4.12 Special Case Resources (Sections 5.12.11, 5.12.12, and 5.14.2 NYISO Services Tariff)

~~Special Case Resource~~(SCR~~s~~) are Demand Side Resources whose Load is capable of being interrupted ~~upon demand~~at the direction of the NYISO, and/or Demand Side Resources that have a Local Generator, ~~,~~ which is not visible to the NYISO's Market Information System and is rated 100 kW or higher, that can be operated to reduce Load from the NYS Transmission System and/or the distribution system at the direction of the NYISO. Small customer aggregations may also qualify as SCRs. The Unforced Capacity of a ~~Special Case Resource~~SCR corresponds to its pledged amount of Load reduction as adjusted by historical performance factors (i.e., test and event performance) and as increased by the Transmission District loss factor~~., The calculation of this amount shall be made~~as calculated in accordance with Section ~~3.3 of Attachment J to~~ 4.12.2.1 of this *ICAP Manual*.

4.12.1 Claiming of Unforced Capacity and RIPs

The Unforced Capacity of a ~~Special Case Resource~~SCR except a New ~~Special Case Resource~~SCR may be freely sold in Bilateral Transactions. However, such Unforced Capacity may not be claimed by an LSE towards satisfaction of its own LSE Unforced Capacity Obligation or be offered into an auction administered by the NYISO unless the SCR has enrolled with ~~there is~~ a RIP and been accepted by the NYISO ~~with respect to such Special Case Resource~~. RIPs are Market Participants that ~~agree to be~~ are bound by the NYISO's tariffs and ISO Procedures, including the notification and other requirements applicable to RIPs under this Section 4.12. RIPs shall be responsible for all forms of communication to and from the NYISO for purposes of Minimum Payment Nomination, notification, dispatch, validation, billing and verification of ~~Special Case Resource~~SCRs and the Unforced Capacity associated with ~~Special Case Resource~~SCRs.

4.12.2 General Requirements

~~Special Case Resources~~SCRs are subject to rules set forth in the *NYISO Services Tariff* and ISO Procedures, including the obligation to~~must~~ meet the qualifications and comply with the procedures described below. ~~A~~ RIPs must comply with the rules applicable to SCRs. ~~claiming Unforced Capacity from Special Case Resources must comply with the requirements and procedures set forth in the *ICAP Manual.*~~

~~Every~~A RIP must enroll a ~~Special Case Resource~~SCR with the NYISO in accordance with the schedule specified in the ICAP Event Calendar and DRIS Event Calendar, which can be found at the following location on the NYISO Web site:

http://icap.nyiso.com/ucap/public/evt_calendar_display.do

In order to enroll ~~Special Case Resource~~SCRs, ~~every~~ a RIP must use the Demand Response Information System (DRIS) to import the specified enrollment file.

The RIP must upload the enrollment file into the DRIS ~~on or before the date and time specified in the ICAP Event Calendar and DRIS Event Calendar.~~and for ~~E~~each ~~Special Case Resource~~SCR ~~must~~ obtain an identification number from the NYISO and be accepted by the NYISO as an Installed Capacity Supplier before the enrollment is effective and the Unforced Capacity from the ~~Special Case Resource~~SCR can be claimed by an LSE towards its LSE Unforced Capacity Obligation or offered in an auction administered by the NYISO.

Interval meters are required of all ~~Special Case Resource~~SCRs, unless the ~~Special Case Resource~~SCRs are part of a ~~S~~small ~~C~~customer ~~A~~aggregation. Such metering must satisfy all requirements of the Metering, Verification, Billing and Settlement Section of the *NYISO Emergency Demand Response Program Manual*, available from the NYISO Web site at http://www.nyiso.com/public/markets_operations/market_data/demand_response/index.jsp. The metering must also reflect the end-use nature of the ~~Special Case Resource~~SCR from the NYS Transmission System and/or distribution system in accordance with NYISO Technical Bulletin 201.~~, i.e., s~~Single metering of multiple end-use customers on primary, secondary, or tie-line feeders is prohibited.

The Unforced Capacity of ~~Special Case Resource~~SCRs may only be offered in auctions administered by the NYISO or be claimed by an LSE towards its LSE Unforced Capacity Obligation in ~~even~~whole increments of 100 kW in a Load Zone (e.g. 590 kW of Unforced Capacity would be rounded down to 500 kW). However, ~~Special Case Resource~~SCRs may be aggregated into an SCR Aggregation to ~~minimize the effect of~~satisfy this requirement, provided that each such SCR Aggregation is identified as a single block of Unforced Capacity. SCR Aggregations of this type may be used to meet the 100 kW block requirement.

The RIP shall report the performances of each ~~Special Case Resource~~SCR individually directly into the DRIS using an import file formatted as specified in the *NYISO Demand Response Information System User's Guide* (available from the NYISO Web site at http://www.nyiso.com/public/markets_operations/documents/manuals_guides/index.jsp). The NYISO shall track each ~~Special Case Resource~~SCR's performance in accordance with the procedures contained in this Section 4.12. Performance measurements will be calculated in accordance with Sections 4.12.2.1 and 4.12.2.2 of this *ICAP Manual*.

The NYISO shall calculate a separate SCR Aggregation performance factor that recognizes over-performance by one ~~Special Case Resource~~SCR to compensate for under-performance ~~in the same hour~~ by another ~~Special Case Resource~~SCR in the same SCR Aggregation in the same hour. The minimum hourly performance of an individual ~~Special Case Resource~~SCR shall be zero (0). ~~Special Case Resource~~SCRs may be transferred from one SCR Aggregation to another SCR Aggregation within a RIP's portfolio during the Aggregation Management period as specified in the ICAP Event Calendar and DRIS Event Calendar. Following the Aggregation Management period, the NYISO shall recalculate the SCR Aggregation performance factor for each SCR Aggregation. The SCR Aggregation performance factor shall be calculated in accordance with Sections 4.12.2.1 ~~and 4.12.2.2~~ of this *ICAP Manual*.

The NYISO will also allow participation by aggregations of small customers using alternative metering and performance measurement subject to the procedures and limitations set forth in the *NYISO Emergency Demand Response Program Manual* (available from the NYISO Web site at ~~the following URL~~ : http://www.nyiso.com/public/markets_operations/market_data/demand_response/index.jsp, except that the total of all such aggregations for ~~Special Case Resource~~SCRs shall not exceed 100 MW. Each small customer aggregation will be reviewed by the NYISO staff and the Installed Capacity Working Group, and must be approved by at least four of the Chairs and Vice-Chairs of the Management Committee and the Business Issues Committee and the Chairs of the Installed Capacity Working Group and Price Responsive Load Working Group. The RIP shall report the performance of each small customer aggregation (each aggregation separate from any other aggregation and separate from resources not in the aggregation) directly into the DRIS, using an import file formatted as specified in the *NYISO ~~Demand Response Information System~~DRIS User's Guide*. The RIP shall provide additional documentation to verify performance as requested by the NYISO.

A ~~Special Case Resource~~SCR that is enrolled must also be accepted by the NYISO before the enrollment is effective. Once accepted, a ~~Special Case Resource~~SCR is a "New ~~Special Case Resource~~SCR" if it is enrolled in a Mitigated Capacity Zone (a) from the date of the ICAP Spot Market Auction into which it is first offered, to the calendar date immediately preceding the date of the ICAP Spot Market Auction twelve (12) months after the initial ICAP Spot Market Auction into which the ~~Special Case Resource~~SCR was offered, and at any other time (b) beginning on the date of the ICAP Spot Market Auction into which it is offered if, prior to such ICAP Spot Market Auction, the ~~Special Case Resource~~SCR is not offered in (x) a Capacity market auction or (y) as a Resource in a Bilateral Transaction certified by both parties, provided it was an eligible Resource for such auction or Bilateral Transaction, at any point within the immediately preceding twelve (12) consecutive months, and at any time after being accepted by the NYISO as ~~Special Case Resource~~SCR. A New ~~Special Case Resource~~SCR located in a Mitigated Capacity Zone, except New York City, shall be exempt from the Offer Floor if it was enrolled with the ISO as a ~~Special Case Resource~~SCR for any month within the Capability Year that includes March 31 in an ICAP Demand Curve Reset Filing Year in which the ISO proposes a New Capacity Zone that includes the location of the New ~~Special Case Resource~~SCR (e.g., any month in the 2012/13 Capability Year, for ~~Special Case Resource~~SCRs in the New ~~c~~Capacity Zone that was proposed in the 2013 Demand Curve Reset Filing Year.)

New ~~Special Case Resource~~SCRs are eligible ~~Resources~~ SCRs only in the ICAP Spot Market Auction; UCAP from a New ~~Special Case Resource~~SCR may not be used to cover UCAP offered in a Capability Period Auction, Monthly Auction, or through a Bilateral Transaction. If a New ~~Special Case Resource~~SCR is included in UCAP certified for a Capability Period Auction or Monthly Auction sale, or through a Bilateral Transaction certified by both parties to the transaction, the amount of UCAP attributable to the New ~~Special Case Resource~~SCR will constitute a shortfall.

~~Every RIP must enroll a Special Case Resource with the NYISO in accordance with the schedule specified in the ICAP Event Calendar and DRIS Event Calendar, which can be found at the following location on the NYISO Web site:~~

~~http://icap.nyiso.com/ucap/public/evt_calendar_display.do~~

~~Interval meters are required of all Special Case Resources, unless the Special Case Resources are part of a Small Customer Aggregation. Such metering must satisfy all requirements of the Metering, Verification, Billing and Settlement Section of the *NYISO Emergency Demand Response Program Manual*, available from the NYISO Web site at http://www.nyiso.com/public/markets_operations/market_data/demand_response/index.jsp. The metering must also reflect the end-use nature of the Special Case Resource, i.e., single metering of multiple end-use customers on primary, secondary, or tie-line feeders is prohibited.~~

SCRs with Local Generators:

SCRs that participate with a Local Generator must enroll as either type "B" or a type "G" resources as required by the metering configuration of the SCR and the Local Generator. By enrolling a SCR that uses or intends to use a Local Generator to participate in the ICAP/SCR program and perform Load reductions when directed by the NYISO, RIPs certify that the SCR's participation in the program complies with all federal, state, and local laws and regulatory requirements with respect to operation of the Local Generator used to reduce Load from the NYS Transmission System, and/or distribution system, during a demand response event or test. RIPs will provide documentation of compliance with these federal, state and local laws and regulatory requirements upon request of the NYISO.

SCRs that use Local Generators that are operating to fully serve their Load do not qualify for participation in the ICAP/SCR program. A Local Generator that is normally operating to partially serve its Load may participate in the program with any additional generation that is available to operate at the direction of the NYISO in order to reduce the remaining Load being supplied from the NYS Transmission System and/or distribution system. In no instance shall a Local Generator participate in the ICAP/SCR program at a level that exceeds the SCR's applicable ACL baseline that was used for enrollment in the program.

A Special Case Resource that supplies Load reductions solely through the use of a ~~distributed~~ Local ~~g~~Generator (whether or not operated in parallel with the NYCA) and that elects to measure such Load reductions by metering the output of such ~~distributed~~ Local ~~G~~generator in accordance with Sections 4.12.2.1 and 4.12.2.2 of this *ICAP Manual* hereto shall report to the NYISO DMNC test data as part of its ~~Special Case Resource~~SCR enrollment in addition to other generator information requested in that enrollment. A ~~Special Case Resource~~SCR that supplies Load reductions solely through the use of a ~~distributed~~ Local ~~g~~Generator and that elects to measure such Load reductions by metering the output of such ~~distributed~~ Local ~~g~~Generator in accordance with Sections 4.12.2.1 and 4.12.2.2 of this *ICAP Manual* must deduct from the output of such generator: (i) any auxiliary Load consumed by the generator and supplied from an external source; and (ii) any Load from a load bank used in conjunction with the generator when responding to NYISO dispatch under Section ~~4.12.3.~~4.12.4, such that only the amount of generation that reduces Load from the NYS Transmission System and/or distribution system during an event or test is reported as the performance of the SCR.

~~A Special Case Resource may specify generation in excess of its facility load, provided that it has installed metering capability satisfactory to the NYISO in order to quantify the net load change during a curtailment. By enrolling a Special Case Resource that is a generator, the RIP is certifying to the NYISO, on behalf of itself and the Special Case Resource, that the Special Case Resource has obtained all necessary regulatory approvals to sell energy at wholesale and meet applicable utility interconnection and delivery (including metering) requirements.~~

~~Special Case Resources must meet the qualifications and comply with the procedures described below. A RIP claiming Unforced Capacity from Special Case Resources must comply with the requirements and procedures set forth in the *ICAP Manual*.~~

~~The Unforced Capacity of Special Case Resources may only be offered in auctions administered by the NYISO or be claimed by an LSE towards its LSE Unforced Capacity Obligation in even increments of 100 kW (e.g. 590 kW of Unforced Capacity would be rounded down to 500 kW). However, Special Case Resources may be aggregated into an SCR Aggregation to minimize the effect of this requirement, provided that each such Aggregation is identified as a single block of Unforced Capacity. Aggregations of this type may be used to meet the 100 kW block requirement.~~

~~The RIP shall report the performances of each Special Case Resource individually directly into the DRIS using an import file formatted as specified in the *NYISO Demand Response Information System User's Guide* (available from the NYISO Web site at http://www.nyiso.com/public/markets_operations/documents/manuals_guides/index.jsp). The NYISO shall track each Special Case Resource's performance in accordance with the procedures contained in this Section 4.12. Performance measurements will be calculated in accordance with Sections 4.12.2.1 and 4.12.2.2 of this *ICAP Manual*.~~

~~The NYISO shall calculate a separate SCR Aggregation performance factor that recognizes over-performance by one Special Case Resource to compensate for under-performance in the same hour by another Special Case Resource in the same SCR Aggregation. The minimum hourly performance of an individual Special Case Resource shall be zero (0). Special Case Resources may be transferred from one SCR Aggregation to another SCR Aggregation within a RIP's portfolio during the Aggregation Management period as specified in the ICAP Event Calendar and DRIS Event Calendar. Following the Aggregation Management period, the NYISO shall recalculate the SCR Aggregation performance factor for each SCR Aggregation. The SCR Aggregation performance factor shall be calculated in accordance with Sections 4.12.2.1 and 4.12.2.2 of this *ICAP Manual*.~~

RIP Performance Factor:

For each Capability Period in which a RIP enrolls resources, the NYISO shall calculate a performance factor for the RIP ("RIP Performance Factor"). The RIP Performance Factor shall be based on the performance of all Special Case Resources registered to the RIP in the Capability Period; provided, however, over-performance in an hour, will offset under-performance in the same hour, by Special Case Resources in the RIP's portfolio, and the minimum hourly performance of an individual Special Case Resource shall be zero (0).

The RIP Performance Factor shall be used as the performance factor for any new Special Case Resource that never participated in a like Capability Period.

For each Responsible Interface Party that has never participated in the NYISO's market as a RIP, for the first Winter Capability Period and the first Summer Capability Period, the RIP's Performance Factor shall be computed by the NYISO as the average of all of the performance factors of all Special Case Resources registered in the Prior Equivalent Capability Period, and the Capability Period immediately preceding the Prior Equivalent Capability Period.

~~RIP performance for purposes of determining whether a RIP was deficient during any month in the Capability Period will be based on the performance of its Special Case Resources on a Load Zone basis. A RIP will not be charged with a deficiency charge if the total performance of its individual Special Case Resources in a Load Zone eligible to be sold within its committed supply meets or exceeds the total capacity sold by the RIP in that Load Zone, in accordance with the *NYISO Services Tariff*. Within a Load Zone, if the RIP's Special Case Resources eligible to be sold in the applicable Capacity auction or through a Bilateral Transaction does not meet its full commitment, the RIP will be subject to deficiency penalties as applicable to any Installed Capacity Resource.~~

~~The NYISO will also allow participation by aggregations of small customers using alternative metering and performance measurement subject to the procedures and limitations set forth in the *NYISO Emergency Demand Response Program Manual* (available from the NYISO Web site at the following URL: http://www.nyiso.com/public/markets_operations/market_data/demand_response/index.jsp, except that the total of all such aggregations for Special Case Resources shall not exceed 100 MW. Each small customer aggregation will be reviewed by the NYISO staff and the Installed Capacity Working Group, and must be approved by at least four of the Chairs and Vice-Chairs of the Management Committee and the Business Issues Committee and the Chairs of the Installed Capacity Working Group and Price Responsive Load Working Group. The RIP shall report the performance of each small customer aggregation (each aggregation separate from any other aggregation and separate from resources not in the aggregation) directly into the DRIS, using an import file formatted as specified in the *NYISO Demand Response Information System User's Guide*. The RIP shall provide additional documentation to verify performance as requested by the NYISO.~~

4.12.2.1 Calculation of UCAP and Installed Capacity Equivalent for Special Case Resources

The amount of UCAP that can be provided by a Special Case Resource that provides capacity wholly or partially by means of non-generator based load reduction shall be calculated using the equations specified in subsection 4.12.2.1.1 when a Provisional ACL applies and subsection 4.12.2.1.2 for all other Special Case Resources that provide capacity wholly or partially by means of non-generator based load reduction. The amount of UCAP that can be provided by a Special Case Resource that provides capacity solely by means of load reductions achieved through operation of one or more generators may be calculated using the equations specified in either subsection 4.12.2.1.2 or subsection 4.12.2.1.3. The amount of UCAP that can be provided by an SCR Aggregation of Special Case Resources shall be calculated using the equations specified in subsection 4.12.2.1.4.

The Installed Capacity Equivalent of Special Case Resources shall be as specified in subsection 4.12.2.2.

4.12.2.1.1 Determining the Amount of UCAP for a Non-Generator Based Special Case Resource with a Provisional ACL

$$UCAP^{Q}_{gm} = \left(ACL^{P}_{gm} - CMD_{gm}\right) x \frac{\sum_{h \in LRHgbe} \min\left(\frac{\max\left(ACL^{P}_{gh} - AMD_{gh}, 0\right)}{ACL^{P}_{gh} - CMD_{gh}}, 1\right)}{NLRH_{gbe}} \times \left(1 + TLF_{gv}\right)$$

Where:

$UCAP^{Q}_{gm}$ = the Unforced Capacity that Resource *g* is qualified to provide in month *m*;

ACL^{P}_{gm} = the Provisional Average Coincident Load for Resource *g* applicable to month *m*, using data reported in the enrollment file uploaded to DRIS; in accordance with Section 4.12.4 of this *ICAP Manual* ;

CMD_{gm} = the Contract Minimum Demand for Resource *g* applicable to month *m*, using data reported in the enrollment file uploaded to DRIS;

LRH_{gbe} = the set of hours (each an hour *h*) in the period beginning at time *b* and ending at time *e* in which Resource *g* was requested to reduce load;

ACL^{P}_{gh} = the Provisional Average Coincident Load for Resource *g* applicable to hour *h*, using data reported in the enrollment file uploaded to DRIS as of time *e* in accordance with Section 4.12.4 of this *ICAP Manual*;

AMD_{gh} = the Average Minimum Demand for Resource *g* for hour *h*, using data using data reported in the performance data file uploaded to DRIS;

CMD_{gh} = the Contract Minimum Demand for Resource *g* applicable to hour *h*, using data reported in the enrollment file uploaded to DRIS;

$NLRH_{gbe}$ = the number of hours during the period beginning at time *b* and ending at time *e* in which Resource *g* was required to reduce load (including any hour in which Resource *g* was required to reduce load by the ISO as part of a test);

b = the Capability Period prior to the Prior Equivalent Capability Period in which the performance factor is being computed, unless Resource *g* had not begun at that time to serve as a Special Case Resource available to reduce load, in which case *b* is the earlier of time *e* or the time at which Resource *g* began to serve as a Special Case Resource available to reduce load;

e = the Prior Equivalent Capability Period in which the performance factor is being computed; and

TLF_{gv} = the applicable transmission loss factor for Resource *g*, expressed in decimal form (i.e. a loss factor of 8% is equal to .08). The applicable transmission loss factor shall be the loss factor for deliveries of Energy at voltage level *v* by the relevant TO to the

retail customer where the Resource *g* is located as reflected in the TO's most recent rate case and stored in DRIS.

If $NLRH_{gbe} = 0$, then the calculation of $UCAP^{Q}_{gm}$ shall be performed as though the value of

$$\frac{\sum_{h \in LRHgbe} \min\left(\frac{\max\left(ACL^{P}_{gh} - AMD_{gh}, 0\right)}{ACL^{P}_{gh} - CMD_{gh}}, 1\right)}{NLRH_{gbe}}$$

in the equation above were 1; provided, however, that if Resource *g* had not begun to serve as a Special Case Resource at time *e*, then the value of

$$\frac{\sum_{h \in LRHgbe} \min\left(\frac{\max\left(ACL^{P}_{gh} - AMD_{gh}, 0\right)}{ACL^{P}_{gh} - CMD_{gh}}, 1\right)}{NLRH_{gbe}}$$

in the equation above shall be set equal to an average historical performance factor calculated by the ISO for all Special Case Resources. Until such a calculation is performed and posted by the ISO, this factor shall equal 1.

4.12.2.1.2 Determining the Amount of UCAP for a Non-Generator Based Special Case Resource using the Average Coincident Load baseline

$$UCAP^{Q}_{gm} = \left(ACL_{gm} - CMD_{gm}\right) x \frac{\sum_{h \in LRHgbe} \min\left(\frac{\max\left(ACL_{gh} - AMD_{gh}, 0\right)}{ACL_{gh} - CMD_{gh}}, 1\right)}{NLRH_{gbe}} \times \left(1 + TLF_{gv}\right)$$

Where:

$UCAP^{Q}_{gm}$ = the Unforced Capacity that Resource *g* is qualified to provide in month *m*;

ACL_{gm} = the Average Coincident Load for Resource *g* applicable to month *m*, using data reported in the enrollment file uploaded to DRIS; for month *m* in accordance with Section 4.12.4 of this *ICAP Manual* ;

CMD_{gm} = the Contract Minimum Demand for Resource *g* applicable to month *m*, using data reported in the enrollment file uploaded to DRIS;

LRH_{gbe} = the set of hours (each an hour *h*) in the period beginning at time *b* and ending at time *e* in which Resource *g* was requested to reduce load;

ACL_{gh} = the Average Coincident Load for Resource *g* applicable to hour *h*, using data reported in the enrollment file uploaded to DRIS as of time *e*;

AMD_{gh} = the Average Minimum Demand for Resource *g* for hour *h*, using data reported in the performance data file uploaded to DRIS;

CMD_{gh} = the Contract Minimum Demand for Resource *g* applicable to hour *h*, using data reported in the enrollment file uploaded to DRIS;

$NLRH_{gbe}$ = the number of hours during the period beginning at time *b* and ending at time *e* in which Resource *g* was required to reduce load (including any hour in which Resource *g* was required to reduce load by the ISO as part of a test);

b = the Capability Period prior to the Prior Equivalent Capability Period in which the performance factor is being computed, unless Resource *g* had not begun at that time to serve as a Special Case Resource available to reduce load, in which case *b* is the earlier of time *e* or the time at which Resource *g* began to serve as a Special Case Resource available to reduce load;

e = the Prior Equivalent Capability Period in which the performance factor is being computed; and

TLF_{gv} = the applicable transmission loss factor for Resource *g*, expressed in decimal form (i.e. a loss factor of 8% is equal to .08). The applicable transmission loss factor shall be the loss factor for deliveries of Energy at voltage level *v* by the relevant TO to the retail customer where the Resource *g* is located as reflected in the TO's most recent rate case and stored in DRIS.

If $NLRH_{gbe} = 0$, then the calculation of $UCAP^{Q}_{gm}$ shall be performed as though the value of

$$\frac{\sum_{h \in LRHgbe} \min\left(\frac{\max\left(ACL_{gh} - AMD_{gh}, 0\right)}{ACL_{gh} - CMD_{gh}}, 1\right)}{NLRH_{gbe}}$$

in the equation above were 1; provided, however, that if Resource *g* had not begun to serve as a Special Case Resource at time *e*, then the value of

$$\frac{\sum_{h \in LRHgbe} \min\left(\frac{\max\left(ACL_{gh} - AMD_{gh}, 0\right)}{ACL_{gh} - CMD_{gh}}, 1\right)}{NLRH_{gbe}}$$

in the equation above shall be set equal to an average historical performance factor calculated by the ISO for all Special Case Resources. Until such a calculation is performed and posted by the ISO, this factor shall equal 1.

4.12.2.1.3 Determining the Amount of UCAP for a Generator Based Special Case Resource

$$UCAP^{Q}{}_{gm} = DMNC_{gm} \times \frac{\sum_{h \in LRHgbe} \min\left(\frac{AGO_{gh}}{CGO_{gh}}, 1\right)}{NLRH_{gbe}} \times \left(1 + TLF_{gv}\right)$$

Where:

$UCAP^{Q}_{gm}$ = the Unforced Capacity that Resource *g* is qualified to provide in month *m*;

$DMNC_{gm}$ = the total of DMNC ratings for all generators used to reduce load at Resource *g* which are applicable for month *m*, which shall be the most recent Summer DMNC ratings for the generators calculated in accordance with ISO procedures if month *m* is part of a Summer Capability Period, or the most recent Winter DMNC ratings for the generators calculated in accordance with ISO procedures if month *m* is part of a Winter Capability Period, as of the close of business on the last business day preceding the Monthly Installed Capacity Auction that is conducted during the month preceding month *m*;

LRH_{gbe} = the set of hours (each an hour *h*) in the period beginning at time *b* and ending at time *e* in which Resource *g* was required to reduce load;

$NLRH_{gbe}$ = the number of hours during the period beginning at time *b* and ending at time *e* in which Resource *g* was required to operate in order to offset system load (including any hour in which Resource *g* was required to operate by the ISO as part of a test);

AGO_{gh} = the average output of the generator(s) located at Resource *g* during an hour *h* using data reported in the performance data file uploaded to DRIS;

CGO_{gh} = the Contracted Generator Output for the generator(s) located at Resource *g* applicable to an hour *h*, using data reported in the enrollment file uploaded to DRIS;

b = the Capability Period prior to the Prior Equivalent Capability Period in which the performance factor is being computed, unless Resource *g* had not begun at that time to serve as a Special Case Resource available to reduce load, in which case *b* is the earlier of time *e* or the time at which Resource *g* began to serve as a Special Case Resource available to reduce load;

e = the Prior Equivalent Capability Period in which the performance factor is being computed; and

TLF_{gv} = the applicable transmission loss factor for Resource *g*, expressed in decimal form (i.e. a loss factor of 8% is equal to .08). The applicable transmission loss factor shall be the loss factor for deliveries of Energy at voltage level *v* by the relevant TO to the retail customer where the Resource *g* is located as reflected in the TO's most recent rate case and stored in DRIS.

If $NLRH_{gbe} = 0$, then the calculation of $UCAP^{Q}_{gm}$ shall be performed as though the value of

$$\frac{\sum_{h \in LRHgbe} \min\left(\frac{AGO_{gh}}{CGO_{gh}}, 1\right)}{NLRH_{gbe}}$$

in the equation above were 1; provided, however, that if Resource *g* had not begun to serve as a Special Case Resource at time *e*, then the value of $\frac{\sum_{h \in LRHgbe} \min\left(\frac{AGO_{gh}}{CGO_{gh}}, 1\right)}{NLRH_{gbe}}$ in the equation above shall be set equal to an average historical performance factor calculated by

the ISO for all Special Case Resources. Until such a calculation is performed and posted by the ISO, this factor shall equal 1.

4.12.2.1.4 Determining the Amount of UCAP for an SCR Aggregation of Special Case Resources

$$UCAP^{Q}_{am} = \sum_{am} \left(\begin{array}{l} \left(ACL^{*}_{gm} - CMD_{gm}\right) x \dfrac{\min\left(\sum_{ah} \left(\sum_{h \in LRHgbe} \left(\dfrac{\max\left(ACL^{*}_{gh} - AMD_{gh}, 0\right)}{ACL^{*}_{gh} - CMD_{gh}} \right) \times \left(1 + TLF_{gv}\right) \right), 1 \right)}{NLRH_{abe}} + \\ \left(\sum_{am} \left(ACL^{*}_{ngm} - CMD_{ngm}\right) x PF_{RIP} \right) \end{array} \right)$$

Where:

$UCAP^{Q}_{am}$ = the Unforced Capacity that SCR Aggregation *a* is qualified to provide in month *m*;

ACL^{*}_{gm} = any form of the Average Coincident Load (including Provisional or Net ACL adjusted for Change of Status) for Resource *g* applicable to month *m*, using data reported in the enrollment file uploaded to DRIS; for month *m*, in accordance with Section 4.12.4 of this *ICAP Manual*;

CMD_{gm} = the Contract Minimum Demand for Resource *g* applicable to month *m*, using data reported in the enrollment file uploaded to DRIS;

LRH_{gbe} = the set of hours (each an hour *h*) in the period beginning at time *b* and ending at time *e* in which Resource *g* was requested to reduce load;

ACL_{gh} = the Average Coincident Load for Resource *g* applicable to hour *h*, using data reported in the enrollment file uploaded to DRIS as of time *e* in accordance with Section 4.12.4 of this *ICAP Manual*;

AMD_{gh} = the Average Minimum Demand for Resource *g* for hour *h*, using data reported in the performance data file uploaded to DRIS;

CMD_{gh} = the Contract Minimum Demand for Resource *g* applicable to hour *h*, using data reported in the enrollment file uploaded to DRIS;

$NLRH_{abe}$ = the number of hours during the period beginning at time *b* and ending at time *e* in which SCR Aggregation *a* was required to reduce load (including any hour in which SCR Aggregation *a* was required to reduce load by the ISO as part of a test);

b = the Capability Period prior to the Prior Equivalent Capability Period in which the performance factor is being computed, unless Resource *g* had not begun at that time to serve as a Special Case Resource available to reduce load, in which case *b* is the earlier of time *e* or the time at which Resource *g* began to serve as a Special Case Resource available to reduce load;

e = the Prior Equivalent Capability Period in which the performance factor is being computed;

TLF_{gv} = the applicable transmission loss factor for Resource *g*, expressed in decimal form (i.e. a loss factor of 8% is equal to .08). The applicable transmission loss factor shall

be the loss factor for deliveries of Energy at voltage level *v* by the relevant TO to the retail customer where the Resource *g* is located as reflected in the TO's most recent rate case and stored in DRIS;

ACL^{*}_{ngm} = any form of the Average Coincident Load (including Provisional or Net ACL adjusted for Change of Status) for a new Resource *g* with no performance history applicable to month *m*, using data reported in the enrollment file uploaded to DRIS; for month *m*, in accordance with Section 4.12.4 of this *ICAP Manual*;

CMD_{ngm} = the Contract Minimum Demand for a new Resource *g* with no performance history applicable to month *m*, using data reported in the enrollment file uploaded to DRIS; and

PF_{RIP}= the Performance Factor of Responsible Interface Party *RIP* applicable to the current Capability Period, using the RIP performance factor calculated in DRIS.

4.12.2.2 Determining the Installed Capacity Equivalent of the Amount of UCAP Supplied

4.12.2.2.1 ICE for a Non-Generator Based Special Case Resource with a Provisional ACL

The ICE of a Special Case Resource *g* that provides capacity wholly or partially by means of non-generator based load reduction shall be calculated as follows when a Provisional ACL is in effect:

$$\mathbf{ICE_{gm} = ACL^{P}_{gm} - CMD_{gm}}$$

Where:

ICE_{gm} = the Installed Capacity Equivalent of the amount of Unforced Capacity that Resource *g* supplies in month *m*;

$ACLP_{gm}$ = the Provisional Average Coincident Load for Resource *g* applicable to month *m*, using data reported in the enrollment file uploaded to DRIS, as calculated in accordance with Section 4.12.4 of this *ICAP Manual* above; and

CMD_{gm} = the Contract Minimum Demand for Resource *g* applicable to month *m*, using data reported in the enrollment file uploaded to DRIS.

4.12.2.2.2 ICE for a Non-Generator Based Special Case Resource using the Average Coincident Load baseline

The ICE of a Special Case Resource *g* that provides capacity wholly or partially by means of non-generator based load reduction shall be calculated as follows:

$$\mathbf{ICE_{gm} = ACL_{gm} - CMD_{gm}}$$

Where:

ICE_{gm} = the Installed Capacity Equivalent of the amount of Unforced Capacity that Resource *g* supplies in month *m*;

ACL_{gm} = the Average Coincident Load for Resource *g* applicable to month *m*, using data reported in the enrollment file uploaded to DRIS, as calculated in Section 4.12.2.1.2 above; and

CMD_{gm} = the Contract Minimum Demand for Resource *g* applicable to month *m*, using data reported in the enrollment file uploaded to DRIS.

4.12.2.2.3 ICE for a Generator Based Special Case Resource

The ICE of a Special Case Resource that provides capacity solely by means of load reductions achieved through operation of one or more generators shall be as follows:

$$\mathbf{ICE_{gm} = CGO_{gm}}$$

Where:

ICE_{gm} = the Installed Capacity Equivalent of the amount of Unforced Capacity that Resource *g* supplies in month *m*; and

CGO_{gm} = the Contracted Generator Output for the generator(s) located at Resource *g* applicable for month *m*, using data reported in the enrollment file uploaded to DRIS.

4.12.3 Minimum Payment Nomination Requirements

For each month in which a ~~Special Case Resource~~SCR supplies Unforced Capacity to the NYCA, the RIP must specify in the ~~Demand Response Information System (~~DRIS~~)~~ a Minimum Payment Nomination that will reflect the minimum guarantee price the ~~Special Case Resource~~SCR will be paid if called upon to reduce Load equal to the Installed Capacity Equivalent of the amount of Unforced Capacity it has supplied. The Minimum Payment Nomination specified for a SCR Aggregation applies to all SCRs within the SCR Aggregation. There is no minimum level of Minimum Payment Nomination and a ~~Special Case Resource~~SCR's Minimum Payment Nomination cannot exceed $500/MWh. This Minimum Payment Nomination, or Energy curtailment payment designation, associated with a ~~Special Case Resource~~SCR's Unforced Capacity will not be entered in the Day-Ahead Market, but instead will serve as a strike price that the NYISO can use to prioritize which ~~Special Case Resource~~SCRs to call. Unlike a Generator or other Resource's Bid to supply Energy associated with Unforced Capacity, a ~~Special Case Resource~~SCR's Minimum Payment Nomination cannot be revised prior to Settlement in the Day-Ahead

Market. A ~~Special Case Resource~~SCR's Minimum Payment Nomination is set for the entire month.

Upon the initial enrollment of a ~~Special Case Resource~~SCR, or at any time when an enrollment change is made, the RIP must include as part of the enrollment file uploaded to the DRIS the SCR Aggregation ID for the ~~Special Case Resource~~SCR. This submission must be completed on or before the date and time specified in the ICAP Event Calendar and DRIS Event Calendar for Close of Enrollment. The Minimum Payment Nomination assigned to the SCR Aggregation ID is then assigned to the individual SCR in the DRIS. The RIP may request new SCR Aggregation IDs in a specific Load Zone, during the New Aggregation ID Request Period in the ICAP Event Calendar and DRIS Event Calendar. Any request for a new SCR Aggregation ID must be approved by the NYISO. The Minimum Payment Nomination for a new SCR Aggregation ID must be specified by the RIP at the time of the SCR Aggregation ID request. The RIP may change the Minimum Payment Nomination for each auction month during the dates and times specified in the ICAP Event Calendar and DRIS Event Calendar for Strike Price Management. ~~Minimum Payment Nominations to perform at a minimum payment for Load reduction, such submission being completed on or before the date and time specified in the ICAP Event Calendar and DRIS Event Calendar for Enrollment. In addition, RIPs must provide Minimum Payment Nominations for all qualified Special Case Resources, regardless of whether, at the time of the NYISO's receipt thereof, a qualified Special Case Resource has committed to supply Unforced Capacity in the NYCA market during the upcoming month.~~

~~Special Case Resource~~SCR Minimum Payment Nominations will be used only when the NYISO Operations department determines the need to call on these ~~Resources~~ SCRs in accordance with the NYISO Emergency Operations Manual. In the event the NYISO Operations department makes such a determination, the Minimum Payment Nominations placed for each ~~Special Case Resource~~SCR will allow the NYISO to call for Load reduction based on ~~Special Case Resource~~SCR zone location and price. As a result, the NYISO will be able to call less than the total pool of ~~Special Case Resource~~SCRs in the NYCA and in each NYCA zone.

As an example, the NYISO may determine that it needs a Demand Reduction response of 25 MW in Zone J. A total of 50 MW of ~~Special Case Resource~~SCRs located in Zone J is supplying Unforced Capacity. For this example, assume that each MW of ~~Special Case Resource~~SCR Capacity entered a different Minimum Payment Nomination, from $0/MWh to $500/MWh. In order to fulfill its need for 25 additional MW of reserves, the NYISO will call the 25 MW of ~~Special Case Resource~~SCRs in economic order based on their submitted Minimum Payment Nominations starting with the lowest values. See Section 4.12.8 for situations where multiple ~~Special Case Resource~~SCRs have placed the same top Minimum Payment Nomination called upon by the NYISO and the total MW offered at that price exceed the ISO's needs.

4.12.4 Performance

A ~~Special Case Resource~~SCR must make Energy available, for a minimum four (4) hour block (except where environmental constraints that have been previously considered and approved by the NYISO require a shorter block), in amounts that correspond to the

Installed Capacity Equivalent of the amount of Unforced Capacity it supplies to the NYCA, by reducing Load or by transferring Load to a distributed generator. The obligation to reduce Load or to transfer Load to a distributed generator shall commence at the top of the hour after the NYISO has provided the following notices:

a. on the day before the ~~Special Case Resource~~SCR's performance may be required, the NYISO shall provide twenty-one (21) hour notice to the RIP, so long as notification is provided by 3:00 PM ET. If notice is provided to the RIP after 3:00 PM ET on the day before the ~~Special Case Resource~~SCR's performance may be required, then the NYISO shall instead provide twenty-four (24) hours notice;
b. following the advance notice described in (a) above, on the operating day the NYISO shall provide at least two (2) hours notice to the RIP that the ~~Special Case Resource~~SCR's performance will be required. The ~~Special Case Resource~~SCR shall reduce its Load or transfer Load to a Local Generator (as appropriate) commencing at the top of the hour immediately after the two-hour notice period has expired. In the alternative, the NYISO may specify the hour at which the ~~Special Case Resource~~SCR shall commence performance of its obligation by reducing its Load or transferring Load to a Local Generator (as appropriate), so long as the start hour specified by the NYISO is at least two hours in the future.

If the ~~Special Case Resource~~SCR is unable to provide full output within two (2) hours due to operational constraints, the RIP may petition the NYISO for permission to provide maximum output from the ~~Special Case Resource~~SCR within a longer period. The ISO's permission will not be unreasonably withheld. In granting permission, the NYISO will calculate the appropriate de-rating factor for use in determining the amount of Unforced Capacity that such ~~Special Case Resource~~SCR can provide in the future.

4.12.4.1 Average Coincident Load

The ACL is the baseline Load used by the NYISO for measuring the amount of Load reduction that a SCR enrolled in the NYISO's ICAP/SCR program can provide, and has previously provided, during a specific Capability Period. An ACL is calculated by the NYISO for each SCR, except those SCRs that are eligible to enroll with a Provisional ACL, in accordance with Section 5.12.11.1.1 of the *NYISO Services Tariff*. An increase to the ACL may be reported in accordance with Section 5.12.11.1.5 of the *NYISO Services Tariff* and Section 4.12.4.3.1 of this *ICAP Manual*. A decrease to the ACL is required to be reported in accordance with Section 5.12.11.1.3 of the *NYISO Services Tariff* and Sections 4.3.3 and 4.12.4.3.2 of this *ICAP Manual.*

~~For the Winter 2011-2012 Capability Period and thereafter, the NYISO will use the average of the highest 20 (twenty) one-hour peak Loads of the Special Case Resource from the top 40 (forty) SCR Load Zone Peak Hours during the 1 P.M. to 7 P.M. time period of the Prior Equivalent Capability Period, specific to the Load Zone of the Special Case Resource as adjusted to account for verified Load reductions in a Transmission Owner's demand response program in response to deployment of a Transmission Owner's demand response program in hours coincident with any of the top 40 (forty) SCR Load Zone Peak Hours, to create a Special Case Resource Average Coincident Load ("ACL ")baseline.~~ The NYISO

will post to its website, and import into the DRIS, the top 40 NYCA peak Load hours for the Prior Equivalent Capability Period for each Load ~~z~~Zone ninety (90) days prior to the beginning of the Capability Period for which the ACL will be in effect. ~~Beginning with the Summer 2012 Capability Period, the NYISO will also import the SCR Load Zone Peak Hours into DRIS.~~ RIPs shall only report metered hourly Load consumed by the SCR that is supplied by the NYS Transmission System and/or the distribution system when uploading metered data into the DRIS for calculating or verifying an ~~the~~ ACL ~~calculation and/or any ACL or Provisional ACL verification that may be required~~. Any Load supported by generation produced from a Local Generator, other behind-the-meter generator, or other supply resource located behind the SCR's meter operating during the Capability Period SCR Peak Load Zone Hours, may not be added to the metered ~~l~~Load values submitted ~~by RIPs when enrolling the SCR~~. In instances where the metered ~~l~~Load captures both the energy provided from the NYS Transmission System and/or distribution system with the energy provided by a Local Generator, other behind-the-meter generator, or other supply resource located behind the SCR's meter, the total amount of supply from behind-the-meter sources shall be netted out of the metered Load data submitted to the NYISO for calculating~~on~~ or verifying ~~of the~~ an ACL ~~or verification of the ACL or Provisional ACL~~.

~~For the Summer 2011 Capability Period only, the NYISO will use the average of the highest 20 (twenty) one-hour peak Loads of the Special Case Resource from the top 50 (fifty) SCR Load Zone Peak Hours during the 1 P.M. to 7 P.M. time period of the Prior Equivalent Capability Period, specific to the Load Zone of the Special Case Resource and without any adjustment to Load for participation in a Transmission Owner's demand response program for hours coincident with any of the top 50 SCR Load Zone Peak Hours, to create a Special Case Resource Average Coincident Load ("ACL") baseline. The top 50 SCR Load Zone Peak Hours from the Prior Equivalent Capability Period for each zone for the Summer 2011 Capability Period will be posted on the ISO's website. Following the Summer 2011 Capability Period, as specified in the DRIS and ICAP Event Calendars, each RIP must import the top 50 SCR Load Zone Peak Hours into DRIS for verification of the ACL used for the Summer 2011 Capability Period. If a RIP fails to report interval data for any hour in which interval data was expected for verification of the Summer 2011 ACL, those hours shall be set to zero and the ACL will be calculated for the resource. The calculated ACL using verification data reported for Summer 2011 will be used in performance and deficiency calculations for the SCR.~~

~~In the Special Case Resource enrollment file uploaded to DRIS by the RIP each month within the Capability Period, among other required information, the RIP shall state (a) the values necessary to compute the ACL for each Special Case Resource and (b) any load reduction in accordance with Section 4.3.3.4 of this ICAP Manual.~~ If a RIP attempts to change the value of any hour used in the ACL calculation in a subsequent enrollment during the same Capability Period, the ~~resource's~~ SCR's enrollment record will be set to a Pending status in the DRIS and must be approved by the NYISO before the ~~resource~~ SCR can be enrolled with a revised ACL. ~~If a Special Case Resource transfers its enrollment to another RIP during a Capability Period, the second RIP is required to report ACL data to enroll the Special Case Resource.~~

4.12.4.2 Provisional Average Coincident Load

~~If a new Special Case Resource has no interval billing meter data from the Prior Equivalent Capability Period, its Installed Capacity value shall be its Provisional Average Coincident Load for the Capability Period for which the new Special Case Resource is enrolled. The Provisional ACL will be based on the RIP's forecast of the ACL of the Capability Period in which the resource is enrolled. The Provisional ACL provided with the initial enrollment for that Capability Period shall remain in effect for the entire Capability Period. The Provisional ACL value may only be modified when enrolling the resource for the first time in a new Capability Period. A Special Case Resource enrolled with a Provisional ACL may not transfer to another RIP within the same Capability Period. A Special Case Resource's Provisional ACL is verified subsequent to each eligible Capability Period pursuant to calculations using the Special Case Resource's metered Load values pursuant to Sections 5.12.11.1.1 and 5.12.11.1.2 of the NYISO's Market Services Tariff.~~

A RIP may enroll a SCR with a Provisional ACL in accordance with Section 5.12.11.1.2 of the *NYISO Services Tariff*. The RIP must report the ~~resource M~~meter ~~I~~installation ~~D~~date on the enrollment upload to the DRIS for each ~~resource~~ SCR being enrolled with a Provisional ACL. The meter installation date of the SCR must remain the same for the entire period in which the SCR is enrolled with a Provisional ACL with the same RIP.

A demand response resource enrolled in the Prior Equivalent Capability Period in the NYISO Emergency Demand Response Program is ineligible to enroll in the ICAP/SCR program with a Provisional ACL when being enrolled with the same RIP.

Determining Eligibility to Enroll A SCR with A Provisional ACL:

Beginning with the 2014 Summer Capability Period, a RIP may verify the eligibility of a SCR to enroll with a Provisional ACL during the time frame corresponding to the SCR enrollment period as specified in the ICAP Event Calendar and DRIS Event Calendar and using the Transmission Owner Account Number of the SCR and the Provisional ACL Eligibility Import file through the DRIS. The Provisional ACL Eligibility Import will provide the RIP with one of the following results: (a) the SCR is eligible to enroll using a Provisional ACL and may be enrolled through the SCR enrollment process; (b) the SCR is ineligible to enroll using a Provisional ACL in accordance with Section 4.12.4.2.2 of this *ICAP Manual*.

~~Any~~ All Provisional ~~Average Coincident Load~~ACLs ~~will~~ shall be subject to ~~actual in-period~~ verification using the Verified ACL calculated in accordance with the verification process set forth in ~~formula as defined in~~ Section 5.12.11.1.2 of the *NYISO Services Tariff*.~~4.12.4.1 of this *ICAP Manual*. Following the Capability Period for which a resource with a Provisional Average Coincident Load was enrolled, the RIP shall provide to the NYISO the data necessary to compute the ACL of the resource from the resource's interval meter data in accordance with ISO Procedures.~~ The RIP is responsible for uploading into the DRIS the ~~ACL~~ interval billing meter data of the ~~resource~~ SCR for the Capability Period SCR Load Zone Peak Hours ~~within~~ from the Capability Period in which the ~~resource~~ SCR was enrolled with a Provisional ACL, beginning with hours that fall between ~~from the date of~~ the ~~M~~meter ~~I~~installation ~~D~~date for the SCR enrolled with a Provisional ACL ~~for the~~

~~resource to~~ through the end of the Capability Period in which the SCR was enrolled with a Provisional ACL. Any Load supported by generation produced from a Local Generator, other behind-the-meter generator, or other supply source located behind the ~~Special Case Resource~~SCR's meter operating during the applicable Capability Period SCR Peak Load Zone Hours may not be included in the ~~Special Case Resource~~SCR's metered Load values reported for the verification of its Provisional ~~Average Coincident Load~~ACL.

~~Any Demand Reductions reported by a Transmission Owner in accordance with Section 4.12.4.9 of this *ICAP Manual*, shall be included in the in-period verification calculation of the Provisional ACL.~~

If twenty (20) or more Capability Period SCR Load Zone Peak Hours occur ~~are reported from~~during the period between the ~~M~~meter ~~I~~installation ~~D~~date for a resource with a Provisional ACL ~~to~~ and the end of the Capability Period ~~as part of the in-period verification process for a resource with a Provisional ACL~~, the NYISO shall calculate ~~the~~ a Verified ACL ~~for the in-period~~from the Provisional ACL verification data as the average of ~~using~~ the resource's highest twenty hourly loads taken from the relevant interval metered load dataset reported to the DRIS by the RIP. If there are fewer than twenty (20) applicable Capability Period SCR Load Zone Peak Hours occurring after the ~~M~~meter ~~I~~installation ~~D~~date, the RIP is required to report the relevant interval metered load from the ~~M~~meter ~~I~~installation ~~D~~date through the end of the Capability Period into the DRIS; however, the Provisional ACL from the SCR enrollment will be used in the calculation of the SCR's performance factor, and all other associated performance factors (*i.e.*, RIP and SCR Aggregation performance factors), and where applicable, potential ~~and~~ deficiency charges ~~calculations for the SCR~~.

If a RIP is required to report interval data for the Provisional ACL verification process, according to the meter installation date of the SCR, and fails to report any interval data for ~~any hour in which interval data was expected for in-period~~the Provisional ACL verification process~~based on the Meter Installation Date~~, ~~those hours shall be set to zero and~~ the Verified ACL for the SCR will be ~~calculated~~ set to zero for the ~~resource~~Capability Period. The ~~calculated~~ Verified ACL ~~using in-period verification data~~ will be used in the calculation of the SCR's performance factor, and all other associated performance factors (*i.e.*, RIP and SCR Aggregation performance factors), and where applicable, potential ~~and~~ deficiency charges ~~calculations for the SCR~~.

The NYISO will compare the Provisional Average Coincident Load to the ACL (calculated in accordance with the ACL formula as defined in Section 4.12.4.1 of this *ICAP Manual*) to determine, after applying the applicable performance factor, whether the UCAP of the Special Case Resource had been oversold. If the RIP oversold the Special Case Resource, it shall be a shortfall under *Services Tariff* Section 5.14.2. If the RIP fails to provide the data necessary to compute the ACL of the resource enrolled with a Provisional ACL by the deadline, the ACL of the resource will be set to zero for each month in which the resource with a Provisional ACL was enrolled and the RIP may be subject to deficiency penalties in accordance with the *NYISO Services Tariff*.

4.12.4.2.1 Continued Use of a Provisional Average Coincident Load ~~After the First Capability Period~~

A SCR enrolled with a Provisional ACL may be enrolled with a Provisional ACL in subsequent Capability Periods in accordance with Section 5.12.11.1.2 of the *NYISO Services Tariff*.

The Provisional ACL may be applicable to a ~~new Special Case Resource~~SCR for ~~a maximum of~~up to three (3) consecutive Capability Periods, when enrolled with the same RIP, beginning with the ~~c~~Capability Period in which the ~~Special Case Resource~~SCR is first enrolled with the RIP. ~~If a Special Case Resource transfers to another RIP in a subsequent Capability Period, the Meter Installation Date provided with the initial Capability Period in which the resource was enrolled with a Provisional ACL will remain in effect for all Capability Periods in which the resource is enrolled with a Provisional ACL.~~ If the SCR is enrolled by another RIP in a subsequent Capability Period and the SCR is still eligible to enroll with a Provisional ACL, the enrolling RIP is required to enter a meter installation date when enrolling the SCR.

A ~~Special Case Resource~~SCR enrolled with a Provisional ACL that reported ~~all 40 hours~~ metered Load data for twenty (20) or more of the Capability Period SCR Load Zone Peak Hours ~~for in-period verification of the ACL for a Capability Period will not be~~ is not eligible to enroll with a Provisional ACL in the next ~~like~~ equivalent Capability Period~~, regardless of whether the Special Case Resource is being enrolled by the same RIP or transferring to a new RIP~~. When interval billing meter data from the Prior Equivalent Capability Period necessary to compute the ACL is available in the DRIS and a different RIP is enrolling the SCR in the next equivalent Capability Period the enrolling RIP may request that the NYISO use the existing interval billing meter data in accordance with Section 4.12.4.2.2 of this *ICAP Manual* for enrollment of the SCR. When no such interval billing meter data or insufficient data exists in the DRIS, the RIP enrolling the SCR in the next equivalent Capability Period is eligible to enroll the SCR with a Provisional ACL. ~~A Special Case Resource may enroll with a Provisional ACL in the immediately succeeding Capability Period if it did not participate in the Prior Equivalent Capability Period or it did not have all 40 hours to report for the in-period verification of the ACL for the Prior Equivalent Capability Period, based on the resource Meter Installation Date.~~

~~A Special Case Resource may enroll with a Provisional ACL in the next Equivalent Capability Period, the third consecutive Capability Period, following the Capability Period in which the resource was first enrolled with a Provisional ACL, when less than 40 of the Top 40 SCR Load Zone Peak hours can be reported on from the Prior Equivalent Capability Period, based on the resource Meter Installation Date. When the resource was enrolled with a Provisional ACL in the Prior Equivalent Capability Period and the resource Meter Installation Date required reporting of 20 or more but less than 40 of the SCR Load Zone Peak Hours, the Provisional ACL value reported on the enrollment for the third consecutive Capability Period, may increase from the Provisional ACL value reported in the Prior Equivalent Capability Period, regardless of whether the Special Case Resource is being enrolled by the same RIP or transferring to a new RIP. The Provisional ACL value may increase up to the value of the calculated ACL based on in-period reporting from the Prior Equivalent Capability Period only when the calculated in-period ACL showed an increase~~

~~from the Provisional ACL value reported on the enrollment for the Prior Equivalent Capability Period.~~

~~When the resource was enrolled with a Provisional ACL in the Prior Equivalent Capability Period and the resource Meter Installation Date required reporting of 20 or more but less than 40 of the SCR Load Zone Peak Hours, the Provisional ACL value reported on the enrollment for the third consecutive Capability Period, must not exceed the Provisional ACL value reported in the Prior Equivalent Capability Period when the calculated in-period ACL reported from the Prior Equivalent Capability Period did not show an increase from the Provisional ACL value reported on the enrollment for the Prior Equivalent Capability Period, regardless of whether the Special Case Resource is being enrolled by the same RIP or transferring to a new RIP.~~

~~When the resource was enrolled with a Provisional ACL in the Prior Equivalent Capability Period and the resource Meter Installation Date required reporting of less than 20 of the SCR Load Zone Peak Hours, the Provisional ACL value reported on the enrollment for the third consecutive Capability Period may be an increase or decrease from the Provisional ACL value reported on the enrollment for the Prior Equivalent Capability Period, regardless of whether the Special Case Resource is being enrolled by the same RIP or transferring to a new RIP.~~

4.12.4.2.2 Request for SCR Meter Data: ACL Data Request Enrollment Procedures

Beginning with the 2014 Summer Capability Period, when a RIP does not have and cannot obtain the interval billing meter data from the Prior Equivalent Capability Period necessary to compute an ACL for enrollment of a SCR, the RIP may enroll the SCR using existing data in the DRIS, to the extent the necessary data is available in the DRIS, by requesting such data from the NYISO ("ACL data request enrollment"). The DRIS Provisional ACL Eligibility Import will indicate whether the ACL data necessary for enrollment of a SCR exists in the DRIS (refer to the *NYISO DRIS User's Guide* for details on this import).

Below is a summary of the process the RIP is required to take to enroll a SCR using existing data from the DRIS. A more detailed description of the ACL data request enrollment process is provided in the *NYISO DRIS User's Guide.*

- The request to use existing ACL data and the meter installation date of the SCR shall be included as part of the enrollment file upload to the DRIS upon the initial enrollment of the SCR by the RIP.

- An ACL data request enrollment that passes validations as part of the enrollment file upload to the DRIS shall be placed in a *Pending* enrollment request status, which will require further action by the RIP to be taken following the close of SCR enrollment and

before the close of Aggregation Management as specified in the ICAP Event Calendar and DRIS Event Calendar.

- The RIP will be required to approve or decline the use of existing ACL data as specified in the *NYISO DRIS User's Guide.*
    - When a RIP approves, the RIP is required to enter additional enrollment values for the SCR prior to acceptance by the DRIS.
    - If the RIP declines, the SCR is not enrolled.
- All ACL data request enrollments that have not been acted on by the RIP (i.e., approved or declined) by the close of Aggregation Management will be automatically declined or denied by the DRIS and the SCRs associated with the ACL data request enrollments will not be enrolled.
- A RIP that declines an ACL data request enrollment for a SCR, or an enrollment that is declined by the DRIS, may not subsequently enroll the SCR using RIP obtained interval billing meter data for the remainder of the Capability Period. The same RIP may make another request to use existing interval meter data from the DRIS during subsequent enrollment windows within the same Capability Period.

4.12.4.3 Changes to ACL

4.12.4.3.1 Increase to ACL: Incremental ACL

A RIP may increase the ACL of a SCR in accordance with Section 5.12.11.1.5 of the *NYISO Services Tariff* by reporting the qualifying increase, the Incremental ACL value, on the enrollment upload to the DRIS for the first month of enrollment with an Incremental ACL. The RIP may also report an increase to the declared value of a SCR that meets the criteria of a SCR Load Change Reporting Threshold as defined in Section 2.19 of the *NYISO Services Tariff*. The Incremental ACL must be reported for each subsequent month that the RIP reports a change to the SCR enrollment within the Capability Period. When the Incremental ACL crosses into the following Capability Period, the RIP must report the Incremental ACL value for the first month of enrollment within the following Capability Period and each subsequent month within that Capability Period.

When a RIP enrolls a SCR using the ACL data request enrollment process set forth in Section 4.12.4.2.2 of this *ICAP Manual*, the RIP may report an Incremental ACL value for the SCR upon viewing and approving the use of existing ACL data.

All Incremental ACLs shall be subject to verification using the Verified ACL calculated in accordance with the verification process set forth in Section 5.12.11.1.5 of the *NYISO Services Tariff*. The RIP is responsible for uploading into the DRIS the required interval

billing meter data of the SCR for each month's Monthly SCR Load Zone Peak Hours from the Capability Period in which the SCR was enrolled with an Incremental ACL. Such Monthly SCR Load Zone Peak Hours shall be posted to the NYISO website and imported into the DRIS during the time frame corresponding to the posting of the Capability Period SCR Load Zone Peak Hours in accordance with Section 5.12.11.1.1 of the *NYISO Services Tariff* and Section 4.12.4.1 of this *ICAP Manual*. Any Load supported by generation produced from a Local Generator, other behind-the-meter generator, or other supply source located behind the SCR's meter operating during the applicable Monthly SCR Load Zone Peak Hours may not be included in the SCR's metered Load values reported for the verification of its Incremental ACL. If a RIP is required to report interval data for the Incremental ACL verification process and fails to report any interval data for the Incremental ACL verification process, the Verified ACL for the SCR will be set to zero for the Capability Period. The Verified ACL will be used in the calculation of the SCR's performance factor, and all other associated performance factors (i.e., RIP and SCR Aggregation performance factors), and where applicable, potential deficiency charges.

Any SCR enrolled with an Incremental ACL that was required to perform in the first performance test in the Capability Period, may also be required to perform in the second performance test in the Capability Period in accordance with Section 5.12.11.1.5 of the *NYISO Services Tariff*. Subsequent to the first performance test in the Capability Period, the DRIS may be used to identify SCRs required to perform in the second performance test, including SCRs enrolled with an Incremental ACL. The detailed process for identifying these SCRs is described in the *NYISO DRIS User's Guide*. When a SCR is required to test in both performance tests in the Capability Period, performance in both tests shall be used in the calculation of the SCR's performance factor and all other associated performance factors (i.e., RIP and SCR Aggregation performance factors), and where applicable, potential shortfalls and deficiency charges.

4.12.4.3.2 Decrease to ACL: SCR Change of Status

A RIP is required to report a decrease, to the ACL of a SCR, a SCR Change of Status, in accordance with Section 5.12.11.1.3.2 of the *NYISO Services Tariff* and Section 4.3.3.2 of this *ICAP Manual.*

When a RIP enrolls the SCR using the ACL data request enrollment process set forth in Section 4.12.4.2.2 of this *ICAP Manual*, the RIP may report a SCR Change of Status for the SCR upon viewing and approving the use of existing ACL data.

Any SCR enrolled with a SCR Change of Status that was required to perform in the first performance test in the Capability Period, may also be required to perform in the second performance test in the Capability Period in accordance with Section 5.12.11.1.3.2 of the *NYISO Services Tariff*. Subsequent to the first performance test in the Capability Period, the DRIS may be used to identify SCRs required to perform in the second performance test, including SCRs with a SCR Change of Status. The detailed process of identifying these

SCRs is described in the *NYISO DRIS User's Guide*. When a SCR is required to test in both performance tests in the Capability Period, performance in both tests shall be used in the calculation of the SCR's performance factor and all other associated performance factors (*i.e.*, RIP and SCR Aggregation performance factors), and where applicable, potential shortfall and deficiency charges.

Changes to ACL due to a reported ~~Special Case Resource~~SCR Change of Status as required per Section ~~4.3.3.4~~ 4.3.3.2of this *ICAP Manual* are also subject to in-period verification using actual hourly interval billing meter data for the applicable Capability Period. ~~The computation of the performance of a Special Case Resource with a reported Change in Status, or a new Special Case Resource, during an event and test that includes in its formula a Provisional ACL shall be subject to all the same deficiency payments and forward deratings as apply to all other Special Case Resources.~~

4.12.4.4 Use of Generation by a Special Case Resource

Only a Local Generator available to respond to the NYISO direction and effect a real time load reduction may be enrolled as a~~n~~ SCR ("enrolled SCR generator"). When a Local Generator normally operates to serve its resource's Load, it may participate in the SCR program only to the extent that it can shift additional Load from the NYS Transmission System and/or distribution system onto the Local Generator at the direction of the NYISO.

In order for a RIP to enroll a~~n~~ SCR that uses an eligible Local Generator, any amount of generation that can reduce Load from the NYS Transmission System and/or distribution system at the direction of the NYISO that was produced by the Local Generator during the hour coincident with the NYCA or Locality peaks, upon which the Unforced Capacity Obligation of the LSE that serves that SCR is based, must be accounted for when the LSE's Unforced Capacity Obligation for the upcoming Capability Year is established. RIPs must provide this generator data annually to the NYISO on or before the date and time specified in the ICAP Event Calendar and DRIS Event Calendar so that the ISO can adjust upwards the LSE Unforced Capacity Obligation to prevent double-counting. If a RIPs fails to report this generator data for the NYCA or Locality peaks, the generation operating during the NYCA/Locality peak hours becomes ineligible to participate as SCR capacity in the upcoming Capability Year. This reporting requirement applies only when the RIP is seeking to qualify generation produced by a Local Generator as Capacity to be enrolled in the ICAP/SCR program. The RIP is not required to report to the NYISO the amount of generation from the eligible Local Generator that was running on the NYCA or Locality peaks that is normally operating to serve the resource's load because this amount of generation is not eligible to qualify as Capacity that can be enrolled in the ICAP/SCR program.

The NYCA/Locality Peak Hour Load Generation Form is available on the NYISO Web site. The amount of generation reported on the NYCA/Locality Peak Hour Load Generation Form must be specified in the enrollment of each ~~Special Case Resource~~SCR. RIPs may enroll the available capacity from a ~~Special Case Resource~~SCR's qualifying generation up

to the level of the resource's Net ACL or Provisional ACL. The NYISO will notify the Transmission Owner in the Transmission District in which the ~~Special Case Resource~~SCR generator is located to report the amount of generation supplied during the NYCA/Locality peak hours that must be accounted for in the relevant customer's Load, the LSE's Load, the Transmission District's Load forecast, and the NYCA/Locality peak Load forecast for the applicable Capability Year.

4.12.4.5 Testing of Special Case Resources

Each ~~Special Case Resource~~SCR is required by the NYISO to demonstrate its maximum registered megawatt value in a test ~~once~~ in every Capability Period, such test not to exceed one clock hour on the date and at the time specified by the NYISO. The RIP shall be eligible for Energy payments for the one-hour test provided the NYISO receives from the RIP all required data and that the RIP complies with other test-related requirements in respect of the ~~Special Case Resource~~SCR. Two Capability Period tests shall be conducted within each Capability Period; the first test within the Capability Period will be conducted on the date and at the time designated by the NYISO between July 1 and August 31 for the Summer Capability Period, and between January 1 and the last calendar date of February for the Winter Capability Period; the second Capability Period test shall be conducted on the date and at the time designated by the NYISO, namely, in late September or October (Summer Capability Period) or late March or April (Winter Capability Period). During the Winter Capability Period, the NYISO shall conduct the test in hours that include one (1) hour before and one (1) hour after the actual hours included in the Capability Period SCR Load Zone Peak Hours, for that Winter Capability Period, not to exceed the time boundaries of the Capability Period SCR Load Zone Peak Hours. All ~~Special Case Resource~~SCRs enrolled with and accepted by the NYISO on or before the date that is four business days prior to the date of the first test in the Capability Period (excluding the date of the test), such enrollment in any auction month within the Capability Period, must perform in the first test for each Capability Period in which the ~~Resource~~ SCR is accepted on any date regardless of whether megawatts from the ~~Special Case Resource~~SCR had been offered prior to the date of the test.

For example, if the test was on a Friday on the 10th day of a month, ~~Special Case Resource~~SCRs enrolled with and accepted by the NYISO on or before the Monday prior to the 10th (i.e., accepted on the 6th), must perform the test. All ~~Special Case Resource~~SCRs enrolled with and accepted by the NYISO, such enrollment in any auction month within the Capability Period, that were not required to perform in the first Capability Period test shall perform in the second test within the Capability Period on the date and at the time specified by the NYISO regardless of whether megawatts from the ~~Special Case Resource~~SCR had been offered prior to the date of this test.

The only exception to the ~~test~~ requirement to test is for a ~~Special Case Resource~~SCR that was (i) registered with and accepted by the NYISO in the last month of a Capability Period for enrollment in the following Capability Period and (ii) was not registered by another RIP for any month during the same Capability Period, in which case the ~~Special Case Resource~~SCR would not need to respond to a test in the month the registration was accepted but would need to respond to the test called by the NYISO for the following Capability Period for which the ~~Special Case Resource~~SCR is being enrolled.

A SCR enrolled with an Incremental ACL or a SCR Change of Status may be required to perform in both the first and second tests in the Capability Period in accordance with Sections 5.12.11.1.5 and 5.12.11.1.3.2 of the *NYISO Service Tariff*. Further detail is provided in Sections 4.12.4.3.1 and 4.12.4.3.2 of this *ICAP Manual*.

If a RIP terminates the enrollment with the NYISO of a ~~Special Case Resource~~SCR prior to the date of a test (termed a *Former Enrolled SCR*), the RIP, at its election, may provide test data for the Former Enrolled SCR, if the Former Enrolled SCR performed the test. If the RIP does not provide test data for a Former Enrolled SCR, a value of zero (0) will be attributed to the Former Enrolled SCR's performance in the computation of the SCR's performance factor~~s~~, and all associated performance calculations, shortfalls, and deficiency charges. If the Former Enrolled SCR is subsequently enrolled with a different RIP in the same Capability Period, the new RIP may provide test data for the SCR for the test the SCR is eligible to perform in based on the enrollment date with the new RIP. If neither the original RIP nor the new RIP provide test data for the SCR, a value of zero (0) will be attributed to the SCR's performance in the computation of the SCR's performance factor, and all associated performance calculations, shortfalls, and deficiency charges. If only one RIP provides test data for the SCR, that test data will be used. If both RIPs provide test data for the SCR, the test data provided by the RIP which enrolled the SCR last in the Capability Period will be used. In all instances, the SCR performance will be used in the calculation of the RIP performance factor for the RIP which enrolled the SCR last in the Capability Period.

4.12.4.6 RIP Deficiency Determination

RIP performance for purposes of determining whether a RIP was deficient during any month in the Capability Period will be based on the performance of its Special Case Resources on a Load Zone basis. A RIP will not be charged with a deficiency charge if the total performance of its individual Special Case Resources in a Load Zone eligible to be sold within its committed supply meets or exceeds the total capacity sold by the RIP in that Load Zone, in accordance with the *NYISO Services Tariff*. Within a Load Zone, if the RIP's Special Case Resources eligible to be sold in the applicable Capacity auction or through a Bilateral Transaction does not meet its full commitment, the RIP will be subject to deficiency penalties as applicable to any Installed Capacity Resource.

Each Special Case Resource's performance in the test and event will be considered when determining RIP deficiencies. The calculation of the deficiency penalty shall utilize the greater of the quantity of capacity it proves is available during (i) the test called by the NYISO and (ii) any event within the same Capability Period, such quantity termed, "Maximum Demonstrated MW Reduction."

Within a Capability Period, for RIPs with Special Case Resources for which the NYISO has received a Change of Status, in months where the Change of Status is in effect, the

performance of the Special Case Resource shall be based on the reduced ACL. In months prior to the beginning of the onset of the Change of Status, the performance of the Special Case Resource shall be based on the ACL immediately prior to the month in which the reduction pursuant to a Change of Status began. In months in which load increases due to the end of a Change of Status event, the performance of the Special Case Resource shall be based on the ACL established in accordance with the *ICAP Manual* Section ~~4.3.3.5.~~4.3.3.3.

A RIP will be subject to deficiency charge in any month it sells more capacity than the sum of the Maximum Demonstrated MW Reduction for all Special Case Resources sold within a Load Zone in the same Capability Period. A RIP also will be deficient if New Special Case Resources are include in UCAP certified for a sale in any auction other than an ICAP Spot Market Auction or included in a Bilateral Transaction that is certified by both parties, and if the RIP oversold a Special Case Resource with a Provisional ACL as defined under *Services Tariff* Section 5.14.2.

The performance during the test or event of Special Case Resources that move from one RIP (termed the "Initial RIP") portfolio to another RIP (termed the "Final RIP") portfolio will be credited to the RIP that has the Special Case Resource registered to it at the time of the event or test. If the NYISO identifies a RIP deficiency, an Initial RIP shall have an opportunity to demonstrate to the NYISO (aa) that a Special Case Resource that was a resource of the Initial RIP was registered with a Final RIP at the time of an event or test, and (bb) the portion of the RIP's sales attributable to such Special Case Resource for the month under review. Provided such demonstration is to the satisfaction of the NYISO, the portion of such Special Case Resource's sales will not be used in the computation of the Initial RIP's deficiency charge for the month. The performance of capacity resources registered with and accepted by the NYISO subsequent to the test in July or August (Summer Capability Period) or January or February (Winter Capability Period) will only apply to month(s) in (xx) which the added resources participated and (yy) the Capability Period for which the Resource was tested, not every month in the Capability Period. Individual Special Case Resources will be subject to derating as described below.

4.12.4.7 Reporting Partial Sales

A RIP that sells less than one hundred percent (100%) and more than zero percent (0%) of its total registered MW may identify the portion of each ~~Special Case Resource~~SCR that constitutes the sale. The RIP must import any such identification into the ~~Demand Response Information System (~~DRIS~~)~~ within five (5) business days following posting of the ICAP Spot Market Auction results on or before the date and time specified in the ICAP Event Calendar and DRIS Event Calendar. Nothing in the preceding sentence shall diminish a RIP's obligation to provide data regarding ~~Special Case Resource~~SCRs within ~~Zone J~~a Mitigated Capacity Zone, including pursuant to *ICAP Manual* Section ~~5.15.2~~5.15.2. ~~Special Case Resource~~SCRs identified by a RIP as not sold in the month of an event will not have their performance during event hours counted toward their performance factors. If a RIP does not provide the information within the specified period, each ~~Special Case Resource~~SCR of a RIP applicable to a sale (for example, at the PTID if the PTID is identified in the sale) will be considered as sold at its full registered MW value. UCAP values will be calculated for each ~~Special Case Resource~~SCR in accordance with Sections 4.12.2.1 and 4.12.2.2 of this *ICAP Manual*.

4.12.4.8 Reporting SCR Performance Data

Performance for each ~~Special Case Resource~~SCR shall be reported for all hours during all called ~~Special Case Resource~~SCR events and one-hour tests in a Capability Period. Each Capability Period, the NYISO will calculate performance factors for each ~~Special Case Resource~~SCR based on all of the following values from the ~~last like~~Prior Equivalent Capability Period and the Capability Period preceding the ~~last like~~Prior Equivalent Capability Period: (a) the best set of four (4) consecutive hours in each mandatory event ~~for events~~ of four hours or more, (b) all hours for mandatory events of less than four hours, and (c) all eligible one-hour test data.

If ~~Special Case Resource~~SCR data is not received by the NYISO in the form and manner and within the time period prescribed for any of the hours used for performance measurement, those hours will be treated as forced outage hours unless the ~~Special Case Resource~~SCR was previously identified as not committed for that month. If a resource (including one that ceases to be registered with the NYISO or a resource of the RIP at the time of the test) does not perform the test, or if required test data is not received by the NYISO within the specified time period after a test, the hour test period will be treated as a forced outage hour. All hours, including those in excess of the hours used for performance measurement, including tests, will be used to determine Energy payments in accordance with Section 4.12.8, statistics for NYISO internal use, the computation of deficiency charges, and as the basis for various external reports, and for other purposes in accordance with the *NYISO Services Tariff*.

In the event that a ~~Special Case Resource~~SCR located at a retail customer was in operation (in the case of a Local Generator) or providing Load reduction (in the case of interruptible Load), at the time of the NYCA system or Transmission District peak upon which the Minimum Unforced Capacity Requirement of the LSE serving that customer is based, the LSE's Minimum Unforced Capacity Requirement shall be increased by the amount of Load that was served or interrupted by the ~~Special Case Resource~~SCR.

4.12.4.9 Adjustments to Metered Load ~~for Demand Reductions in a Transmission Owner's Demand Response Program~~Used in the Calculation of the Average Coincident Load

Prior to the calculation of the applicable ACL, adjustments to the metered load of a SCR shall be made for: (a) ~~Demand~~ Load ~~R~~reductions resulting from participation in a Transmission Owner's demand response program, (b) Load reductions resulting from participation in the NYISO Day Ahead Demand Response Program (DADRP), or, (c) participation in the NYISO Demand Side Ancillary Services Program (DSASP), during any of the Capability Period or Monthly SCR Load Zone Peak Hours for the applicable Capability Period. The adjustments shall be made, as described in each section below,~~added back~~ to the corresponding metered load values of the ~~resources~~ SCRs as reported to the DRIS by the RIP at enrollment or when reporting Provisional ACL or Incremental ACL verification data.

Applicable adjustments to the metered load of a SCR, as described below, shall be made ~~P~~prior to the beginning of each Capability Period ~~and~~ following the upload of the applicable Capability Period SCR Load Zone Peak Hours for that Capability Period and the Monthly

SCR Load Zone Peak Hours for each month within that Capability Period, as specified on the DRIS and ICAP Event Calendars.,

Applicable Aadjustments to the metered load for Demand Reductions in a Transmission Owner's demand response programa SCR shall be incorporated into the applicable ACL calculation at the time of the successful import of enrollment or verification data by the RIP (refer to the *DRIS User's Guide* for details). If a Transmission Owner modifiesmodification is made to any Demand Reductionadjusted metered load values reported forby a Transmission Owner for a Transmission Owner demand response program or by the NYISO for a NYISO economic demand response program account number associated with a Special Case ResourceSCR, the applicable ACL shall be recalculated upon successful import of thesuch Transmission Owner's changes.

Modifications may be made by the Transmission Owners and/or the NYISO to the reported adjustments when the verification data reporting period occurs for resources with a Provisional ACL or an Incremental ACL. Transmission Owners may make modifications to the reported Demand Reductions when the in-period verification data reporting occurs for resources with a Provisional ACL. Transmission Owners may also make mModifications may also be made by the Transmission Owners and/or the NYISO to the reported Demand Reductionsadjustments during each monthly enrollment period, provided the resource did not havewas not enrolled with a Provisional ACL or Incremental ACL and if the resource has not already been enrolled in an auction month within the Capability Period. It is the responsibility of the RIP to resolve any issues regarding adjustments for participation in a Transmission Owner's demand response program prior to the close of each monthly enrollment period or in-period verification data reporting period. Adjustments to the ACL for any unresolved issues between a RIP and Transmission Owner will not be made after the monthly enrollment period closes.

It is the responsibility of the RIP to resolve any issues regarding adjustments for participation in a Transmission Owner's demand response program with the Transmission Owner's contacts prior to the close of each monthly enrollment period or verification data reporting period. Any issues with a adjustments related to NYISO economic demand response program participation must be resolved prior to the close of each monthly enrollment period or verification data reporting period by contacting the NYISO Stakeholder Services. Adjustments to the ACL for any unresolved issues between a RIP and Transmission Owner or a RIP and the NYISO will not be permitted after the monthly enrollment period or verification data reporting period closes.

4.12.4.9.1 Adjustments to Metered Load for Load Reductions in a Transmission Owner's Demand Response Program

tThe authorized Transmission Owners that administer demand response programs shall import into the DRIS verified Demand Load Rreductions that occurred during any of the Capability Period or Monthly SCR Load Zone Peak Hours used in the calculation of the applicable ACL for the Capability Period and/or used in the calculation of a Monthly ACL for SCRs reporting Incremental ACL verification data. The Transmission Owners shall report the Transmission Owner account number and verified Demand Load Rreductions for

each Capability Period or Monthly SCR Load Zone Peak Hour for each of the resources enrolled in its demand response program(s).

When the period for upload of verified ~~Demand~~ Load ~~R~~reductions begins, Transmission Owners must provide contact information to the NYISO for the person(s) that the RIPs should contact to resolve any issues with adjustments for its demand response program data reported into the DRIS. The NYISO shall make this contact information available in the ~~*Manuals and Forms*~~*General Information* section of the *Demand Response* folder on the NYISO Web site at:
http://www.nyiso.com/public/markets_operations/market_data/demand_response/index.jsp
~~http://www.nyiso.com/public/markets_operations/market_data/icap/index.jsp~~

~~Transmission Owners may make modifications to the reported Demand Reductions when the in-period verification data reporting occurs for resources with a Provisional ACL. Transmission Owners may also make modifications to the reported Demand Reductions during each monthly enrollment period, provided the resource did not have a Provisional ACL and if the resource has not already been enrolled in an auction month within the Capability Period. It is the responsibility of the RIP to resolve any issues regarding adjustments for participation in a Transmission Owner's demand response program prior to the close of each monthly enrollment period or in-period verification data reporting period. Adjustments to the ACL for any unresolved issues between a RIP and Transmission Owner will not be made after the monthly enrollment period closes.~~

The NYISO shall use the Transmission Owner account number to identify the ~~Special Case Resource~~SCR for which a Transmission Owner adjustment will be made to one or more hours used in the calculation of the applicable ACL. If a ~~Special Case Resource~~SCR is enrolled in more than one Transmission Owner demand response program, or in the NYISO Day Ahead Demand Response Program, for which a ~~Demand~~ Load ~~R~~reduction is reported for the same hour, the highest ~~Demand~~ Load ~~R~~reduction reported by a Transmission Owner or verified Load reduction from a DADRP schedule, will be used to adjust that hour's metered load reported by the RIP.

~~Adjustments to the metered load for Demand Reductions in a Transmission Owner's demand response program shall be incorporated into the ACL calculation at the time of the successful import of enrollment data by the RIP (refer to the *DRIS User Guide* for details). If a Transmission Owner modifies any Demand Reduction values reported for a Transmission Owner account number associated with Special Case Resource, the ACL shall be recalculated upon successful import of the Transmission Owner's changes.~~

4.12.4.9.2 Adjustments to Metered Load for Load Reductions in the NYISO Day Ahead Demand Response Program

The NYISO shall import into the DRIS verified Load reductions in response to a Day Ahead Demand Response Program ("DADRP") schedule that occurred during any of the Capability Period or Monthly SCR Load Zone Peak Hours used in the calculation of the applicable ACL for the Capability Period and/or used in the calculation of a Monthly ACL for SCRs reporting Incremental ACL verification data. If a SCR is also enrolled in one or more Transmission Owner demand response programs for which a Load reduction is

reported for the same hour, the highest Load reduction occurring in either the DADRP or as reported by a Transmission Owner, will be used to adjust that hour's metered Load reported by the RIP.

4.12.4.9.3 Adjustments to Metered Load for Participation in the NYISO Demand Side Ancillary Services Program

The NYISO shall import into the DRIS the DSASP Baseline MW, in accordance with Section 5.12.11.1 of the *NYISO Services Tariff*, for verified Load reduction of a SCR in the Demand Side Ancillary Services Program ("DSASP") during any of the Capability Period or Monthly SCR Load Zone Peak Hours used in the calculation of the applicable ACL for the Capability Period and/or used in the calculation of a Monthly ACL for SCRs reporting Incremental ACL verification data. If a RIP also reports the Load of the SCR for the same hour, the Load of the SCR to be used in the calculation of the applicable ACL will be the higher of the DSASP Baseline MW or the Load reported by the RIP. If a SCR is also enrolled in one or more Transmission Owner demand response programs for which a Load reduction is reported for the same hour, the highest Load reduction reported by a Transmission Owner will be added to the Load of the SCR reported by the RIP and the Load of the SCR to be used in the calculation of the applicable ACL will be the higher of the DSASP Baseline MW or the sum of the Load reported by the RIP and the highest Transmission Owner Load reduction.

4.12.5 NYISO Notification Procedures

The NYISO will provide twenty-one (21) hour-ahead notification if notification is provided by 3:00 PM ET, or twenty-four (24) hour notice otherwise, and two (2) hour notice, as required by this *ICAP Manual* (and described in Section 4.12.4, above), to the RIP. The former notification will be provided after 11:00 A.M. day-ahead, when the Day-Ahead Market closes. The NYISO commits not to use the day-ahead notification of potential need to operate indiscriminately but rather only when the Day-Ahead Market indicates potential serious shortages of supply for the next day in accordance with the Emergency Operations Manual. The day-ahead notice may occur on a weekend day or a holiday, as needed.

The NYISO shall provide notice no less than two (2) hours ahead of required operation or interruption, in the manner described in Section 4.12.4, above. Requested hours of operation within the two hour notification window and/or beyond the maximum 4 hours obligation will be considered voluntary for purposes of performance measurement. Notifications will normally be specified from, and to, specific clock hours, on-the-hour. Performance calculations and energy payments will normally be calculated for energy reductions for whole clock hours; i.e. from 13:00 to 14:00, 14:00 to 15:00, etc. In cases where events are initiated other than on-the-hour, energy payments will be computed for partial hours but performance calculations will only be calculated for whole hours.

RIPs shall contact their ~~Special Case Resource~~SCRs through whatever communication protocols are agreed to between the ~~Special Case Resource~~SCRs and the RIPs. Communication from the RIP to the ~~Special Case Resource~~SCR is the responsibility of the

RIP. Such communication is subject to review by the NYISO. Any misrepresentation of the NYISO program in such notifications is subject to sanction by the NYISO, up to and including disqualification as a RIP.

RIPs claiming ~~Special Case Resource~~SCR Unforced Capacity shall provide the NYISO with their phone and Internet contact information that allows for notification by the NYISO at any time. RIPs shall confirm receipt of both instances of notification (day-ahead and two (2) hour) within 1 hour. Such confirmation must be received in accordance with the instructions in the notification and must confirm the relay of proper notification by the RIPs to their ~~Special Case Resource~~SCR clients, where applicable.

4.12.6 Capacity Adjustment Procedures

Seasonal performance factors will be calculated in accordance with Attachment J of this *ICAP Manual*. Existing Special Case Resources that have a performance record from the Prior Equivalent Capability Period will have initial Unforced Capacity values determined based on the Attachment J calculation. All new Special Case Resources will be assigned Unforced Capacity values based on the ratio of the sum of all Unforced Capacity values to the sum of all Installed Capacity values of all Special Case Resources in the associated RIP's portfolio of resources in accordance with calculations set forth in Section 3.3 of Attachment J. A Special Case Resource that fails to respond to RIP notification by reaching pledged Load reduction capability or maximum pledged generator output following notice from the NYISO to the RIP, or that fails to provide output for the period required by the NYISO or four (4) hours, whichever is less, will be considered forced out (for unperformed hours) for purposes of calculating the Unforced Capacity value of the Special Case Resource for future Obligation Procurement Periods. See Attachment J of this *ICAP Manual* for further explanation and calculation of a Special Case Resource's Unforced Capacity value.

A Special Case Resource that requested and for which the NYISO has granted written permission to reach pledged Load reduction or maximum output in more than two (2) hours will be considered forced out in the amount of Unforced Capacity not backed by Energy for the period starting two (2) hours following the notice from the NYISO to the RIP until the Special Case Resource attains pledged Load reduction or maximum output.

A Special Case Resource (SCR) that cannot operate for the full four (4) hours when called for by the ISO, due to environmental permit limits or otherwise, shall be considered forced out for the hours it is unable to operate or is operated at reduced output and will have its Unforced Capacity rating calculated accordingly.

4.12.7 Additional RIP Requirements

In addition to other requirements under this *ICAP Manual*, a RIP claiming Unforced Capacity from a ~~Special Case Resource~~SCR for sale into a NYISO-administered auction or for its own requirements (in the case of a RIP that is an LSE) shall fulfill the following obligations:

- Obtain authorization from each ~~Special Case Resource~~SCR to allow~~ing~~ the RIP to act on behalf of the ~~Special Case Resource~~SCR during each Capability Period or for

the term of the agreement. The authorization must specify that the RIP has authority to sell the ~~Special Case Resource~~SCR's Unforced Capacity, act as the organization of record for all financial transactions, and shall be signed by an authorized representative of the ~~Special Case Resource~~SCR. Upon request, the RIP shall provide such authorization to the NYISO promptly and, if a date is specified by the NYISO in the request, such information must be received by the NYISO on or before the date.

- Notify the NYISO when the ~~Special Case Resource~~SCR ~~reasonably anticipates it~~ will be unavailable to provide its Load reduction, due to a SCR Change of Load or SCR Change of Status in accordance with Section 4.3.3 of this *ICAP Manual*, as recorded in the ~~Demand Response Information System (~~DRIS~~)~~, in accordance with this *ICAP Manual*.
- Report operating data to the NYISO for all hours during all called ~~Special Case Resource~~SCR events and one-hour tests in a Capability Period and as required in Section 4.4.7 by uploading data directly into the DRIS in the format required by and in accordance with the *NYISO ~~Demand Response Information System~~DRIS 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).~~
- ~~Enter DMNC ratings representing the approved UCAP values of registered Special Case Resources, p~~Perform all auction functions in the NYISO's ICAP software program as required, and make certifications to the NYISO each month as provided in Section **Error! Reference source not found.**~~4.7~~.
- Document reductions in Load with interval billing meter readings on customer Load (or with readings on the Local Generator(s) in the case of a ~~Special Case Resource~~SCR whose performance is calculated under Section ~~3.3~~4.12.1. of ~~Attachment J~~this *ICAP Manual*) for the period following the NYISO notice under Section 4.12.4. See the Emergency Demand Response Program Manual for metering requirements. In the event that Energy made available from ~~Special Case Resource~~SCR Unforced Capacity is a small percentage of the total metered Load at the location of the ~~Special Case Resource~~SCR, such that it may not be clearly reflected by meter reads alone, the NYISO will also accept operations logs to augment metered output to ensure accurate verification.
- The RIP (including a Transmission Owner that is a RIP) shall retain all interval meter readings upon which it bases its certification of compliance, for a period of three (3) years.

4.12.8 Special Case Resource Demand Response Payments

Each time a ~~Special Case Resource~~SCR is called to perform in an event or test, the NYISO shall pay the Resource's RIP an Energy payment, provided the NYISO receives in the ~~Demand Response Information System (~~DRIS~~)~~ the required data for the ~~Special Case Resource~~SCR performance and demand response energy payments in the required format, no later than 5:00:00 P.M. on the seventy-fifth (75th) day following the date of each event or test, on the date set forth on the ICAP Event Calendar and DRIS Event Calendar. Payment for ~~Special Case Resource~~SCR Load reductions are conditioned upon verification of

performance for the time period requested by the NYISO. If a ~~Special Case Resources~~SCR participates in either the DADRP or DSASP and concurrently participates as a ~~Special Case Resource~~SCR, the energy payment to the RIP will be adjusted if the resource was committed in the Day-Ahead Market to perform in either the DADRP or DSASP at the same time as the ~~Special Case Resource~~SCR activation. The Customer Base Load (CBL) calculation and methodology are specified in the *NYISO Emergency Demand Response Manual* (available from the NYISO Web site at http://www.nyiso.com/public/markets_operations/documents/manuals_guides/index.jsp).

The RIP must use and adhere to the upload file format to report required data the NYISO will use to compute performance and energy payment calculations. The format of and specifications for the file are outlined in the *NYISO ~~Demand Response Information System~~DRIS 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)~~.

The Energy payment shall be computed for the amount of Load reduction occurring during the event measured in terms of the Energy supplied during each clock hour of its performance. If the NYISO requests performance by ~~Special Case Resource~~SCRs for more than four (4) hours, the RIP for each responding ~~Special Case Resource~~SCR shall be paid for the duration of its verified performance in the event in accordance with this *ICAP Manual*, starting with the hour specified by the NYISO as the starting time of the activation, or, in the event that the NYISO specified that the Demand Reduction begin as soon as possible, starting with the whole clock-hour in which the ~~Special Case Resource~~SCR began its response. Payment for participation in events and tests shall be computed in accordance with *NYISO Services Tariff* Section 5.12.11.1 pursuant to ISO Procedures. Payment for ~~Special Case Resource~~SCR Load reductions are conditioned upon verification of performance for the time period requested by the NYISO.

If the NYISO requests performance by ~~Special Case Resource~~SCRs in an event for four (4) hours or less, each ~~Special Case Resource~~SCR that provided a verified load reduction for the duration of the event shall be paid as if it had been activated for four (4) hours. Each ~~Special Case Resource~~SCR that reduces demand shall receive a payment consistent with the scarcity pricing rules, in accordance with this Section 4.12.8, for the duration of the NYISO request or for ~~two (2)~~four (4) hours, whichever is greater, starting with the hour specified by the NYISO as the starting time of the event, or, if the NYISO specified that the Demand Reduction begin as soon as possible, starting with the hour that the ~~Special Case Resource~~SCR began to perform. Except in the case of a test, each ~~Special Case Resource~~SCR shall be paid the zonal Real- Time LBMP per MWh of Load reduced for the four-hour minimum payment period. Payment for ~~Special Case Resource~~SCR Load reductions is conditioned upon verification of performance for the time period requested by the NYISO.

~~Special Case Resource~~SCR Minimum Payment Nominations would be eligible to participate in the LBMP price setting under the scarcity pricing rules, which permit Bids, or in this case Minimum Payment Nominations, to set prices if at least one (1) MW of ~~Special Case Resource~~SCR Capacity is needed to satisfy the total reserve requirement, following performance and verification. In the event that a ~~Special Case Resource~~SCR's Minimum Payment Nomination total for the number of hours of performance requested by the NYISO or four (4) hours, whichever is greater, in accordance with this *ICAP Manual* exceeds the

LBMP revenue that RIP receives for the ~~Special Case Resource~~SCR for the corresponding number of hours, that ~~Special Case Resource~~SCR will be eligible for a Bid Production Cost Guarantee to make up the difference.

When more than one ~~Special Case Resource~~SCR has submitted the highest Minimum Payment Nomination selected by the NYISO to perform during an event, the NYISO will specify the number of megawatts of the amount of ~~Special Case Resource~~SCRs that must perform during that event such that all such resources are selected in the same zone provided that single source resources shall be taken without being called upon for partial performance.

To continue the example listed in Section 4.12.3, each ~~Special Case Resource~~SCR that was called to perform in Zone J would be paid the greater of its Minimum Payment Nomination or the applicable LBMP per MW per hour of requested performance following verification of performance of Demand Reduction. When at least one (1) MW of ~~Special Case Resource~~SCR Capacity is needed to satisfy the total reserve requirement, the Minimum Payment Nominations submitted by these Resources may be considered when determining the LBMP.

For event performance data received from a RIP at least ten (10) business days prior to the date of the initial settlement invoice for the month in which the event occurred (Initial Event Data Submission Date), the NYISO will, on a best efforts basis, process the received event performance data such that Energy payments for the event are reflected in the initial settlement invoice. Event data received after the Initial Event Data Submission Date referenced above shall be processed for the true-up or final invoice.

4.12.9 NYISO Verification

The NYISO retains the right to audit any records kept by the RIP, the Transmission Owner, and the ~~Special Case Resource~~SCR that are used to support the RIP's certification of compliance with the procedures set forth in this Section 4.12. The RIP shall be obligated to ensure the ~~Special Case Resource~~SCR complies and fully cooperates with any NYISO audit. Before auditing a ~~Special Case Resource~~SCR, the NYISO will first request information from the RIP that registered the ~~Special Case Resource~~SCR for the period(s) in question, and give the RIP an opportunity to provide information on behalf of the ~~Special Case Resource~~SCR.

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4.3 Maintenance Scheduling Requirements (Section**s** 5.12.3 **and 5.12.11** *NYISO Services Tariff*)

4.3.3 Special Case Resources (Section 4.12 of this *ICAP Manual*)

Although ~~Special Case Resource~~SCRs are not subject to maintenance scheduling requirements, each ~~Special Case Resource~~SCR must be capable of being interrupted on demand at the direction of the NYISO, as specified in Section 5.12.11.1 of the *NYISO Services Tariff* and this *ICAP Manual*. The Responsible Interface Party (RIP) for a ~~Special Case Resource~~SCR that meets the criteria of the SCR Load Change Reporting Threshold as defined in Section 2.19 of the *NYISO Services Tariff*, that is not capable of being interrupted on demand at the direction of the NYISO shall report such an occurrence to the NYISO in accordance with the requirements set forth in Sections 4.3.3.1 and 4.3.3.2 of this *ICAP Manual*.

~~References in this *ICAP Manual* to a RIP(s) include a Special Case Resource acting as its own RIP.~~

4.3.3.1 Reporting SCR Change of Load

~~Change of Load for purposes of Section 4.3.3 shall mean when a Special Case Resource with an Average Coincident Load greater than 500 kW reasonably anticipates a total load reduction equal to or greater than the lesser of (i) thirty (30) percent of the Average Coincident Load for any month within the then-current Capability Period and (ii) ten (10) MW if in Rest of State or Long Island Locality or five (5) MW in the NYC Locality.~~

RIPs shall report a SCR Change of Load, as defined in Section 2.19 of the *NYISO Services Tariff*, in accordance with Section 5.12.11.1.3.1 of the *NYISO Services Tariff* and as defined in Section 2.17 of the *NYISO Services Tariff*. ~~for a period greater than seven (7) continuous days of a Special Case Resource with a demand in any of the preceding twelve (12) months greater than 5 MW as soon as practicable but no later than 5:00:00 P.M. at least two (2) business days prior to the onset of the Change in Load.~~

Qualified Change of Load Condition	SCR Change of Load Reporting Requirement
(i) The SCR is expected to have a reduction in total Load that meets or exceeds the SCR Load Change Reporting Threshold that is expected to continue for a total period that is greater than seven (7) consecutive days.	Submit SCR Change of Load form no later than 5:00:00 P.M. two (2) business days prior to the onset of the SCR Change of Load. Include start and expected end dates of the SCR Change of Load.
(ii) The SCR is experiencing a reduction in total Load that meets or exceeds the SCR Load Change Reporting Threshold that is expected to continue for a total period that is greater than seven (7) consecutive days.	Submit SCR Change of Load form no later than 5:00:00 P.M. on the seventh calendar day of the onset of the SCR Change of Load. Include date when the SCR Change of Load began and the expected end date.
(iii) The SCR experienced an	Submit SCR Change of Load form no later than

Qualified Change of Load Condition	SCR Change of Load Reporting Requirement
unanticipated reduction in total Load that meets or exceeds the SCR Load Change Reporting Threshold for a period greater than seven (7) consecutive days within any month in which the SCR sold capacity or adjoining months in which the SCR sold capacity in either month.	5:00:00 P.M. on the day following the day the RIP became aware of the SCR Change of Load, include start and end dates of the SCR Change of Load.

The SCR Change of Load report shall be in writing on the SCR Change of Load form and must be received via electronic mail to SCR_Registration@nyiso.com. RIPs shall also notify the NYISO in writing as soon as practicable but no later than 5:00:00 P.M. two (2) business days following the date on which the ~~Special Case Resource~~SCR's load returns from a SCR Change of Load. The RIP's written notice shall be on the SCR Change of Load form and must be received via electronic mail to SCR_Registration@nyiso.com.

4.3.3.2 *Reporting SCR Change of Status*

RIPs shall report a SCR Change of Status, as defined in Section 2.19 of the *NYISO Services Tariff* in accordance with Section 5.12.11.1.3.2 of the *NYISO Services Tariff* and as provided below. ~~When a Change of Load, as defined in Section 4.3.3.1, is reasonably anticipated by the Special Case Resource to last for more than sixty (60) continuous days from the first date of the reduction, it is defined as a Change of Status. In any such instance, the RIP must satisfy all obligations for both a Change of Status and a Change of Load as set forth in this *ICAP Manual*. Responsible Interface Parties~~RIPs shall report a SCR Change of Status by both providing the required information on the SCR Change of Status form for the NYISO's receipt and uploading the required information into the Demand Response Information System (DRIS) using the enrollment file.

Qualified Change of Status Condition	SCR Change of Status Reporting Requirement

(i) The SCR is expected to have a reduction in total Load that meets or exceeds the SCR Load Change Reporting Threshold that will extend for a period of greater than sixty (60) consecutive days.	• 1) Submit SCR Change of Status form during enrollment for the first month in which the SCR Change of Status is expected and 2) Upload SCR Change of Status value and any change to the SCR declared value into the DRIS.
	• If enrollment for a month has already closed:
	  • Report partial auction sales through the DRIS when SCR declared value is greater than Net ACL.
	  • Submit SCR Change of Status form with start date.
	  • Upload SCR Change of Status value and

Qualified Change of Status Condition	SCR Change of Status Reporting Requirement
	any change to the SCR declared value into the DRIS during next SCR enrollment period.

(ii) The SCR is experiencing a reduction in total Load that meets or exceeds the SCR Load Change Reporting Threshold that is expected to continue for a total period that is greater than sixty (60) consecutive days.	• 1) Submit SCR Change of Status form during enrollment for the first month in which the SCR Change of Status is expected and 2) Upload SCR Change of Status value and any change to the SCR declared value into the DRIS.
	• If enrollment for a month has already closed:
	  • Report partial auction sales through DRIS when SCR declared value is greater than Net ACL.
	  • Submit SCR Change of Status form with start date.
	  • Upload SCR Change of Status value and any change to the SCR declared value into the DRIS during next SCR enrollment period.

(iii) The SCR has experienced an unanticipated reduction in total Load that meets or exceeds the SCR Load Change Reporting Threshold that has existed for a period greater than sixty (60) consecutive days in which the SCR sold capacity.	• 1) Submit SCR Change of Status form during enrollment for the first month in which the SCR Change of Status is still in effect and 2) Upload SCR Change of Status value and any change to the SCR declared value into the DRIS.
	• If enrollment for the month has already closed:
	  • Report partial auction sales through the DRIS when SCR declared value is greater than Net ACL.
	  • Submit SCR Change of Status form with start date.
	  • Upload SCR Change of Status value and any change to the SCR declared value into the DRIS during next SCR enrollment period.
	• If the SCR has a Qualified Change of Status Condition that persists for more than sixty (60) days:
	  • Submit SCR Change of Status form including start and end dates no later than 5:00:00 P.M. two (2) business days after the load reduction that meets the criteria of the SCR Change of Status has exceeded sixty (60) days.
	• If the SCR Change of Status occurred in the past:
	  • Submit SCR Change of Status form

Qualified Change of Status Condition	SCR Change of Status Reporting Requirement
	including start and end dates no later than 5:00:00 P.M. on the last day of the Capability Period in which the SCR Change of Status began. • The NYISO will not accept a SCR Change of Status after 5:00:00 P.M. on the last day of the Capability Period in which the SCR Change of Status began.

For each month in which (a) the SCR Change of Status is in effect for a ~~Special Case Resource~~SCR and (b) the RIP imports into the DRIS any change in the enrollment for the ~~Special Case Resource~~SCR, the RIP shall upload to the DRIS (i) the SCR Change of Status value and (ii) any corresponding changes in the declared values. While a SCR Change of Status is in effect, the Net ACL for the month will be equal to the applicable ACL plus Incremental ACL minus the reduction amount reported for the SCR Change of Status on the enrollment file for the month. If the NYISO receives from the RIP a SCR Change of Status ~~F~~form and the RIP does not make corresponding changes to the ~~resource~~SCR's enrollment in the DRIS, the NYISO shall place the ~~resource~~SCR in *Under Review* status ~~for~~beginning with the auction month in which the SCR Change of Status first took effect or the next immediate auction month for which the SCR enrollment period is open, whichever is greater. Any such ~~resource~~SCR under review in the DRIS remains associated with the RIP that enrolled it; however, the ~~resource~~SCR cannot be used in an auction or auction-related activity. For any ~~Special Case Resource~~SCR with a SCR Change of Status for at least one day in a month, the reduced ACL shall be applied for the entire month.

~~4.3.3.3 Reporting Change of Load~~

~~The Change of Load report shall be in writing on the Change of Load form and must be received via electronic mail to SCR_Registration@nyiso.com. RIPs shall also notify the NYISO in writing as soon as practicable but no later than 5:00:00 P.M. two (2) business days following the date on which the Special Case Resource's load returns from a Change of Load. The RIP's written notice shall be on the Change of Load form and must be received via electronic mail to SCR_Registration@nyiso.com.~~

~~4.3.3.4 Reducing ACL if a Change of Status~~

~~The RIP shall reduce the Average Coincident Load ("ACL ") of a Special Case Resource that has a Change of Status by notifying the NYISO in the following manner and time. The NYISO must receive from the RIP a Change of Status Form to reduce the ACL of a Special Case Resource that has a Change of Status. In addition, the RIP must import into the DRIS the reduction to the ACL and corresponding changes to the declared values associated with the Change of Status no later than the monthly deadline associated with resource enrollment changes.~~

~~For each month in which (a) the Change of Status is in effect for a Special Case Resource and (b) the RIP imports into the DRIS any change in the enrollment for the Special Case Resource, the RIP shall upload to the DRIS (i) the Change of Status value and (ii) any~~

~~corresponding changes in the declared values. While a Change of Status is in effect, the Net ACL for the month will be equal to the ACL minus the reduction amount reported for the Change of Status on the enrollment file for the month. If the NYISO receives from the RIP a Change of Status Form and the RIP does not make corresponding changes to the resource's enrollment in the DRIS, the NYISO shall place the resource in *Under Review* status for the auction month in which the Change of Status first took effect. Any such resource under review in DRIS remains associated with the RIP that enrolled it; however, the resource cannot be used in an auction or auction-related activity. For any Special Case Resource with a Change of Status for at least one day in a month, the reduced ACL shall be applied for the entire month.~~

~~4.3.3.5~~4.3.3.3 *Increasing ACL in Conjunction with Change of Status Event Ending within Same Capability Period as Initiated*

For a ~~Special Case Resource~~SCR that increases its load due to the end of a SCR Change of Status event in the same Capability Period in which the reduction pursuant to a SCR Change of Status report began, the RIP for a ~~Special Case Resource~~SCR whose ACL was reduced in accordance with 4.3.3.1~~4.3.3.4~~4.3.3.2, may (a) increase the ~~Special Case Resource~~SCR's ACL for any months remaining in the Capability Period in which the reduction occurred, (b) provided such increase corresponds to the ~~4.3.3.4~~4.3.3.2 reduction, (c) in an amount not to exceed the ACL for that Capability Period prior to the ~~4.3.3.4~~4.3.3.2 reduction. The RIP shall use the SCR Change of Status ~~F~~form to report an increase in load associated with the previously reported SCR Change of Status. In addition, for the first month after the SCR Change of Status has ended, the SCR Change of Status value reported in the enrollment file uploaded to the DRIS must be zero, and any corresponding change to the declared value associated with the SCR Change of Status must be reported in the DRIS on or before the monthly deadline for resource enrollment changes. If a RIP reports an SCR's ~~D~~declared ~~V~~value that is greater than the revised ACL reported on the SCR Change of Status ~~F~~form, and the RIP has not uploaded to the DRIS on or before the enrollment deadline a revised SCR Change of Status value and a revised ~~D~~declared ~~V~~value, the NYISO shall change the status of the ~~Special Case Resource~~SCR in the DRIS to *Under Review*.

~~4.3.3.6~~4.3.3.4 *Option for ACL if a Change of Status Event in Like Capability Period Different than Initiated*

For a ~~Special Case Resource~~SCR returning from a Change of Status ~~condition~~ in an ~~like~~ equivalent Capability Period other than the Capability Period in which it began to reduce load in respect of a Change of Status report, the RIP for that ~~Special Case Resource~~SCR may claim as an ACL for that current Capability Period the ACL for the ~~like~~ equvialent Capability Period established in the enrollment file imported into the DRIS (whether by the SCR's current or former RIP) immediately prior to reporting the Change of Status.

~~4.3.3.7~~4.3.3.5 *No Relief for Failure to Perform*

There shall be no relief from penalties or other obligations for failure to perform if the ~~Special Case Resource~~SCR was an Installed Capacity Supplier in any month in which a ~~Special Case Resource~~SCR event, test, or audit occurs.

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4.4 Operating Data Reporting Requirements (Section 5.12.5 *NYISO Services Tariff*)

4.4.7 Special Case Resources (Section 4.12 of this *ICAP Manual*)

RIPs shall report performance data of each ~~Special Case Resource~~SCR individually directly into the DRIS, each time the SCR is called upon to operate, using an import file formatted as specified in the *NYISO Demand Response Information System User's Guide* (available from the NYISO Web site at http://www.nyiso.com/public/markets_operations/documents/manuals_guides/index.jsp). The RIP must upload the file into the DRIS on or before the date and time specified in the ICAP Event Calendar and DRIS Event Calendar.

4.4.7.1 ~~Special Case Resource~~SCRs that are Curtailable Load Resources

RIPs shall report to the NYISO on or before 5:00:00 P.M. on the seventy-fifth (75th) day after each called event or test, performance data of ~~Special Case Resource~~SCRs that were requested to reduce Load in any month, using an import file formatted as specified in the *NYISO ~~Demand Response Information System~~DRIS User's Guide* (available from the NYISO Web site at http://www.nyiso.com/public/markets_operations/documents/manuals_guides/index.jsp).

For example, the NYISO must receive from the RIP ~~Special Case Resource~~SCRs performance data on or before 5:00:00 P.M. on June 29 pertaining to the month of April during which the ~~Special Case Resource~~SCR was called upon to reduce Load on April 15.

If the RIP does not import performance data for any ~~Special Case Resource~~SCRs into the DRIS by 5:00:00 P.M. on the seventy-fifth (75th) day after the date of each event or test, the NYISO (a) will attribute zero performance to those Resources for purposes of satisfying the Resource's capacity obligation, determining energy payments, and calculating shortfalls and deficiency charges, and (b) may impose sanctions pursuant to the *NYISO Services Tariff*.

4.4.7.2 Special Case Resources that are Generators

RIPs shall report to the NYISO on or before 5:00:00 P.M. on the seventy-fifth (75th) day after the date of each called event or test, performance data of ~~Special Case Resource~~SCRs that are Generators and were requested to operate in any month, using an import file formatted as specified in the *NYISO ~~Demand Response Information System~~DRIS User's Guide* (available from the NYISO Web site at http://www.nyiso.com/public/markets_operations/documents/manuals_guides/index.jsp).

For example, the NYISO must receive from the RIP performance data for ~~Special Case Resource~~SCRs that are Generators on or before 5:00:00 P.M. on June 29 their data pertaining to the month of April if they were called upon to operate on April 15.

If the performance data for any ~~Special Case Resource~~SCRs are not imported by the RIP into the DRIS by 5:00:00 P.M. on the seventy-fifth (75th) day after the date of each event or test, the NYISO (a) will attribute zero performance to those Resources for purposes of satisfying the Resource's capacity obligation, determining energy payments, and calculating shortfalls and deficiency charges, and (b) may impose sanctions pursuant to the *NYISO Services Tariff*.

4.4.7.3 Reporting of Special Case Resource Operating Data

The NYISO will treat the ~~Special Case Resource~~SCR specific operating data that is received by the NYISO as confidential Transmission System Information and shall provide copies of such resource-specific (disaggregated) operating data to the transmission function of the Transmission Owner in whose transmission district the ~~Special Case Resource~~SCR is located in accordance with Section 4.0 of the NYISO's Code of Conduct (Attachment F to the *NYISO OATT*).

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4.8 Bidding, Scheduling, and Notification Requirements (Sections 5.12.7 and 5.12.11 *NYISO Services Tariff*)

4.8.5 Special Case Resources (Section 4.12 of this *ICAP Manual*)

~~Special Case Resource~~SCRs are not subject to daily bidding, scheduling, and notification requirements.

For every month in which a ~~Special Case Resource~~SCR supplies Unforced Capacity, the RIP must offer to reduce Load equal to the Installed Capacity Equivalent of the amount of Unforced Capacity the ~~Special Case Resource~~SCR is supplying to the NYCA. The NYISO must receive from the RIP a Minimum Payment Nomination associated with such Unforced Capacity. This Minimum Payment Nomination will act as a strike price, allowing the

NYISO to call on a specific amount of ~~Special Case Resource~~SCRs to perform, based on price and NYCA zone in accordance with the NYISO Emergency Operations Manual. The Minimum Payment Nomination will remain in effect through the month and is not subject to change. ~~Special Case Resource~~SCR Minimum Payment Nomination submission procedures are detailed in Section 4.12.3.

A RIP must notify the NYISO if a ~~Special Case Resource~~SCR is not able to provide the full amount of Load reduction associated with the Unforced Capacity that was uploaded to the Demand Response Information System (DRIS) in the enrollment file. See Sections 4.3.3 and 4.12.6 of this *ICAP Manual*.