

REVISED DRAFT CARIS PROCEDURES  
ESPWG ~~46/26~~11/10

PROCESS FOR ADDITIONAL CARIS STUDIES  
(ATTACHMENT Y: SECTION 11.2.c,d)

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Tariff Requirement

Section 11.2.c

The NYISO, in conjunction with ESPWG, will develop a process by which interested parties can request and fund other congestion and resource integration studies, in addition to those included in each CARIS. These individual congestion and resource integration studies are in addition to those studies that a customer can request related to firm point-to-point transmission service pursuant to Section 19 of the NYISO OATT, or studies that a customer can request related to Network Integration Transmission Service pursuant to Section 32 of the NYISO OATT, or studies related to interconnection requests under Attachment X or Attachment Z.

Section 11.2.d

The NYISO shall post all requests for congestion and resource integration studies on its website.

PROCESS

Applicability

- To requests for additional congestion and resource integration studies (“Additional CARIS Studies”) pursuant to Attachment Y of the NYISO OATT
- Not Applicable to:
  - Requests for firm point-to-point transmission service under Section 19 of the NYISO OATT.
  - Requests for firm Network Integration Transmission Service pursuant to Section 32 of the NYISO OATT.
  - Interconnection requests under Attachment X, Z or S of the NYISO OATT.
  - Requests for evaluation of projects as potential reliability solutions to an identified Reliability Need, under the CRPP.

Eligibility

- Any NYISO Market Participant or other interested party (“Requestor”) is eligible to request ~~such~~ Additional CARIS Studies.
- Requestor is responsible for all reasonable actual costs incurred by the NYISO for ~~the~~ Additional CARIS Study(-ies). Such costs may include the use of

contractors/consultants assistance at the NYISO's discretion, and costs that TOs may incur to supply study-related data when requested to do so by the NYISO.

#### Posting of Requests for Additional CARIS Studies

- NYISO will post the requests for Additional CARIS Studies on its Website.
- Postings shall include a general description of the study requests, the date of receipt, and the identity of the Requestor.
- Provision shall be made to allow combination/cost sharing of identical/similar or overlapping study requests from different parties if the parties agree.
- Results of these Additional CARIS Studies will be treated as Confidential Information under Attachment F to the OATT.
  - However, if a Requestor should seek regulated cost recovery under the NYISO OATT, Attachment Y, Section 15.3. and the approved procedures for Regulated Economic Projects – Specific Project Submittals, the requestor may elect to post results of its Additional CARIS Studies Tariff based upon the results of such studies, the studies would be posted on the NYISO website at that time.
  - If the requestor elects to post the results of Additional CARIS Studies, the posting will note whether the database and base case assumptions (collectively “Study Assumptions”) used in the study are different from the Study Assumptions that are required for seeking regulated cost recovery under the CARIS Phase 2.

#### Timing of Requests for Additional CARIS Studies

- The NYISO shall, upon request, subject to resource limits, conduct an Additional CARIS Study at any time during the year.
  - The NYISO will accommodate all study requests to the extent reasonable and practicable, subject to resource limitations.
- The Additional CARIS Study shall use the ~~most recently approved CARIS~~ database and base case assumptions agreed upon by the Requestor and the NYISO.

#### Request for Additional CARIS Studies

- Requestor shall submit a “Request for Additional CARIS Study” using a form developed by the NYISO which requires specific information needed to conduct the study.
- Each study request must be accompanied by a refundable deposit of \$25,000, which deposit shall be applied toward the reasonable actual costs incurred by the NYISO, and its contractors, in the performance of the study.
- Multiple study requests involving diverse locations system shall each be required to submit a separate request and a separate deposit.

### Scoping Meeting

- NYISO shall acknowledge receipt of the Request for Additional CARIS Study within ten (10) business days of receipt and shall inform Requestor whether its request is complete in the judgment of the NYISO. If not complete, the NYISO will request additional information.
- Following the receipt of a complete Request for Additional CARIS Study, the NYISO shall establish with Requestor a mutually agreeable time for a Scoping Meeting.
- The Scoping Meeting shall be used to determine the nature of the study to be conducted, including any customization that the Requestor may desire for its study, such as:
  - Additional metrics for measuring congestion and the benefits of relieving that congestion.
  - Additional scenarios and the assumptions to be used for each.
  - Whether the Requestor wants the NYISO to analyze potential transmission, generation and/or demand response solutions, and the characteristics of those solutions.
  - Degree of certainty requested for the solution cost estimates.
- Following the Scoping Meeting, the NYISO will memorialize the results in writing as part of a Study Agreement for an Additional CARIS Study (developed by the NYISO) to be provided to the Requestor along with a non-binding estimate of the total study costs.
  - The Study Agreement will include the scope of work and will define the deliverables to be provided by the NYISO at the completion of the studies.
  - The Study Agreement will also contain payment terms and conditions.
  - Additional deposits shall be required to cover the NYISO's estimate of the total study costs (after credit for the initial deposit).
  - The Study Agreement must be executed by the Requestor before the NYISO conducts any study work.
  - If Requestor modifies the scope of the Additional CARIS Study as initially specified, and does so in such a way as to increase the estimated total cost of the Additional CARIS Study, the NYISO may request, and the Requestor shall pay, an additional deposit to reflect that cost increase, which the NYISO shall also apply to the actual cost of the Additional CARIS Study.

### Completion and Delivery of Study Results

- The NYISO will process the Additional CARIS Studies in the order in which they are received. A study will be deemed received by the NYISO on the date the NYISO receives the completed study request form and acceptable deposit.
- The NYISO will use reasonable efforts to complete each Additional CARIS Study by a date mutually agreed to with the Requestor. If the NYISO determines this target date will not be met, the NYISO will promptly inform the

**Requestor and provide the Requestor with an updated estimate of the new date by which the Additional CARIS Study will be completed.**

- **Upon completion of the study, the NYISO will provide a final invoice to the Requestor to cover all reasonable costs it has incurred in the performance of the study.**
- **Within 30 days of the final invoice, there shall be a final payment (refund) to true up any study deposits to the final study cost.**
- **Following final payment (refund), the NYISO will provide the study results to the Requestor.**
- **Upon request, the NYISO will schedule a meeting to review the study results with the Requestor.**

#### **Withdrawal of Request**

- **Requestor may withdraw its study request at any time by written notice to the NYISO.**
- **Upon receipt of such request, the NYISO will immediately terminate any further study work.**
- **Requestor shall reimburse the NYISO for all reasonable expenses incurred prior to the receipt of the withdrawal notice. NYISO will refund any unpaid deposit funds to the Requestor, if applicable.**
- **Following reimbursement (refund), the NYISO will forward the results of any study work completed prior to the withdrawal date to the Requestor.**