# ICAP Automated FCFS Import Rights

**Mathangi Srinivasan**
Senior Market Trainer, NYISO
Web Ex Online Training Module

February 22nd , 2019
Rensselaer, NY

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Automated ICAP Import Rights - Overview

- For implementation beginning with the Summer 2019 Capability Period, the ICAP "First-Come, First-Served" Imports Rights processes will be automated
  - Replaces the "race to the fax", among other processes, for the Summer 2019 Capability Period, which will begin in March 2019
    - Create, edit, prioritize, and submit FCFS Import Right Requests
  - Replaces the provision of supporting bilateral contracts with an automated bilateral confirmation process within the ICAP AMS
    - "Seller" (ICAP Suppliers) and " buyer " (LSEs and ICAP Marketers that are not an Affiliate of the seller) confirmation of Import Rights
  - Replaces the manual Import Rights Returns process currently performed by NYISO staff with an automated return process within the ICAP AMS

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Automated ICAP Import Rights – Resources

- Installed Capacity Manual, Section 4.9.2.5 Allocation of Import Rights – Summer 2019 and Beyond
  - Process Description
  - Timelines and Deadlines
  - Methodology
- ICAP Event Calendar
  - Periods and deadlines for open/close period for various processes
- The ICAP AMS Users Guide, Section 15.4 and 15.5
  - Detailed directions on how to use all the functionalities
  - Validations and warning messages

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Presentation Overview

This presentation will discuss:

- FCFS Import Right Requests Automated Processes
  - Seller – Create (Edit/Prioritize/Delete) FCFS Import Rights Requests
  - Seller – Test/Submit FCFS Import Rights Requests
  - Buyer – Confirm Submitted FCFS Import Rights Requests
- Import Rights
  - Seller/Buyer – View Allocated Import Rights
  - Seller – Perform Certification month Bilateral Confirmation
  - Seller/Buyer – Return Import Rights
    - Fully Allocated
    - Non Fully Allocated Interfaces

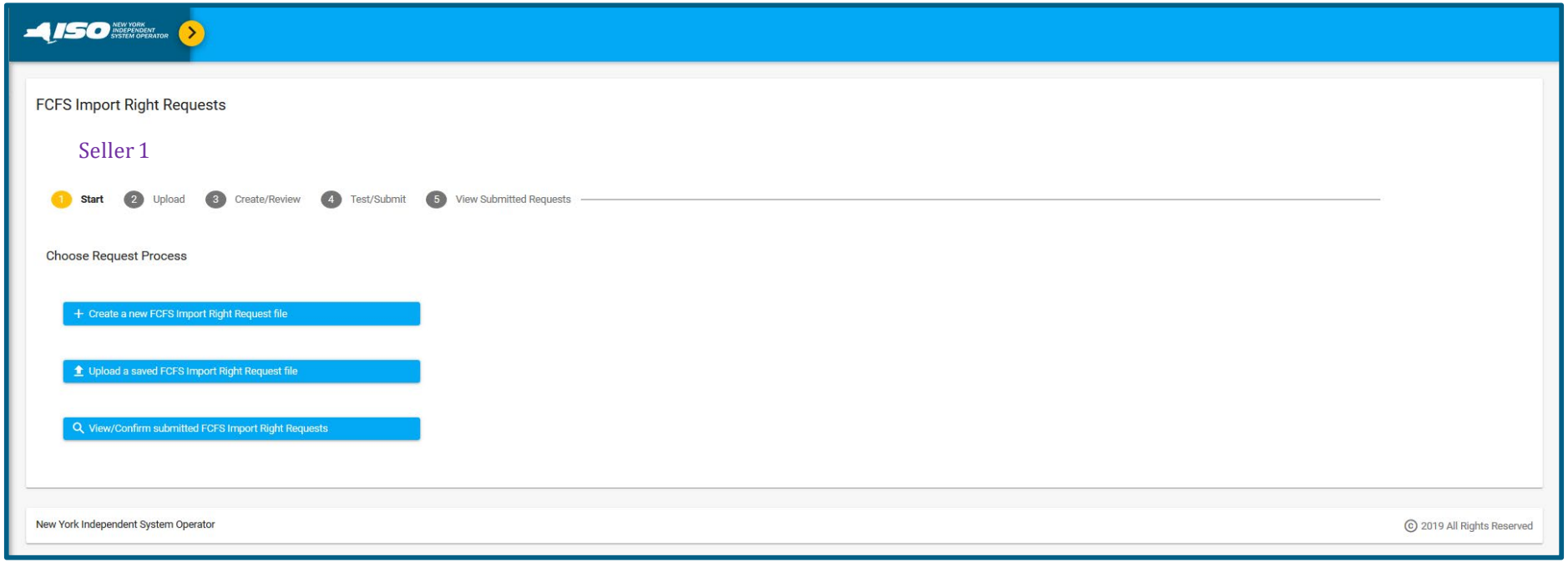
The NYISO encourages Users to review ICAP AMS Users Guide Sections 15.4 and 15.5 for detailed directions on how to populate the fields and all other processes

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# ICAP AMS: Import Rights - Access

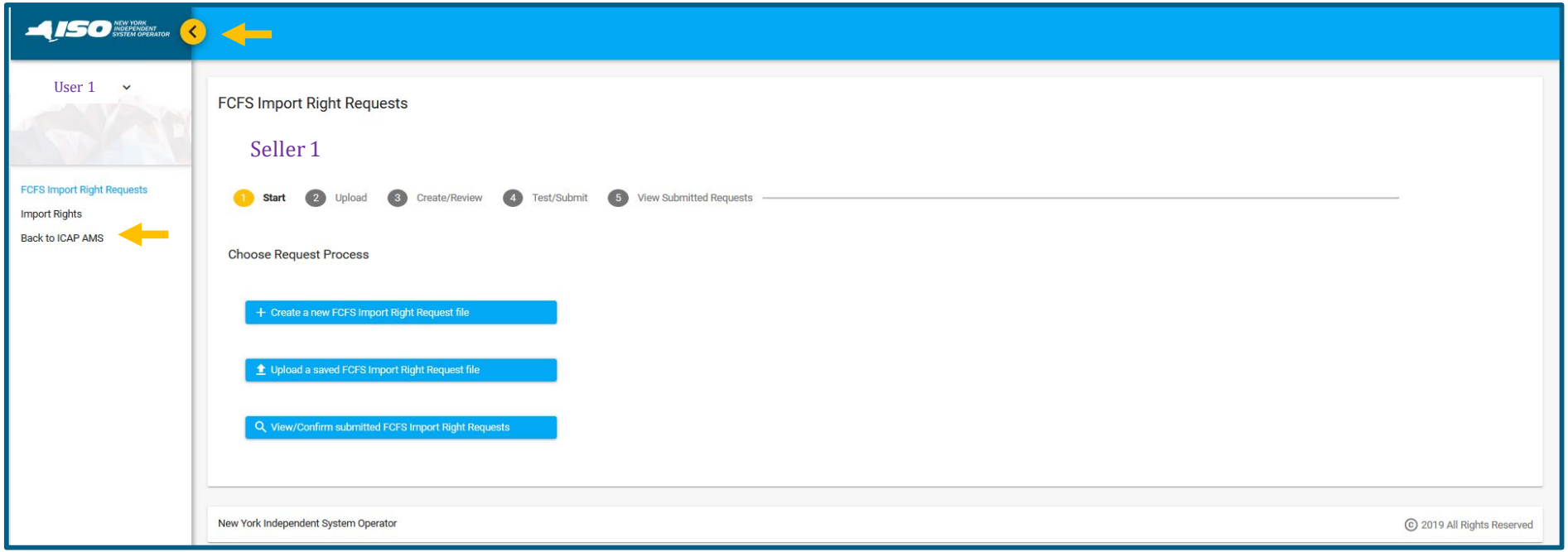
©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# FCFS Import Right Requests – Main Page



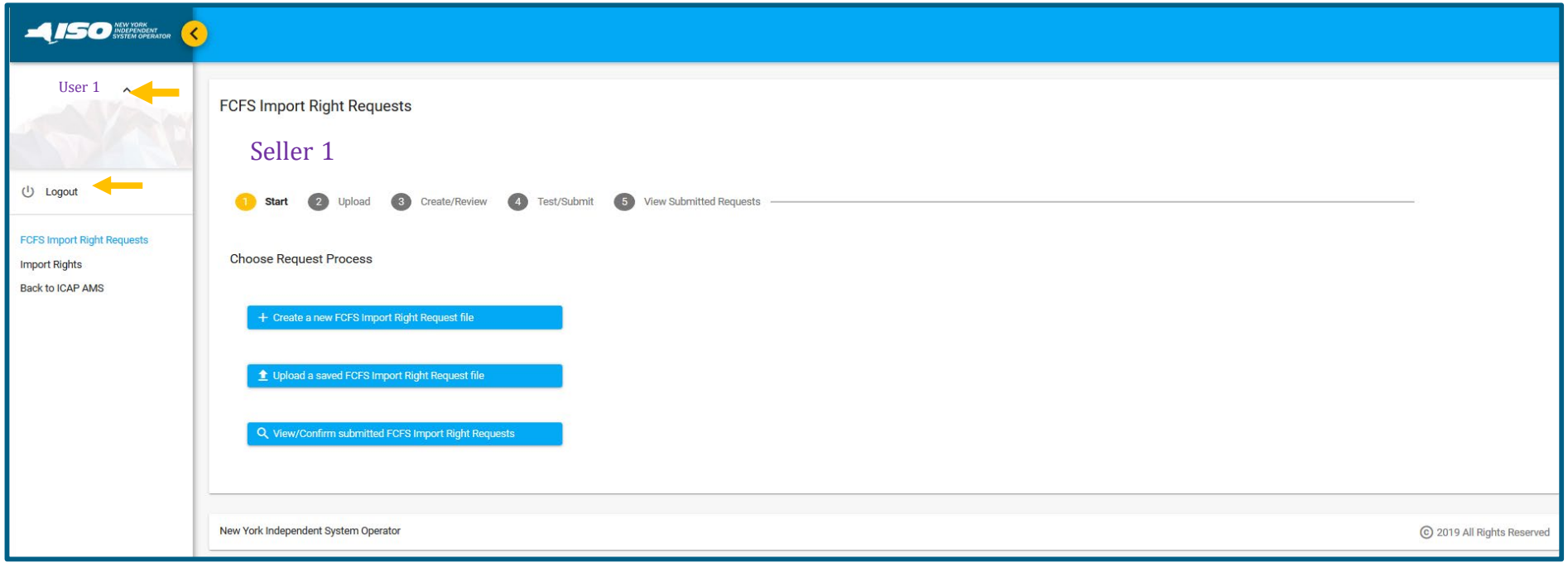

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Main Page, Navigation: Back to ICAP AMS




©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Main Page, Navigation: Logging out of ICAP AMS

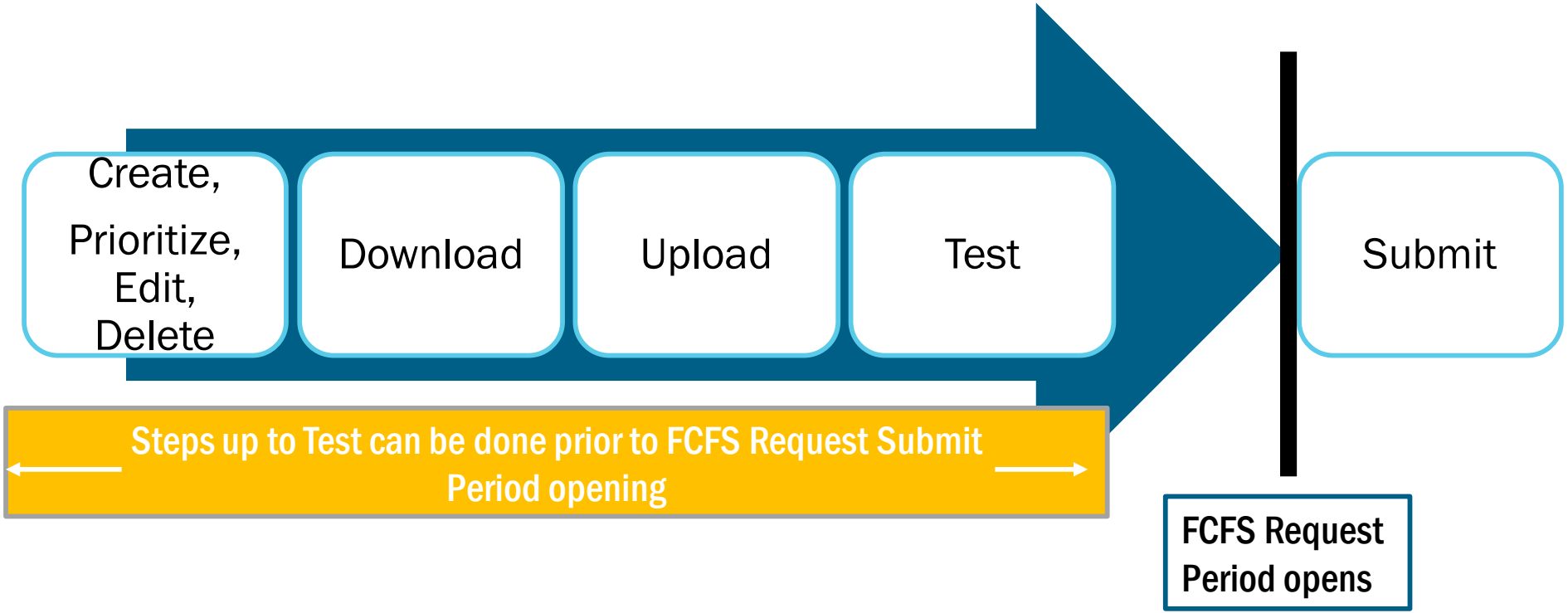



©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# FCFS Import Right Requests

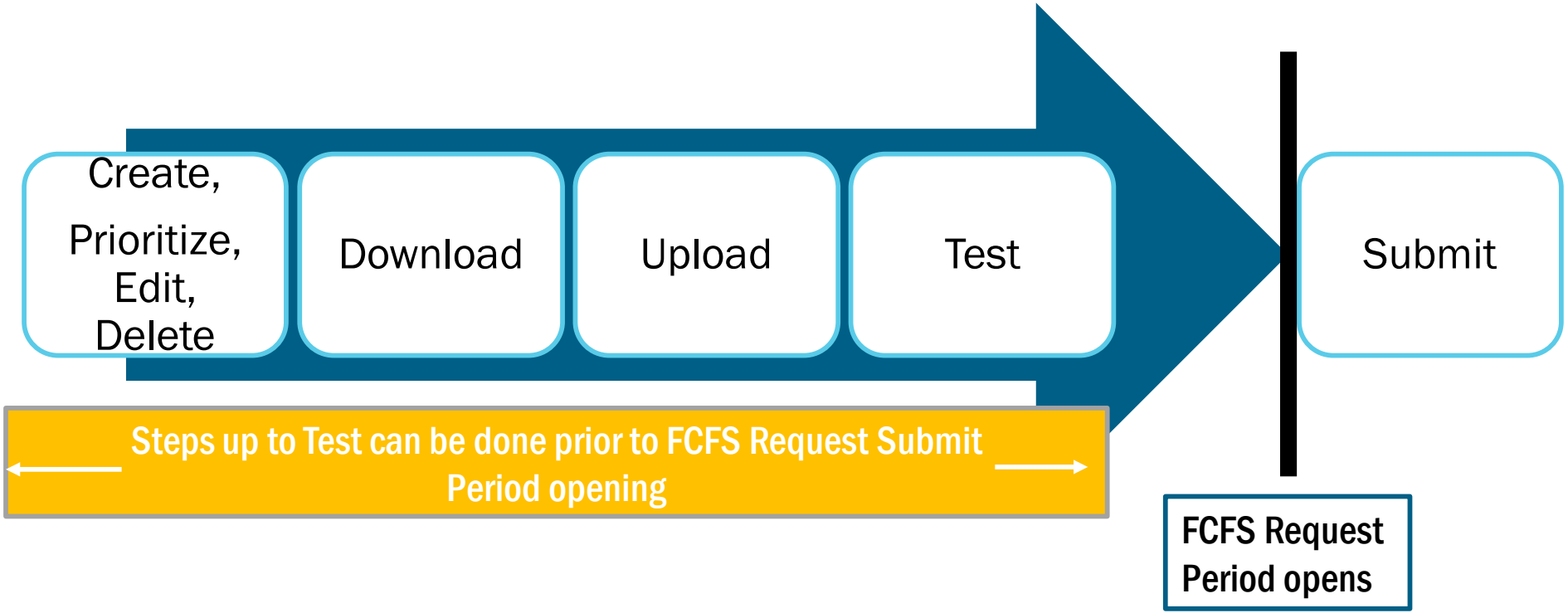
© COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED.

# Submitting an FCFS Import Right Request in the ICAP AMS – Process Flow



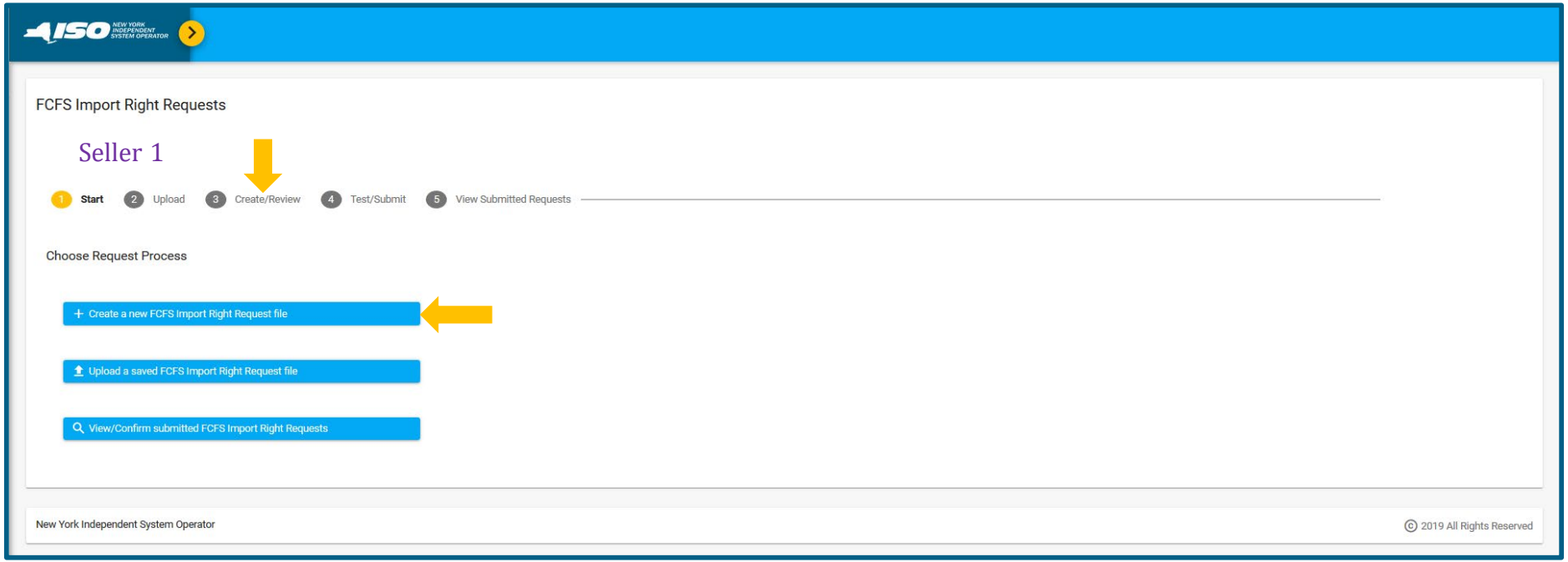

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Step 1: Create a New FCFS Import Right Request



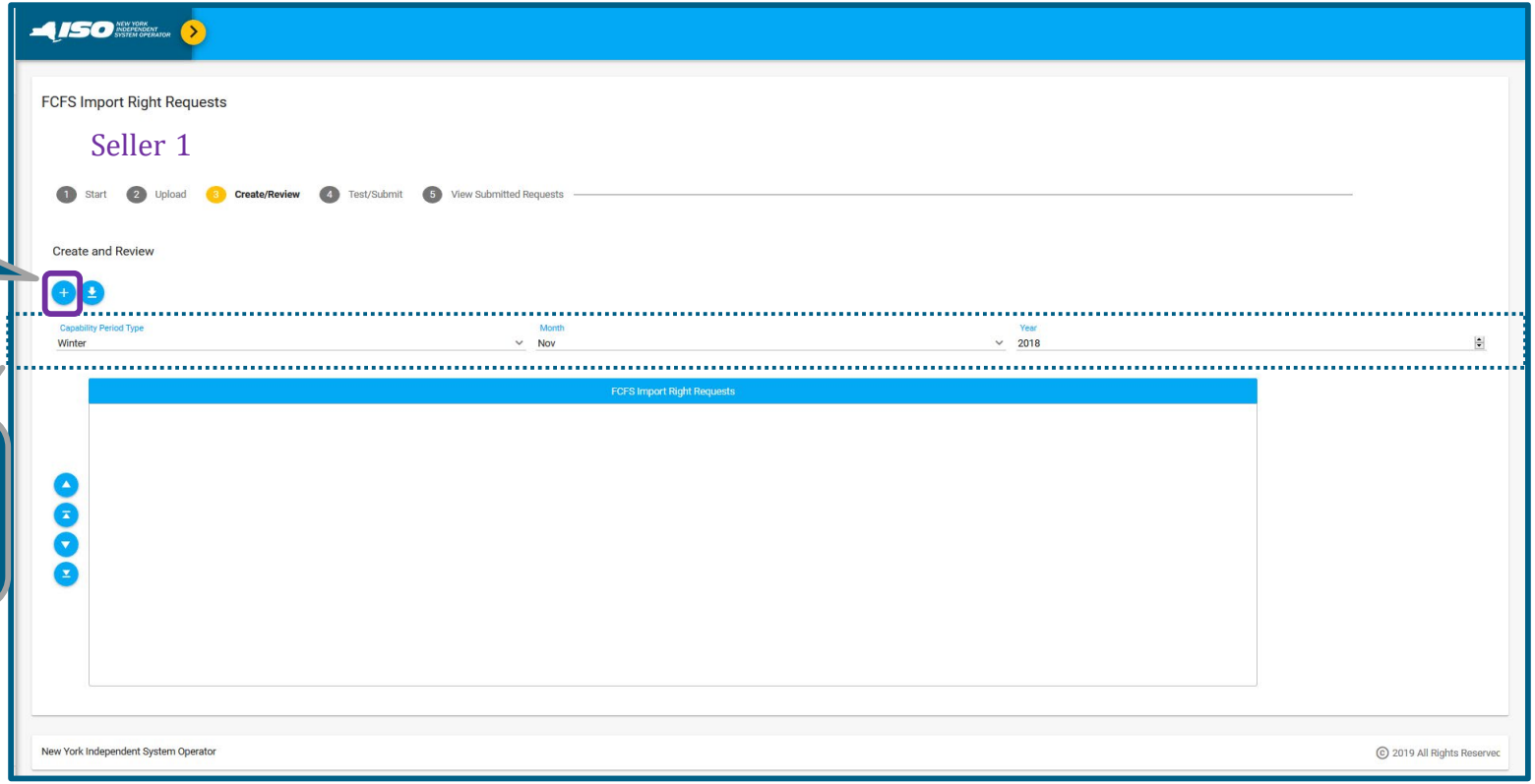

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Creating a New FCFS Import Right Request - Access




©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Creating a New FCFS Import Right Request File

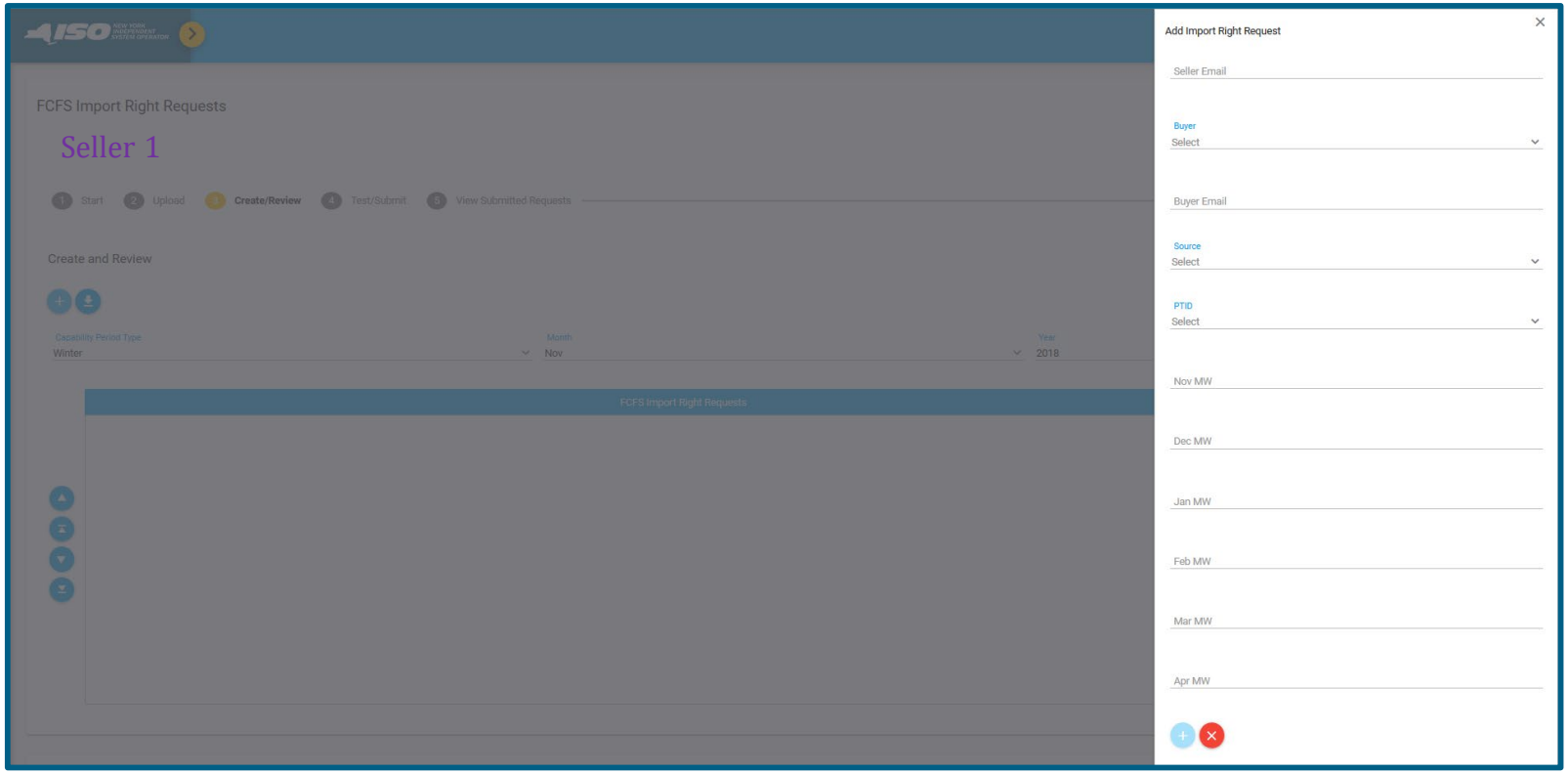



2. Click here to Create

1. Select the appropriate parameters for requesting the Import Right

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Fields Required for an FCFS Import Right Request Form




©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Fields Required for an FCFS Import Right Request Form, cont.

Add Import Right Request

Seller Email
seller1@seller.com

Buyer
Buyer 1

Buyer Email
buyer1@buyer.com

Source
External Source 1

PTID
1000 – Seller_1

Nov MW
Valid MW or 0

Dec MW
Valid MW or 0

Jan MW
Valid MW or 0

Feb MW
Valid MW or 0

Mar MW
Valid MW or 0

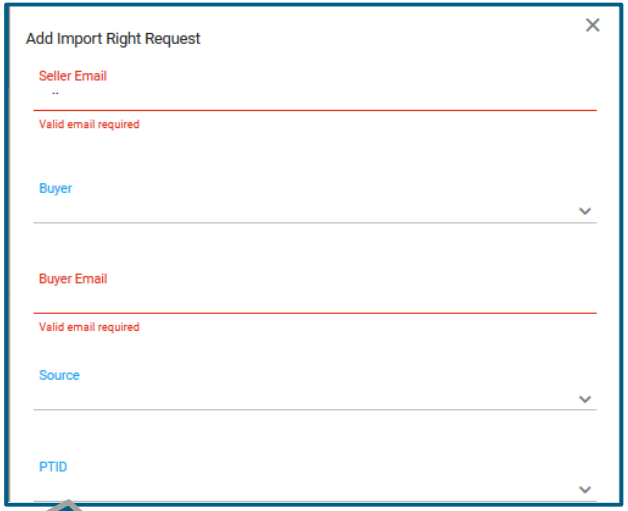
Apr MW
Valid MW or 0

1. MW fields for available months must be filled (Enter 0 for no MWs requested)
2. At least one month must have a non 0 MW amount
3. Valid MW format: Increments of 0.1 MW

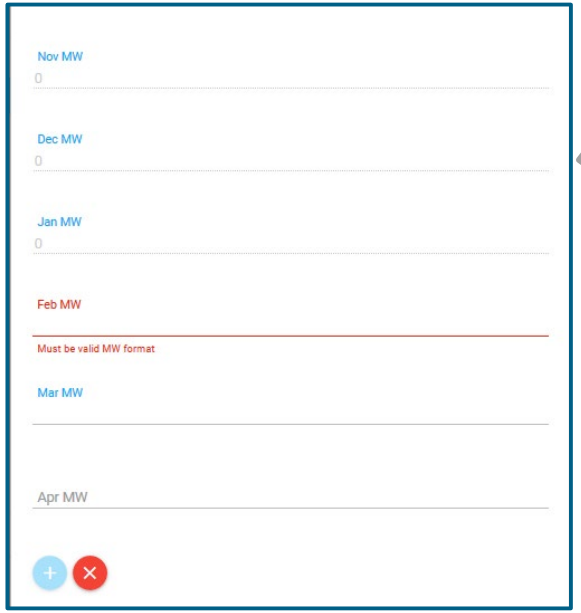
1. Click the button to finish Creating the Right
2. Available only when fields are correctly entered
3. A duplicate request is created every time is clicked
4. Click to Finish

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Fields Required for an FCFS Import Right Request Form, cont.




ICAP AMS prompts the user for valid formats when filling out the required fields of an FCFS Import Right Request




For unavailable months in the FCFS request period, MW amount is greyed out, and user cannot enter any amount

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Editing FCFS Import Right Requests

- Seller can create multiple FCFS Import Right Requests for one or more months of the selected Capability Period within one Import Right Request Form

Seller 1

1 Start 2 Upload 3 Create/Review 4 Test/Submit 5 View Submitted Requests

Create and Review

Click the button to create additional requests, following the same rules laid out in slides 14,15

Capability Period Type: Winter | Month: Mar | Year: 2019

FCFS Import Right Requests

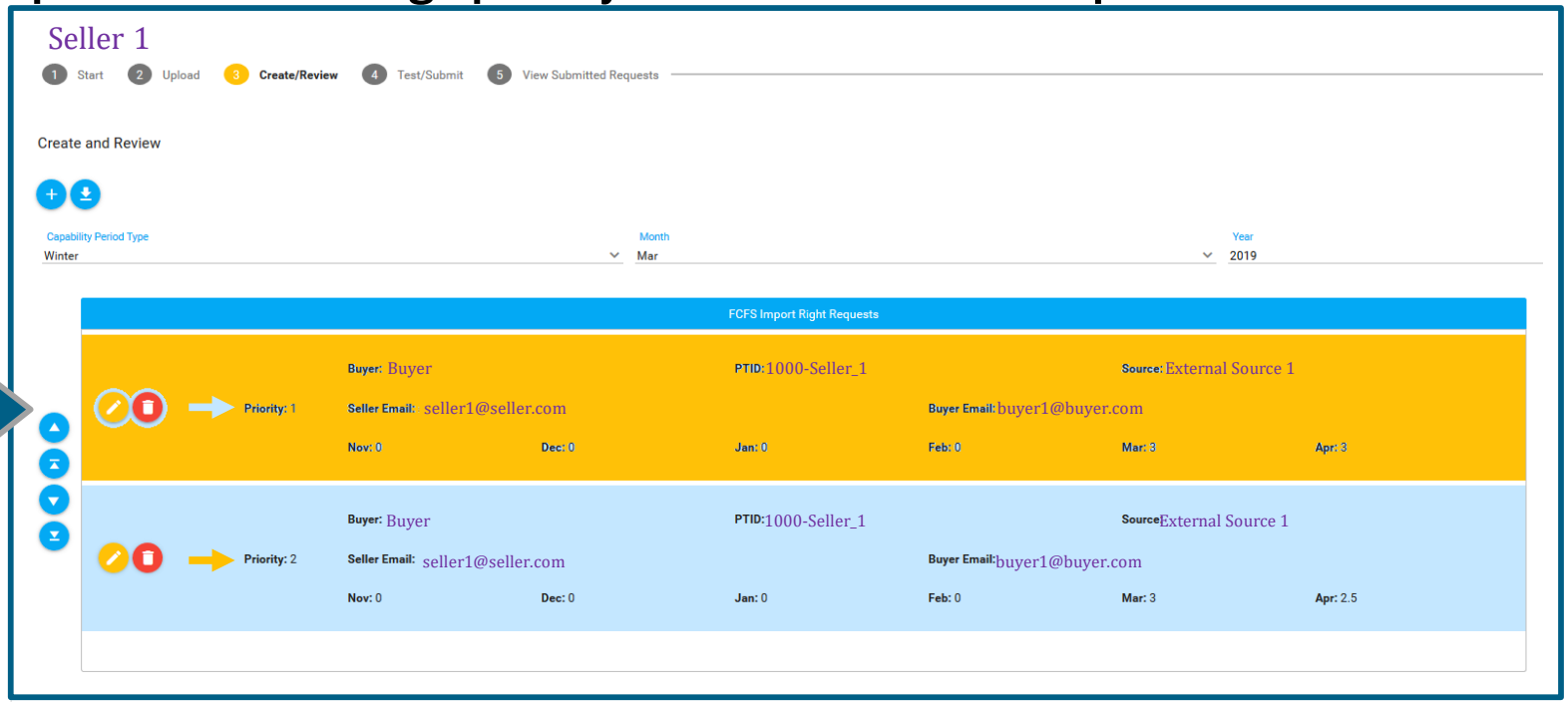
| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Priority: 1 | Buyer: Buyer 1 | PTID: 1000-Seller_1 | Source: External Source 1 | Seller Email: seller1@seller.com | Buyer Email: buyer1@buyer.com | | |
| | Nov: 0 | Dec: 0 | Jan: 0 | Feb: 0 | Mar: 3 | Apr: 3 | |
| Priority: 2 | Buyer: Buyer 1 | PTID: 1000-Seller_1 | Source: External Source 1 | Seller Email: seller1@seller.com | Buyer Email: buyer1@buyer.com | | |
| | Nov: 0 | Dec: 0 | Jan: 0 | Feb: 0 | Mar: 3 | Apr: 2.5 | |

1. Click the edit button to make changes the Rights request
2. The delete button removes the request from the list

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Assigning Priority to Multiple FCFS Import Right Requests

- Seller can arrange the Import Right Requests within the Import Rights Request Form to assign priority to each individual Request




The up and down arrow buttons can be used to move the requests up and down and assign priority to each request

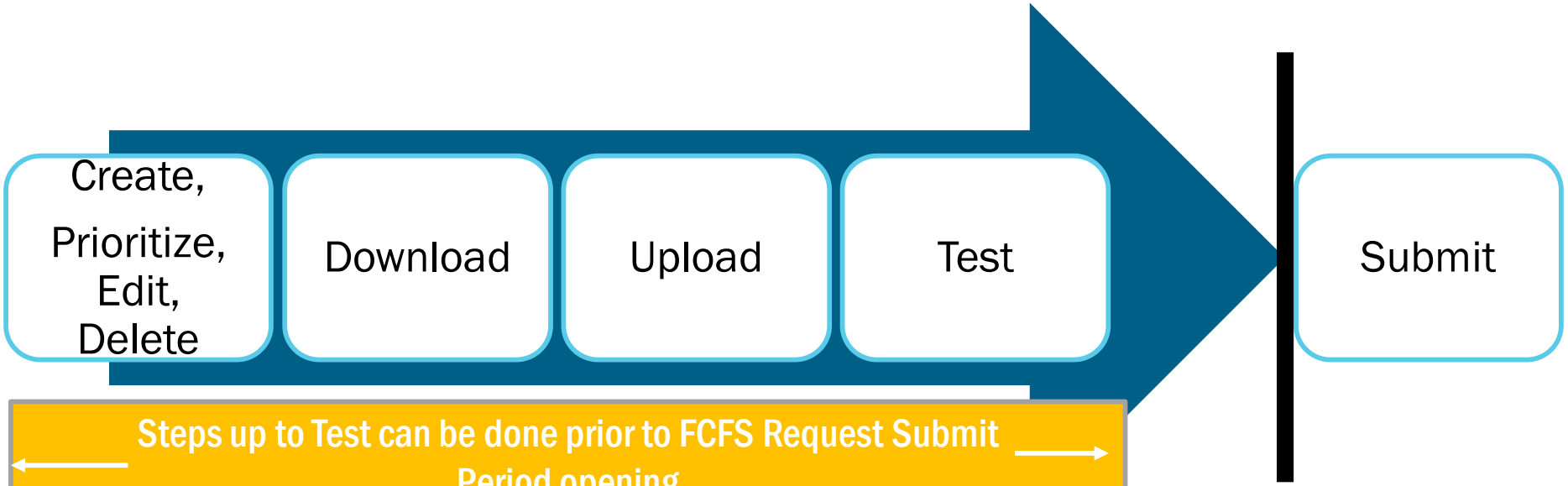
©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Creating Multiple Import Right Requests Within One FCFS Request Form

- Seller can create multiple FCFS Import Right Requests for one or more months of the selected Capability Period within one Import Right Request Form
- Seller can submit multiple Import Right Requests for a single request and allocation period
- All the requests within one Import Right Requests Form will have the same submission order according to submission time
- Within the form, the individual FCFS Import Right Requests will have a relative priority established by how the seller has arranged them, as described in previous slide

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Step 2: Downloading a created FCFS Import Right Request Form



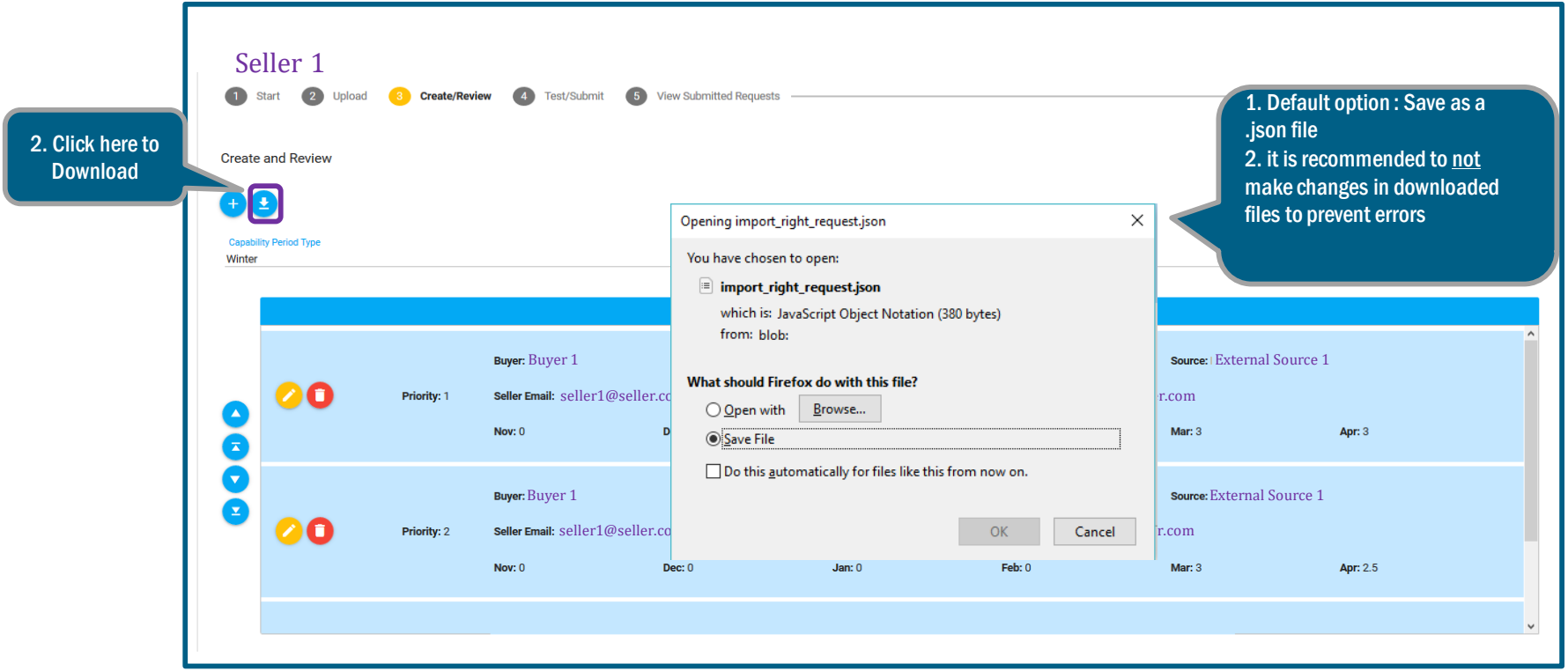

Steps up to Test can be done prior to FCFS Request Submit Period opening

It is recommended that a Created FCFS Import Rights form should be downloaded and saved before proceeding to the next steps in the process

FCFS Request Period opens

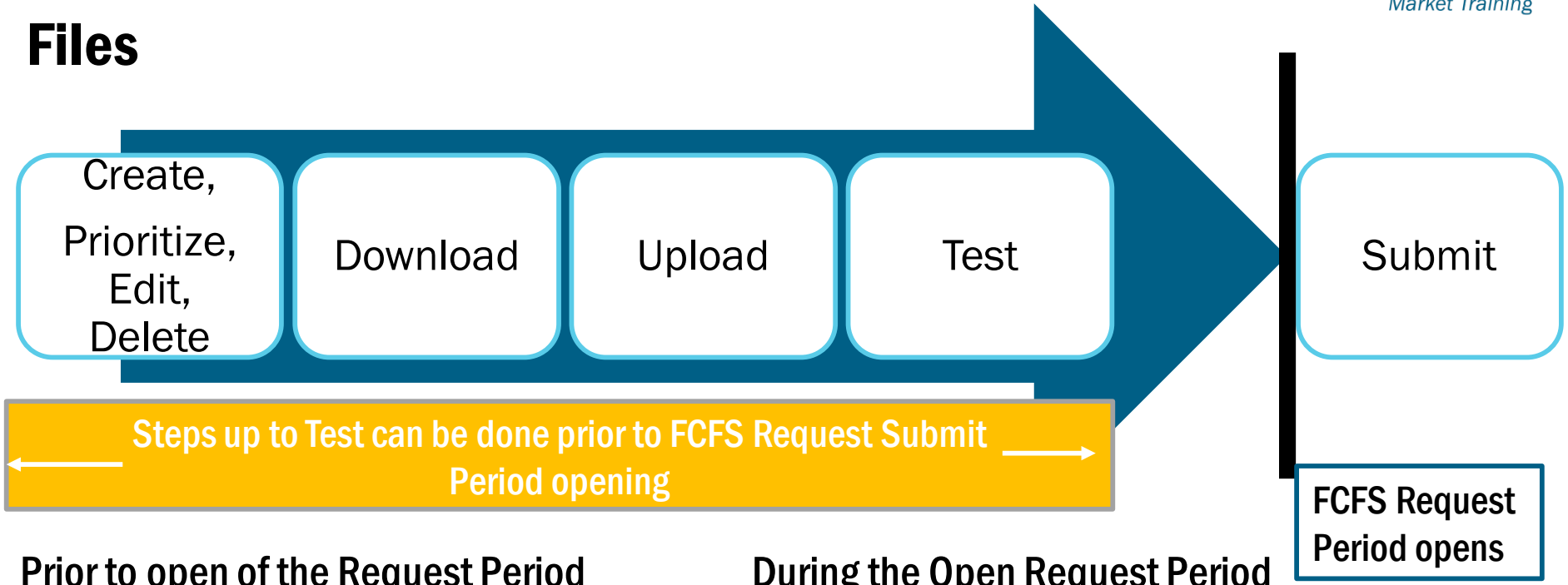
©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Downloading a Created FCFS Import Right Request Form




©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Step 3: Uploading Saved FCFS Import Right Request Files




## Prior to open of the Request Period

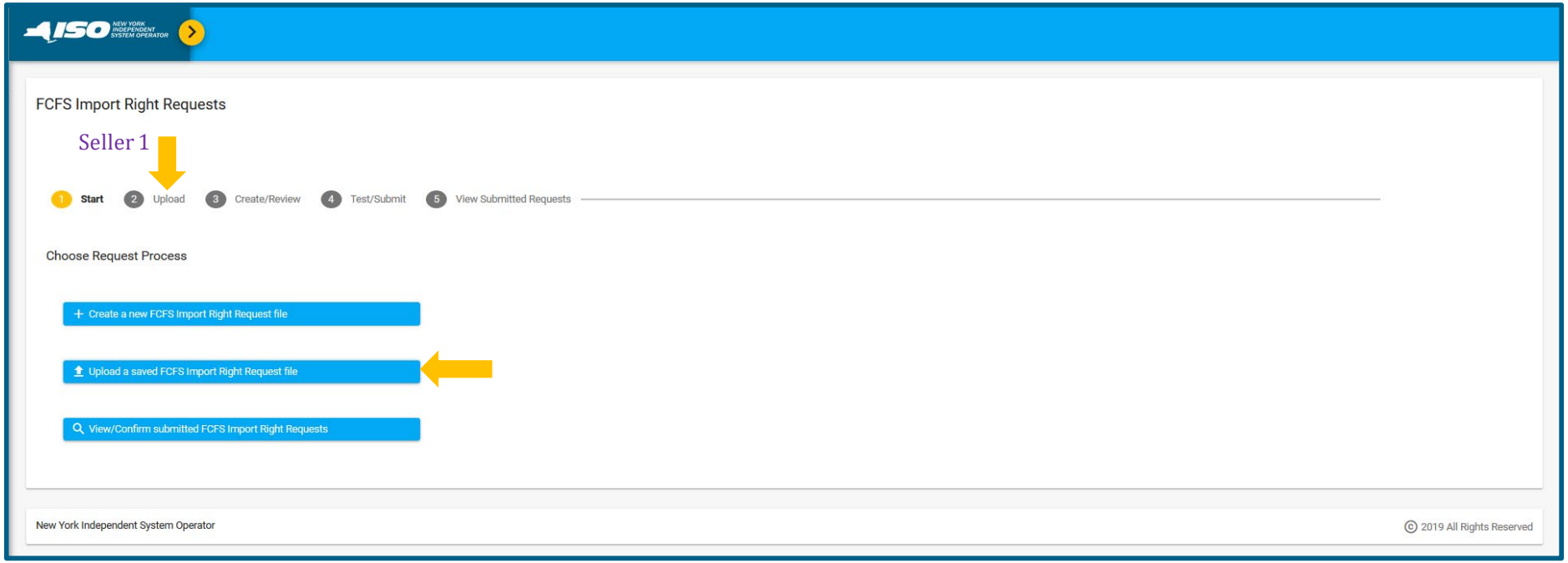
- Seller can upload downloaded and saved files to test the File before Request Period opens

## During the Open Request Period

- Seller can upload downloaded and saved files to submit the FCFS Import Right Request

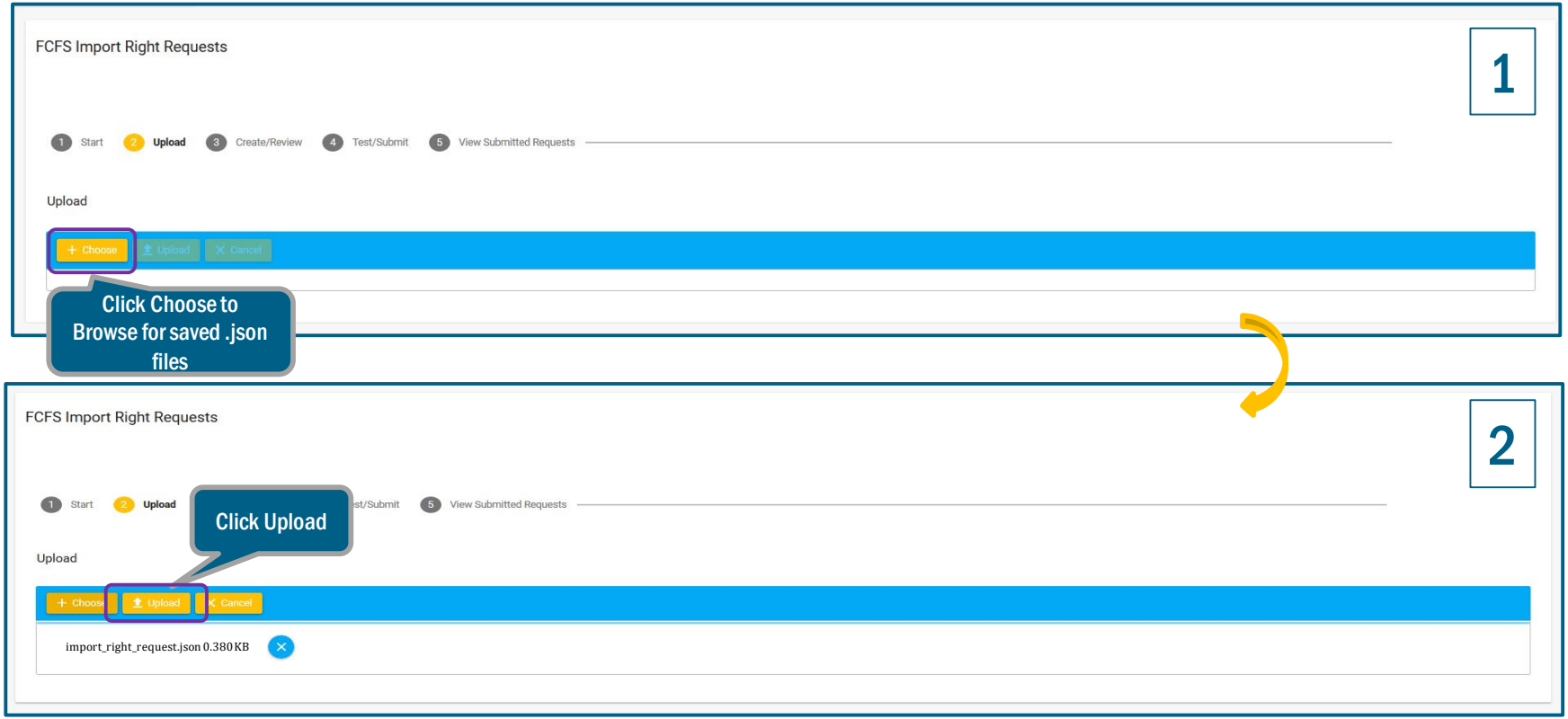
©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Uploading Saved FCFS Import Right Request Files



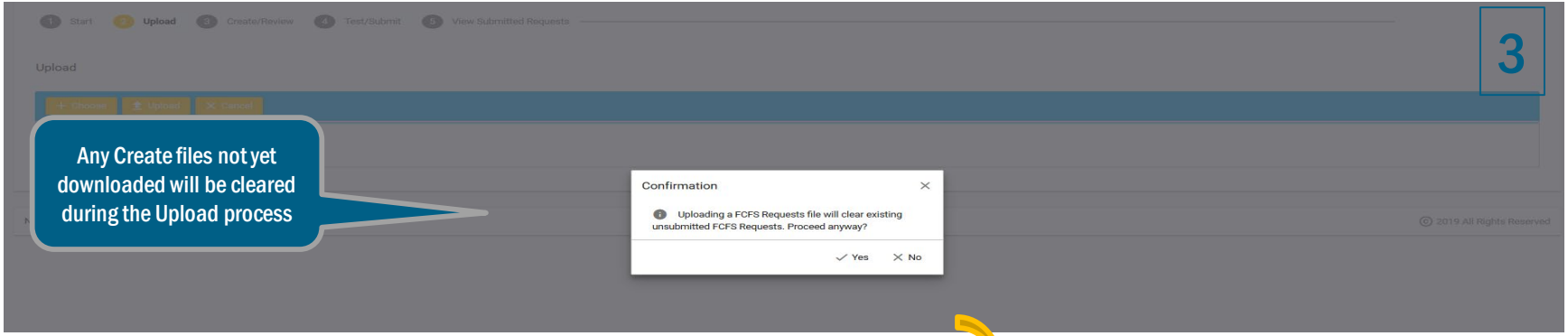

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

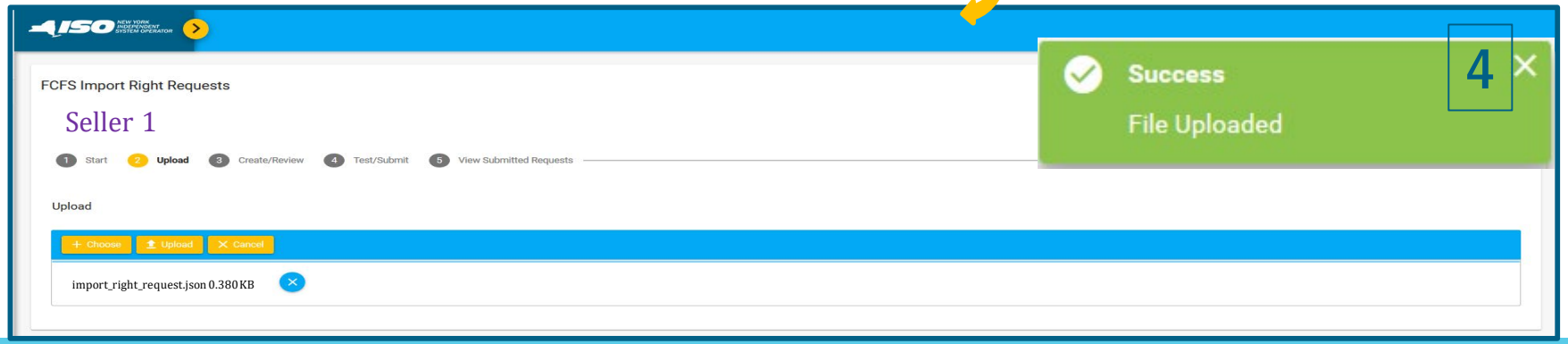
# Uploading Saved FCFS Import Right Request Files, cont.




©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Uploading Saved FCFS Import Right Request Files, cont.




©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# View Uploaded FCFS Import Right Request Files in Create/Review

FCFS Import Right Requests

Seller 1

1 Start 2 Upload 3 Create/Review 4 Test/Submit 5 View Submitted Requests

Create and Review

Capability Period Type: Winter | Month: Mar | Year: 2019

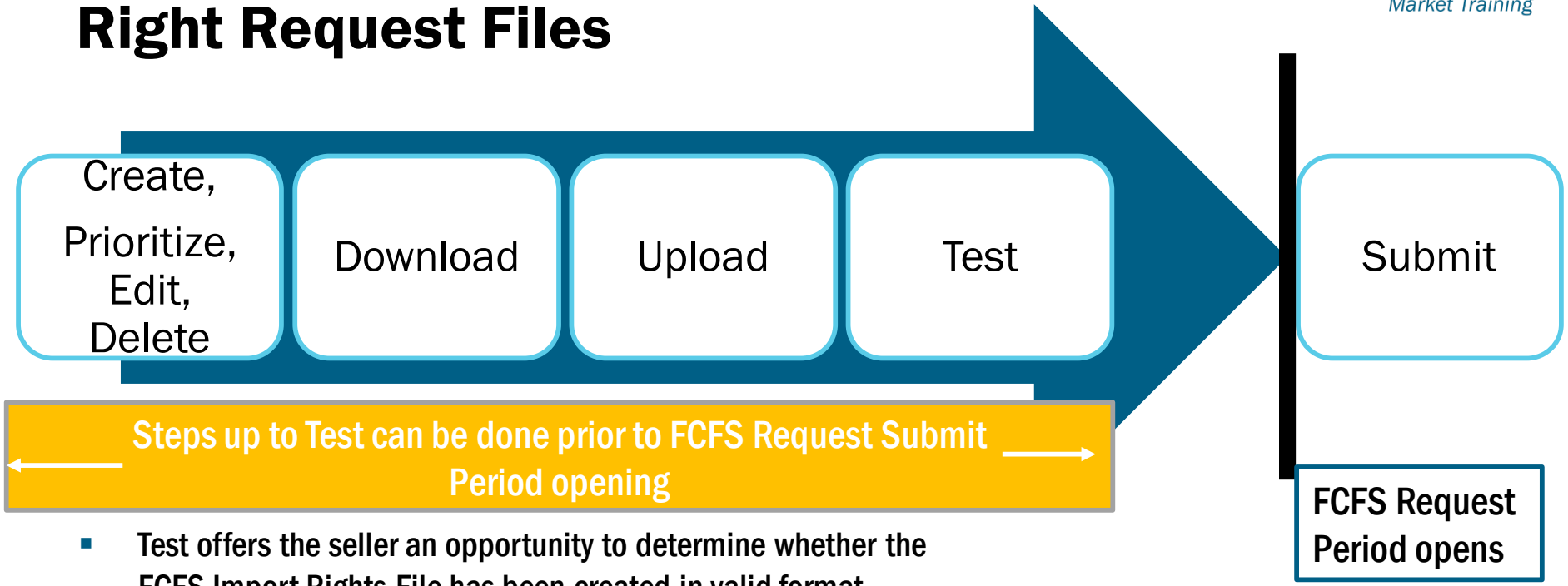
FCFS Import Right Requests

| Priority | Buyer | PTID | Source | Seller Email | Buyer Email | Nov | Dec | Jan | Feb | Mar | Apr |
|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | Buyer | 1000-Seller_1 | External Source 1 | seller1@seller.com | buyer1@buyer.com | 0 | 0 | 0 | 0 | 3 | 3 |
| 2 | Buyer | 1000-Seller_1 | External Source 1 | seller1@seller.com | buyer1@buyer.com | 0 | 0 | 0 | 0 | 3 | 2.5 |

Any changes/edits to the Import Right Requests at this stage may then be saved by downloading the file again

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

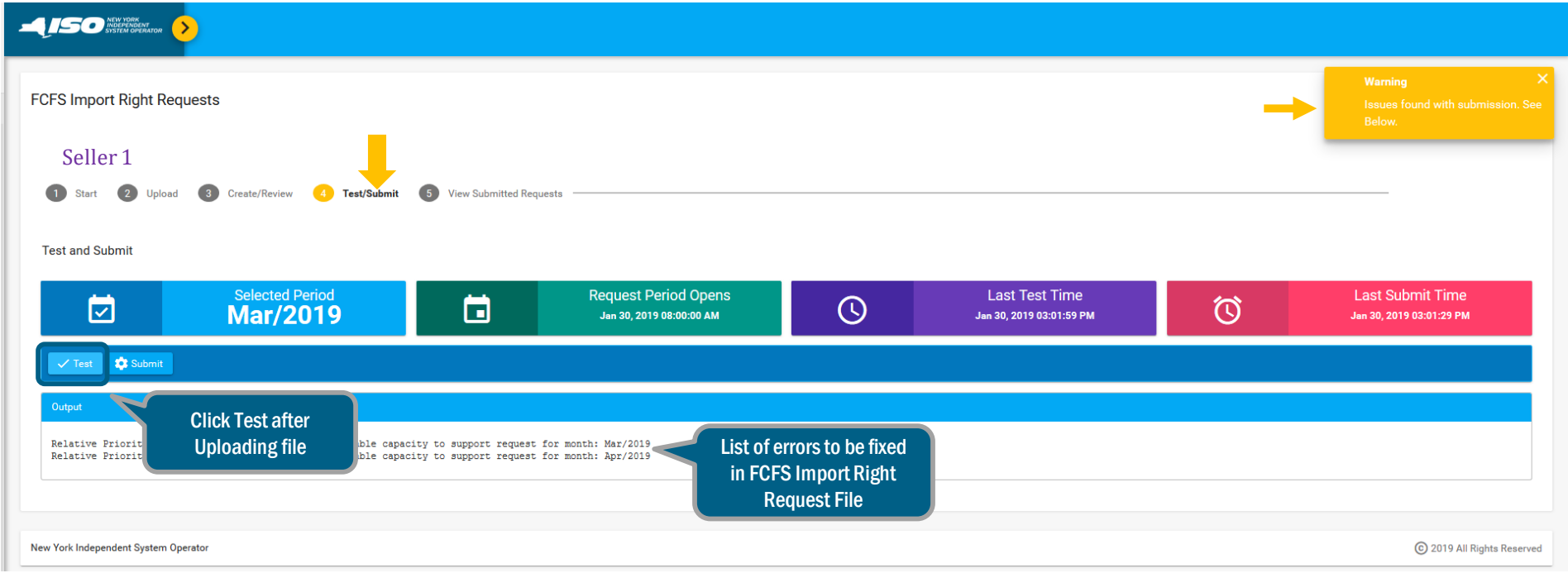
# Step 4: Testing Uploaded FCFS Import Right Request Files




- Test offers the seller an opportunity to determine whether the FCFS Import Rights File has been created in valid format
- Can be done multiple times
- For complete list of errors/validation fails, please refer ICAP AMS Users Guide, Section 15.4 and 15.5

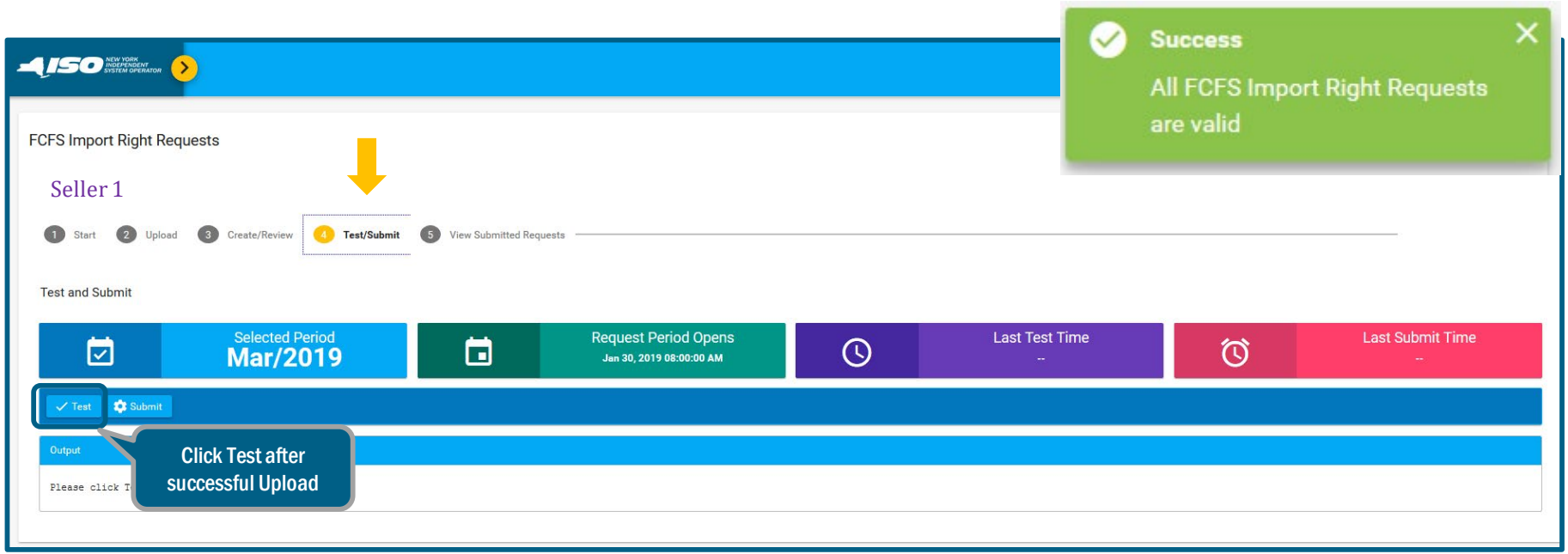
©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Errors in Uploaded FCFS Import Right Request Test File - Example: Notification



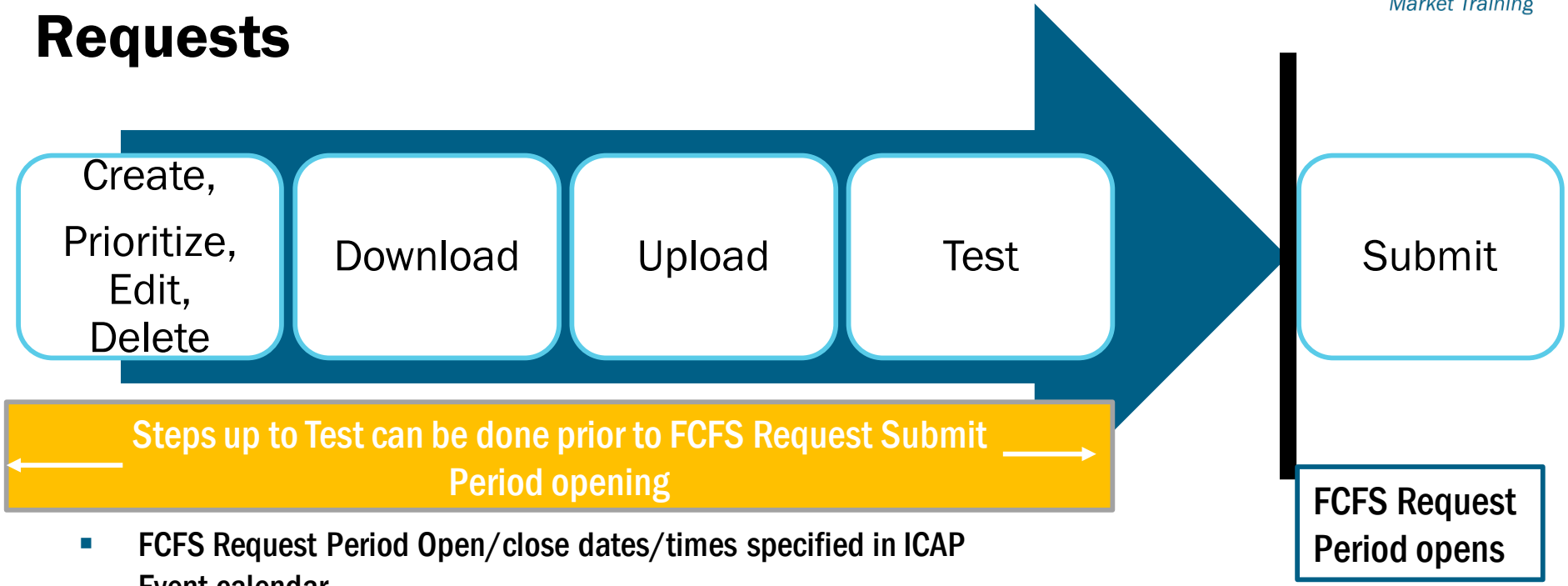

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Test Uploaded FCFS Import Request file: Successful Test Notification




©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

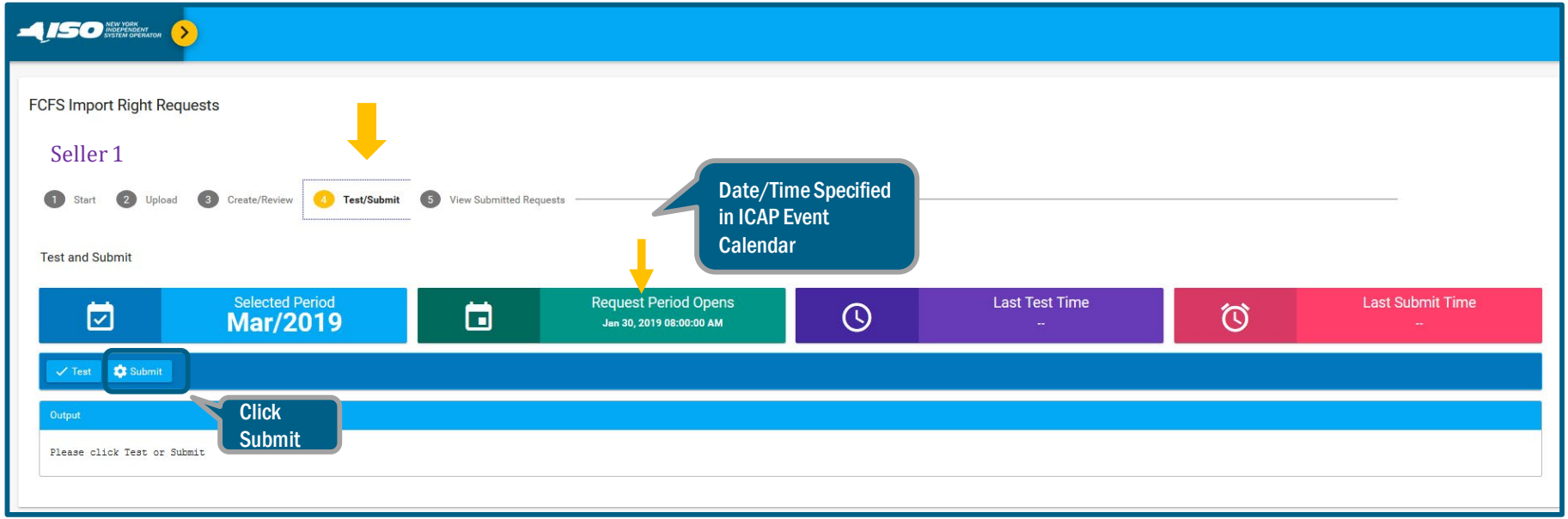
# Step 5: Submitting FCFS Import Right Requests




- FCFS Request Period Open/close dates/times specified in ICAP Event calendar
- Seller submits FCFS Import Rights Requests for one or more of the available months in the selected Capability Period
- Requests will be allocated according to time of submission

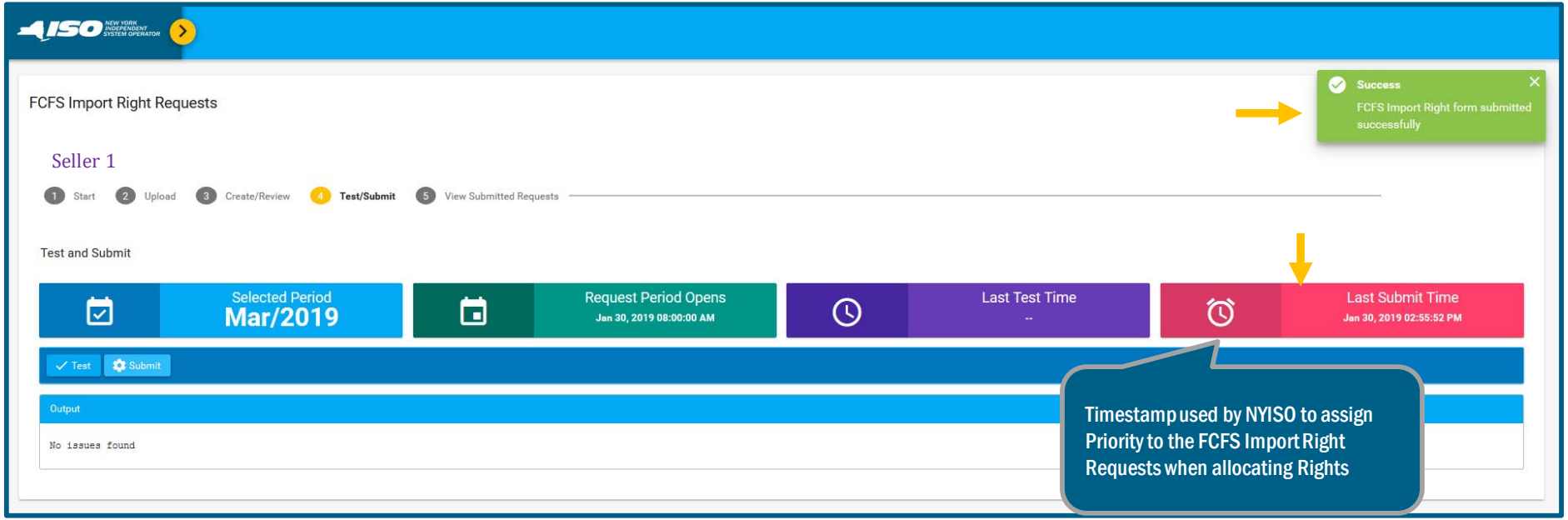
©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Submit an Uploaded FCFS Import Right Request Form



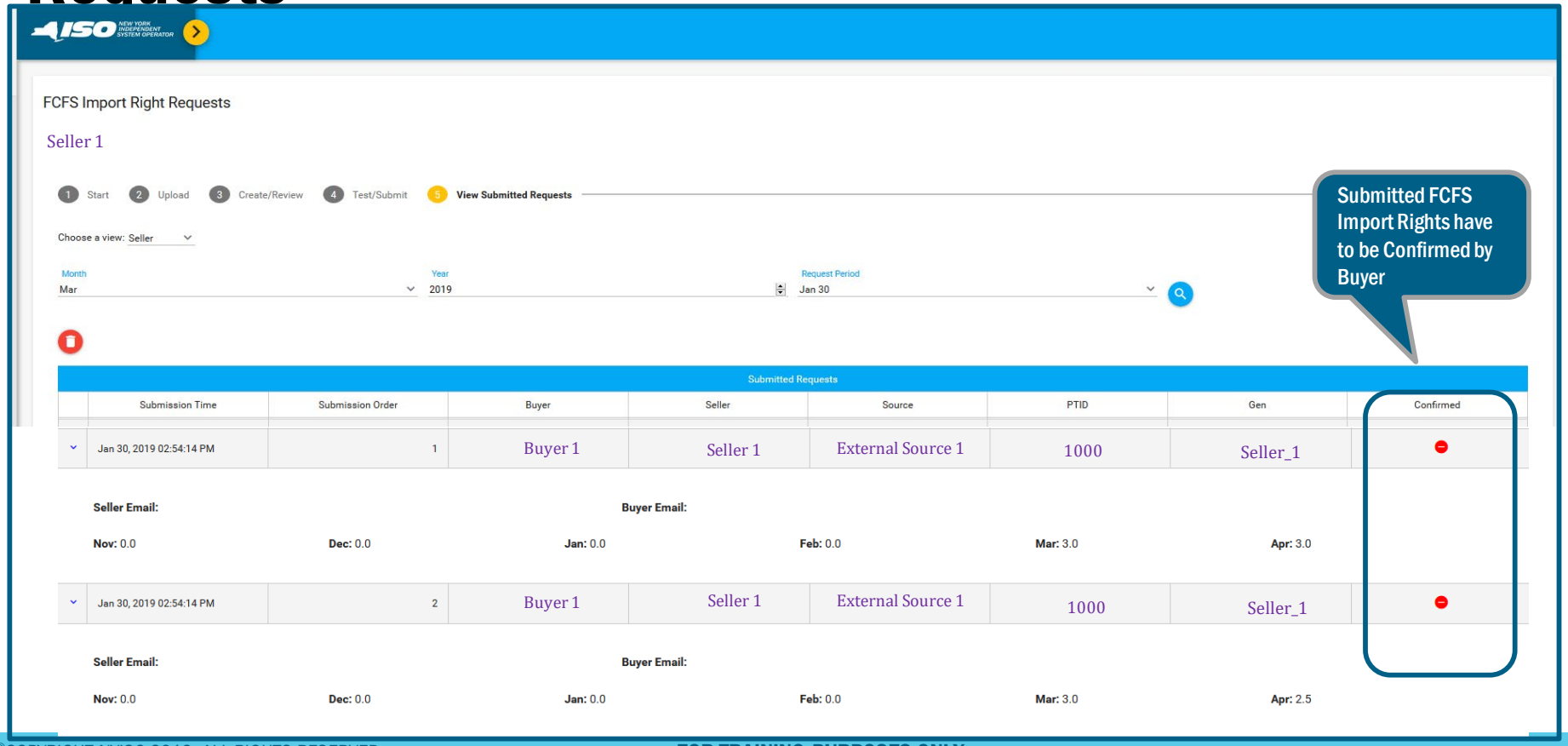

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Successful FCFS Import Right Request Submission




©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Seller View of Submitted FCFS Import Right Requests




Submitted FCFS Import Rights have to be Confirmed by Buyer

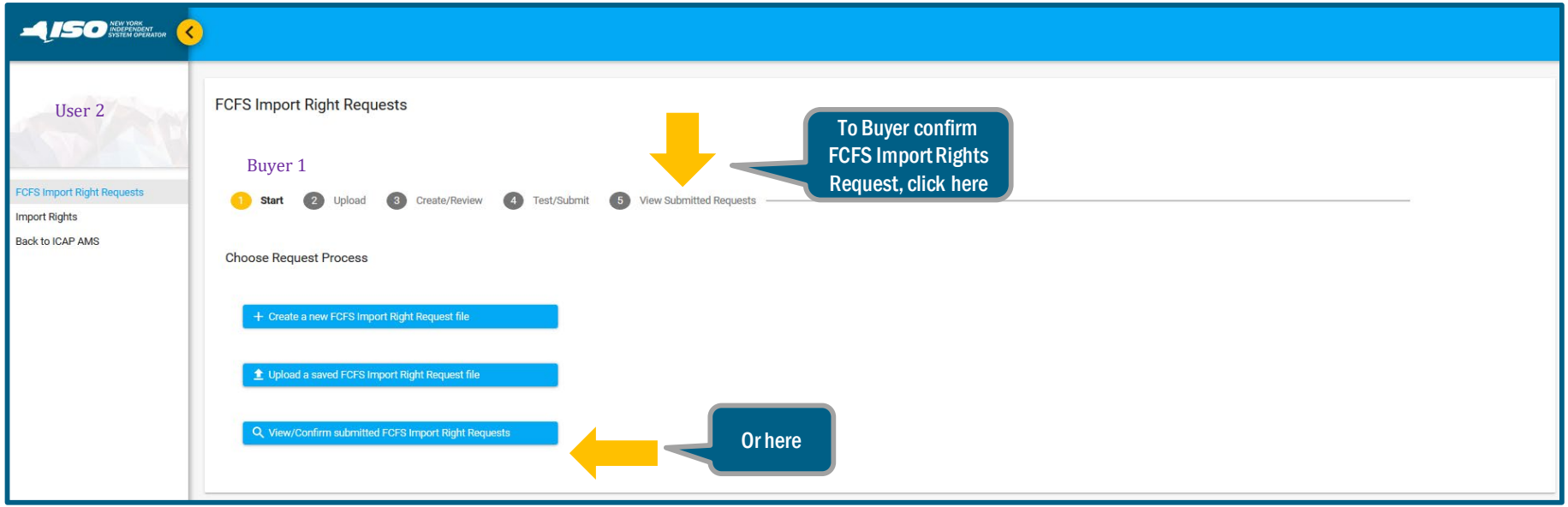
©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Buyer Confirmation Process – FCFS Import Right Requests

- The buyer confirmation period is the business day following the date the FCFS request period for the seller closes
- Identified by the ICAP Event Calendar
- Buyers, counterparty to sellers of submitted FCFS Import Right Requests, must confirm their Import Right Requests in the ICAP AMS before the confirmation period closes
- Submitted FCFS Import Right Requests that are not buyer confirmed at the close of the buyer confirmation period will be automatically rejected

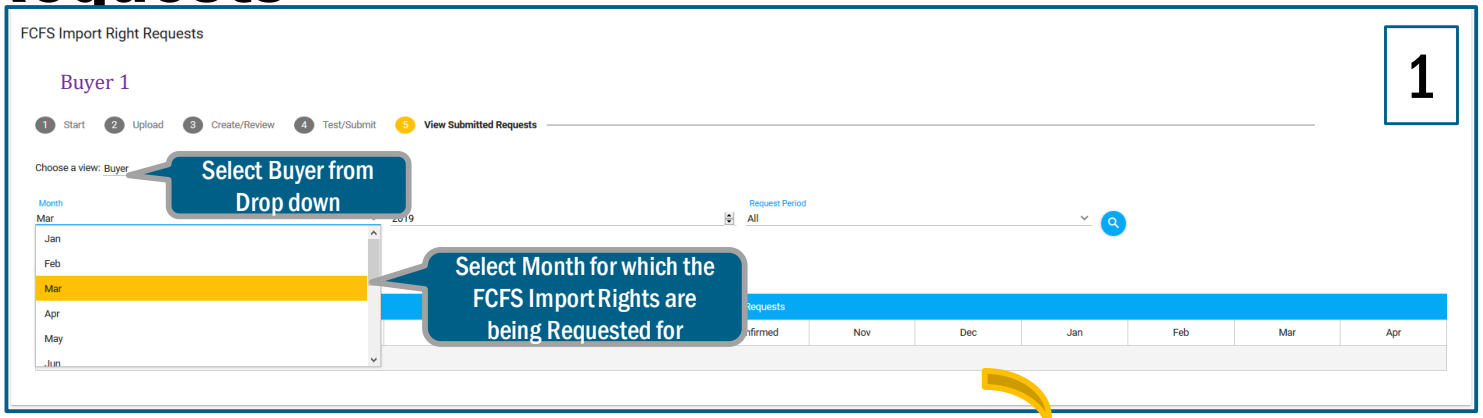
©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

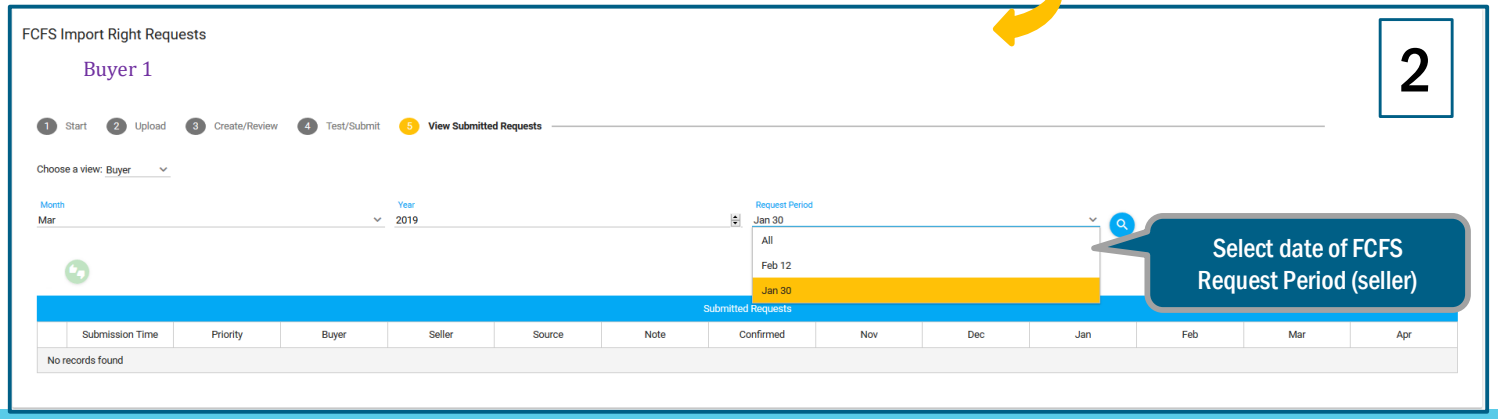
# View Submitted Requests – Buyer View




©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Buyer Confirmation of FCFS Import Right Requests




©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Buyer Confirmation of FCFS Import Right Request

FCFS Import Right Requests

Buyer 1

3

1 Start 2 Upload 3 Create/Review 4 Test/Submit 5 View Submitted Requests

Choose a view: Buyer

Month: Mar | Year: 2019 | Request Period: Jan 30

Success

Successfully confirmed FCFS Request

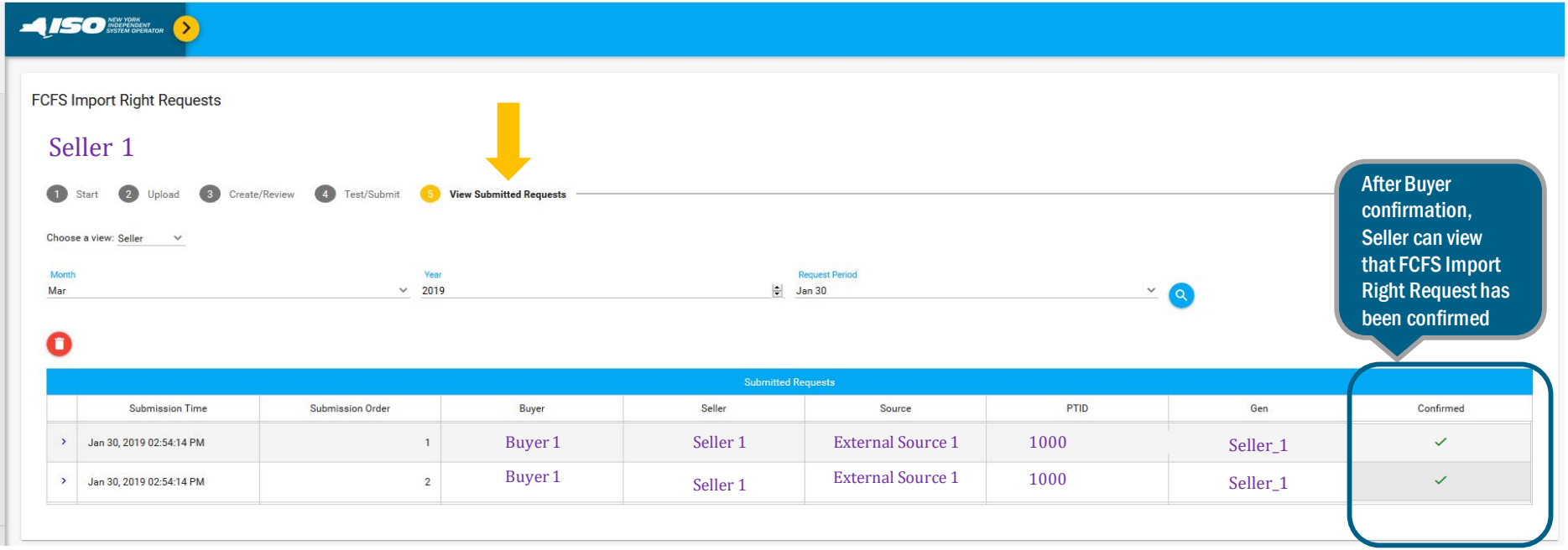
Submitted Requests

| Submission Time | Priority | Buyer | Seller | Source | Confirmed | Nov | Dec | Jan | Feb | Mar | Apr |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Jan 30, 2019 02:54:14 PM | 1 | Buyer 1 | Seller 1 | External Source 1 | ✓ | 0.0 | 0.0 | 0.0 | 0.0 | 3.0 | 3.0 |
| Jan 30, 2019 02:54:14 PM | 2 | Buyer 1 | Seller 1 | External Source 1 | ⊖ | 0.0 | 0.0 | 0.0 | 0.0 | 3.0 | 2.5 |

1. Click on each individual FCFS Import Right Request
2. Click to Buyer confirm the individual FCFS Import Right Request
3. Notification about successful Buyer confirmation
4. In the Confirmed column, turns to

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Seller View of Submitted Requests After Buyer Confirmation

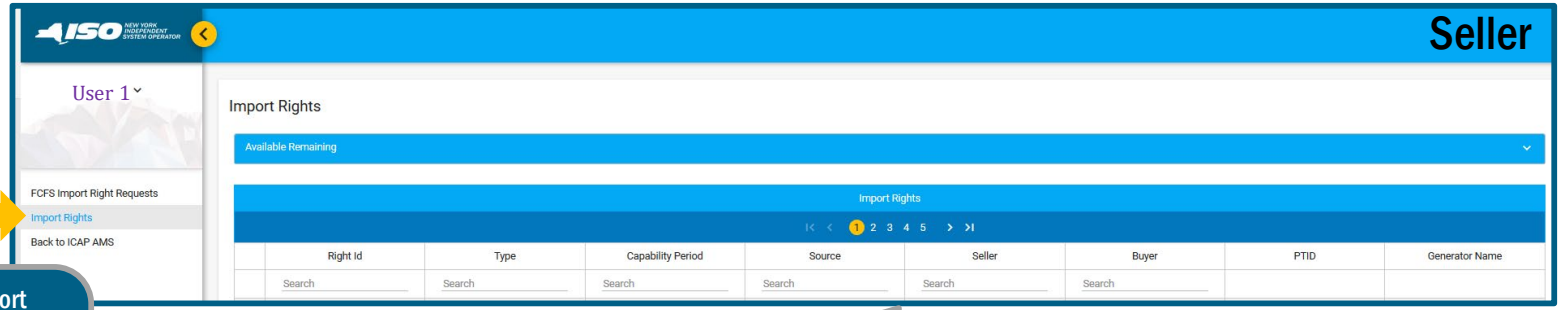



©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Import Rights

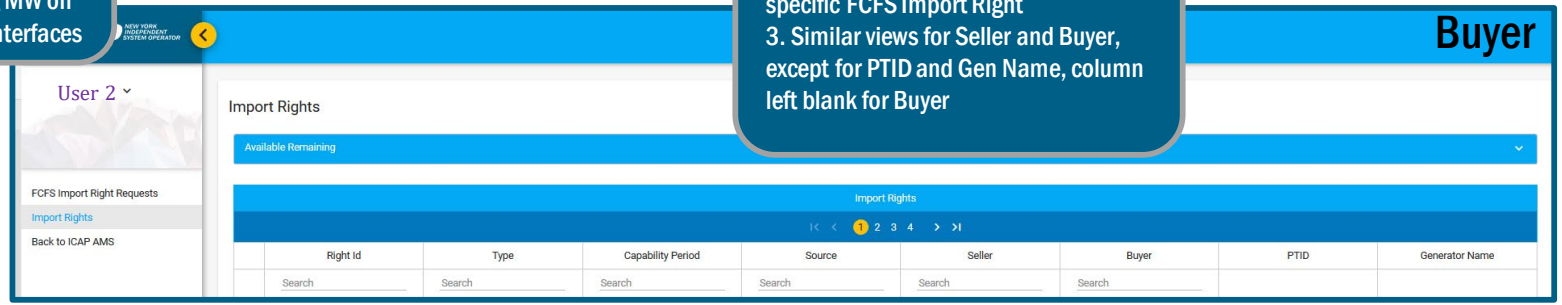
© COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED.

# FCFS Import Rights – Seller and Buyer View




Click on Import Rights to view Allocated Rights and Available remaining MW on External Interfaces

1.All Rights previously awarded to MP
2. Type in Search criteria to locate specific FCFS Import Right
3. Similar views for Seller and Buyer, except for PTID and Gen Name, column left blank for Buyer




©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# FCFS Import Rights- Availability at External Interface

Market Training

Import Rights

Available Remaining

Nov/2018 Dec/2018 Jan/2019 Feb/2019 Mar/2019 Apr/2019

| Location | Import Right ICAP Limit (ICAP MW) | Granted Import Rights (ICAP MW) | Non-ECR External Offer Awards (Equiv ICAP MW) | ETCNL (ICAP MW) | External CRIS Rights (ICAP MW) | Available Remaining |
|---|---|---|---|---|---|---|
| HQ | 2000 | 870.6 | 0 | 0 | 259 | 870.4 |
| IESO | 453 | 0 | 429.4 | 0 | 0 | 23.6 |
| NE | 288 | 1 | 0 | 0 | 0 | 287 |
| PJM | 2000 | 1242.9 | 0 | 38 | 0 | 719.1 |
| Total NYCA | 2957 | 0 | 0 | 0 | 0 | 116.1 |

Import Rights

1 2

| Right Id | Type | Capability Period | Source | Seller | Buyer | PTID | Generator Name |
|---|---|---|---|---|---|---|---|
| Search | Search | 2019 | Search | Search | Search | | |
| 30362 | FCFS | Winter 2018-2019 | HQ | Seller 1 | Buyer 1 | 1000 | Seller_1 |
| 30364 | FCFS | Winter 2018-2019 | HQ | Seller 1 | Buyer 1 | 1000 | Seller_1 |

1 2

1. Click on specific awarded FCFS Import Right
2. Toggle Available Remaining from ⌄ to ⌃ for details
3. Select Month/Year to view details and Available Remaining MW at all 4 External Interfaces and Total NYCA (*i.e*, to Rest of State)

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Seller Obligations during Monthly Certification Period

- For every month that a seller has been awarded a FCFS Import Right, Seller must
  - Confirm the FCFS Import Right bilateral in the ICAP AMS
    - Process described in the next slide
  - Provide a corresponding MIS-Transaction ID
    - Existing procedure described in the ICAP manual
- Performed during the obligation month's Certification period
  - Dates/times of Certification period open/close specified in ICAP event calendar

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Seller Confirms FCFS Import Rights During Monthly Open Certification Period

Market Training

1

Import Rights

1 2

| Right Id | Type | Capability Period | Source | Seller | Buyer | PTID | Generator Name |
|---|---|---|---|---|---|---|---|
| Search | Search | 2019 | Search | Search | Search | | |
| 30362 | FCFS | Winter 2018-2019 | HQ | Seller 1 | Buyer 1 | 1000 | Seller_1 |
| 30364 | FCFS | Winter 2018-2019 | HQ | Seller 1 | Buyer 1 | 1000 | Seller_1 |

1 2

2

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| 30362 | FCFS | Winter 2018-2019 | HQ | Seller 1 | Buyer 1 | 1000 | Seller_1 |

Toggle Confirm

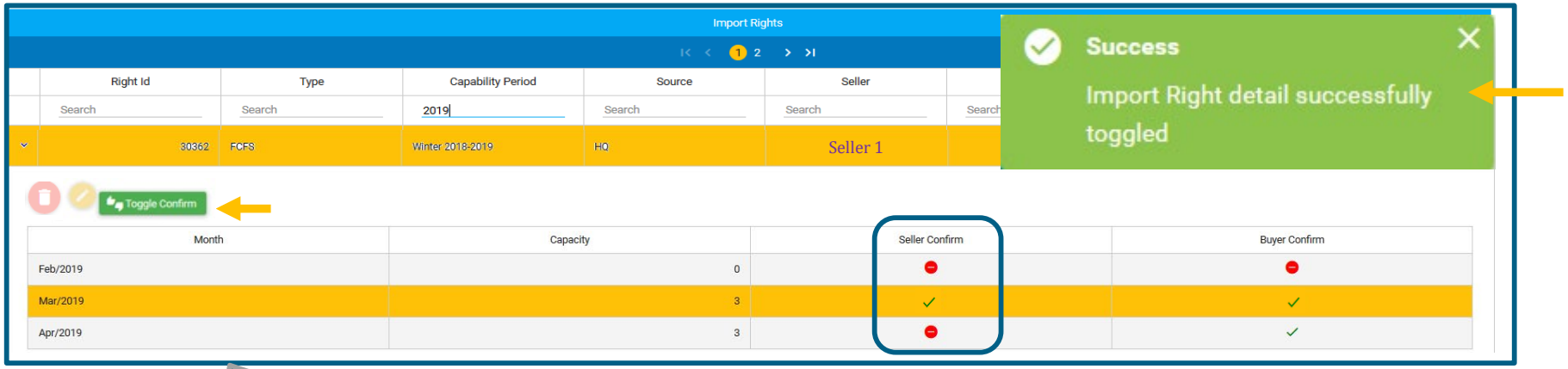
| Month | Capacity | Seller Confirm | Buyer Confirm |
|---|---|---|---|
| Feb/2019 | 0 | ⊖ | ⊖ |
| Mar/2019 | 3 | ⊖ | ✓ |
| Apr/2019 | 3 | ⊖ | ✓ |

1. Click on specific FCFS Import Right that has monthly Certification period open
2. Toggle › to ⌄ for details

✓ Indicates Rights remain Buyer confirmed from the FCFS Import Rights Request process

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Seller Confirms FCFS Import Right During Monthly Open Certification Period, cont.




1. Click the Toggle Confirm button to re-confirm Import Right Toggle Confirm
2. Notification for a successful confirm
3. Under Seller confirm, ⊖ to ✓

Note: Once Confirmed, seller cannot Un-Confirm the Import Right

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# FCFS Import Rights – Returns Process

- Awarded FCFS Import Rights may be returned on Non-Fully Allocated and Fully Allocated Interfaces according to specific deadlines
  - In the Import Rights module of the ICAP AMS
  - Both Buyer and Seller perform tasks for the Returns process
- For Non-Fully Allocated Interfaces, the FCFS Import Right may be reduced in 0.1 MW increments or completely returned
- For Non-Fully Allocated Interfaces, the Return Deadline is up to when the Certification Period for the Obligation month closes

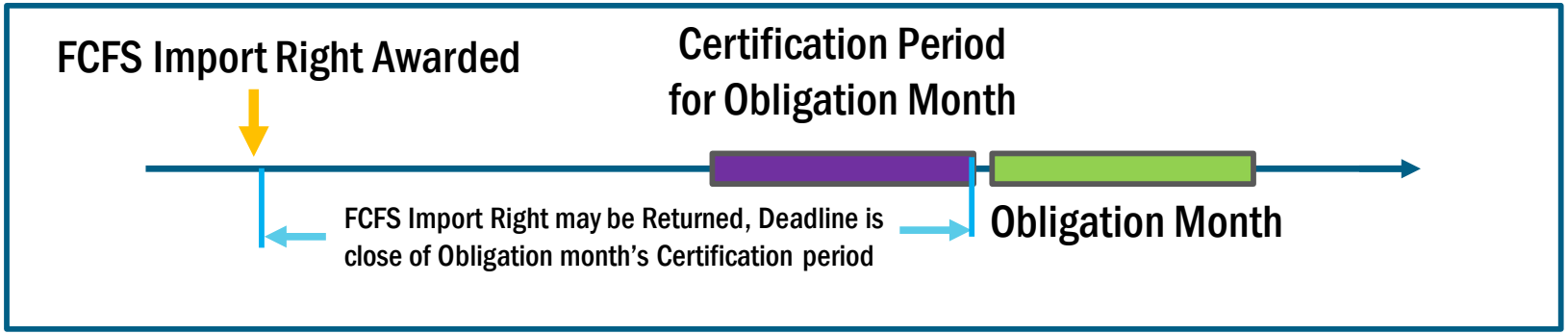
©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# FCFS Import Rights- Returns Process, cont.

- For Fully Allocated Interfaces, the FCFS Import Right must be completely returned
- For Fully Allocated Interfaces, the Return Deadline is based on when the External Interface becomes fully allocated
  - Before the Certification Period of obligation month
    - Before the begin time of the Certification Period for the obligation month of the FCFS Import Right award
  - During Certification period of obligation month
    - 5:00 p.m. ET on the business day following the notice of a Fully Allocated Interface

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# FCFS Import Rights Returns Process– Non-Fully Allocated Interfaces




In the Import Rights screen of the ICAP AMS:

Note: Not drawn to scale. For illustrative purposes only. Please refer the ICAP Manual and the ICAP Event Calendar for specific open/close periods

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# FCFS Import Rights Return – Buyer Un-Confirms Right

Import Rights

1 2

| | Right Id | Type | Capability Period | Source | Seller | Buyer | PTID | Generator Name |
|---|---|---|---|---|---|---|---|---|
| | Search | Search | 2019 | Search | Search | Search | | |
| | 30362 | FCFS | Winter 2018-2019 | HQ | Seller 1 | Buyer 1 | | |

Toggle Confirm

| Month | Capacity | Seller Confirm | Buyer Confirm |
|---|---|---|---|
| Feb/2019 | 0 | ⊖ | ⊖ |
| Mar/2019 | 3 | ⊖ | ✓ |
| Apr/2019 | 3 | ⊖ | ✓ |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | 30364 | FCFS | Winter 2018-2019 | HQ | Seller 1 | Buyer 1 | | Seller_1 |

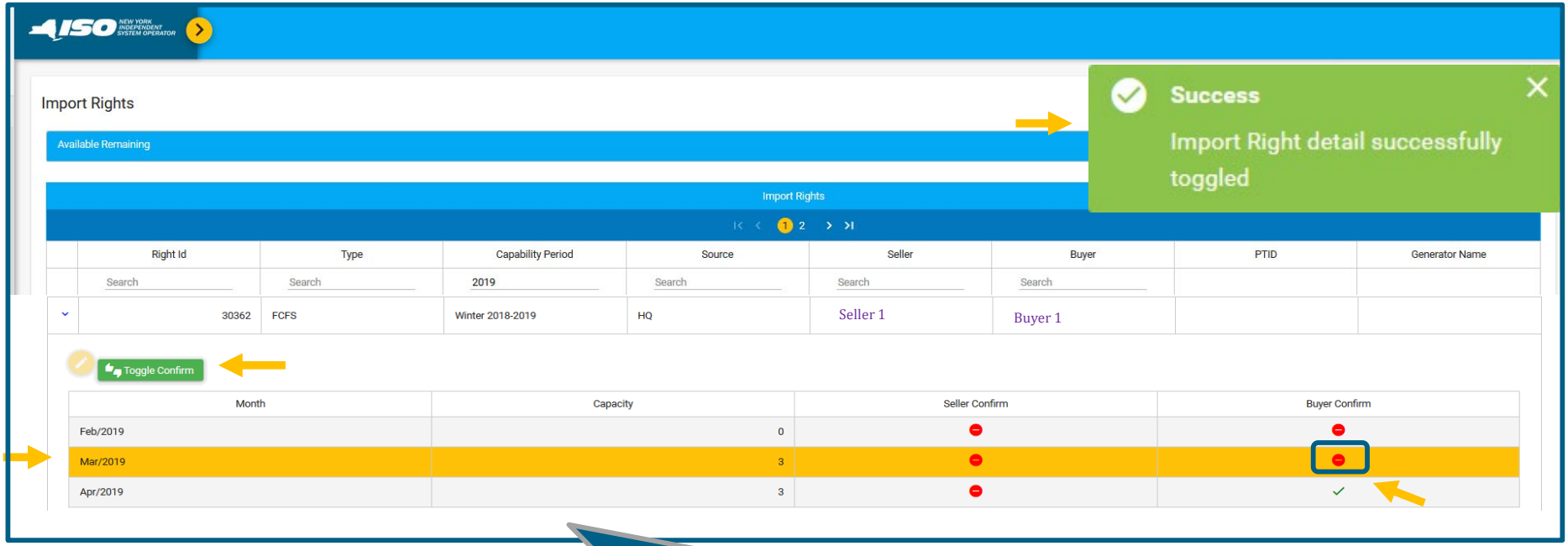
Toggle Confirm

| Month | Capacity | Seller Confirm | Buyer Confirm |
|---|---|---|---|
| Feb/2019 | 0 | ⊖ | ⊖ |
| Mar/2019 | 3 | ⊖ | ✓ |
| Apr/2019 | 2.5 | ⊖ | ✓ |

Same screen as View Import Rights

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# FCFS Import Rights Return – Buyer Un-Confirms Right, cont.




1. Click on specific month to Un-confirm
2. Click Toggle Un-Confirm Toggle Confirm
3. Buyer Confirm turns from ✓ to ⊖
4. Notification of Buyer Un-Confirm

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# FCFS Import Rights Return – Seller Edits/Deletes Un-Confirmed Right

Import Rights

Available Remaining

Import Rights

| Right Id | Type | Capability Period | Source | Seller | Buyer | PTID | Generator Name |
|---|---|---|---|---|---|---|---|
| Search | Search | 2019 | Search | Search | Search | | |
| 30364 | FCFS | Winter 2018-2019 | HQ | Seller 1 | Buyer 1 | 1000- | Seller_1 |

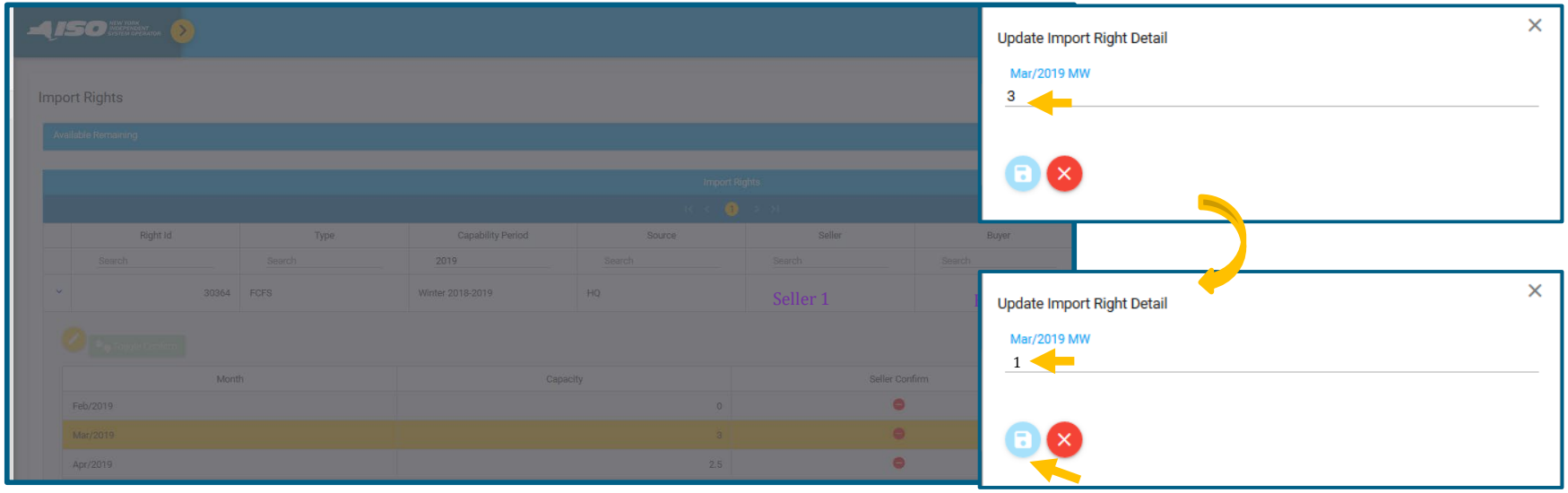
Toggle Confirm

| Month | Capacity | Seller Confirm | Buyer Confirm |
|---|---|---|---|
| Feb/2019 | 0 | ⊖ | ⊖ |
| Mar/2019 | 3 | ⊖ | ⊖ |
| Apr/2019 | 2.5 | ⊖ | ✓ |

1. Click on Month to Return Right
2. Click to edit Right
3. Click to delete Right

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

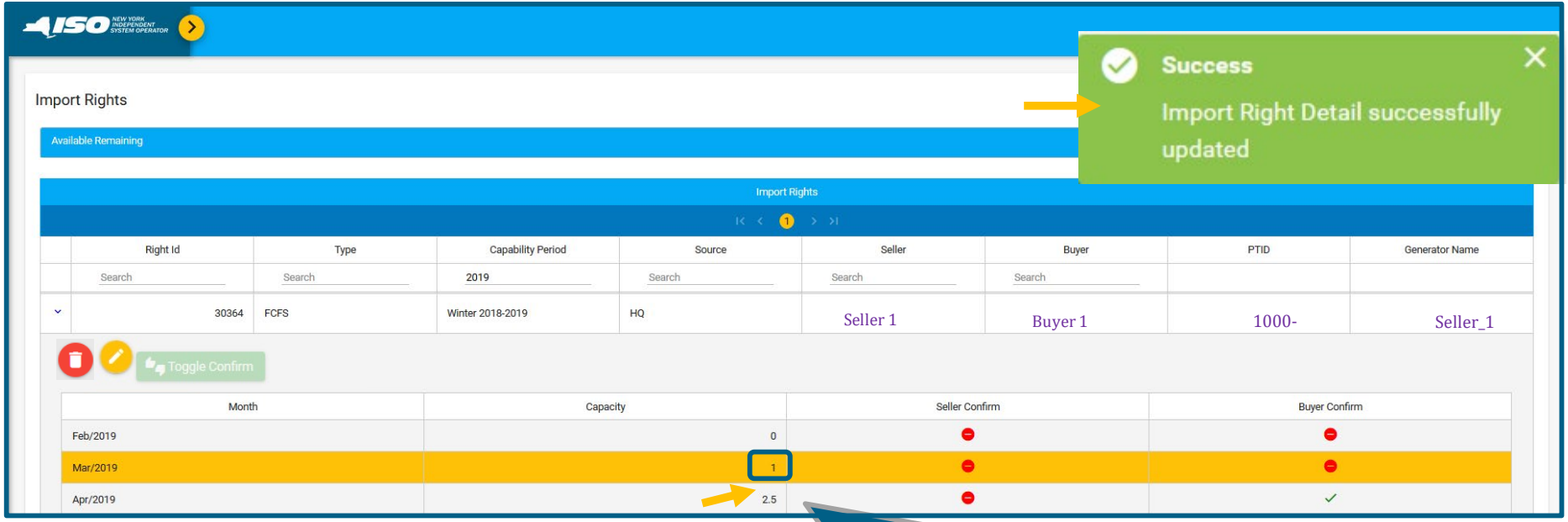
# FCFS Import Rights Return – Seller Edits/Deletes Un-Confirmed Right, Cont.




1.Import Rights MWs can be edited in increments of 0.1 MW all the way to 0
2. Click on to update any changes

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

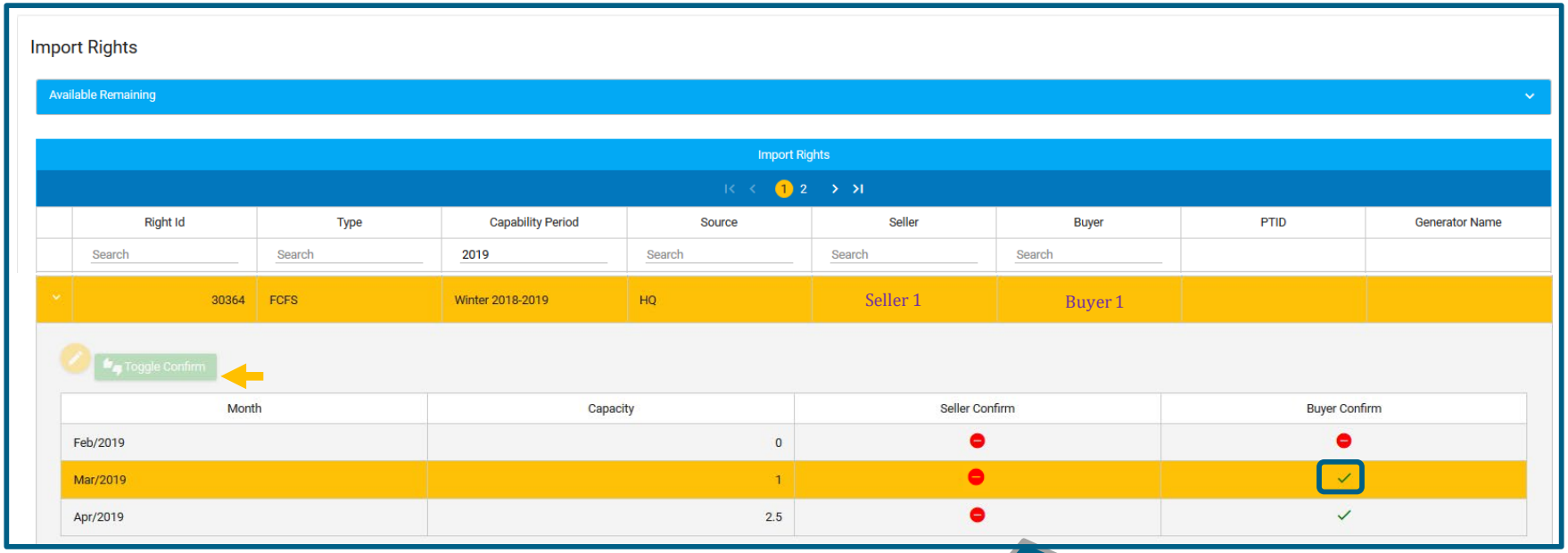
# FCFS Import Rights Return – Seller Edits/Deletes Un-Confirmed Right, cont.




1. Capacity now shows edited MWs
2. Notification of successful update

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# FCFS Import Rights Return – Buyer Re-Confirms Edited Import Right

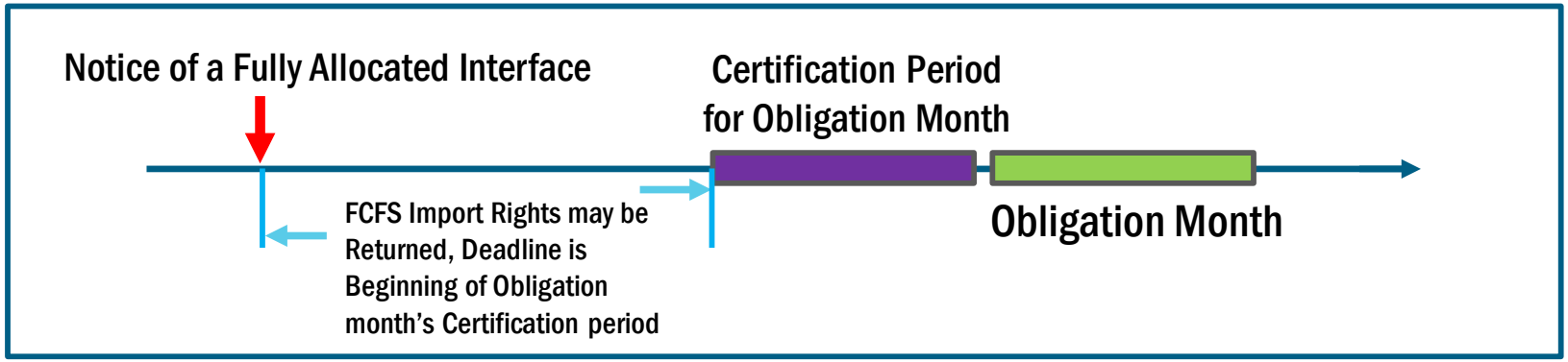


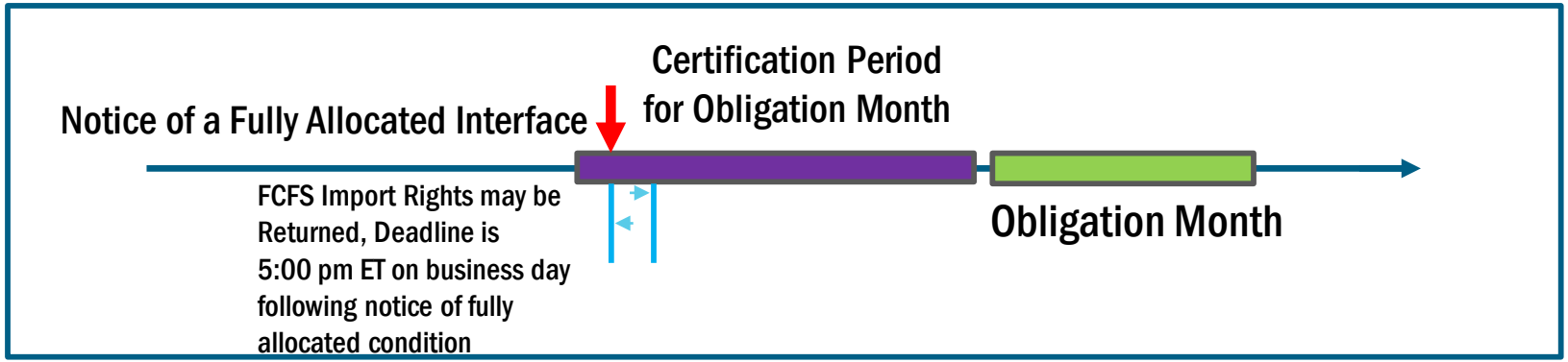

Note: If Seller deletes the Import Right,
Buyer has no further process steps in the AMS

1. Same steps as Slide 50 to Confirm FCFS Import Right. Use Toggle Confirm
2. Check for ☑ under Buyer Confirm column

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# FCFS Import Rights Returns Process- Fully Allocated Interfaces




Note: Not drawn to scale. For illustrative purposes only. Please refer to the ICAP Manual and the ICAP Event Calendar for specific open/close periods

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# FCFS Import Rights Returns Process – Fully Allocated Interfaces

In the FCFS Import Rights screen of the ICAP AMS:

- The ICAP AMS FCFS Import Rights screens used to perform these steps are the same as described above for Non-Fully Allocated Interfaces

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Presentation Review

We have discussed:

- FCFS Import Rights Requests Automated Processes
  - Seller – Create (Edit/Prioritize/Delete) FCFS Import Rights Requests
  - Seller – Test/Submit FCFS Import Rights Requests
  - Buyer – Confirm Submitted FCFS Import Rights Requests
- Import Rights
  - Seller/Buyer – View Allocated Import Rights
  - Seller – Perform Certification month Bilateral Confirmation
  - Seller/Buyer – Return Import Rights
    - Fully Allocated
    - Non Fully Allocated Interfaces

©COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED

# Questions?

For any future assistance, please contact NYISO Stakeholder Services at stakeholder_services@nyiso.com or by phone at (518) 356-6060

© COPYRIGHT NYISO 2019. ALL RIGHTS RESERVED.