sum of zero "Supply Failure" Violations.

Right #	Interface	Organization	Start Month	End Month	Contract Commitment												
					May-10	Jun-10	Jul-10	Aug-10	Sep-10	Oct-10	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11	
12	HQ	Acme Energy	May/2010	Apr/2011							0.0	0.0	0.0	0.0	0.0	0.0	0.0
Amount Certified/Offered											0.0	0.0	0.0	0.0	0.0	0.0	0.0
					Non-Contract Commitment												
12	HQ	Acme Energy	May/2010	Apr/2011							550.0	0.0	0.0	0.0	0.0	0.0	550.0
12											800.0	0.0	0.0	0.0	0.0	0.0	0.0
Amount Certified/Offered											800.0	0.0	0.0	0.0	0.0	0.0	0.0
Violations					0												

Figure 15-4 External CRIS Right Obligations and Violations

Right #	Interface	Organization	Start Month	End Month	Contract Commitment												
					May-11	Jun-11	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	Jan-12	Feb-12	Mar-12	Apr-12	
14	HQ	Acme Energy	May/2011	Apr/2012							0.0	0.0	0.0	0.0	0.0	0.0	0.0
ICAP Amount Certified/Offered											0.0	0.0	0.0	0.0	0.0	0.0	0.0
					Non-Contract Commitment												
14	HQ	Acme Energy	May/2011	Apr/2012							150.0	250.0	250.0	250.0	250.0	150.0	
14											201.0	311.1	245.5	375.0	400.0	175.0	
ICAP Amount Certified/Offered											201.0	311.1	245.5	375.0	400.0	175.0	
Violations					1												

Figure 15-5 External CRIS Right Obligations and Violations - Violation

To avoid "Supply Failure" Violations, the MP should view their Contract and Non-Contract Commitments for each month.

For each Contract Commitment, the Contract Commitment (ICAP) amount must be entered as External CRIS Right Bilaterals with Obligation Type "Contract".

For each Non-Contract Commitment, the Non-Contract Commitment (ICAP) amount must be entered as External CRIS Right Bilaterals with Obligation Type "Non-Contract" and/or External CRIS Right Auction Offers. The Non-Contract Spot Auction "Must Offer" Obligation is calculated below from Non-Contract External CRIS Right Bilaterals (ICAP) and ICAP equivalent of External CRIS Right Offers.

Note: Auction Offers that do not have an External CRIS Right # specified on the Strip, Monthly or Spot offer will not satisfy a Non-Contract Obligation.

Spot Auction Must Offer Requirement (Non-Contract Obligation) ICAP MW =

$$\begin{aligned}
 & \text{[MW External CRIS Commitment]} - \\
 & \{ \text{MW Strip Offer} + \text{MAX} [0, \text{MW Monthly Offer} - \\
 & \quad (\text{MW Strip Offer} - \text{MW Strip Award})] \}
 \end{aligned}$$

Where: MW External CRIS Commitment = (Non-Contract Commitment ICAP MW - Confirmed Non-Contract External CRIS Right Bilateral ICAP MW)

Note: Note: Offers & Offer Awards are converted from UCAP to ICAP before calculating the Spot Auction Non-Contract "Must Offer" Obligation.

For example, if an MP has a 100.0 MW Non-Contract ICAP Right and already has 20.0 MW Confirmed External CRIS Right Bilateral ICAP, then the MW External CRIS Commitment used in the equation below is 100.0 minus 20.0. The following is a sample Spot Auction Must Offer Requirement (Non-Contract Obligation) ICAP MW calculation when an ECR Rights Holder has a combination of External CRIS Right Bilateral and Auction Offers to meet a Non-Contract Obligation:

$$\begin{aligned}
 & \text{Spot Auction Must Offer Requirement (Non-Contract Obligation) ICAP MW} = \\
 & \quad \text{[MW External CRIS Commitment]} - \\
 & \quad \{ \text{MW Strip Offer} + \text{MAX} [0, \text{MW Monthly Offer} - \\
 & \quad \quad (\text{MW Strip Offer} - \text{MW Strip Award})] \}
 \end{aligned}$$

$$\begin{aligned}
 & \text{Spot Auction Must Offer Requirement (Non-Contract Obligation) ICAP MW} = \\
 & \quad \text{[80.0 MW External CRIS Commitment]} - \\
 & \quad \{ \text{50.0 ICAP MW Strip Offer} + \text{MAX} [0, \text{8.0 ICAP MW Monthly Offer} - \\
 & \quad \quad (\text{50.0 MW Strip Offer} - \text{30.0 MW Strip Award})] \} = \text{30.0 ICAP MW}
 \end{aligned}$$

If ICAP Equivalent Spot ECR Offer MW < 30.0, the ECR Rights Holder will not meet their Non-Contract Must Offer Obligation and will incur a Supply Failure Violation.

If ICAP Equivalent Spot ECR Offer MW >= 30.0, the ECR Rights Holder will satisfy their Non-Contract Must Offer Obligation and will not incur a Supply Failure Violation that month on that External CRIS Right.

Note: In the case that the MP exceeds ECR Non-Contract Obligation, the System will limit the ICAP equivalent ECR Offer Awards to their Non-Contract Right.

Appendix A. List of Acronyms

For most definitions, see the *ISO Market Services Tariff*, available from the NYISO Web site at http://www.nyiso.com/public/markets_operations/documents/tariffs/index.jsp.

	Definition
AMS	ICAP Automated Market System
CRIS	Capacity Resource Interconnectivity Service
DAM	Day-Ahead (Energy) Market
DMNC	Dependable Maximum Net Capability
ECR	External CRIS Right
GADS	Generating Availability Data System (NERC)
GHI	G-J Locality, excluding NYC
G-J Locality	Locality defined by LBMP Zones G:J
HQ	Hydro Quebec (external location) defined by LBMP Zone M
ICAP	Installed Capacity
IESO	Independent Electricity System Operator (Ontario, external location) defined by LBMP Zone O
NE	Independent System Operator – New England (external location) defined by LBMP Zone N
LI	Long Island Locality defined by LBMP Zone K
LS	Load Shift (see Section 12, "Billing")
LSE	Load Serving Entity
MCP	Market-Clearing Price
MIS	Market Information System
MP	(NYISO) Market Participant
MPUG	Market Participant's User's Guide
NYC	New York City Locality defined by Load Zone J
NYCA	New York Control Area (comprised of Load Zones A:K)
PJM	Pennsylvania, New Jersey, Maryland (external location) defined by LBMP Zone P
PTID	Point Identifier for a specific Generator, SCR or UDR associated with a single Load Zone, single Location, and single owner organization
RIP	Responsible Interface Party
ROS	Rest-of-State (all NYCA excluding all Localities)
RT	Real-Time (Market)
SCR Aggregation	Special Case Resource Aggregation

NYISO ICAP AUTOMATED MARKET SYSTEM USER'S GUIDE

TD	Transmission District
TO	Transmission Owner
TU	True Up (see Section 12 , " Billing ")
UCAP	Unforced Capacity
UDR	Unforced Capacity Deliverability Rights
USER	ICAP Automated Market System (AMS) Market Participant (MP) user with specific Roles and Privileges defined in Table 1.1 in Section 1.3.