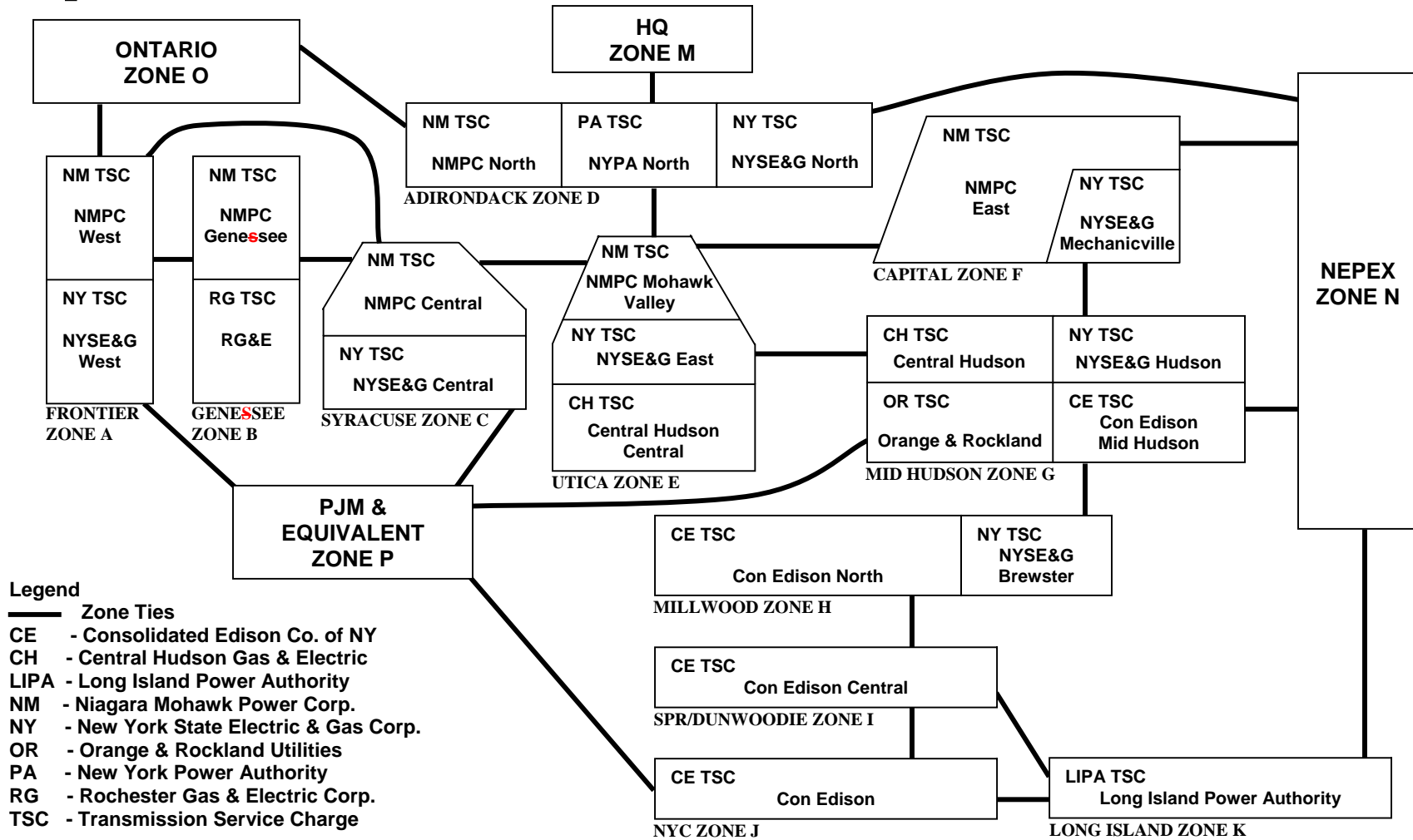


# Attachment C: Maps of the NYCA Transmission Districts and Zones



# Attachment E:

## Grandfathered External Installed Capacity Agreements

Existing Installed Capacity Agreements entered into by Load Serving Entities and Suppliers in the neighboring Control Areas prior to September 17, 1999 have a Grandfathered status for the duration of the original contract.

Grandfathered External Installed Capacity rights are described in Section 5.12.2 of the ISO Services Tariff.

The Grandfathered contracts associated with each of the neighboring Control Areas are listed below:

Neighboring Control Area	Grandfathered (MW)	Contract Est. Date	Contract End Date
PJM	37	10/1/1990	10/1/2030
		11/1/1990	11/1/2030
PJM	55	12/31/1996	8/31/2007
PJM	25	2/22/1999	4/30/2008
ISO-NE	50	9/25/1996	12/31/2013
Ontario-IMO	55	8/16/1996	12/31/2008
Hydro Quebec	400	4/1/1999	3/31/2004

# Attachment F:

## Agreement to Purchase Unforced Capacity in NYISO Installed Capacity Auctions

THIS AGREEMENT TO PURCHASE UNFORCED CAPACITY (the "Purchase Agreement"), dated as of this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, is given by \_\_\_\_\_, having a principal business address at \_\_\_\_\_ (the "Bidder").

### RECITALS

WHEREAS, pursuant to the terms of the New York Independent System Operator Market Administration and Control Area Services Tariff (the "ISO Services Tariff") and the NYISO Installed Capacity Manual (the "ICAP Manual"), the New York Independent System Operator, Inc. (the "NYISO") will administer "Strip" (twice per year), "Monthly" (12 per year), and ~~as-needed~~ "Deficiency Spot Market" (12 per year) auctions (the "Auctions"), wherein Offerors may sell and Bidders may purchase Unforced Capacity; and

WHEREAS, all capitalized terms used herein without definition shall have the meaning ascribed thereto in the ISO Services Tariff and/or the Independent System Operator Agreement (the "ISO Agreement") and the ICAP Manual; and

WHEREAS, to the extent that Bidder purchases Unforced Capacity under the terms of this Purchase Agreement, Bidder satisfies its Unforced Capacity requirements with respect to the Unforced Capacity so purchased; and

WHEREAS, Bidder is an Eligible Customer and intends that the submission of this Purchase Agreement, coupled with the submission of a properly formatted bid via electronic mail ("Electronic Bid") (together, "Bid Package"), shall constitute an official bid for purposes of each Auction in which the Bidder submits an Electronic Bid and that the Bid Package will be recorded and objectively analyzed pursuant to the ISO Services Tariff and the ICAP Manual, which materials have been reviewed by the Bidder;

NOW, THEREFORE, in consideration of the NYISO including Bidder's Electronic Bids in the Auctions, which Bidder acknowledges and agrees is adequate consideration for its obligations hereunder, Bidder and the NYISO (together the "Parties") hereby agree to the following:

#### 1. Bid to Purchase Unforced Capacity.

calculation includes Unforced Capacity from a Subject Generator, then the purchase price shall be adjusted in the same manner as the sale price is adjusted under the ICAP Manual.

- (b) Amounts due on Unforced Capacity purchased in the Strip Auctions will be settled on a monthly basis. In each monthly billing, the NYISO will issue bills for one sixth of the Total Purchase Price specified in the Award Notice for the last Capability Period Auction. Bills issued by the NYISO for the purchase of Unforced Capacity will be net of any rebates due to the Bidder.
- (c) Amounts due on Unforced Capacity purchased in the Monthly and ~~Deficiency~~ Spot Market Auctions will be settled on a monthly basis. In each monthly billing, the NYISO will issue bills for the Total Purchase Price specified in the Award Notice for the last Auction. Bills issued by the NYISO for the purchase of Unforced Capacity will be net of any rebates due to the Bidder.
- (d) By 10:00 AM on the first banking day after the fifteenth day of the month after the month for which Unforced Capacity was purchased, Bidder shall cause funds to be wired to the accounts specified in the Award Notice in an amount equal to the Total Purchase Price, as indicated in the monthly bill issued by the NYISO for that Auction.
- (e) Within six (6) business days after receipt of an Award Notice by the Bidder, to the extent that the Bidder disputes the calculation of the Total Purchase Price due and payable, the Bidder shall give written notice to the NYISO, or its designee, setting forth in reasonable detail the basis for any such disagreement (“Dispute”). If the Bidder does not give written notice within the six (6) business day period, the Bidder shall be deemed to have irrevocably accepted the Total Purchase Price in the manner specified in the Award Notice as delivered to the Bidder by the NYISO, or its designee.
- (f) If a timely filed written notice of Dispute is given, the Bidder and the NYISO, or its designee, shall promptly commence good faith negotiations with a view to resolving the Dispute(s) within five (5) business days of the NYISO’s receipt of such notice. If the Dispute(s) are not resolved within the five (5) business day period, then the Dispute(s) shall thereafter be referred by either the Bidder or the NYISO, or its designee, to Richard L. Miles, Director, of the FERC Office of Dispute Resolution Service, or his successor in office (the “Director”) for a resolution of such Dispute(s) in accordance with this Purchase Agreement and the ICAP Manual. The resolution of the Dispute(s) shall be conducted in the following manner:
  - (i) Within three (3) business days after being notified of a Dispute, the Director shall identify and create a list of five (5) arbitrators who must be knowledgeable about the energy industry, to be delivered to the Bidder and the NYISO, or its designee.

# Attachment G:

## Agreement to Sell Unforced Capacity in NYISO ~~Administered~~ Installed Capacity Auctions

THIS AGREEMENT TO SELL UNFORCED CAPACITY (the "Sale Agreement"), dated as of this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, is given by \_\_\_\_\_, having a principal business address at \_\_\_\_\_ (the "Offeror").

### RECITALS

WHEREAS, pursuant to the terms of the New York Independent System Operator Market Administration and Control Area Services Tariff (the "ISO Services Tariff") and the NYISO Installed Capacity Manual (the "ICAP Manual"), the New York Independent System Operator, Inc. (the "NYISO") will administer "Strip" (twice per year), "Monthly" (12 per year), and ~~as-needed~~ "Deficiency Spot Market" (12 per year) auctions (the "Auctions"), wherein Offerors may sell and Bidders may purchase Unforced Capacity; and

WHEREAS, all capitalized terms used herein without definition shall have the meaning ascribed thereto in the ISO Services Tariff and/or the Independent System Operator Agreement (the "ISO Agreement") and the ICAP Manual; and

WHEREAS, Offeror is an Eligible Customer and intends that the submission of this Sale Agreement, coupled with the submission of a properly formatted offer via electronic mail ("Electronic Offer") (together the "Offer Package"), shall constitute an official offer for purposes of each Auction in which the Offeror submits an Electronic Offer and that the Offer Package will be recorded and objectively analyzed pursuant to the ISO Services Tariff and the ICAP Manual, which materials have been reviewed by the Offeror;

NOW, THEREFORE, in consideration of the NYISO including Offeror's Electronic Offers in the Auctions, which Offeror acknowledges and agrees is adequate consideration for its obligations hereunder, Offeror and the NYISO (together the "Parties") hereby agree to the following:

#### 1. Offer to Sell Unforced Capacity.

- (a) The Parties agree that the Auctions will be conducted in accordance with the ISO Services Tariff and the ICAP Manual.

Example: Invalid offers to sell Unforced Capacity from an Installed Capacity Supplier that is qualified to sell 100 MW of Unforced Capacity. In this example, all offers to sell Unforced Capacity are invalidated because the offer prices were not unique.

Resource Name	Unforced Capacity Offered (MW)	Offer Price (\$/kW month)
XYZ ABC	60.0	11.25
XYZ ABC	40.0	11.25

## 2.5 Subject Generators and the Capacity Reference Price

With respect to Subject Generators, if the Price for a MW of Unforced Capacity offered in the Auction is calculated to be greater than the Capacity Reference Price (see below), then the offer for that MW of Installed Capacity would be invalidated.

## Section 3: Subject Generators

### 3.1 Definition and Requirements

Some Installed Capacity Suppliers located within the New York City Locality are subject to a FERC and PSC-approved ~~Installed–Unforced~~ Capacity price cap of ~~to be determined~~ \$112.95/kW-year, the translated equivalent value of the \$105/kW-year price cap for Installed Capacity (“Subject Generators”).

Subject Generators may only sell their available Unforced Capacity in one or more ISO-administered Installed Capacity Auctions. Under certain conditions, described in detail in Section 5 of this Manual and in Section 5.13 of the ISO Services Tariff, Subject Generators will be restricted in their ability to participate in the second phase of certain ISO-administered Installed Capacity Auctions.

### 3.2 Subject Generator List

The Resources listed below shall be Subject Generators:

- Arthur Kill Units 2 and 3;
- Arthur Kill GT;
- Astoria Units 3, 4 and 5;
- Astoria GTs;
- East River Units 6 and 7;
- Gowanus GTs;

$D$  is the number of Service Hours ( $SH_{gbe}$ ) divided by the number of successful starts reported for the period beginning at time  $b$  and ending at time  $e$  for Resource  $g$ ; and

$$f_{pgbe} = \frac{SH_{gbe}}{AH_{gbe}}$$

where:

$AH_{gbe}$  is the sum of all Available Hours reported for Resource  $g$  for the period beginning at time  $b$  and ending at time  $e$  in accordance with GADS Data submitted under Attachment K, Performance Record 02, Columns 32-35.

These equations shall be modified when necessary as follows in order to avoid dividing by zero:

If  $RSH = 0$  ( $<1$ ), set  $f_f = 1$ ;

If  $SH = 0$ , set  $f_f = 1$ ;

If  $FOH = 0$ , set  $1/r = 0$  and calculate  $f_f$  per its equation; and

If  $AH = 0$ , set  $f_p = 1$ .

**(b) Determining the ICE of the Amount of UCAP Supplied**

$$ICE_{gm} = \frac{UCAP_{gm}^P}{1 - EFOR_{Dgm}}$$

where:

$ICE_{gm}$  is the Installed Capacity Equivalent of the amount of Unforced Capacity that supplier  $g$  supplies in month  $m$ ;

$UCAP_{gm}^P$  is the amount of Unforced Capacity that supplier  $g$  supplies in month  $m$ ; and

$EFOR_{Dgm}$  as above, is the Equivalent Demand Forced Outage Rate calculated for Resource  $g$  that will be used to determine the amount of Unforced Capacity that resource will be permitted to provide in month  $m$ .

**3.2 UCAP based on equivalent GADS Data (capacity factor method)**

**(a) Determining the Amount of UCAP a Supplier Qualifies to Supply**

$$UCAP_{gm}^Q = (1 - OF_{gm})DMNC_{gm};$$

which Resource  $g$  began to serve as a Special Case Resource available to reduce load;

$e$  is the end of the month occurring three months before month  $m$  (e.g., if month  $m$  is September 2001, then  $e$  is the end of June 2001; and

$TLF_g$  is 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 by the relevant TO to the retail customer where the Resource  $g$  is located as reflected in the TO's most recent rate case.

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

of  $\frac{\sum_{h \in LRH_{gbe}} \min\left(\frac{AGO_{gh}}{CGO_{gh}}, 1\right)}{NLRH_{gbe}}$  in the equation above were 1; provided, however, that if

Resource  $g$  had not **begin-begun** to serve as a Special Case Resource at time  $e$ , then the

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

**(c) Determining the ICE of the Amount of UAP Supplied**

**(1) ICE for a Non-Generator Based Special Case Resource**

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:

$$ICE_{gm} = APMD_{gm} - CMD_{gm}$$

where:

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

$APMD_{gm}$  is the Average of Peak Monthly Demands for Resource  $g$  applicable to month  $m$ , using data submitted in accordance with Attachment K, Special Case Resource Certification, as calculated in subsection (a) above; and

$CMD_{gm}$  is the Contract Minimum Demand for Resource  $g$  applicable to month  $m$ , using data submitted in accordance with Attachment K, Special Case Resource Certification.



## ISO NERC-GADS Reporting Requirements

Data marked with an \* is the minimum dataset for data equivalent to GADS Data and will result in UCAP based on actual production, with allowance for scheduled outages. The full dataset will result in UCAP based on EFOR<sub>D</sub>. See Attachment J for the actual calculation methodology.

### Performance Data

#### Card 01

*Card Code	Required
*Utility Code	Required <b>if</b>
<del>known,(Assigned)</del>	
*Unit Code	Required <b>if</b>
<del>known,(Assigned)</del>	
*Year	Required
*Report Period (Month)	Required
*Record Revision Code	Required
Gross Maximum Capacity	-
Gross Dependable Capacity	-
Gross (MWhr) Actual Generation	-
*Net Maximum Capacity	Required
*Net Dependable Capacity	Required
*Net (MWhr) Actual Generation	Required
Typical Unit Loading Characteristics	Required
Attempted Unit Starts	Required
Actual Unit Starts	Required
*Record Number	Required

#### Card 02

*Card Code	Required
*Utility Code	Required <b>if</b>
<del>known,(Assigned)</del>	
Unit Code	Required <b>if</b>
<del>known,(Assigned)</del>	
*Year	Required
*Report Period (Month)	Required
*Record Revision Code	Required
*Unit Service Hours (SH)	Required
*Reserve Shutdown Hours (RH)	Required
*Pumping Hours (if applicable)	Required
*Synchronous Condensing Hours (if applicable)	Required
*Available Hours (AH)	Required
*Planned Outage Hours (POH)	Required
Forced Outage Hours & Startup Failure Hours	Required

*Maintenance Outage Hours (MOH)	Required
*Extension of Scheduled Outage Hours (SEH)	Required
Unavailable Hours (UH)	Required
*Period Hours	Required
*Record Number	Required

Card 03 Not Required

Card 04 Not Required

**Event Report Data**

Card 01

Card Code	Required
Utility Code	Required <del>if</del>
<del>known,(Assigned)</del>	
Unit Code	Required <del>if</del>
<del>known,(Assigned)</del>	
Year	Required
Event Number	Required
Record Revision Code	Required
Event Type	Required
Start of Event	Required
End of Event	Required
Gross Available Capacity as Result of Event	-
Net Available Capacity as Result of Event	Required
Record Number	Required

Cards 02 –99 Provide data on system component events Not Required

## Special Case Resource (SCR) Commitment/Verification

The SCR Commitment workbook is located on the NYISO website at <http://www.nyiso.com/markets/icapinfo.html>. The most recent version of the "SCR Commitment Workbook with electronic forms" is located on this web page under the current Capability Period.

SCR End Use Customer: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

LBMP Zone: \_\_\_\_\_

Check one: NYC \_\_\_\_\_ LI \_\_\_\_\_ ROS \_\_\_\_\_

Transmission Owner \_\_\_\_\_ Service Voltage \_\_\_\_\_

Meter Number/Account: \_\_\_\_\_

Permanent Recording Meter on Generator/Curtailable Load: YES / NO \_\_\_\_\_ ID# \_\_\_\_\_

Method of Load Curtailment (check where appropriate):

On-Site Generator: \_\_\_\_\_ Curtailable Load: \_\_\_\_\_ Combination: \_\_\_\_\_

Generator Type: Diesel \_\_\_\_\_ Gas \_\_\_\_\_ Oil \_\_\_\_\_ Other \_\_\_\_\_

If other, describe: \_\_\_\_\_

Generator Nameplate Rating: \_\_\_\_\_

The Special Case Resource Customer is in compliance with any New York State Department of Environmental Conservation regulations that are applicable to it.: YES / NO

Disclaimer: It is the responsibility of the Customer to comply with all local, state and federal air emissions regulations. Questions concerning compliance should be forwarded to the respective regulating authority.

Method of Calculating Load Curtailment (check one)

Customer Load Reduction under Section 3.3(a) of Attachment J: \_\_\_\_\_

Generator Output under Section 3.3(b) of Attachment J: \_\_\_\_\_

### **Responsible Interface Party Information**

Type of RIP (circle one): TO \_\_\_\_\_ LSE \_\_\_\_\_ Aggregator \_\_\_\_\_ Direct Customer \_\_\_\_\_

Name of RIP: \_\_\_\_\_

Contact: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Phone (1 hour e-mail response required): \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail (1 hour e-mail response required): \_\_\_\_\_

**Steps:**

1. ~~SCRs calculating load reduction based on generator output under Section 3.3.(b) of Attachment J shall submit the appropriate DMNC test form with this commitment and skip to Step 7. All others shall continue with the steps below.~~
2. ~~Record the SCR End-use Customer maximum monthly one hour integrated demand for the two most recent Capability Periods (Figure 1).~~

**Figure 1  
Actual Maximum Monthly One Hour Integrated Demand**

<u>Year</u>	June	July	August	September	Summer Average
Date/Time					N/A
Demand (MW)					

<u>Years</u>	December	January	February	March	Winter Average
Date/Time					N/A
Demand (MW)					

3. ~~Capability Period for which commitment is requested (circle one):~~  
~~\_\_\_\_\_ Summer \_\_\_\_\_ Winter~~
4. ~~Determine the average peak monthly demand (APMD<sub>gm</sub>) for the last like Capability Period selected in step 3: \_\_\_\_\_~~
5. ~~Level of demand to which customer commits during SCR implementation (Customer Minimum Demand (CMD<sub>gm</sub>)): \_\_\_\_\_~~
6. ~~Determine the amount of Load customer is willing to reduce its demand by during SCR implementation (APMD<sub>gm</sub> - CMD<sub>gm</sub> = Installed Capacity Equivalent (ICE<sub>gm</sub>)): \_\_\_\_\_~~
7. ~~For SCRs using Section 3.3(b) of Attachment J **only**, generator output to which SCR commits during SCR implementation (Contracted Generator Output (CGO<sub>gm</sub>) = ICE<sub>gm</sub>) \_\_\_\_\_ and Capability Period for which commitment is requested (circle one):~~  
~~\_\_\_\_\_ Summer \_\_\_\_\_ Winter~~
8. ~~Transmission Loss Adjustment: \_\_\_\_\_ kW~~
9. ~~Sum of ICE<sub>gm</sub> and Transmission Loss Adjustment amount: \_\_\_\_\_ kW\*~~
10. ~~Dates SCR may be called upon to curtail Load:~~  
~~Starting: \_\_\_\_\_ Ending (if applicable): \_\_\_\_\_~~
11. ~~Report actual Load/generator output from meter readings covering the time period of the SCR implementation request (Figure 2) by the 20<sup>th</sup> of the month following the month in which the request occurs.~~

\*-The entry on this line will be adjusted by the ISO in accordance with a historic performance factor as specified in Section 3.3 of Attachment J to determine the UCAP for the Resource in question (i.e., to determine the amount that can be claimed by an LSE towards its Unforced Capacity Requirement or that can be sold in an ISO administered auction).

~~IN WITNESS WHEREOF, this Unforced Capacity commitment has been submitted on this,~~  
the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

Name of Certifying Entity: \_\_\_\_\_

By: \_\_\_\_\_

Title: \_\_\_\_\_

**Figure 2**  
**Minimum Load/Generator Output Verification**  
**Demonstrated Load Reduction During Special Case Resource Implementation**  
**(Operating Data as required by Section 4.4 of the Installed Capacity Manual)**  
**One completed form required for each event**

Event #		
Requested Start Date/Time		
Requested End Date/Time		
Date/Time*	Meter Reading	Cumulative Energy

IN WITNESS WHEREOF, this Unforced Capacity Verification has been submitted on this, the \_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

Name of Certifying Entity: \_\_\_\_\_  
By: \_\_\_\_\_  
Title: \_\_\_\_\_

\* Entries shall be made according to the increments measured by the interval meter in question (e.g., In the case of an interval meter that measures on a 15 minute basis, four entries shall be made for each hour of SCR implementation).

# Attachment L:

## Revisions in Transmission Owner Installed Capacity Data Submittals

This Attachment establishes the process and procedures associated with the reporting of LSE Load data to the ISO by the Transmission Owners. It discusses how this data is used to calculate LSE's Minimum Unforced Capacity Requirements each month and the financial reconciliation associated with customer-switching among LSEs.

### Details:

Transmission Owners are required to provide two data submittals each month documenting LSE customer-switching and Load obligations. The first submittal is used for an initial financial reconciliation of customer-switching in the current month and for establishing an LSE's Installed Capacity obligation as of the first of the following month. The second data submittal will be used for a final financial reconciliation of Load-shifts in a designated previous month. Additional customer-switching adjustments requiring a financial reconciliation will be handled on a case-by-case basis.

### Data Submittal One

In the first data submittal, Transmission Owners will provide (1) the daily shifts in Load obligations for each Load-serving entity (LSE) occurring in the current month and (2) the Load obligation of LSEs for the first day of the following month. This submittal should contain the best available information at the time of the data submittal. For example, Transmission Owner A would submit customer-switching data for August in early August as well as the final Load obligation for September 1. See the applicable Capability Period on the Installed Capacity (ICAP) Market page of the NYISO website for the data submittal schedule.

The ISO will use this data for two purposes:

- (1) To set each LSE's Minimum Unforced Capacity Requirement and Locational Unforced Capacity Requirement for the following month (and any remaining months in the Capability Period).
- (2) To perform an initial financial reconciliation of Load-shifts occurring in the course of the current month. That is, an initial reconciliation would be conducted for August customer-switching based on data received in the month of August.

This reconciliation would credit customer-losing and bill Load-gaining LSEs based on the clearing price for the current month's Unforced Capacity in the prior month's Installed Capacity auction.