

## **UG 11**

# Demand Response Information System User's Guide

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#### **Prepared By: NYISO Distributed Resources Operations**

New York Independent System Operator 10 Krey Boulevard Rensselaer, NY 12144 (518) 356-6060 www.nyiso.com

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_		Import/Export Page Showing Energy Payment Export Option	
_		Filters for Downloading an Energy Payment File	
		Dropdown options from Home Page - Peak Load Hours	
•		Capability Year Search Filter	
_		BTM Peak Load Hours	
		Resource Enrollment Dropdown options from Home Page	
_			381
<b>Figure</b>	311:	BTM Enrollment screen populated with Summary, History, and ACHL Hourly Details Data	382



### **Revision History**

Version	Effective Date	Revisions
1.0	06/15/2010	Initial Release
1.1	09/14/2010	Global  Implemented changes related to new functionality delivered in the September 14, 2010, deployment as detailed in the section-specific entries following.
		Document Scope and Usage
		<ul> <li>Updated to summarize new functionality delivered in the September 14, 2010, deployment.</li> </ul>
		Section 1.1
		Updated to summarize new functionality delivered in the September 14, 2010, deployment.
		Section 1.3.3
		Updated Table 1.1 to reflect which privilege levels confer rights to new functionality delivered in the September 14, 2010, deployment.
		Section 1.5.1
		Updated menu descriptions and screenshots to reflect new functionality delivered in the September 14, 2010, deployment.
		Section 2.1
		Added allocation of partial resource sales as an event for which the DRIS Calendar reflects timeframes/deadlines.
		Section 3
		Added to outline new functionality related to viewing Market Participant (MP) organization program enrollment, resulting in renumbering of subsequent pre-existing sections.
		Section 4
		Added to outline new functionality related to managing MP organization contacts, resulting in renumbering of subsequent pre- existing sections.
		Section 5
		Updated to reflect new enrollment time frame for EDRP resources.
		Section 5.1
		Updated Table 5.1 and Table 5.2 to reflect new requirements for the TO Account Number field in resource enrollment files, where resources assigned Rochester Gas & Electric or NYS Electric & Gas must now use the Point of Distribution ID (POD ID).
		Section 5.2
		Added additional pre-requisites necessary when importing a resource enrollment import file.
		Section 5.3.2.1



Version	Effective Date	Revisions
		Updated to reflect new functionality allowing MPs to cancel all pending resource enrollment requests.
		Section 7
		Updated to cite new functionality related to allocating resource auction sales when there is a partial sale of the aggregation.
		Section 7.4
		Added to outline new functionality related to viewing aggregation and resource auction sales.
		Section 7.5
		Added to outline new functionality related to allocating resource partial auction sales.
1.2	01/19/2011	Global
		Implemented changes related to new functionality delivered in the January 19, 2011 deployment as detailed in the section-specific entries following.
		Document Scope and Usage
		Updated to summarize new functionality delivered in the January 19, 2011, deployment.
		Section 1.1
		Updated to summarize new functionality delivered in the January 19, 2011, deployment.
		Section 1.3.3
		Updated Table 1.1 to reflect which privilege levels confer rights to new functionality delivered in the January 19, 2011, deployment.
		Section 1.5.1
		Updated menu descriptions and screenshots to reflect new functionality delivered in the January 19, 2011, deployment.
		Section 2.1
		Added several new events pertaining to the new functionality delivered in the January 19, 2011 deployment for which the DRIS Calendar reflects timeframes/deadlines.
		Section 3
		Removed Performance Factor field from MP program page because it is now visible within the new menu option Performance Factor.
		Section 4
		Added to outline new functionality related to viewing MP performance factor, resulting in renumbering of subsequent pre- existing sections.
		Section 6.1
		Updated to allow for all DRIS import files to be imported as Excel files. Previously, import files were only accepted in .csv format.
		Updated Table 5.2 to reflect new SCR enrollment file field requirement for Shutdown kW.



Version	Effective Date	Revisions
		Updated Table 5.2 and Table 5.3 to reflect new requirements for the TO Account Number field in resource enrollment files, to require that a 'T' precede all account numbers. In instances where resources assigned Rochester Gas & Electric or NYS Electric & Gas use the Point of Distribution ID (POD ID), an 'R' or "N' must precede the POD ID.
		Updated Table 5.2 and Table 5.3 to reflect that the dash (-) in a 9-digit zip code is required in the resource enrollment files.
		Section 6.3
		Updated to cite additional statistic headings resulting from importing a file into DRIS.
		Section 6.3.1
		Updated to display new format of the Exception Export file. The Exception file now provides import results for Exceptions, Alerts, and Pending messages.
		Section 6.3.2
		Added to outline new functionality related to reviewing and acting on resource enrollment Alerts, resulting in renumbering of subsequent pre-existing sections.
		Section 6.3.3  > Added TO Account Number as a new field to Table 6.4 of Fields Monitored by DRIS for Changes.
		Section 7.1.1
		Added Small Customer Aggregation indicator field to the Resource Details page. Removed resource Performance Factor from the SCR Capability Period page.
		Section 7.1.3
		Added Floor Price, Shutdown kW, and Net APMD to the Resource Monthly Details page for SCR resources.
		Section 8.3
		Added resource Offer Floor prices to UCAP Export, when applicable.
		Section 8.5.1
		Updated to allow for all DRIS import files to be imported as Excel files. Previously, import files were only accepted in .csv format.
		Section 8.5.4
		Updated to reflect process change in allocating resource auction sales through DRIS screen.
		Section 8.6
		Added to outline new functionality related to viewing resources subject to an Offer Floor, resulting in renumbering of subsequent pre-existing sections.
		Section 9.0
		Added to outline new functionality related to performing Demand Response event-specific or test-specific tasks which include viewing



Version	Effective Date	Revisions
		event or test details, creating and importing an event response file, rectifying event response file exceptions, viewing resource responses to an event or test, monitoring responses reported for payment, and exporting event payment details.
1.3	09/13/2011	Global
		Implemented changes related to new functionality delivered in the September 15, 2011 deployment as detailed in the section-specific entries following.
		Document Scope and Usage
		Updated to summarize new functionality delivered in the September 15, 2011, deployment.
		Section 1.1
		Updated to summarize new functionality delivered in the September 15, 2011, deployment.
		Section 1.2
		Updated to clarify DRIS browser requirements.
		Section 1.3.3
		Updated Table 1.1 to reflect which privilege levels confer rights to new functionality delivered in September 15, 2011 deployment.
		Section 1.5.1
		Updated menu descriptions and screenshots to reflect new functionality delivered in the September 15, 2011, deployment.
		Section 2.1
		Added several new events pertaining to the new functionality delivered in the September 15, 2011 deployment for which the DRIS Calendar reflects timeframes/deadlines.
		Section 2.4
		Added to outline new functionality related to viewing SCR Load Zone Peak Hours.
		Section 3.1
		Removed text and screenshots related to viewing Details of MP Program Enrollment. These screens were removed from the DRIS application and information from them made viewable in other areas of the application.
		Section 3.2
		Removed the prior Section 3.2 titled: Viewing Details of Demand Response Program Enrollments of an MP, resulting in renumbering of subsequent pre-existing sections. These screens were removed from the DRIS application and information from them made viewable in other areas of the application.
		Section 4.1
		Updated to include new functionality delivered in September 15, 2011 deployment.
		Section 5



Version	Effective Date	Revisions
		Added to outline new functionality related to viewing MP deficiency, resulting in renumbering of subsequent pre-existing sections.
		Section 6
		Removed text related to viewing Details of MP Program Enrollment. These screens were removed from the DRIS application and information from them made viewable in other areas of the application.
		Section 7
		Updated for change to import file for SCR enrollment template which can now only be imported as Excel. Previously, SCR enrollment import file was accepted in Excel or .CSV format.
		Section 7.1
		Updated Table 7.1 to reflect new SCR enrollment import file format as Excel with multiple tabs.
		Updated Table 7.2 to reflect new SCR enrollment file field requirements for Average Coincident Load baseline methodology and Provisional ACL. Removed field requirements for Average Peak Monthly Demand baseline methodology.
		Section 7.3.3
		Added Provisional ACL, Meter Installation Date, and ACL kW to Table 7.4 of Fields Monitored by DRIS for Changes. Removed all Peak Monthly Demand kW, Date, and Hour fields.
		Added text describing new field, Reason for Pending Request, added to the Resource Enrollment Requests screen.
		Section 8
		Updated for change to import file for SCR enrollment template which can now only be imported as Excel. Previously, SCR enrollment import file was accepted in Excel or .CSV format.
		Section 8.1.1
		Added new ACL fields which will be viewable from the Resource Capability Period Enrollments screen.
		Added text describing new field, Approval Date, added to the Resource Capability Period Enrollments screen.
		Section 8.1.3
		Added text describing when the ACL functionality takes effect in DRIS.
		Added new ACL fields, To, Meter Installation Date, and Raw Performance Factor to the Resource Monthly Details screen.
		Section 9
		Added additional tasks to the list of SCR Specific Tasks.
		Section 9.1
		Added to outline new functionality related to viewing Transmission Owner add-back kW Values for a Resource, resulting in renumbering of subsequent pre-existing sections.
		Section 9.2



Version	Effective Date	Revisions
		Added Note to clarify when Aggregation Performance Factors will be viewable in DRIS.
		Section 9.4
		Added text describing ability to view Pending and Under Review resources on the UCAP Export.
		Section 9.8
		Added to outline new functionality related to managing Summer 2011 ACL resource enrollments.
		Section 9.9
		Added to outline new functionality related to managing Provisional ACL resource enrollments.
		Section 10
		Added Note explaining null values in First Hour of Performance and Last Hour of Performance fields on the DR Event.
		Section 10.2.4.2
		Added Net ACL field to the Hourly Meter Data tab on the Event Response Details screen for Capability Periods selected which are greater than or equal to Summer 2011.
1.4	01/18/2012	Global
		Implemented changes related to new functionality delivered in the January 18, 2012 deployment as detailed in the section-specific entries following.
		Section 9
		➤ Incorporated TB 212. (TB 212 can be retired)
		Section 9.4
		Updated title of section from Downloading UCAP Values to Aggregation UCAP Values to incorporate the transfer of aggregation UCAP values from DRIS to ICAP AMS.
		Section 9.4.1
		Added section Viewing Transfer of UCAP Values to ICAP AMS to summarize new functionality delivered in the January 18, 2012 deployment.
		Section 9.4.2
		Updated section Downloading UCAP Values to reflect that the UCAP Export may still be downloaded following the January 18, 2012 deployment.
1.5	03/16/2012	Global
		Implemented changes related to new functionality delivered in the September 2011 deployment but not viewable in DRIS until the Summer 2012 Capability Period as detailed in the section specific entries following.
		Document Scope and Usage
		Updated to include the Aggregation Performance Factor calculation and Aggregation UCAP calculation.



Version	Effective Date	Revisions
		Section 1.1
		Updated to include the Aggregation Performance Factor calculation and Aggregation UCAP calculation.
		Table 7-2
		Clarified the rule for TO Account Number on the SCR enrollment import file to align with TB 201.
		Table 7-3
		Clarified the rule for TO Account Number on the EDRP enrollment import file to align with TB 201.
		Section 9
		Re-ordered sub-sections under Section 9, Performing SCR Specific Tasks, to align with sequence of tasks.
		Updated to include the Aggregation Performance Factor calculation and Aggregation UCAP calculation.
		Section 9.2
		Updated to list the possible tasks when managing aggregations.
		Section 9.2.3
		Updated to reflect the changed fields on the Aggregation Assignment page due to the aggregation performance factor functionality.
		Section 9.2.3.1
		Added section for viewing aggregation performance factors and UCAP values.
		Section 9.2.3.2
		Added section for exporting of aggregation performance factor details.
		Added section to explain the data exported on the aggregation performance factors export.
		Section 9.2.3.3
		Added section for exporting of Capability Period summary of aggregation UCAP values.
		Added section to explain the data exported on the summary of aggregation UCAP values export.
		Section 9.2.4
		Clarified fields viewable on the Aggregation Assignment page when moving resources between aggregations due to the aggregation performance factor functionality.
		Section 9.2.6
		Added section for viewing of aggregation data prior to Summer 2012 on the Aggregation Assignment Pre-Summer 2012 page.
		Section 9.2.6.1
		Clarified the use of the UCAP Export for viewing UCAP values prior to Summer 2012 and the aggregation performance factor functionality.



Version	Effective Date	Revisions
1.6	06/14/2012	Global
	5 - 7, - 7, - 3 - 2	Implemented changes related to new functionality delivered in the June 2012 deployment as detailed in the section specific entries following.
		Document Scope and Usage  > Updated to include the Event Notification functionality.
		Section 1.1  > Updated to include the Event Notification functionality.
		Section 1.3.2
		Clarified that digital certificates may be requested for multiple computers and that they are machine specific.
		Section 1.3.3
		Updated Table 1.1 to reflect which privilege levels confer rights to new functionality delivered in the June 2012 deployment.
		Section 1.5.1
		Updated menu descriptions and screenshots to reflect new functionality delivered in the June 2012 deployment.
		Section 4.1
		Clarified definitions of resource raw performance factor and resource performance factor.
		Section 6
		Updated to highlight requirement for MP organizations to have contacts with the Event-Responder contact assignment to receive Event Notifications.
		Section 10
		Updated to include new sections related to the Event Notification component of Performing DR Event and Test specific tasks.
		Section 10.1
		Added section for receiving Event Notifications.
		Section 10.2
		Added section for viewing Event Notifications requiring an expected curtailment response.
		Section 10.3
		Added section for responding to Event Notifications requiring an expected curtailment response.
		Section 10.4
		Added section for viewing Event Notifications.
		Section 10.5
		Added section for receiving and acknowledging Communication Tests.
		Section 10.6
		Moved from section 10.1 to place in proper sequence based on Event Notification functionality.



Version	Effective Date	Revisions
		Updated to remove reference to use of the RETX Notification system for Event Notification.
		Section 10.7
		Moved from section 10.2 to place in proper sequence based on Event Notification functionality.
1.7	03/19/2013	Global
		Implemented changes related to new functionality delivered in the March 2013 deployment as detailed in the section specific entries following.
		Document Scope and Usage
		Updated to include the Demand Side Ancillary Services Program (DSASP) functionality.
		Revision History
		Corrected date of Version 1.4 from "01/18/2011" to "01/18/2012"
		Updated revision details for Version 1.4 to note retirement of TB- 212
		Section 1.1
		Updated to include the DSASP functionality.
		Section 1.3.3
		Updated to include additional rights for the DSASP functionality and DRIS Web UI User Roles.
		Section 1.5.1
		Updated to include the DSASP Dashboard display.
		Updated to include new option of DSASP Product/Aggregation Types under the Tables Menu
		Added new Menu option of DSASP with sections for Aggregation Management, Submittals and Enrollment Details
		Section 2.1
		Updated to include the DSASP functionality.
		Section 2.5
		Added new section for DSASP Product/Aggregation Types selection from the Tables Menu.
		Section 3.1
		Updated to include the DSASP functionality
		Section 3.2
		Updated to include the DSASP functionality.
		Section 6.2
		Clarified differences between SCR, EDRP and DSASP when updating contacts.
		Section 7.1
		Updated to include the DSASP functionality.
		Added Sample DSASP Import File



Version	Effective Date	Revisions
		➤ Added rules specific to resource data in DSASP enrollment files
		Section 7.2
		Updated to include the DSASP functionality.
		Section 7.3.2
		➤ Updated to include the new Alert types.
		Section 7.3.3
		Updated to include Pending Enrollment functionality for DSASP.
		Section 7.3.3.1
		Clarified differences between SCR, EDRP and DSASP when viewing and acting upon Resource Enrollment Requests.
		Section 8.1.1
		Clarified differences between SCR, EDRP and DSASP when viewing Resource Enrollments by Capability Period.
		Section 8.1.3
		Updated title of UCAP column.
		Section 8.1.4
		Added section for viewing DSASP Resource Enrollment Details
		Section 8.3
		Clarified difference between separating SCR, EDRP and DSASP resources.
		Added sub-section for separating a DSASP resource.
		Section 8.4
		Clarified differences when re-enrolling SCR, EDRP and DSASP resources.
		Section 9.4.4
		Clarified steps to allocating resource partial auction sales through the DRIS Summary of Aggregation Auction Sales page.
		Section 10
		Added section for performing DSASP specific tasks.
		Section 10.1
		Added section for viewing DSASP Aggregations.
		Section 10.1.1
		Added section for viewing DSASP Aggregation Management Summary Details.
		Section 10.1.2
		Added section for viewing Demand-Side Resources within a DSASP Aggregation.
		Section 10.2
		Added section for managing DSASP Aggregations.
		Section 10.2.1



Version	Effective Date	Revisions
		Added section for adding or updating a Validated Demand-Side Resource for the Qualified DSASP Aggregation.
		Section 10.2.2
		Added section for removing a Validated Demand-Side Resource from the Qualified DSASP Aggregation.
		Section 10.2.3
		Added section for the DSASP Resource Report.
		Section 10.2.3.1
		Added section for the DSASP Resource Report Section 1.
		Section 10.2.3.2
		➤ Added section for the DSASP Resource Report Section 2.
		Section 10.2.3.3
		Added section for the DSASP Resource Report Section 3.
		Section 10.3
		Added section for viewing DSASP Submittals.
		Section 10.3.1
		Added section for viewing DSASP Aggregation Submittal Summary.
		Section 10.3.2
		Added section for viewing Demand-Side Resources within a DSASP Submittal.
		Section 11
		Clarified Event-Specific tasks for Reliability Programs.
1.8	03/17/2014	Global
		Implemented changes related to new functionality delivered in the March 2014 deployment as detailed in the section specific entries following.
		Document Scope and Usage
		Updated to include the Provisional ACL project functionality.
		Section 1.1
		Updated to include the Provisional ACL project functionality.
		Section 1.2
		Updated to include new technology requirements.
		Section 1.2.5
		Updated to include additional rights for the Provisional ACL project functionality and DRIS Web UI User Roles.
		Section 1.4.1
		Updated to include the MP Action Required display category.
		Updated to include new option of Verification Peak Hours (Summer 2014 – Winter 2014/2015 under the Tables Menu
		Updated to include new option of Monthly Peak Load Hours under the Tables Menu



Version	Effective Date	Revisions
		Section 2.1
		<ul> <li>Clarified differences between SCR Capability Period Load Zone Peak Hours and SCR Monthly Load Zone Peak Hours</li> </ul>
		Section 2.4  > Clarified differences between SCR Capability Period Load Zone Peak Hours and SCR Monthly Load Zone Peak Hours and Verification Load Zone Peak Hours used for the verification of a resource with a Provisional ACL
		Section 2.5
		Added section for SCR Capability Period Load Zone Verification Peak Hours for the verification of resources enrolled with a Provisional ACL during the Summer 2013 and Winter 2013/2014 Capability Periods
		Section 2.6
		Added section for SCR Monthly Load Zone Verification Peak Hours for the verification of resources enrolled with an Incremental ACL.
		Section 5.2
		Updated introduction to include new and updated fields on the MP Deficiency screen.
		Section 7
		Updated introduction to include functionality for the Provisional ACL Eligibility check and enrolling resources with an enrollment request for ACL data.
		Section 7.1
		Added section for creating the import file to check resources eligibility to enroll with a Provisional ACL.
		Section 7.2
		Added section for user to import the file to check resources eligibility to enroll with a Provisional ACL.
		Section 7.2.1
		Added section for user to review and act on Provisional ACL Eligibility check outputs.
		Section 7.3
		<ul> <li>Updated</li> <li>Figure 73 for new and updated individual resource field validations in the SCR Enrollment Import file.</li> </ul>
		Section 7.5
		Updated introduction for concept of new "General Alerts" category, included with resource enrollment request results.
		Section 7.5.3
		> Updated to include resource enrollment requests for ACL data.
		Section 7.5.3.1
		➤ Updated to include resource enrollment requests for ACL data.



Version	Effective Date	Revisions
		Section <b>7.5.3.2</b>
		➤ Added section for Processing ACL Data Requests
		Section 8.1.1
		Updated to include new fields and search filters on resource screens.
		Section 8.1.3
		➤ Updated to include new fields on resource Monthly Details screen.
		Section 10
		Updated introduction for concepts of Resource ACL Adjustments, Incremental ACL verification data and Incremental ACL shortfall.
		Section 10.1
		Clarified change of screen name from "TO Add-backs" to "Resource ACL Adjustments".
		Updated introduction to include new concepts of DADRP add-backs and DSASP Baseline replacement adjustments.
		Section 10.1.1
		Updated to include new resource fields and concepts of DADRP add-backs and DSASP Baseline replacement adjustments, at the summary level.
		Section 10.1.2
		Updated to include new resource fields and concepts of DADRP add-backs and DSASP Baseline replacement adjustments, at the detailed level.
		Section 10.6.5
		Updated to include new resource fields and concepts of Shortfall, DADRP add-backs and DSASP Baseline replacement adjustments, at the summary level.
		Section 10.6.6
		Updated to include new resource fields and concepts for a Verified ACL, DADRP add-backs and DSASP Baseline replacement adjustments, at the detailed level.
		Section 10.7
		Added section for managing Incremental ACL enrollments.
		Section 10.7.1  > Added section for downloading of the Incremental ACL verification file.
		Section 10.7.2
		<ul> <li>Added section for creating the Incremental ACL verification file.</li> </ul>
		Section 10.7.3
		> Added section for importing the Incremental ACL verification file.
		Section 10.7.4
		Added section for managing the Incremental ACL verification file import results.



Version	Effective Date	Revisions
		Section 10.7.5
		Added section for viewing resource Incremental ACL verification data.
		Section 10.7.6
		Added section for viewing resource Incremental ACL verification details.
		Section 12.7.4.1
		Updated section to include new fields when viewing resource responses to events and/or tests.
		Section 12.7.4.2
		Updated section to include new Performance Hourly meter data tab when viewing resource response details.
		Updated section to include new fields in the Enrollment Hourly meter data tab when viewing resource responses details.
		Clarified difference between the new Performance Hourly meter data tab and the existing Enrollment Hourly meter data tab.
1.9	10/23/2014	Global
		Implemented changes related to new functionality delivered in the October 2014 deployment as detailed in the section specific entries following.
		Changed all references of "Market Participant (MP) Deficiency" to "Responsible Interface Party (RIP) Portfolio Performance Shortfall."
		Document Scope and Usage
		Updated to include the functionality for the viewing and reporting of a SCR Change of Status and the viewing of resources subject to multiple shortfalls within a Capability Period.
		Section 1
		Updated introduction to include new sections and to incorporate the retired Document Scope and Usage section.
		Section 5
		Updated section to reflect change in name of section from "Market Participant Deficiency" to "RIP Portfolio Performance Shortfall".
		Section 5.2
		Updated section to include new fields which are inputs to the RIP Portfolio Performance Shortfall.
		Section 10.8
		Added section for reporting, managing, and viewing an SCR Change of Status in DRIS, after the close of enrollment for the applicable month.
		Section 10.9
		Added section for viewing resource Shortfall kW summary data.
2.0	6/17/2015	Global



Version	Effective Date	Revisions
		Implemented changes related to new functionality delivered in the June 2015 deployment as detailed in the section specific entries following.
		Document Scope and Usage
		Updated to include the functionality for viewing Proxy Test Values used to satisfy the First Performance Test requirement
		Section 7
		Updated Table 7-7 to include TO Service Voltage ID and Calculated ACL kW for each resource for Fields Monitored for SCR Enrollments
		Section 9.2
		Updated to include new and updated fields on the Aggregation Assignment screen
		Section 9.2.3
		Updated menu descriptions and screenshots for the Aggregation Performance Factors Export File containing new fields
		Section 11.2
		Updated menu descriptions, search criteria and screenshots for Notifications screens.
		Section 11.7
		Updated to include Proxy Test Indicator to menu descriptions and screenshots.
2.1	12/10/2015	Section 9
		➤ Clarified timelines for Reporting Change of Status
2.2	06/23/2016	Section 1.2
		Updated to clarify that digital certificates will no longer be NYISO issued and must be NAESB compliant
2.3	11/21/2016	Global
		Revisions related to new functionality delivered in the November 2016 Behind-the-Meter Net Generation ("BTM:NG") deployment as detailed in the section specific entries following.
		Document Scope and Usage
		> Updated to include the BTM:NG project functionality.
		Section 1.1  > Updated to include Section 12, BTM:NG Viewing details
		Section 1.4.1
		> Addition of BTM:NG menu bar option
		Section 12
		➤ View BTM:NG Peak Load Hours
		➤ View BTM:NG Monthly Enrollment
3.0	02/20/2019	Section 1



Version	Effective Date	Revisions
		<ul> <li>Added Documentation Vault Management in Document Purpose and System Capabilities</li> <li>Updated NYISO website screen shots for Accessing the System</li> </ul>
		Section 2.3
		Updated Figure 31 Generator Types Page in Generator Type IDs
		Section 7.5.3
		Added "Note" for MP Action Required in Monitoring Resource Enrollment Request
		Section 9
		Added new section Documentation Vault Management
		Section 10
		> Deleted references to Summer 2011 ACL
3.1	09/23/2019	Section 9
		➤ Updated screen shots for Reply Window
3.2	06/01/2020	Section 7.3  ➤ Updated SCR Enrollment File to include Meter Authority column
		Section 8.1.3
		> Added Meter Authority to SCR & EDRP Resource Enrollment screen
		Section 10.6.2
		Updated Provisional ACL Verification File to include Meter Authority column
		Added Meter Authority column to Provisional ACL Verification screen
		Section 10.7.2
		Updated Incremental ACL Verification File to include Meter Authority column
		Added Meter Authority column to Incremental ACL Verification screen
3.2	01/05/2021	Recertified without revisions
3.3	03/11/2021	Section 1.4.1
		Updated Figure 6 to reflect new Menu Bar changes
		Updated Figure 6 to remove the "Respond" option
		Section 3.1
		Updated Figure 39 to reflect new Menu Bar changes
		<ul> <li>Updated Figure 40 to reflect new Menu Bar changes</li> </ul>
		Section 4.1
		➤ Updated Figure 42 to reflect new Menu Bar changes



Version	Effective Date	Revisions
		Section 5.1
		Updated Figure 47 to reflect new changes to "RIP Portfolio Performance Shortfall Details" section
		Section 5.2
		<ul> <li>Updated Figure 50 to reflect new changes to "RIP Portfolio Performance Shortfall Details" section</li> <li>Updated Figure 51 to reflect new changes to "RIP Portfolio Performance Shortfall Details" section</li> </ul>
		Section 7.2
		<ul> <li>Updated Figure 65 to reflect new look of Import/Export Page</li> <li>Updated Figure 66 to reflect new look of Import/Export Page</li> <li>Section 7.4</li> </ul>
		<ul> <li>Updated Figure 76 to reflect new look of Import/Export Page</li> <li>Updated Figure 77 to reflect new look of Import/Export Page</li> <li>Section 7.5.1</li> </ul>
		<ul> <li>Updated Figure 80 to reflect new look of Import/Export Page</li> <li>Updated Figure 81 to reflect new look of Import/Export Page</li> <li>Section 7.5.2</li> </ul>
		<ul> <li>Updated Figure 83 to reflect new look of Import/Export Page</li> <li>Updated Figure 84 to reflect new look of Import/Export Page</li> <li>Section 7.5.3</li> </ul>
		➤ Updated Figure 87 to reflect changes to Resource Enrollment Request screen
		Updated Figure 88 to reflect changes to Resource Enrollment Request screen
		Section 8.1.3
		Updated SCR Data List, Removed "Resource Contribution" and added "Adjusted ICAP value"
		Section 8.5
		<ul> <li>Updated Figure 112 to reflect new look of Import/Export Page</li> <li>Updated Figure 113 to reflect new look of Import/Export Page</li> </ul>
		Section 10.2.1
		<ul> <li>Updated Figure 133 to reflect new "Last Update Date" column</li> <li>Updated Figure 134 to reflect new "Last Update Date" column</li> <li>Section 10.2.1.1</li> </ul>



Version	Effective Date	Revisions
		Updated Figure 136 to reflect new Menu Bar changes
		Section 10.2.1.2
		➤ Updated Figure 137 to reflect new "Last Update Date" column.
		Section 10.2.3
		Updated View Aggregation Data instructions to include language describing the new Duration Adjustment Factor and Adjusted ICAP MW.
		Updated Figure 142 to reflect the insertion of "Adjusted Duration Factor" and "Adjusted ICAP" columns to the Aggregation Assignment Page.
		Updated Figure 142 to rename the "ICAP MW of Resources Using Aggregation PF" to "Adjusted ICAP MW of Resources Using Aggregation PF",
		Updated View Data for Resources Assigned to the Aggregation instructions to include language describing Duration Adjustment Factor and Adjusted ICAP MW.
		Inserted new language: "Note: Duration Adjustment Factor and Adjusted ICAP MW columns will be empty prior to the Summer 2021 Capability Period."
		Updated Figure 143 to include ECE changes for Resources.
		Section 10.2.3.1
		Updated View Aggregation Performance Factor and UCAP data instructions to include language describing the new Duration Adjustment Factor and Adjusted ICAP.
		Updated Figure 144 to include "Adjusted Duration Factor", "Adjusted ICAP Resources Using MP PF", "UCAP MW from ICAP AMS" columns.
		Section 10.2.3.2
		➤ Updated Figure 145 to reflect new look of Import/Export Page
		➤ Updated Figure 145 to reflect new look of Import/Export Page
		Section 10.2.3.3
		<ul> <li>Updated Figure 152 to reflect new look of Import/Export Page</li> <li>Updated Figure 153 to reflect new look of Import/Export Page</li> </ul>
		Section 10.2.4
		Updated Figure 155 to include "Adjusted ICAP MW" and "Adjusted Duration Factor", "Adjusted ICAP MW of Resources Using Aggregation PF", "UCAP MW of Resources Using MP PF" and "Aggregation UCAP MW in DRIS" columns.
		Updated Figure 155 Resource sections to include new Adjusted ICAP MW column.
		➤ Inserted language describing new fields in Figure 155.



Version	Effective Date	Revisions
		<ul> <li>Updated Figure 156 to include new "Adjusted ICAP MW", "Adjusted ICAP MW of Resources using Aggregation PF", "Adjusted Duration Factor", "UCAP MW of Resources Using Aggregation PF", "Adjusted ICAP MW of Resources Using MP PF", "UCAP MW of Resources using MP PF" and "UCAP MW from ICAP AMS" columns.</li> <li>Inserted language describing new fields in Figure 156.</li> <li>Updated Figure 157 to include new "Adjusted ICAP MW", "Adjusted ICAP MW of Resources using Aggregation PF", "Adjusted Duration Factor", "UCAP MW of Resources Using Aggregation PF", "Adjusted ICAP MW of Resources Using MP PF", "UCAP MW of Resources using MP PF" and "UCAP MW from ICAP AMS" columns.</li> </ul>
		Section 10.2.6.1
		<ul><li>Section 10.2.6.1 removed as part of ECE changes.</li><li>Section 10.3.1</li></ul>
		> Updated Figure 165 to reflect new look of Auction Sales Pane Section 10.4.2
		<ul> <li>Updated Figure 170 to reflect new look of Import/Export Page</li> <li>Updated Figure 171 to reflect new look of Import/Export Page</li> <li>Section 10.4.3</li> </ul>
		<ul> <li>▶ Updated Figure 174 to reflect new look of Import/Export Page</li> <li>▶ Updated Figure 175 to reflect new look of Import/Export Page</li> <li>Section 10.4.4</li> </ul>
		<ul> <li>Updated Figure 177 to reflect new look of Auction Sales Pane</li> <li>Updated Figure 178 to reflect new look of Auction Sales Pane</li> <li>Section 10.6.1</li> </ul>
		<ul> <li>Updated Figure 183 to reflect new look of Import/Export Page</li> <li>Updated Figure 184 to reflect new look of Import/Export Page</li> <li>Section 10.6.3</li> </ul>
		<ul> <li>Updated Figure 189 to reflect new look of Import/Export Page</li> <li>Updated Figure 190 to reflect new look of Import/Export Page</li> <li>Section 10.6.4</li> </ul>
		<ul> <li>Updated Figure 193 to reflect new look of Import/Export Page</li> <li>Updated Figure 194 to reflect new look of Import/Export Page</li> <li>Section 10.7.1</li> </ul>
		<ul> <li>Updated Figure 201 to reflect new look of Import/Export Page</li> <li>Updated Figure 202 to reflect new look of Import/Export Page</li> </ul>



Version	Effective Date	Revisions
		Section 10.7.3
		<ul> <li>Updated Figure 207 to reflect new look of Import/Export Page</li> <li>Updated Figure 208 to reflect new look of Import/Export Page</li> <li>Section 10.7.4</li> </ul>
		<ul> <li>Updated Figure 211 to reflect new look of Import/Export Page</li> <li>Updated Figure 212 to reflect new look of Import/Export Page</li> <li>Section 12.7.2</li> </ul>
		<ul> <li>Updated Figure 286 to reflect new look of Import/Export Page</li> <li>Updated Figure 287 to reflect new look of Import/Export Page</li> </ul>
		Section 12.7.2
		<ul> <li>Updated Figure 290 to reflect new look of Import/Export Page</li> <li>Updated Figure 291 to reflect new look of Import/Export Page</li> <li>Section 12.7.7</li> </ul>
		<ul> <li>➤ Updated Figure 306 to reflect new look of Import/Export Page</li> <li>➤ Updated Figure 307 to reflect new look of Import/Export Page</li> </ul>
4.0	02/23/2024	Table of Figures
		➤ Updated Table of Figures
		Section 10.2.3
		Updated "Duration Adjustment Factor" column references to "DAF/CAF"
		Updated Figure 142 to reflect new attributes for Installed Capacity Accreditation (ICA)
		➤ Updated Figure 143 to reflect new attributes for ICA
		Updated Figure 144 to reflect new attributes for ICA
		Section 10.2.4
		<ul> <li>Updated Figure 155 to reflect new attributes for ICA</li> <li>Updated Step 4 to include "CARC" and "DAF/CAF"</li> <li>Updated Figure 156 to reflect new attributes for ICA</li> <li>Updated Figure 157 to reflect new attributes for ICA</li> <li>Updated Figure 158 to reflect new attributes for ICA</li> </ul>
		Section 12.7.1
		Inserted language for steps to retrieve Event Response Template from NYISO website.



Version	Effective Date	Revisions
		<ul> <li>Updated Figure 281 to reflect updated Sample Event Response File in Excel</li> <li>Updated Figure 283 to include Meter Authority field.</li> <li>Updated the Note section to account for updated Template for Event Response File</li> </ul>
5.0	04/16/2024	Introduction  > Referenced Aggregation System User's Guide and Aggregation
		Manual for DER participation model transition information
6.0	05/20/2024	Section 7.4 Importing the Resource Enrollment File
		Noted that enrollment imports to DRIS are limited to 2,500 resources per upload.
6.1	12/04/2024	Recertified
		Global
		Corrected document formatting

#### Relation of this Guide to NYISO's Tariffs and Agreements

To the extent that information in this Demand Response Information System Market Participant's User Guide is inconsistent with the NYISO's tariffs or agreements, the NYISO's tariffs and agreements shall control. This guide is intended solely for informational purposes and is subject to change.

Capitalized terms used in this guide shall have the meanings established in this guide and shall neither define nor prescribe a party's rights or obligations under the NYISO's tariffs or agreements.

# 1. Introduction

The Demand Response Information System (DRIS) is a New York Independent System Operator (NYISO) software application designed to automate certain tasks required to participate in the Installed Capacity (ICAP)/Special Case Resources (SCR) program (hereinafter "SCR program") the Emergency Demand Response Program (EDRP) and the Demand Side Ancillary Services Program (DSASP) with the NYISO.

This document describes how to use the Demand Response Information System (DRIS) to perform certain tasks required to participate in the Installed Capacity (ICAP)/Special Case Resources (SCR) program (hereinafter "SCR program"), the Emergency Demand Response Program (EDRP) and the Demand Side Ancillary Services Program (DSASP) with the New York Independent System Operator (NYISO).

Market Participants should refer to the NYISO Aggregation Manual and Aggregation System User's Guide for the requirements associated with transitioning between the SCR program, EDRP, and DSASP.

### Intended Audience

This document is designed for Market Participant (MP) representatives who will be performing the tasks made possible by DRIS.

## 1.1. Document Purpose and System Capabilities

Via a secure Web-based interface, DRIS is the means of enrolling resources in the SCR program, EDRP and DSASP, managing resources, and performing certain tasks specific to the SCR program. DRIS also provides visibility to Market Participant (MP) organization enrollment data based on program type and Capability Period (SCR and EDRP) and allows for management of organization contacts.

In support of these functions, as listed in the following sections of this document, DRIS provides the means for the MP to:

- Section 1 summarizes the tasks that can be performed in DRIS and the requirements for system use. Also provided are instructions for accessing and exiting the system as well as working with the system interface.
- Section 2 describes how to find deadlines for DR calendar events and outlines the steps for ascertaining transmission owner (TO) abbreviations, voltage level IDs, generator type IDs, Capability Period SCR Load Zone Peak Hours, Monthly SCR Load Zone Peak Hours and DSASP Product/Aggregation Types which are among the data that must be reported when enrolling resources.

- Section 3 provides instructions to view MP organization enrollment data for a specific demand response program and Capability Period.
- Section 4 provides instructions to view the MP performance factor for a Capability Period and to view those resource performance factors contributing to the MP performance factor.
- Section 5 describes how to view MP organization shortfall data for a specific Capability Period, month and zone.
- Section 6 provides instructions on managing MP organization contacts by program and by contact type.
- Section 7 provides instructions related to enrolling resources, including creating the necessary file, importing the file to DRIS, and monitoring and managing data changes or omissions that may delay or prevent resource enrollment.
- Section 8 focuses on resource enrollment maintenance, describing how to monitor and update resource enrollments, re-enroll resources, and separate resources from a portfolio. Also provided are instructions for downloading pre-existing resource enrollment data for the purpose of creating a file containing updated resource enrollment data for subsequent reporting to DRIS, whether to correct problems found in previous enrollment files, update resource enrollments, or re-enroll resources.
- Section 9 provides instructions on how to utilize the Documentation Vault Management feature, which displays documentation request records in accordance with pending enrollments and verifications. It details the ability to view and reply to specific documentation requests for Resources.
- Section 10 outlines tasks specific to the SCR program, that include managing aggregations and strike prices, viewing and making changes to Transmission Owner Add-Back values, viewing system-calculated aggregation performance factor and aggregation UCAP, viewing the results of the automatic transfer of system-calculated aggregation UCAP values to ICAP AMS, downloading system-calculated UCAP values, allocating sales to resources when an aggregation has partial sales, importing resource Incremental ACL and Provisional ACL Verification data and viewing resource Change of Status, Incremental ACL and Provisional ACL Shortfall(s), reporting and viewing resource Change of Status Shutdown kW values after the close of enrollment and viewing resource Offer Floor details.
- Section 11 outlines tasks specific to the DSASP Provider, that includes viewing DSASP Resources that are aggregations of an individual Demand-Side Resource (DSR) or a grouping of DSRs,

managing Demand-Side Resource participation in DSASP Aggregations, viewing DSASP Enrollment Statuses, submitting a DSASP Aggregation for Qualification in the Ancillary Services Program, viewing current and previous DSASP Submittals, generating new and viewing previous DSASP Resource Reports.

- Section 12 outlines tasks specific to a Demand Response event or test that include the requirement to receive an Event Notification, respond to an Event Notification with expected curtailment values, receive and acknowledge Communication Tests, and report the resource responses after the event or test for the purpose of payment and performance calculations. Details relating to resource payments for the event or test are also provided.
- Section 13 outlines tasks specific to viewing BTM:NG information, including BTM:NG Resource peak Load hours once they have been imported into DRIS and the BTM:NG monthly enrollment information.

### **Presentation Conventions**

As an aid to locating key components of instructions, the following typographical conventions are used throughout this document:

- Boldface is used to highlight components of the system interface requiring some action on the user's part, as in "From the **MP** menu, choose **Event Calendar**."
- Boldface small capital letters are used to highlight keystrokes, as in "To select multiple contiguous resources, click the listing for the first desired resource, press and hold the SHIFT key, click the listing for the last desired resource, then release the SHIFT key."

This document also includes screenshots of the system interface for user reference in performing tasks. Some of these screenshots have been cropped for ease of presentation and/or captured after resizing the browser window, the latter of which may have resulted in rearrangement of interface components as compared to their positioning in a full-sized browser window. Interface-component positioning may also vary slightly across browser type and screen-resolution settings. Finally, while screenshots in this document reflect interface appearance at the time of drafting, minor differences may be apparent at the time of deployment.

## 1.2. Requirements

## 1.2.1. System Requirements

The NYISO recommends the following for use with this application:

- 1. Microsoft Internet Explorer Version 11 or the latest version of Firefox, as the NYISO has tested this application with those browser versions,
- 2. Minimum 1024x768 screen resolution and
- 3. Minimum internet connection speed of 56Kbps.

Additionally, the NYISO requires for use with this application:

- 1. A NAESB compliant digital certificate and
- 2. Valid user credentials including User ID and associated password.

### 1.2.2. Using Digital Certificates

All users must have a NAESB compliant digital certificate linked to their MIS user name in order to access NYISO applications.

For instructions on obtaining and using a NAESB compliant digital certificate refer to the NYISO Market Participant User's Guide, available from the NYISO Web site at the following URL:

https://www.nyiso.com/manuals-tech-bulletins-user-guides

Note: Digital certificates are not application-specific. If the user already has an active certificate in conjunction with other NYISO secured systems, that same certificate can be used to access DRIS, assuming appropriate system use privileges are in place.

In addition to having a NAESB compliant digital certificate, those representatives of the MP organization who require access to this application must also be assigned via MIS the DRIS-specific privilege appropriate to their roles in relation to the applicable DR program(s).

# 1.2.3. Pre-Requisites for System Use

The following are pre-requisites for using this application:

- Registering as an MP in a supported DR program 1.
- 2. Configuring user computer(s) for system use
- 3. Complying with system use privileges

Assigning system use privileges at the organization level

### 1.2.4. Registering as a NYISO Demand Response Market Participant

The initial pre-requisite for accessing DRIS is to register with and be approved by the NYISO as an MP in the SCR program, the EDRP or the DSASP.

Note: A Responsible Interface Party (RIP) enrolls resources in the SCR program, a Curtailment Service Provider (CSP) enrolls resources in the EDRP and a Demand Side Ancillary Services Program Provider (DSASP Provider) enrolls resources in the DSASP. Further information can be found in the NYISO Installed Capacity Manual, the NYISO Emergency Demand Response Manual and the NYISO Ancillary Services Manual, respectively. These documents are available from the NYISO Web site athttps://www.nyiso.com/manuals-tech-bulletins-user-guides.

As part of the registration process, the prospective MP must specify one or more representatives of the MP organization who will administer DRIS privileges for the organization. In approving MP registration, the NYISO will assign the MP organization the privilege required to access DRIS, which will allow the designated MP Administrator(s) to assign DRIS user privileges to members of the MP organization. If the MP Administrator is not already registered for another NYISO-administered program, the NYISO will assign the MP Administrator a User ID and temporary password for accessing the NYISO Market Information System (MIS), via which DRIS use privileges are administered. Otherwise, the MP Administrator's User Name and Password are the same as those already used to access MIS.

> Note: User IDs and Passwords for accessing DRIS are established as part of administering DRIS privileges at the organization level, as outlined in the corresponding topic.

Further information on registering as a NYISO MP can be found in the NYISO Market Participant User's *Guide*, available from the NYISO Web site at the following URL:

## https://www.nyiso.com/manuals-tech-bulletins-user-guides

The MP must next ensure that the computers of all prospective DRIS users are properly configured for system use.

### 1.2.5. Understanding System Privileges

The tasks a user will be able to perform within DRIS depend on the user's DRIS privilege level. Figure 1 lists the two levels of DRIS privilege along with the usage rights conferred by those privilege levels.

Figure 1: DRIS Privilege Levels and Corresponding Usage Rights

Privilege Level	Usage Rights
DRIS Web UI MP Read-Only User	View, track, and extract from the system data specific to the user's organization, including organization enrollment, contact

	information, performance factor data, RIP and resource shortfalls, and data specific to the organization's resources, including resource enrollment, aggregation assignments, aggregation submittals, aggregation performance factor, strike price, UCAP data, allocation of partial sales data, event notification details, event notification responses, resource event responses, TO/DADRP add-back or DSASP replacement data, reported COS Shutdown kW data, resources that may be subject to an Offer Floor price, and SCR Load Zone Peak Hours (as applicable based on the program(s) in which the organization has enrolled resources).
DRIS Web UI MP User	All rights conferred by the DRIS Web UI MP Read-Only User privilege plus enroll organization and maintain organization contacts, enroll and re-enroll resources; separate resources from a portfolio; cancel pending enrollment requests; respond to event notifications with expected curtailment values; acknowledge receipt of communication tests, report resource event responses and, for SCR resources, verify Provisional ACL eligibility; approve ACL Data requests, establish and manage aggregations and strike prices, allocate partial sales, report Change of Status conditions after the close of enrollment, report resource Provisional ACL verification data, and report Incremental ACL verification data, for DSASP Demand-Side Resources, establish and manage aggregations, submit resources for registration, export DSASP Resource Reports.

As reflected in Figure 1, system use is restricted at the DRIS Web UI MP Read-Only User level, whereas the DRIS Web UI MP User confers full usage rights.

User privileges are assigned via MIS as the final pre-requisite step before using DRIS.

### 1.2.6. Administering Privileges at the Organization Level

The MP organization representative(s) designated as Administrator(s) in relation to DRIS is responsible for managing DRIS privileges for authorized representatives of the MP organization. This task is accomplished via the NYISO MIS by designating each representative that the MP organization wants to have access to DRIS (including the MP Administrator, if applicable) as a User in relation to the organization, and activating for each such User the authorization flag corresponding to the appropriate level of privilege in relation to DRIS use (that is, DRIS Web UI MP Read-Only User or DRIS Web UI MP User). A User should be assigned only one of the DRIS roles described in section 1.2.5. Once this is done, the organization representatives will be able to access DRIS and perform tasks based on their respective levels of privilege (refer to Figure 1).

For further information on designating organization Users, refer to the User Details section in the *NYISO Market Participant User's Guide*, available from the following URL:

https://www.nyiso.com/manuals-tech-bulletins-user-guides

# 1.3. Accessing the System

Access to DRIS is initiated from a secure page on the NYISO Web site.

# Pre-requisite

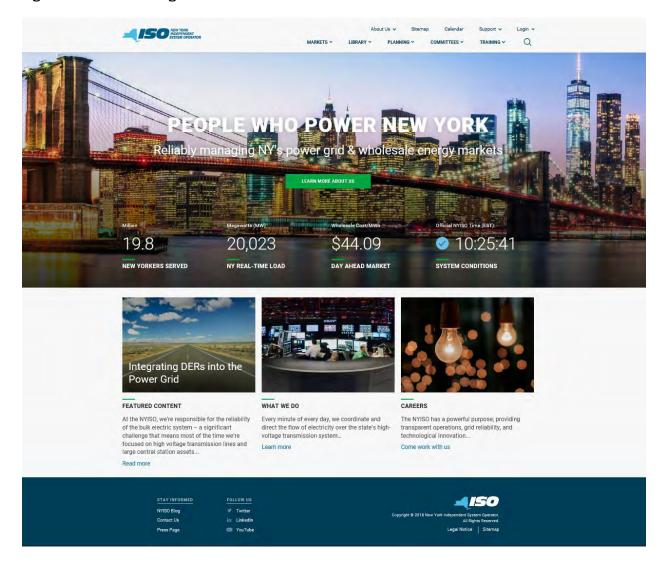
The MP has completed all pre-requisite tasks for system use, as outlined in Section 1.2.3.

#### To access DRIS

Note: This procedure outlines the access path to the DRIS login page from the NYISO Web site home page. If you would instead prefer to directly access the login page, the location is https://dris.nyiso.com. In this case, skip directly to step 6 of this procedure.

1. Point your browser to the NYISO Home page at <a href="www.nyiso.com">www.nyiso.com</a> (see Figure 2).

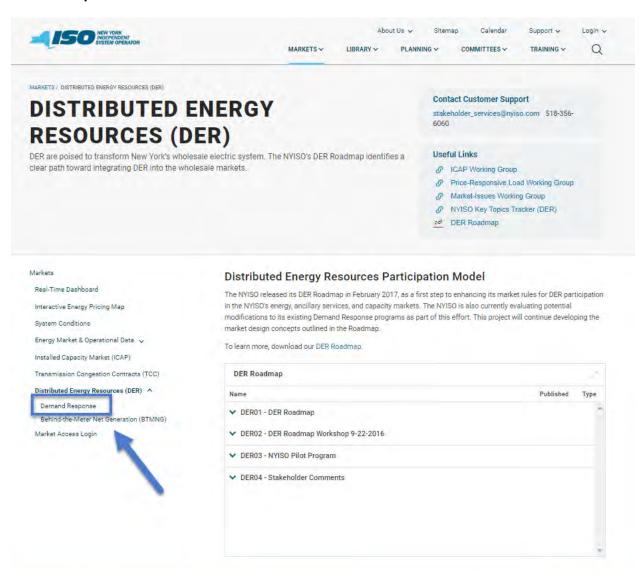
Figure 2: NYISO Home Page



- On the NYISO Home page, position your mouse pointer over the Markets header. The 2. header expands to list of related categories of information.
- 3. Select Distributed Energy Resources (DER) from the expanded list of related categories. (see Figure 3)

Figure 3: Expanded NYISO Markets Header Highlighting Distributed Energy Resources (DER) page and

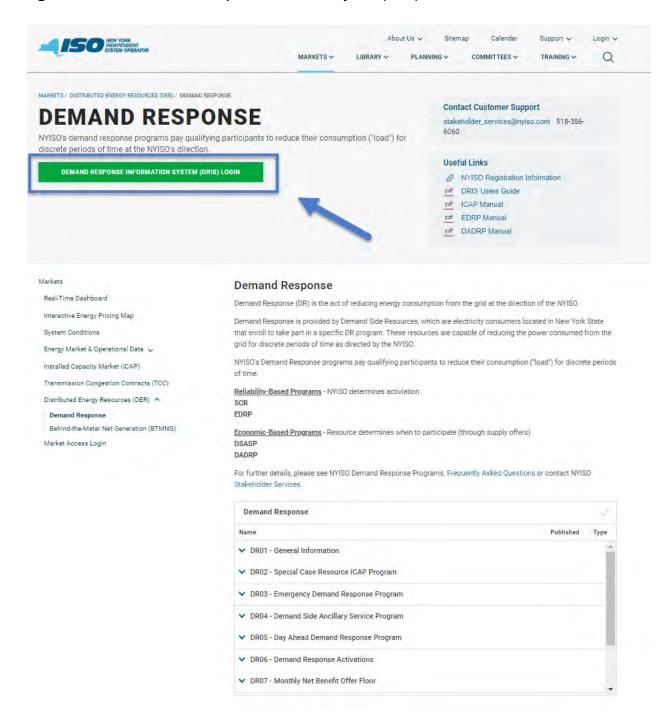
## **Demand Response Link**





4. Under the Demand Response page, the Demand Response Information System (DRIS) Login Link page is displayed (see Figure 4)

Figure 4: Link for the Demand Response Information System (DRIS)



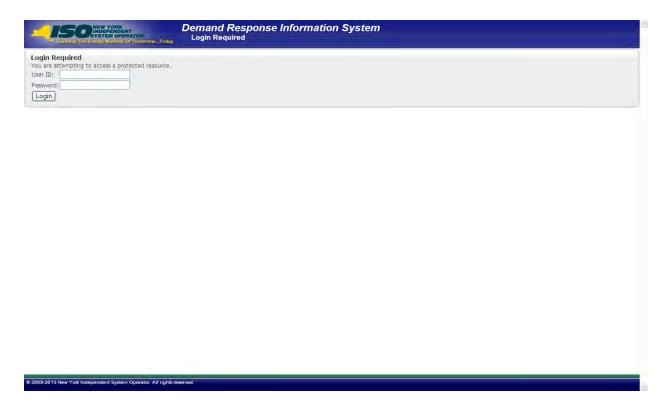
5. Under the **Demand Response Information System** heading, choose **User Login**.

The Demand Response Information System login page is displayed (as shown in

Figure 4, following).

Note: DRIS may also be accessed from a link on the Demand Response Programs page or from a link on the ICAP Data & Information page on the NYISO Web site.

Figure 5: NYISO Demand Response Information System Login Page



In the corresponding fields, type your **User ID** and **Password**. 6.

Note: The password is case sensitive.

7. Activate the **Login** button.

> The DRIS system opens to the Dashboard page, and you may begin using the software per your assigned privileges.

# 1.4. Working with the System Interface

The term system interface refers to the composite mechanisms displayed on screen that provide for interaction with a system. Key DRIS interface components include the following:

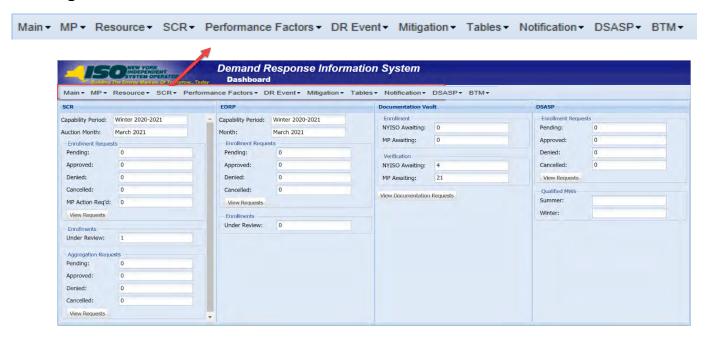
- Menus
- **Pages**
- Grids
- Status bar
- **Filters**
- Configuration controls
- Data navigation devices

Note: The appearance of the system interface may vary slightly across browser type. Likewise, interface component placement may vary depending on sizing of the browser window.

### 1.4.1. Menus

Menus (see Figure 5) allow users to initiate the various tasks made possible by the system. In DRIS, menus are accessed by clicking a heading in the static bar always displayed across the top of the interface.

Figure 6: DRIS Menu Bar



Eleven menus are provided in DRIS, as follows:

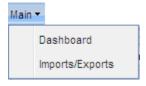
- Main The Main menu (see Figure 6) provides access to the Dashboard, where users may view at a glance:
  - deadline-driven DR events by date for the next 10 days (see Section 2.1);
  - number of documentation vault requests (see section 9);

• the number of resource enrollment requests and aggregation ID requests by status category (see Section 7.5.2 and Section 10.2.1.1 respectively) and the total number of Qualified Megawatts, participating in DSASP (see Figure 87)

Also accessed from this menu is the Imports/Exports page, where users can:

- initiate import of resource enrollments (see Section 7.5.1);
- generate import files for the purpose of correcting exceptions (i.e., data errors, changes, or omissions) that prevent some or all resources from being imported to the system (see Section 7.5.1);
- download resource enrollment data in the format required for reporting to the system (see Section 8.5);
- download UCAP values for SCR resources (see Section 10.2);
- initiate import of allocation of auction sales at the resource level when aggregations have partial sales in the ICAP Market (see Section 10.4);
- initiate import of resource Incremental ACL verification data (see Section 10.7);
- download resource Incremental ACL verification data file in the format required for reporting to the system (see Section 10.7.1);
- initiate import of resource Provisional ACL Eligibility data (see Section 7.2);
- download resource Provisional ACL Eligibility data file in the format required for reporting to the system (see Section 7.1); initiate import of resource Provisional ACL verification data (see Section 10.6)
- download resource Provisional ACL verification data file in the format required for reporting to the system (see Section 10.6.1);
- initiate import of resource responses to DR events and tests (see Section 12.7.1); and
- download resource hourly response payment details (see Section 12.7.7.)

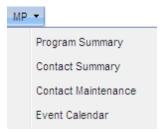
Figure 7: Main Menu Options



• MP – The MP menu (see Figure 8) provides access to the DRIS Event Calendar, where users can monitor deadline-driven DR events by specific date or a date range in order to ensure

completion of tasks within required time frames (see Section 2.1). Also accessed from this menu is the page summarizing the MP organization program enrollments (see Section 3) and the access to MP organization contacts and contact maintenance (see Section 6).

Figure 8: MP Menu Options



Resource - The Resource menu (see Figure 9) provides access to system pages that allow users to view resource enrollments at varying levels of detail (see Section 8.1). Also accessed from this menu is the page detailing any resource enrollments earmarked as requests requiring further intervention (see Section 7.5.2).

**Figure 9: Resource Menu Options** 



SCR – The SCR menu (see Figure 10) provides access to system pages that facilitate performance of SCR-related tasks, specifically viewing resource Transmission Owner/DADRP Add-backs and DSASP Baseline values (see Section 10.1), managing aggregations (see Section 10.2), strike prices (see Section 10.2.2), and allocation of auction sales at the resource level when aggregations have partial sales in the ICAP Market (see Section 10.4).

Note: In the SCR menu the selection of "Aggregation Assignment" will navigate the user to the Aggregation Management screen which provides Aggregation Performance Factors. This screen will be enabled with the start of the SCR Enrollment calendar event for the May 2012 auction month. The selection of "Aggregation Assignment Pre-Summer 2012" will navigate the user to the process for Aggregation Management prior to the Summer 2012 Capability Period. The "Aggregation Assignment Pre-Summer 2012" selection will continue to provide historical views after the Winter 2011 - 2012 Capability Period but will no longer be available for the Aggregation Management process beginning with the Summer 2012 Capability Period. Beginning with the Summer 2012 Capability Period, users should perform the Aggregation Management process through the "Aggregation Assignment" SCR menu option.

Figure 10: SCR Menu Options



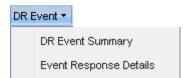
Performance Factor – The Performance Factor menu (see Figure 11) provides access to the SCR resource performance factors contributing to the MP performance factor for the Capability Period (see section 4). Also accessed from this menu is the page detailing the RIP Portfolio Performance Shortfall for the Capability Period (see Section 5), the resource Provisional ACL shortfall (see Section 10.6.5) the resource Incremental ACL shortfall (see Section 10.7.5), the resource Change of Status shortfall (see Section 10.8) and the resource Shortfall kW summary data (see Section 10.9).

Figure 11: Performance Factor Menu Options



DR Event – The DR Event menu (see Figure 12) provides access to pages from which users can view details of DR events and tests (see Section 12.1). Also accessed from this menu is the page detailing resource responses to events and tests and resource hourly payment information (see Section 12.7.4).

Figure 12: DR Event Menu Options



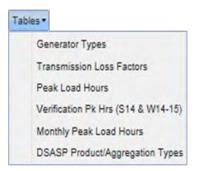
Mitigation – The Mitigation menu (see Figure 13) provides access to viewing the SCR resources that are subject to an Offer Floor, as well as the ability to view the current count of months in which the resource has cleared its Offer Floor in the ICAP auction (see Section 10.5).

Figure 13: Mitigation Menu Options



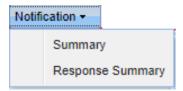
Tables – The Tables menu (see Figure 14) provides access to pages from which users can ascertain which transmission owner (TO) abbreviations, voltage level IDs (based on specific transmission loss factors), and generator type IDs should be included among the data provided when enrolling resources (see Section 2.2 and Section 2.3, respectively). The Peak Load Hours accessed from this menu is the page detailing the Capability Period SCR Load Zone Peak Hours (see Section 2.4). The Verification Peak Hours (S14 & W14-15) accessed from this menu is the page detailing only the Capability Period Load Zone Peak Hours used for Provisional ACL Verification to be used for the verification of enrollments made during the Summer 2013 and Winter 2013-2014 Capability Periods(see Section 2.5). The Monthly Peak Load Hours accessed from this menu is the page detailing the Monthly SCR Load Zone Peak Hours (see section 2.6). Also accessed from this menu is the DSASP Product/Aggregation Types matrix. This matrix provides the DSASP product type and aggregation type combinations permitted for DSASP Demand-Side Resources when enrolling into DRIS (see Section 2.7).

Figure 14: Table Menu Options



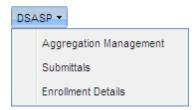
Notification – The Notification menu (see Figure 15) provides access to pages that facilitate viewing event notifications (see Section 12.4), responding to event notifications with expected curtailment values (see Section 12.3), and viewing responses in summary and detail (see section 12.2).

Figure 15: Notification Menu Options



- DSASP The DSASP menu (see Figure 16) provides access to pages that facilitate the management of Demand Side Resources (DSRs) participating as either a group of resources within an aggregation or as an individual resource within an aggregation (see Section 11).
- Also accessed from this menu is the ability to view the history of aggregation submittals in both summary and detail (see Section 11.3) and view enrollment details for a DSR (see Section 8.1.4).

Figure 16: DSASP Menu Options



- BTM:NG Resources The BTM menu (see Figure 17) provides access to pages that facilitate the management of BTM:NG Resources (see Section 13).
- Also accessed from this menu is the ability to view the BTM:NG Resource peak Load hours (see Section 13.1) and view monthly enrollment details for BTM:NG Resources (see Section 13.2).

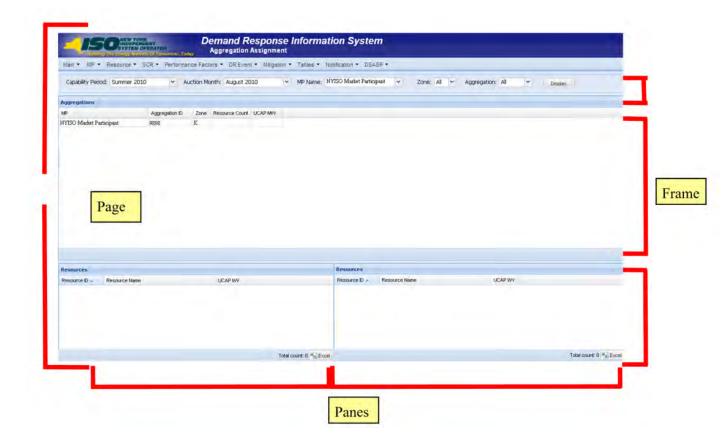
Figure 17: BTM:NG Menu Options



# 1.4.2. Pages

Pages, which are invoked by the user choosing an option from one of the system menus, gather together and display all mechanisms specific to performing a specific task. Pages may encompass various frames, which, in turn, may be divided into various panes, as a means of refining presentation of information or providing access to additional information or functions (see Figure 18).

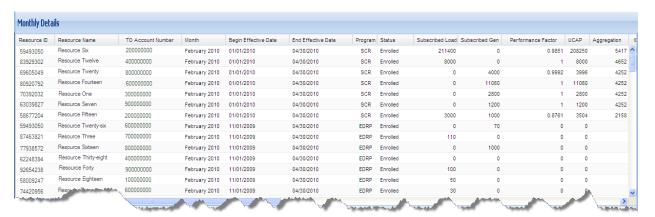
Figure 18: Page Containing Frames and Panes



### 1.4.3. Grids

Grids (see Figure 19) are used to display data in table format utilizing rows and columns. Within certain grids in DRIS, further details on the entry in a row can be displayed by clicking the row itself. In other grids, clicking on a row provides access to editing certain information.

Figure 19: Sample Grid



### 1.4.4. Status Bar

The status bar, located at the bottom of pages or frames, displays text summarizing system activity, such as the number of enrollment records displayed after narrowing a task to a specific Zone or month. In DRIS, the status bar may also house navigation controls in the form of arrow buttons providing for movement among multiple pages of data within grids and/or buttons that link directly to other pages of the system or allow for extraction of data (see Figure 20).

Page 1 of 2 Displaying 1 - 100 of 115 Capability Period Enrollment

Figure 20: Status Bar

### 1.4.5. Filters

Filters are mechanisms that allow the user to define the scope of a task by selecting system-defined values for one or more system-defined parameters.

In DRIS, drop-down filters, and, sometimes, cascading drop-down filters, are used, for example, to limit export of UCAP values to a specific Capability Period and/or auction month, as well as to narrow the scope of data initially displayed when performing tasks such as viewing resource enrollments. The scope of data initially displayed can be further and dynamically narrowed using context-sensitive filters accessed via column headers within display grids in DRIS. Figure 21 and Figure 22 illustrate the various types of filters in DRIS.

Figure 21: Drop-Down Filters Employed in DRIS

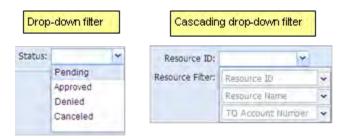
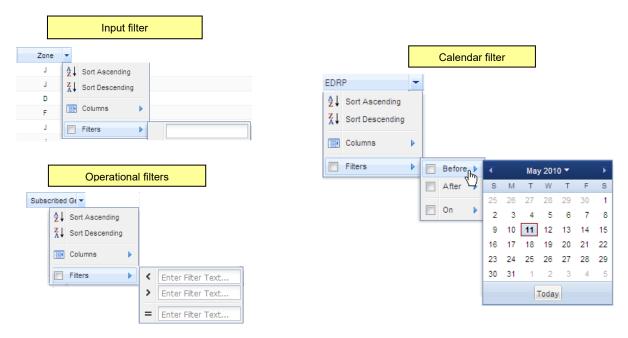


Figure 22: Context-Sensitive Filters Employed in DRIS



#### To limit task scope or data display via drop-down filters

- 1. Using the filter for a parameter by which task scope or data display should be limited, set the parameter value in one of the following ways:
  - Click the corresponding drop-down arrow, then from the displayed list, choose the applicable value.

**Note:** For cascading filters, first click the drop-down arrow for the primary filter, then click the drop-down arrow for the secondary filter to access the list of values.

OR

- Position the cursor in the filter field, start typing the applicable value until the system displays the complete value either in the field or in a drop-down list, then either press the TAB key (if the field is already populated with the value) or click the actual value in the drop-down list (if the field is not already populated with the value).
- Optionally, repeat step 1 in relation to other parameters to further limit task scope or data display.

Note: The more parameters for which values are set, the narrower the task scope or data displayed. For example, the only parameter value the system requires for viewing resource enrollments is Capability Period or Resource ID. Designating a value for only the former in this context will result in the display of data for all resources enrolled for the specified Capability Period. However, if values are set for additional parameters such as program and Zone, the system will display data for only those resources located within the specified Zone and enrolled in the specified program for the specified Capability Period.

- 3. Click the **Display** button in the uppermost frame of the page.
- To limit currently displayed data via context-sensitive filters

**Note:** Assuming values for all drop-down filters have not been set before initially displaying data, the data currently displayed in a grid can be further limited by choosing values for additional parameters via the drop-down filters, then clicking the **Display** button. Context-sensitive filters, however, provide for dynamic updating of the data display based on input and, in some grids, allow data to be filtered by parameters not represented by drop-down filters.

- 1. Position the mouse pointer over the header of the column corresponding to the parameter by which display of data is to be further limited, then click the displayed drop-down arrow. The system displays a drop-down menu.
- On the displayed drop-down menu, position the mouse pointer over the **Filter** option. 2. The system displays interactive components in the form of either a text input field, multiple operational filters, or a date-designation sub-menu (see Figure 22).
- Limit the scope of the data displayed in the grid in one of the following manners, depending 3. on type of column filter displayed:
  - If a text input field is displayed, start typing the applicable value in the field until the data displayed in the grid is limited to those records for which the value of the parameter in question matches the value desired.

OR

• If multiple operational fields are displayed, type the complete value in the applicable field. The system refreshes the grid to display only those records for which the value of the parameter matches the value specified.

**Note:** Operational filters are mutually exclusive, allowing designation of a greater-than, less-than, or equal-to value.

### OR

• If a date-designation sub-menu is displayed, position the mouse pointer over the desired operand option on the sub-menu, then make the desired selection from the displayed calendar. The system refreshes the grid to display only those records for which the date value matches the value designated for the specified operand.

Note: When grid display is modified by using a context-sensitive filter, the system applies boldface italic to the corresponding column header as a visual cue that filtering by that column is in effect. To discontinue context-sensitive filtering, position the mouse pointer over the column header in question, click the displayed drop-down arrow, then click the check box beside the **Filter** option until the checkmark is cleared from the box.

### 1.4.6. Configuration Controls

Configuration controls allow for showing or hiding certain interface elements, changing the order in which data is displayed, and resizing areas of the interface relative to each other.

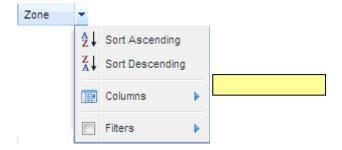
The user can control which columns are displayed in grids, change the parameter by which and order in which data are sorted in grids, and resize grid columns and certain frames.

#### To control which columns are displayed in grids

1. Position the mouse pointer over any column header to display a drop-down arrow, then click the drop-down arrow.

The system displays a menu (see Figure 23).

Figure 23: Sample Grid Column Menu



2. On the displayed menu, position the mouse pointer over the **Columns** option. The system displays a sub-menu listing each column in the grid (see Figure 24).

Figure 24: Sample Grid Column Sub-Menu



- 3. Via the sub-menu, indicate which columns should be displayed in the grid, as follows:
  - To have the system hide a column, click the corresponding check box until the checkmark is cleared.

The system hides the column.

### OR

• To have the system show a column, click the corresponding check box until a checkmark is displayed.

The system displays the column.

- 4. Repeat step 3 until the grid displays only the desired columns.
- 5. Close the sub-menu by clicking anywhere outside it.

Note: Settings related to display of grid columns persist until the user either changes them or exits the page in question, and these settings apply only to the display of columns on screen. All columns will be represented in a downloaded or exported Excel file.

#### To control the parameter by which and order in which data are sorted in grids

Click the grid column header corresponding to the parameter by which the data should be 1. sorted.

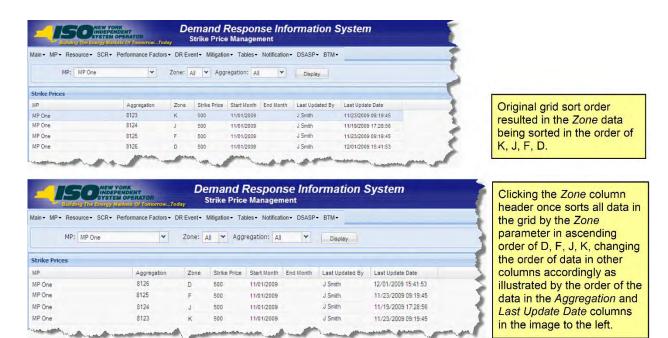
The system sorts the grid data in ascending order based on the parameter of the column in question, as indicated by the upward pointing arrow ( ) displayed to the right of the column header text (see Figure 25).

2. Optionally, change the sort order of the data for the parameter selected in step 1 to descending by clicking the same column header.

The system sorts the grid data in descending order based on the parameter of the column in question, as indicated by the downward pointing arrow ( ) displayed to the right of the column header text.

Note: Any change in sort order persists until either a subsequent change is implemented or the page in question is exited, and sort order changes apply to the display of data both on screen and in any file exported via the Excel option located on DRIS pages.

Figure 25: Example of Changing Sort Order



#### To change column width in grids

1. Position the mouse pointer over the vertical border on either side of the header for the column header to be resized.

The mouse pointer changes to a double-headed arrow.

2. Click and hold the primary mouse button then drag the mouse to the left or right until the column is resized as desired.

#### To resize frames

Position the mouse pointer over the border where the frame to be resized abuts the adjacent 1. frame.

The mouse pointer changes to a double-headed arrow.

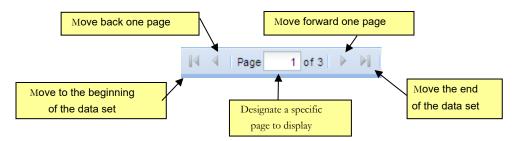
2. Click and hold the primary mouse button then drag the mouse up or down until the frame is resized as desired.

## 1.4.7. Data Navigation Devices

Data can be navigated by various mechanisms. In addition to scroll bars, which are located on the right side and/or bottom of frames and allow for viewing data that is present on the active page but currently out of view, DRIS employs arrow buttons (see Figure 26). Located on grid status bars, these mechanisms, when clicked, provide for movement between multiple pages of data within grids whenever a complete data set is too large to fit within a single grid page.

Also located on the status bar, between the forward and backward arrow buttons, is a Page field (see Figure 26), where the user may replace the currently displayed page number with another number within the noted range then press the **ENTER** key to move the view to the newly designated page.

Figure 26: Arrow Buttons and Page Field



In addition, DRIS makes use of tabs, which allow for toggling between different sets of data within the same area of the interface (see Figure 27). Specifically, if a resource has been enrolled in more than one DR program during a Capability Period, DRIS provides for toggling between viewing program capability detail data for each such program within a single pane by clicking the applicable program-specific tab.

Figure 27: Tabs on Resource Capability Period Enrollments Page



# 1.5. Exiting the System

Exiting DRIS is accomplished by logging out of the system.

## Pre-requisite

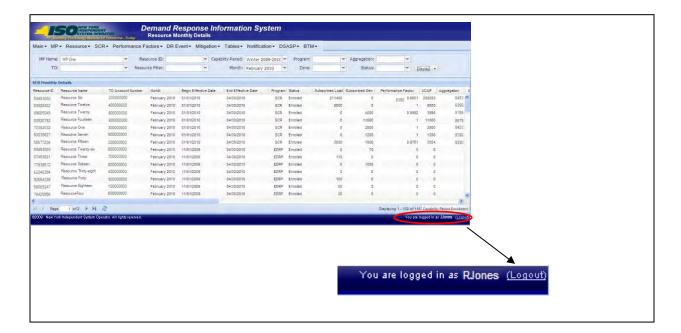
The MP has accessed the system as described under section 1.3.

#### To exit the system

In the lower-right corner of the active page, click the **Logout** link (see Figure 28).

The system logs out the user, as indicated by the message displayed on screen.

Figure 28: Logout Link



# 2. Obtaining Key Preliminary Information

In support of enrolling resources and performing certain other activities related to participating in the SCR, EDRP or DSASP programs, DRIS provides ready access to related event time frames and deadlines, as well as TO abbreviations, voltage level IDs for specific Transmission Loss Factors, generator type IDs, Capability Period SCR Load Zone Peak Hours, Monthly SCR Load Zone Peak Hours and DSASP Product/Aggregation types.

# 2.1. Demand Response Event Calendar, Time Frames, and Deadlines

DRIS makes available a calendar of events for the SCR and EDRP programs, which provides applicable DR event time frames and applicable deadlines that include requirements for events such as:

- viewing Capability Period SCR Load Zone Peak Hours,
- viewing Monthly SCR Load Zone Peak Hours,
- resource enrollment.
- reporting of Offer Floor information for Zone J resources which are new to the SCR program,
- aggregation ID creation,
- aggregation (including strike price) management,
- allocation of resource sales for partially sold aggregations,
- reporting of resource Incremental ACL verification data,
- reporting of resource Provisional ACL verification data,
- reporting of resource response to an event or test,
- updating of contacts to be used for event/test notification, and
- viewing Capability Period performance factors

### Pre-requisite

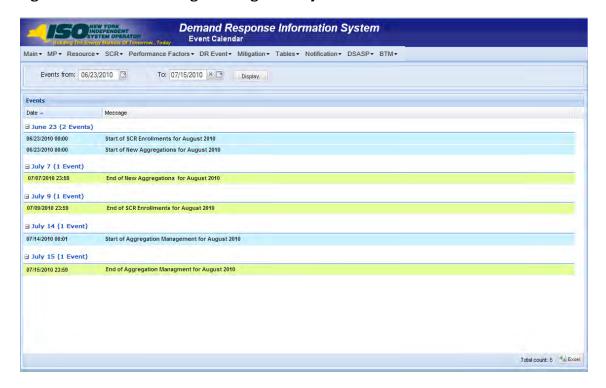
- The MP has logged in to DRIS, as outlined under section 1.3, "Accessing the System".
  - To monitor the DR event calendar time frames and deadlines
  - 1. From the **MP** menu, choose **Event Calendar**.
    - The system displays the Event Calendar page (see Figure 29).

- 2. By choosing from the **Events From** and **To** filters near the top of the Event Calendar page, indicate the range of dates for which the system should display events.
- 3. Click the **Display** button, located to the right of the date filters. The lower frame refreshes to display a list of all DR-related events falling within the timeframe designated at step 2 and organized by corresponding date in ascending order (see Figure 29).
- 4. Review the displayed data to determine the start and end dates for the DR events that need to be performed in that time period.

Tip: To collapse the list of events for a specific date, click the minus icon to the left of the date. The program also provides for automatically displaying only those events having a start or end date within the next 10 days. To do so, click the Main menu then choose Dashboard. The system displays events for the upcoming 10 days in the lowermost frame of the Dashboard page.

Note: The data displayed on the Event Calendar page can be downloaded in Excel format by clicking the Excel button in the lower-right corner of the page, then via the displayed dialog box, opening or saving the file. Be advised, however, that the information on the Event Calendar may be updated at any time, including subsequent to download.

Figure 29: Event Calendar Page Showing Events by Date



# 2.2. Transmission Owner Abbreviations and Voltage Level IDs

Among the data the MP must provide when enrolling a resource are the abbreviation for the TO with which the resource is associated and the voltage level ID corresponding to the voltage level description for that TO.

The system provides ready access to this information.

## Pre-requisite

The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".

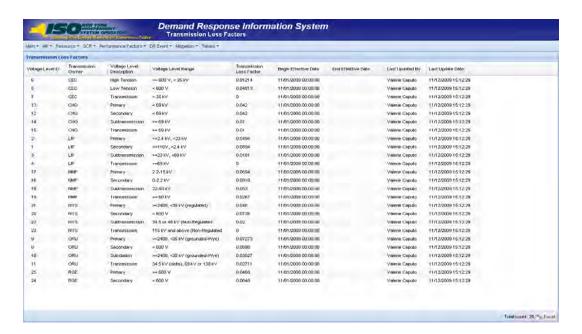
#### To ascertain voltage level IDs

- 1. From the **Tables** menu, choose **Transmission Loss Factors**.
  - The system displays the Transmission Loss Factors page (see Figure 30).
- 2. Referencing the **Transmission Owner** column, ascertain which abbreviation corresponds to the TO with which the resource is associated:
  - CEC Consolidated Edison Company of New York
  - CHG Central Hudson Gas & Electric

- *LIP* Long Island Power Authority
- NMP Niagara Mohawk Power Corporation
- NYS New York State Electric & Gas
- ORU Orange and Rockland Utilities
- *RGE* Rochester Gas & Electric Corporation
- In the corresponding column of the displayed table, locate the Voltage Level Description 3. specific to the TO with which the resource is associated, then note the Voltage Level ID displayed in the first column of the same row.

Note: The data displayed in the grid on the Transmission Loss Factors page can be downloaded in Excel format. To do so, click the Excel button in the lower-right corner of the page, then via the displayed dialog box, open or save the file.

Figure 30: Transmission Loss Factors Page



# 2.3. Generator Type IDs

Among the data the MP must provide to enroll a resource is the generator type ID corresponding to the type of generator being used by the resource.

The system provides ready access to this information.

### Pre-requisite

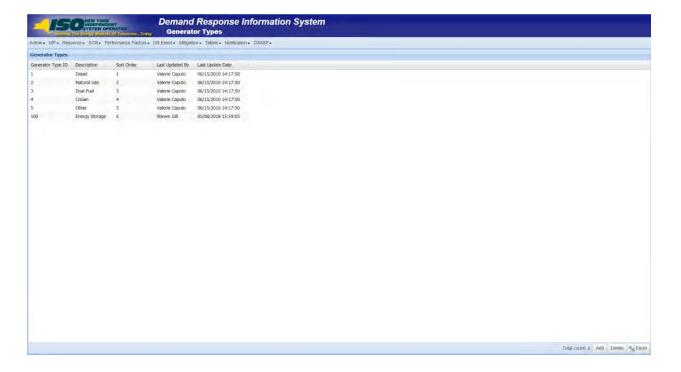
The MP has logged in to DRIS, as outlined under section 1.3, "Accessing the System".

#### To ascertain generator type IDs

- 1. From the **Tables** menu, choose **Generator Types**.
  - The system displays the Generator Types page (see Figure 31).
- 2. In the corresponding column of the displayed table, locate the **Description** specific to the resource in question, then note the displayed **Generator Type ID** displayed in the first column of the same row.

**Note:** The data displayed in the grid on the Generator Types page can be downloaded in Excel format. To do so, click the Excel button in the lower-right corner of the page, then via the displayed dialog box, open or save the file.

Figure 31: Generator Types Page



## 2.4. Capability Period SCR Load Zone Peak Hours

Among the data the MP must provide to enroll an SCR resource is the Average Coincident Load kW (ACL kW) of the resource for each SCR Load Zone Peak Hour from the Prior Equivalent Capability Period. Capability Period SCR Load Zone Peak Hours are made viewable to the MP 90 days prior to the start of the Capability Period as specified on the DRIS Event Calendar (refer to Section 2.1).

The system provides ready access to this information.

**Note:** Optionally, the MP may either export templates from DRIS, pre-populated with the Capability Period SCR Load Zone Peak Hours by zone, or obtain them from the NYISO website. The templates which use the Capability Period SCR Load Zone Peak Hours and are available to the MP are the SCR Enrollment File (see Section 8.5).

Note: New rules for determining the Capability Period SCR Load Zone Peak Hours are effective beginning with the Summer 2014 Capability Period. The rules prior to Summer 2014 enrollment for determining the SCR Load Zone Peak Hours will apply for reporting Provisional ACL verification data from enrollment in the Summer 2013 Capability Period and the Winter 2013-2014 Capability Period. To view and download the Capability Period SCR Load Zone Peak Hours used for the verification of a resource enrolled with a Provisional ACL in Summer 2013 and Winter 2013-2014 Capability Periods, refer to Section 2.5.

# Pre-requisite

- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".
  - To ascertain Capability Period SCR Load Zone Peak Hours
- 1. From the **Tables** menu, choose **Peak Load Hours**.

The system displays the Capability Period Peak Load Hours page (see Figure 32).

2. From the corresponding search filter in the uppermost frame on the Peak Load Hours page, choose the **Capability Period** and optionally, the **Zone** for which the system should display SCR Load Zone Peak Hours.

Figure 32: Peak Load Hours Page Search Filters



3. Near the top of the Peak Load Hours page, click the **Display** button.

The system populates the Search Results grid below the search filters with the Capability Period SCR Load Zone Peak Hours meeting the criteria chosen at Step 2 (see Figure 33).

Figure 33: Peak Load Hours Page with Zone J Expanded to View SCR Load Zone Peak Hours

Note: The data displayed in the grid on the Peak Load Hours page can be downloaded in Excel format. To do so, click the Excel button in the lower-right corner of the page, then via the displayed dialog box, open or save the file.

## 2.5. SCR Capability Period Load Zone Verification Peak Hours - Summer 2014 & Winter 2015

Among the data the MP must provide to support the use of a Provisional ACL for a SCR is the Average Coincident Load kW (ACL kW) of the resource for each SCR Load Zone Peak Hour from the Prior Equivalent Capability Period. SCR Load Zone Peak Hours are made viewable to the MP 90 days prior to the start of the Capability Period as specified on the DRIS Event Calendar (refer to Section 2.1).

As a result of a change in the rules for determining SCR Load Zone Peak Hours, resources enrolled with a Provisional ACL during the Summer 2013 and Winter 2013-2014 Capability Periods will provide supporting ACL kW data corresponding to a set of SCR Load Zone Peak Hours determined based on the rules prior to Summer 2014 enrollment, which peak hours differ than those used for enrollment. The MP will need to provide the verification data in accordance with the calendar events preceding enrollment for Summer 2014 and Winter 2014-2015 (refer to Section 2.1).

Note: The MP may export the template from DRIS, pre-populated with the SCR Load Zone Verification Peak Hours by Load Zone. The template that uses the SCR Load Zone Verification Peak Hours is available to the MP in the SCR Provisional ACL Verification File (see Section 10.6.1).

The system provides ready access to this information.

### Pre-requisite

- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".
  - To ascertain SCR Capability Period Load Zone Verification Peak Hours
- 1. From the **Tables** menu, choose **Verification Pk Hrs (S14 & W14-15)**.

The system displays the Verification Peak Load Hours page (see Figure 34).

2. From the corresponding search filter in the uppermost frame on the Peak Load Hours page, choose the Capability Period and optionally, the Zone for which the system should display SCR Capability Period Load Zone Verification Peak Hours.

Note: NOTE: For Provisional ACL enrollments made during the Summer 2013 Capability Period, select Summer 2014 from the drop down list; for enrollments during the Winter 2013-2014 Capability Period, select Winter 2014-2015 from the drop down list.

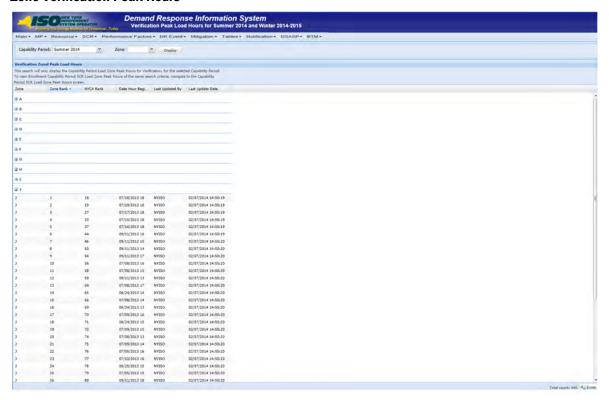
Figure 34: Verification Peak Load Hours Page Search Filters



3. Near the top of the Verification Peak Load Hours page, click the **Display** button.

The system populates the Search Results grid below the search filters with the SCR Load Zone Peak Hours meeting the criteria chosen at Step 2 (see Figure 35).

Figure 35: Verification Peak Load Hours Page with Zone J Expanded to View SCR Capability Period Load **Zone Verification Peak Hours** 



**Note:** The data displayed in the grid on the Verification Peak Load Hours page can be downloaded in Excel format. To do so, click the **Excel** button in the lower-right corner of the page, then via the displayed dialog box, open or save the file.

## 2.6. Monthly SCR Load Zone Peak Hours

Among the data the MP must provide to verify an enrollment of an SCR resource with an Incremental ACL is the Average Coincident Load kW (ACL kW) of the resource for each SCR Monthly Load Zone Peak Hour from the Prior Equivalent Capability Period, in the months which the resource was enrolled with an Incremental ACL. Monthly SCR Load Zone Peak Hours are made viewable to the MP 90 days prior to the start of the Capability Period as specified on the DRIS Event Calendar (refer to Section 2.1).

The system provides ready access to this information.

Note: The MP may export templates from DRIS, pre-populated with the Monthly SCR Load Zone Peak Hours by Load Zone. The template which uses the Monthly SCR Load Zone Peak Hours and is available to the MP is the SCR Incremental ACL Verification File (see Section 10.7).

### Pre-requisite

The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".

#### To ascertain Monthly SCR Load Zone Peak Hours

1. From the **Tables** menu, choose **Monthly Peak Load Hours**.

The system displays the Monthly Peak Load Hours page (see Figure 36).

2. From the corresponding search filter in the uppermost frame on the Monthly Peak Load Hours page, choose the **Capability Period** and optionally, the **Zone** and **Auction Month** for which the system should display Monthly SCR Load Zone Peak Hours.

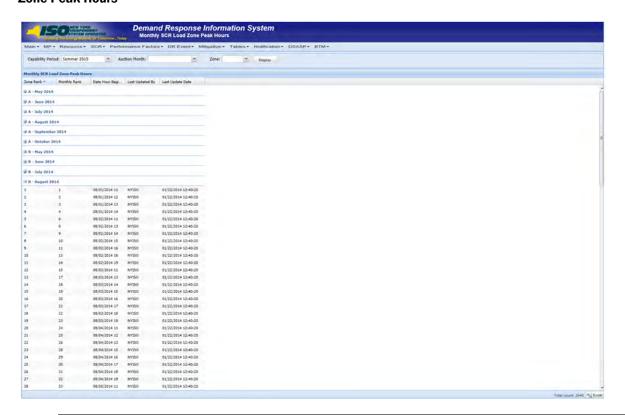
Figure 36: Peak Load Hours Page Search Filters



3. Near the top of the Monthly Peak Load Hours page, click the **Display** button.

The system populates the Search Results grid below the search filters with the Monthly SCR Load Zone Peak Hours meeting the criteria chosen at Step 2 (see Figure 37).

Figure 37: Monthly Peak Load Hours Page with August 2014 - Zone B Expanded to View Monthly SCR Load **Zone Peak Hours** 



Note: The data displayed in the grid on the Monthly Peak Load Hours page can be downloaded in Excel format. To do so, click the Excel button in the lower-right corner of the page, then via the displayed dialog box, open or save the file.

## 2.7. DSASP Product/Aggregation Types

Among the data the MP must provide to enroll a Demand-Side Resource (DSR) in the Ancillary Services Program is the Aggregation Type ID corresponding to the Response Type and Product Type of the DSR.

The system provides ready access to this information.

### Pre-requisite

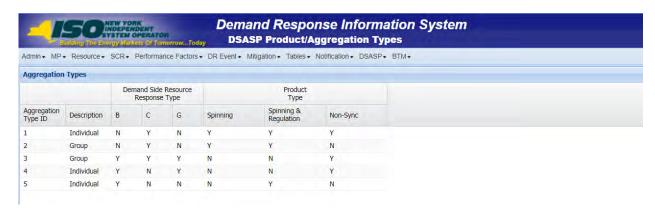
- The DSASP Provider has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".
  - To ascertain Aggregation Type IDs
  - 1. From the **Tables** menu, choose **DSASP Product/Aggregation Types**.

The system displays the DSASP Product/Aggregation Types page (see Figure 38).

2. In the corresponding column of the displayed table, locate the **Demand-Side Resource** Response Type specific to the DSR in question, then note the displayed Product Type and **Aggregation Description** for which the DSR is to participate in. Select the **Aggregation Type ID** displayed in the first column of the same row, which corresponds to the proper correlation of **Description**, **Response Type** and **Product Type**.

Note: The data displayed in the grid on the DSASP Product/Aggregation Types page can be downloaded in Excel format. To do so, click the Excel button in the lower-right corner of the page, then via the displayed dialog box, open or save the file.

Figure 38: DSASP Product/Aggregation Types Page



# 3. Viewing Market Participant Organization Program Enrollment

Once an MP is registered in the NYISO MIS to participate in the SCR, EDRP or the DSASP programs (see Section 1.2.3, "Pre-Requisites for System Use"), organizational and DR program specific data may be viewed and managed in DRIS.

The MP can view organization enrollments by Capability Period in summary format.

## 3.1. Viewing Summary of Demand Response-Program Enrollments

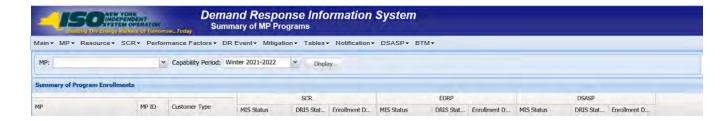
Viewing a summary of MP organization program enrollments provides the MP with a snapshot of organization eligibility to participate in the SCR, the EDRP or the DSASP demand response program based on a selected Capability Period. Data displayed includes program-specific MIS registration status and DRIS enrollment status as well as the Customer Type of the organization.

- Customer Type: Specific type of DR-program customer assigned by the NYISO, i.e., Aggregator, Competitive Load Serving Entity, Transmission Owner/LSE, Direct Customer, or Curtailment Program End User.
- MIS Status: Registration status in the NYISO MIS pertaining to eligibility of the MP to participate in a specific DR program. Registered in the NYISO MIS equates to a Qualified MIS Status in DRIS. An MP organization must have a Qualified MIS Status in DRIS for the specific program prior to enrolling resources for the specific program.
- DRIS Status: Enrollment status in DRIS pertaining to participation in a specific DR program. An Enrolled DRIS status reflects participation in the specific program for the specific Capability Period (see Section 3.2, "Enrolling the Market Participant Organization").
- Enrollment Date: The date of MP organization enrollment in DRIS for the specific program for the specific Capability Period (see Section 3.2 "Enrolling the Market Participant Organization").

#### To view summary of DR program enrollments

- 1. From the **MP** menu, choose **Program Summary**. The system displays the Summary of MP Programs page.
- 2. From the corresponding search filter in the uppermost frame on the Summary of MP Programs page (see
- 3. Figure 39), choose the **Capability Period** for which the system should display enrollments.

Figure 39: Summary of MP Programs Page Search Filters



Near the top of the Summary of MP Programs page, click the **Display** button. 1. The system populates the Search Results grid below the search filters with an entry for the

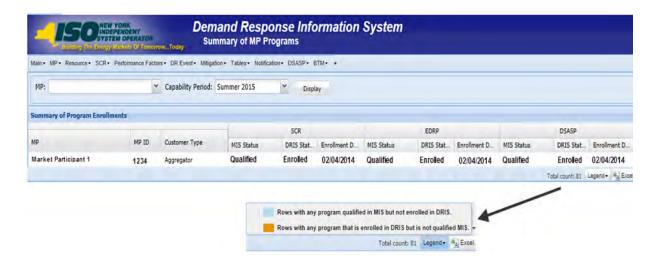
programs meeting the criteria chosen at step 2 (see Figure 40.)

Figure 40: Summary of MP Programs Page Populated with Data



- Optionally, view further details on MIS Status and/or DRIS Status if indicated by color coding of the row displayed in the Search Results grid, clicking the **Legend** button in the lower-right corner of the page to do so (see
- 5. Figure 41).

Figure 41: Program Summary Search Results with Color Coding Indicating Attention to a Program Status



### 3.2. Enrolling the Market Participant Organization

An MP organization will be automatically enrolled by DRIS in SCR and EDRP for each demand response program and Capability Period in which the organization enrolls resources. A program-specific Enrollment Date and Enrolled enrollment status will be assigned in DRIS (see Figure 40) to the MP organization based on the date within the Capability Period when the MP first imports a resource-enrollment file for the specific program. An MP organization will be automatically enrolled by DRIS in DSASP the first time the organization enrolls DSRs. Enrollment of DSRs is not date or Capability Period specific.

Before the MP organization can import a resource enrollment file into DRIS to become enrolled in a DR program for a Capability Period, the following criteria must be met:

- The MP organization must be registered in the NYISO MIS as eligible to participate in the specific DR program and reflect a Qualified MIS Status in DRIS
- The MP organization must have set up and assigned one or more Admin Contacts, for all programs and one or more Event-Responder Contacts for SCR and EDRP, in DRIS(see Section 6)

Managing Market Participant Organization Contacts for SCR and EDRP, an MP organization may enroll resources in the Capability Period in accordance with the applicable time frame for resource open enrollment provided on the DRIS Event Calendar (see Section 2.1) for the specific DR program.

For DSASP, a DSASP Provider may enroll resource(s) at any point in the calendar year. DSASP enrollments and participation are not governed by calendar events or historical, current or future Capability Periods.

For SCR and EDRP, an MP organization may have a Qualified MIS Status in DRIS but not be Enrolled in DRIS if no resource enrollment file was imported for a specific program in the Capability Period. This does not affect enrollments in future Capability Periods, provided that the MP organization retains a Qualified MIS Status in DRIS.

For DSASP, a DSASP Provider will continue to be *Enrolled* in DRIS as long as the organization maintains one or more Validated DSRs, provided that the DSASP Provider retains a Qualified MIS Status in DRIS.

# 4. Viewing Market Participant Organization SCR Program Performance **Factor**

The Demand Response Information System provides the means for MP organizations to view their performance factor for a specific Capability Period including those resource performance factors contributing to the MP performance factor.

The MP performance factor may be viewed beginning with the time period specified as the calendar event, NYISO makes (Season yyyy) performance factors available in DRIS, on the DRIS Event Calendar (refer to Section 2.1).

The MP can view performance factor by Capability Period and Month.

### 4.1. Viewing Market Participant Performance Factor

Viewing the Market Participant performance factor provides the MP with a list of resources that were enrolled in the MP portfolio in the previous like Capability Period. In instances when a resource was enrolled by more than one MP in a Capability Period, the resource and the resource's performance factor are assigned to the MP that had the resource last enrolled in the Capability Period. The performance factors for these resources are used to calculate the MP performance factor for the current Capability Period. Resource performance factor data displayed for each resource includes the following:

- Resource ID
- Resource name
- TO account number of resource
- Zone of resource
- Max declared of resource Maximum Declared Value for the resource in the previous like Capability Period
- Raw performance factor of resource resource Performance Factor before it is adjusted (viewable when the Capability Period selected is greater than or equal to Summer 2012)
- Performance factor of resource resource Performance Factor after it has been adjusted. When the Raw Performance Factor is greater than 1 it is adjusted to 1. When the Raw Performance Factor is less than or equal to 1, it is not adjusted.
- Proportional declared of resource Calculated as (Resource Performance Factor times Max Declared)
- MP performance factor

Beginning with the Summer 2012 Capability Period, MP performance factors will be calculated using the resource raw performance factor. The resource raw performance factor allows for over performance of the resource. This occurs when a resource raw performance factor is greater than one (1). The resource raw performance factor will be viewable on the MP performance factor screen beginning with the Summer 2012 Capability Period.

> Note: The resource performance factors visible through the MP Performance Factor page are for resources that were enrolled with that specific MP in the previous like Capability Period. To view the performance factors of resources enrolled with the specific MP in the current Capability Period see Section 8.1.3 Viewing SCR and EDRP Resource Enrollments by Monthly Details.

#### To view MP organization performance factor

- 1. From the **Performance Factor** menu, choose **MP**. The system displays the MP Performance Factor page.
- From the corresponding search filter(s) in the uppermost frame on the MP Performance 2. Factor page (see Figure 42), choose the **Capability Period** and **Month** for which the system should display the MP performance factor.

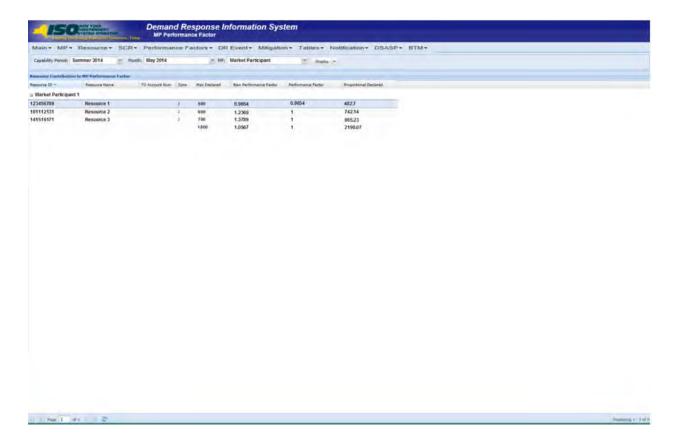
Figure 42: MP Performance Factor Page Search Filters



1. Near the top of the MP Performance Factor page, click the **Display** button.

The system populates the Resource Contribution to MP Performance Factor grid below the search filters with an entry for the MP Performance Factor meeting the criteria chosen at step 2 (see Figure 43).

Figure 43: MP Performance Factor Page Populated with MP Performance Factor



View further details for the resource components of the MP performance factor by expanding 2. the row next to the MP name within the grid.

The system populates the details of the resource performance factors contributing to MP performance factor (see Figure 44).

Figure 44: MP Performance Factor Page Populated with Resource Performance Factors which contribute to the MP Performance Factor



# 5. Viewing RIP Portfolio Performance Shortfall

The Demand Response Information System provides the means for RIP organizations to view shortfalls for a specific Capability Period, including the details used to determine the shortfall.

The RIP can view shortfalls by Capability Period, Month and Zone.

## **5.1. Viewing Summary of RIP Portfolio Performance Shortfall**

Viewing the RIP Portfolio Performance shortfall provides the RIP with a snapshot of specific Capability Periods in which a shortfall exists.

When viewing RIP Portfolio Performance shortfall, the RIP may optionally specify a Capability Period, Month, and Zone. The RIP may also select the Shortfall filter to view only those records which have a shortfall. RIP Portfolio Performance shortfall data displayed at the summary level includes the following:

- RIP name
- Capability Period
- Shortfall indicator

#### To view summary of RIP Portfolio Performance shortfall

1. From the **Performance Factor** menu, choose **RIP Portfolio Performance Shortfall**.

The system displays the RIP Portfolio Performance Shortfall page.

2. From the corresponding search filter(s) in the uppermost frame on the RIP Portfolio Performance Shortfall page (see Figure 45), optionally choose the Capability Period for which the system should display the RIP Portfolio Performance Shortfall, or leave all search criteria unselected to view RIP Portfolio Performance Shortfall for multiple Capability Periods.

Figure 45: RIP Portfolio Performance Shortfall Page Search Filters

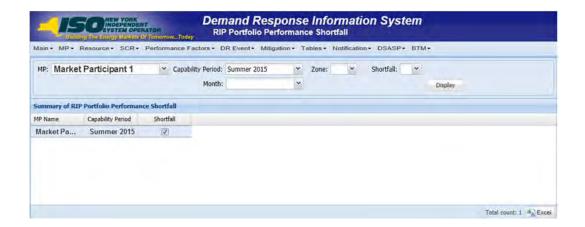


Note: RIP Portfolio Performance Shortfall will be viewable in DRIS beginning with the calculation of the RIP Portfolio Performance Shortfall for the Summer 2011 Capability Period. The calculation of the RIP Portfolio Performance Shortfall will occur following the close of the Capability Period for which the shortfall has been determined by the NYISO.

- 3. Optionally, further limit the scope of Capability Periods in which a RIP Portfolio Performance Shortfall exists to be displayed by the system to only a specific **Month** or **Zone** by choosing the applicable option(s) from the corresponding search filter(s) near the top of the page.
- 4. Near the top of the RIP Portfolio Performance Shortfall page, click the **Display** button.

The system populates the Summary of RIP Portfolio Performance Shortfall grid below the search filters with an entry for each month in which a RIP may have incurred a RIP Portfolio Performance Shortfall for the Capability Period(s) meeting the criteria chosen at Steps 2 and 3 (see Figure 46).

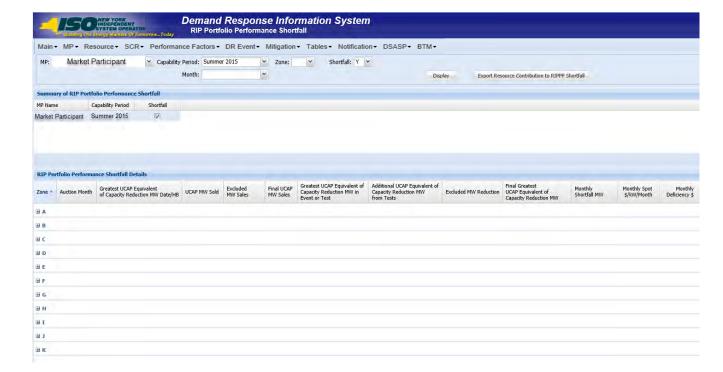
Figure 46: RIP Portfolio Performance Shortfall Page Illustrating Summary Results Based on Selected **Search Criteria** 



5. Optionally, view details of the RIP Portfolio Performance Shortfall for a specific Capability Period by clicking the corresponding row in the Summary of RIP Portfolio Performance Shortfall grid.

The system expands a frame at the bottom of the page, where additional RIP Portfolio Performance Shortfall details are displayed (see Figure 47).

Figure 47: Highlighted Row for which Shortfall Details will be Displayed



### 5.2. Viewing RIP Portfolio Performance Shortfall Details

In viewing RIP Portfolio Performance shortfall details, the RIP can see comprehensive data used in the calculation of a specific shortfall, broken down by zone and month for the selected Capability Period.

This data is visible in a frame at the bottom of the RIP Portfolio Performance Shortfall page (see Figure 51).

The system displays the following information for the selected Capability Period, month, and zone:

- Zone
- **Auction Month**
- Greatest UCAP Equivalent of Capacity Reduction MW Date/HB: The date and hour beginning of the UCAP equivalent of the MW value of the zonal greatest quantity MW reduction was achieved within the zone.
- *UCAP MW Sold:* The sum of the UCAP MW sold for all SCR resources in the RIP portfolio for the zone.

- Excluded MW Sales: The sum of the UCAP MW sold for all SCR resources in the RIP portfolio for the zone to be excluded from the RIP Portfolio Performance Shortfall calculation due to incurring an individual SCR deficiency in the Capability Period.
- Final UCAP MW Sales: The net value of UCAP MW Sold, minus the Excluded MW Sales.
- Greatest UCAP Equivalent of Capacity Reduction MW in Event or Test: The UCAP equivalent of the MW value of the zonal greatest quantity MW reduction achieved within the zone.
- Additional UCAP Equivalent of Capacity Reduction MW from Tests: The UCAP equivalent of the MW value of the additional zonal greatest quantity MW reduction achieved within the zone, in instances when an additional hour is necessary to determine the Total Greatest MW Reduction.
- Excluded MW Capacity Reduction: The sum of the UCAP MW capacity reduction from an event or test, for all SCR resources in the MP portfolio for the zone, to be excluded from the RIP Portfolio Performance Shortfall calculation due to incurring an individual SCR deficiency in the Capability Period.
- Final Greatest UCAP Equivalent of Capacity Reduction MW: Sum of UCAP Equivalent of Greatest MW Reduction in Event or Test and the Additional UCAP Equivalent of Capacity Reduction MW from tests, minus the Excluded MW Capacity Reduction.
- Monthly Shortfall: Final UCAP MW Sales less the Final Greatest UCAP Equivalent of Capacity Reduction MW.

#### To view details of RIP Portfolio Performance Shortfall

1. From the **Performance Factor** menu, choose RIP Portfolio Performance Shortfall.

The system displays the RIP Portfolio Performance Shortfall page.

From the corresponding search filter(s) in the uppermost frame on the RIP Portfolio Performance Shortfall page (see Figure 48), optionally choose the Capability Period for which the system should display the RIP Portfolio Performance Shortfall. Or, leave all search criteria unselected to view RIP Portfolio Performance Shortfall for multiple Capability Periods.

Figure 48: RIP Portfolio Performance Shortfall Page Search Filters

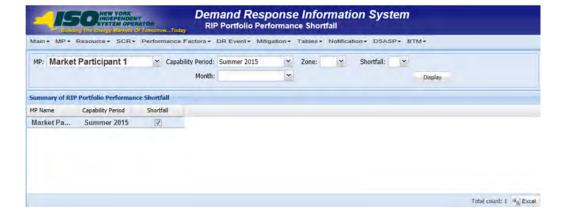


Note: RIP Portfolio Performance Shortfall will be viewable in DRIS beginning with the calculation of the RIP Portfolio Performance Shortfall for the Summer 2011 Capability Period. The calculation of RIP Portfolio Performance Shortfall will occur following the close of the Capability Period for which the shortfall is being determined by the NYISO.

- 2. Optionally, further limit the scope of Capability Periods in which an RIP Portfolio Performance Shortfall exists to be displayed by the system to only a specific **Month** or **Zone** by choosing the applicable option(s) from the corresponding search filter(s) near the top of the page.
- 3. Near the top of the RIP Portfolio Performance Shortfall page, click the **Display** button.

The system populated the Summary of RIP Portfolio Performance Shortfall grid below the search filters with an entry for each RIP Portfolio Performance Shortfall for the Capability Period(s) meeting the criteria chosen at Step 2 (see Figure 49).

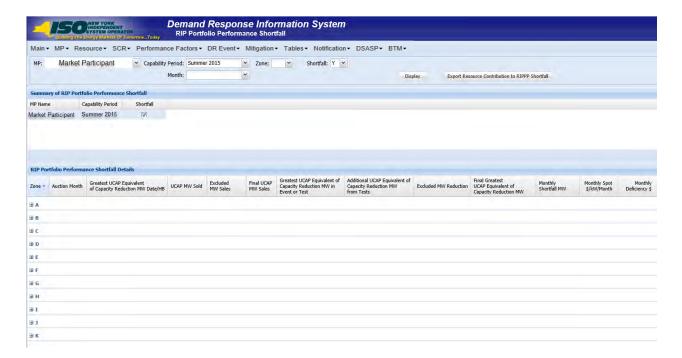
Figure 49: RIP Portfolio Performance Shortfall Page Illustrating Summary Results Based on Selected Search Criteria



4. View details of the RIP Portfolio Performance shortfall for a specific Capability Period by clicking the corresponding row in the Summary of RIP Portfolio Performance Shortfall grid.

The system expands a frame at the bottom of the page, where additional RIP Portfolio Performance Shortfall details are displayed (see Figure 50).

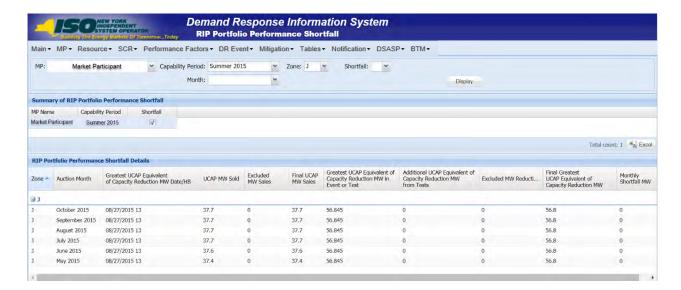
Figure 50: Highlighted Row for which Shortfall Details will be Displayed



5. To view RIP Portfolio Performance shortfall details for a specific zone, click the "+" to the left of the zone letter to expand the view (see Figure 51).

> Note: When electing to view RIP Portfolio Performance Shortfall Details, all zones will be made viewable to the MP, regardless of the zones having a shortfall.

Figure 51: RIP Portfolio Performance Shortfall Details Displaying Details for Zone J



# 6. Managing Market Participant Organization Contacts

The Demand Response Information System provides the means for MP organizations to manage their organizational contacts through adding new contacts, assigning contacts to specific DR programs and specific contact types, maintaining contact information, and deleting contacts no longer in use.

The MP organization is required to maintain one or more Admin contact types for all programs in which the organization participates and one or more Event-Responder contact types for each Reliability (SCR and EDRP) DR program into which the MP wants to enroll resources.

Note: An MP organization participating in the SCR program must establish an Event-Responder Contact for both the SCR and EDRP programs to ensure receipt of Event Notifications in auction months when an SCR resource has zero auction sales and is converted to an EDRP resource.

# **6.1. Viewing Market Participant Contacts**

Market Participant organization contacts can be viewed by program and/or contact type in summary or detail format.

### 6.1.1. Viewing Summary of Market Participant Contacts

Viewing a summary of its organizational contacts provides each MP with a snapshot of its contacts who are associated with a specific DR program and/or a specific contact type. Summary contact data for each contact displayed includes the following:

- First and last name
- Program association
- Contact type
- Primary and secondary phone
- Primary and secondary email

Note: Only SCR and EDRP contacts within DRIS with a contact type association of Event-Responder will receive Event Notifications of Demand Response Events and Tests called by the NYISO.

### To view summary of MP contacts

1. From the **MP** menu, choose **Contact Summary**.

The system displays the Contact Summary page.

2. From the corresponding search filter(s) in the uppermost frame on the Contact Summary page (see Figure 52), choose the **Program** and/or **Contact Type** for which the system should display contacts.

Figure 52: Contact Summary Page Search Filters



1. Near the top of the Contact Summary page, click the **Display** button.

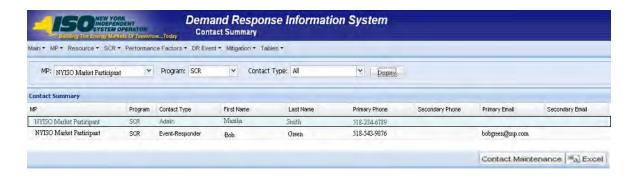
The system populates the Contact Summary grid below the search filters with an entry for the contacts meeting the criteria chosen at step 2 (see Figure 53.)

Figure 53: Contact Summary Page Populated with Data



Optionally, view further details for or modify a specific contact by clicking the corresponding row in the Contact Summary grid then clicking on the Contact Maintenance button in the lower right corner (see Figure 54).

Figure 54: Contact Summary Search Results with Options to View and Modify Contact Details via Contact Maintenance



#### To view details of MP contacts

From the **MP** menu, choose **Contact Maintenance**. 1.

The system displays the Contact Maintenance page.

The Contact Maintenance page can also be accessed directly from the Contact Summary page by clicking the corresponding row in the Contact Summary grid then clicking the **Contact Maintenance** button in the lower-right corner (see Figure 54).

2. From the corresponding search filter in the uppermost frame on the Contact Maintenance page (see Figure 55), choose the **Contact** for which the system should display details.

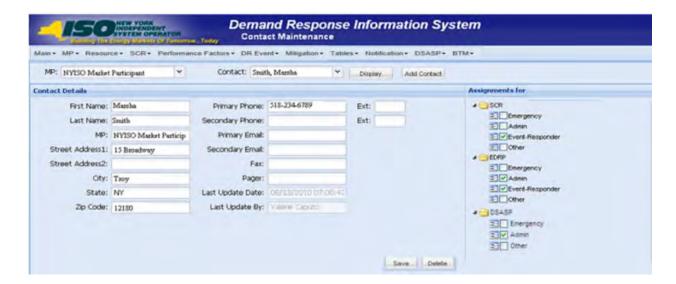
Figure 55: Contact Maintenance Page Search Filters



Near the top of the Contact Maintenance page, click the **Display** button. 1.

The system populates the Contact Details pane below the search filters with data for the contact meeting the criteria chosen at step 2 (see Figure 56).

Figure 56: Contact Details Displayed on the Contact Maintenance Page



2. Optionally, elect to update contact information, update contact program assignments, or update contact type assignments from this detailed view (see Section 6.2, "Updating Contacts").

# **6.2. Updating Contacts**

The MP can update contact information, contact program assignments, and/or contact type assignments at any time. In processing such an update, DRIS overwrites any previous contact information, program assignments, and/or type assignments previously used for the specific contact.

> Note: Only SCR and EDRP contacts within DRIS with a contact type association of Event-Responder will receive Event Notifications of Demand Response Events and Tests called by the NYISO.

#### To update contact information

1. From the **MP** menu, choose **Contact Maintenance**.

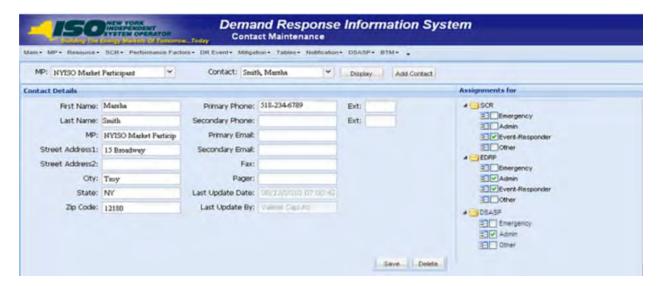
The system displays the Contact Maintenance page.

The Contact Maintenance page can also be accessed directly from the Contact Summary page by clicking the Contact Maintenance button in the lower-right corner (see Figure 54).

- From the corresponding search filter in the uppermost frame on the Contact Maintenance 2. page (see Figure 55), choose the **Contact** for which the system should display details.
- 3. Near the top of the Contact Maintenance page, click the **Display** button.

The system populates the Contact Details pane below the search filters with data for the contact meeting the criteria chosen at step 2 (see Figure 57).

Figure 57: Contact Details Displayed on the Contact Maintenance Page



- In the Contact Details pane, type the desired contact information into the field requiring an 4. update.
- 5. In the lower-right corner of the Contact Details pane, click the **Save** button. The updated contact information is displayed in the Contact Details pane for the contact.
- To update contact program and type assignments
- 1. From the **MP** menu, choose **Contact Maintenance**.

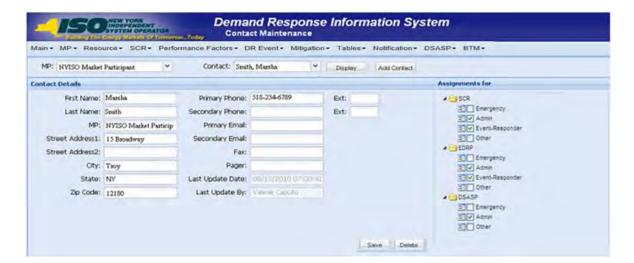
The system displays the Contact Maintenance page.

The Contact Maintenance page can also be accessed directly from the Contact Summary page by clicking the **Contact Maintenance** button in the lower-right corner (see Figure 54).

- 2. From the corresponding search filter in the uppermost frame on the Contact Maintenance page (see Figure 55), choose the **Contact** for which the system should display details.
- 3. Near the top of the Contact Maintenance page, click the **Display** button.

4. The system populates the Contact Details pane below the search filters with data for the contact meeting the criteria chosen at step 2 (see Figure 58)

Figure 58: Contact Details Displayed on the Contact Maintenance Page



In the Assignments For pane on the right of the page, indicate to which program(s) the 1. contact visible in the Contact Details pane should be assigned and to which contact type(s) within each program, clicking the corresponding check box(es) until a checkmark is either displayed (to activate the assignment) or cleared (to deactivate the assignment).

**Note:** A contact can have one or more program assignments and one or more type assignments within a Program.

The system automatically initiates the saving process upon each click of a check box, as indicated by graying out the Assignments For pane and displaying a **Saving** icon, then again makes the Assignments For pane available for further program and type updates for the contact, as applicable (see Figure 59).

Figure 59: Contact Program and Type Assignment Saving in DRIS



#### To add a new contact

1. From the **MP** menu, choose **Contact Maintenance**.

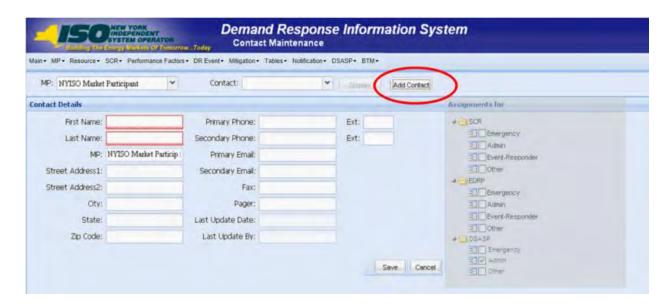
The system displays the Contact Maintenance page.

The Contact Maintenance page can also be accessed directly from the Contact Summary page by clicking the Contact Maintenance button in the lower-right corner (see Figure 54).

2. Near the top of the Contact Maintenance page, click the **Add** button.

The system displays a blank Contact Details pane (see Figure 60).

Figure 60: Blank Contact Details Pane When Adding a New Contact



- 3. Enter contact information in the Contact Details pane.
- In the lower right corner of the Contact Details pane, click the **Save** button. 4. The contact information is displayed in the Contact Details pane for the contact.
- 5. In the Assignments For pane on the right of the page, indicate to which program(s) the contact visible in the Contact Details pane should be assigned and to which contact type(s) within each program, clicking the corresponding check box(es) until a checkmark is either displayed (to activate the assignment) or cleared (to deactivate the assignment).

**Note:** A contact can have one or more Program assignments and one or more Type assignments within a Program.

The system automatically initiates the saving process upon each click of a check box, as indicated by graying out the Assignments For pane and displaying a Saving icon, then again makes the Assignments For pane available for further program and type updates for the contact, as applicable (see Figure 59).

**Note:** Specific contact types require that certain contact information be saved for the contact prior to assigning the contact type. Specifically, the Admin contact type requires Name, Address, and Primary Phone, whereas the Event-Responder contact type requires Name, Primary Phone, and Primary Email.

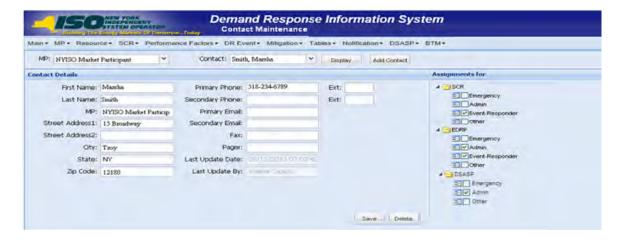
To delete a contact 1. From the **MP** menu, choose **Contact Maintenance**.

The system displays the Contact Maintenance page.

The Contact Maintenance page can also be accessed directly from the Contact Summary page by clicking the **Contact Maintenance** button in the lower-right corner (see Figure 54).

- 2. From the corresponding search filter in the uppermost frame on the Contact Maintenance page (see Figure 55), choose the **Contact** for which the system should display details.
- Near the top of the Contact Maintenance page, click the **Display** button. 3.
- The system populates the Contact Details pane below the search filters with data for the 4. contact meeting the criteria chosen at step 2 (see Figure 61)

Figure 61: Contact Details Displayed on the Contact Maintenance Page



In the lower-right of the Contact Details pane, click the **Delete** button to remove the displayed contact from DRIS.

Note: The system requires an MP organization to maintain at least one Admin contact type for all programs in which the organization participates and at least one Event-Responder contact type for each Reliability (SCR and EDRP) DR program in which the MP organization participates. When there is only one contact assigned the contact type of Admin or contact type of Event-Responder for the specific DR program, DRIS will not delete the contact until another MP contact is assigned the Admin and/or Event-Responder contact type.

# 7. Enrolling Resources

Resources can be enrolled in the SCR program only within a pre-established time frame. This limited enrollment period occurs during the month preceding the effective auction month as specified on the DRIS Event Calendar (refer to Section 2.1). EDRP resource enrollment is also limited to an enrollment period, which occurs during the month preceding the effective month of the enrollment as specified on the DRIS Event Calendar. DSASP enrollment may occur at any time in the calendar year.

A resource's enrollment remains in effect until:

- the MP modifies it (see Section 8),
- a duplicate enrollment condition occurs,
- the NYISO changes the status of an enrolled resource, or
- the Capability Period ends (Reliability programs only).

Note: Any resources the MP wants to continue using in the SCR or EDRP programs for the subsequent Capability Period must be re-enrolled (see Section 8.4).

It is the responsibility of the MP to perform the following:

- 1. Optionally, perform the Provisional ACL Eligibility Import process
- 2. Create a correctly structured, formatted, and populated resource enrollment file
- Import the resource enrollment file to DRIS 3.
- 4. Review and manage as necessary the results of the import process
- 5. Review and manage as necessary, resource enrollment requests with a Request for ACL Data

Tasks 3 & 4 immediately preceding may require the MP take an additional action in the form of, for example, correcting exceptions (i.e., data errors, changes, or omissions) that prevent import of some or all data or canceling resource enrollment requests reported in error.

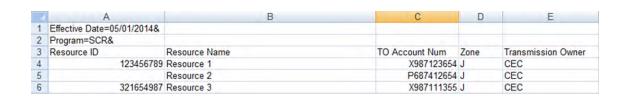
# 7.1. Creating a Resource Provisional ACL Eligibility File

Processing the Provisional ACL Eligibility of resources in the SCR program is initiated via MP import to DRIS of the NYISO provided Excel (.xlsx or .xlsx) file for the SCR program. Checking the eligibility of multiple resources to enroll with a Provisional ACL is initiated at one time.

Note: Importing an appropriately populated Provisional ACL Eligibility file will allow the MP to check the ability of a resource to be enrolled with either a Provisional ACL, a Request for ACL Data or as a SCR participant, accompanied by metered load data. This import does not enroll the resource into DRIS. The MP is still required to use the process described in Section 7.4 to enroll the resource in DRIS.

As illustrated by the sample enrollment files in Figure 62 and 7.3, the file must contain header data in the form of the effective date and DR program. The file must also contain a set of data for each resource being checked for Provisional ACL Eligibility for the Capability Period, Auction Month and program, and may contain column headings.

Figure 62: Sample Provisional ACL Eligibility Import File in Excel



In order for the Provisional ACL Eligibility file to be successfully processed by DRIS, the header data must meet pre-defined rules that are based on the specific DR program requirements. Figure 63 details the rules specific to the SCR program files along with the error messages the system will generate should the file violate any of the rules. Likewise, in order for resource data to be processed by the system, the data must meet pre-defined rules related to formatting and value, again based on the SCR program Figure 64 details the rules specific to SCR resource data.

Note: Under certain circumstances, some fields in the enrollment file must be left blank. See Figure 64.

After creating a properly structured, formatted, and populated eligibility Provisional ACL Eligibility file, the MP may import the file to DRIS as the next step in the process to check the enrollment eligibility of the resource.



Figure 63: Rules for Successful Processing of Provisional ACL Eligibility Import File

Attribute	Rule	Error Message
Effective Date	The month in the header must match that chosen via the system interface.	Effective Date <effective date=""> in the Import File header does not match the Month selected.</effective>
	Day must be the first of the month.	Effective Date <effective date=""> must be the first of the month.</effective>
Program Type	The program type in the header must match that chosen via the system interface.	Program <program> in the Import File header does not match Program selected for Import.</program>

Figure 64: Rules Specific to Resource Data in Provisional ACL Eligibility File

SCR Resource Provisional ACL Eligibility Field Name	Column in Import File	Field Format	Description and Rule(s)
Resource ID	А	Numeric	The Resource ID assigned by the NYISO.
			If Resource is new to the MP, leave blank.



SCR Resource Provisional ACL Eligibility Field Name	Column in Import File	Field Format	Description and Rule(s)
Resource Name	В	Text	The name of the SCR resource.
		Up to 100 characters	



O	Text Up to 30 characters	The account number assigned by the Transmission Owner.  The account number assigned by the
	op to ou characters	
		Transmission Owner must be reported into DRIS with the letter <i>T</i> preceding the account number. For example, if the account number is <i>5436789</i> , it must be reported on the import file to DRIS as <i>T5436789</i> .
		For resources assigned Rochester Gas & Electric or NYS Electric & Gas, do not use the TO Account Number. Instead, use the Point of Distribution ID (POD ID).
		When the POD ID assigned by the Transmission Owner is preceded by an <i>R</i> or an <i>N</i> , do not precede the POD ID with the letter <i>T</i> . For example, if the POD ID is <i>R5436789</i> it must be reported on the import file to DRIS as <i>R5436789</i> .
		Can only be numbers and the preceding <i>T</i> , or <i>R</i> or <i>N</i> for POD IDs, No other characters may be added to the utility account number including additional letters, dashes, spaces between numbers/letters, or any odd characters.
D	Text	The letter of the Load Zone where the resource facility is located.
]	0	Text 1 character



SCR Resource Provisional ACL Eligibility Field Name	Column in Import File	Field Format	Description and Rule(s)
Transmission Owner Abbreviation	E	Text 3 characters	The three-letter abbreviation for the Transmission Owner/District in which the resource facility is located.  • CEC for Con Edison • CHG for Central Hudson • LIP for LIPA • NMP for Niagara Mohawk • NYP for NYPA • NYS for New York State E & G • ORU for Orange & Rockland • RGE for Rochester G & E



### 7.2. Importing the Resource Provisional ACL Eligibility File

After creating a properly structured, formatted, and populated Provisional ACL Eligibility file, the MP may import the file to DRIS as the next step in the process to check the enrollment eligibility of the resources.

### Pre-requisites

- The MP is registered in MIS to participate in the SCR program in which it intends to enroll resources.
- The MP organization has one or more contacts assigned as an Admin contact type and one or more contacts assigned as an Event-Responder contact type in DRIS for the SCR program.
- For the SCR program, the DRIS Event Calendar indicates that the Capability Period and month for which the MP intends to enroll resources are open for performing this task (refer to Section 2.1).
- The MP has created a properly structured, formatted, and populated .xlsx or .xlsx file for the SCR program for upload of resource data to the system, as outlined under Section 7.1.
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

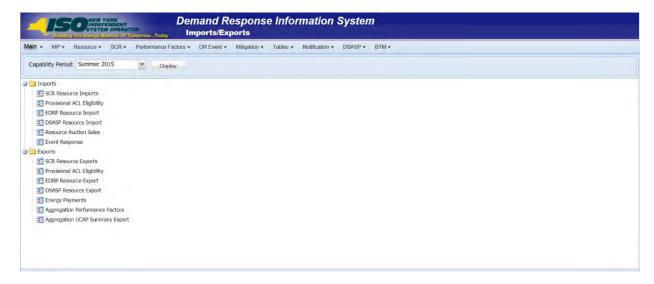
## To import a resource Provisional ACL Eligibility file

1. From the **Main** menu, choose **Imports/Exports**.

The system displays the Imports/Exports page (see Figure 65).



Figure 65: Import/Export Page as Initially Displayed

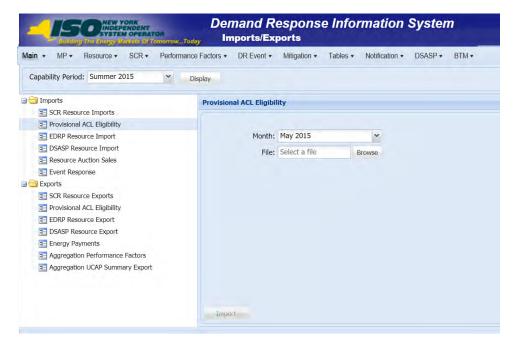


- 2. From the corresponding filter near the top of the page, for Provisional ACL Eligibility choose the **Capability Period** for which resources are being checked for enrollment.
- 3. Beside the Capability Period filter, click the **Display** button. The system activates the middle frame and populates the lowermost frame with a list of import events for the Capability Period chosen at step 2.
- 4. On the left side of the middle frame and under the Imports heading, click Provisional ACL Eligibility.

The area to the right refreshes to display input components specific to the type of import being performed (see Figure 66).



Figure 66: Import/Export Page Displaying Input Components Specific to Provisional ACL **Eligibility Imports** 



- 5. When importing resources, choose Provisional ACL Eligibility from the Import Type dropdown filter on the right side of the middle frame.
- When importing the **Provisional ACL Eligibility** file, choose the applicable **Month** from the 6. corresponding drop-down filter on the right side of the middle frame.
- 7. On the right side of the middle frame, click the **Browse** button. The system displays a File Upload dialog box.
- 8. Via the File Upload dialog box, navigate to and choose the file containing the data for the resources being enrolled, then click the **Open** button.
  - The File Upload dialog box closes, and the system populates the Resource File field in the right pane of the middle frame with the name of the chosen file.
- Click the **Import** button, located in the lower-left corner of the right side of the middle frame. 9. The system displays a dialog box summarizing the results of the eligibility process (see Figure 67).



10. Review the import results and proceed accordingly, as outlined under Section 7.5.

Import Type: SCR\_RESOURCE\_ELIGIBILITY File Name: SCR PROVISIONAL ELIGIBILITY I Records Added: 0 Start Time Records Exception: 3 Records Pending: 0 Records Potential 0 Mitigation: Records No Change: 0 Field Name Unique Id Provisional ACL Question Resource ID: 123456789 is NOT eligible for enrollment with a Provisional ACL in this Capability Period AND there are 20 Resource ID: 123456789 Resource ID: 101112131 is eligible for enrollment with a Provisional ACL in this Capability Period Provisional ACL Question Resource ID: 415161718 is NOT eligible for enrollment with a Provisional ACL in this Capability Period Resource ID: 415161718

Figure 67: Sample Provisional ACL Eligibility Import Summary Dialog Box.

#### 7.2.1. Reviewing and Acting on Resource Provisional ACL Eligibility Exceptions

When the MP optionally attempts to import a resource Provisional ACL Eligibility file to DRIS, the system generates a report outlining the results of the process. Resources in the eligibility file are required to be added to the SCR enrollment file, to be formally enrolled in the program. DRIS will return one of three messages for each resource, based on previous enrollment history and the possible presence of metered load data in DRIS, sufficient enough to calculate an ACL for the enrollment period. These resources will receive the message type of Records Exception on the Enrollment Exception report. A separate line is provided for each Resource ID or TO Account Number of the record receiving the exception with a message specifying the possible enrollment type and options. Below are potential Exception messages returned by the system based on the eligibility of the resource to enroll in the SCR program.

#### Potential **Exception** messages for the **Provisional ACL Eligibility** import file:

Resource is eligible to enroll with a Provisional ACL

"Resource is eligible for enrollment with a Provisional ACL in this Capability Period"

The exception message displayed indicates that the MP may enroll the resource with a Provisional ACL, following the steps as outlined in Section 7.3.

Resource is not eligible to enroll with a Provisional ACL or a Request for ACL Data



"Resource is NOT eligible for enrollment with a Provisional ACL in this Capability Period"

The exception message displayed indicates that the MP may not enroll the resource with either a Provisional ACL or a Request for ACL Data. Optionally, the MP may attempt to obtain metered load data to enroll the resource as a regular SCR participant, following the steps as outlined in Section 7.3.

Resource is eligible to enroll with a Request for ACL Data

"Resource is NOT eligible for enrollment with a Provisional ACL in this Capability Period AND there are 20 or more metered load values from the Prior Equivalent Capability Period in DRIS"

The exception message displayed indicates that the MP may not enroll the resource with a Provisional ACL but may enroll the resource with a Request for ACL Data from the NYISO, following the steps as outlined in Section 7.3.

### 7.3. Creating a Resource Enrollment File

Enrollment of resources in any program is initiated via MP import to DRIS of the NYISO provided comma-separated value (.csv) file for the EDRP and DSASP or an Excel (.xlsx or .xlsx) file for the SCR program, EDRP, and DSASP. Enrollment of multiple resources in the same DR program is initiated at one time.

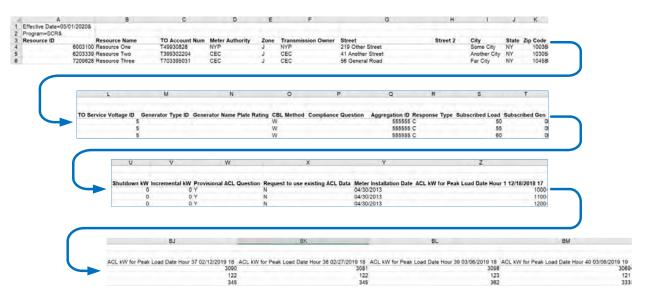
Note: If the MP has previously enrolled resources, the MP may export a file populated with resource enrollment data currently in DRIS as a model for creating a new file with updated data, as outlined under Section 8.5.

As illustrated by the sample enrollment files in Figure 68 and Figure 70 the file must contain header data in the form of the effective date and DR program. The file must also contain a set of data for each resource being enrolled for the Capability Period, effective date, and program, and may contain column headings.



Figure 68: Sample SCR & EDRP Enrollment Files in Excel

#### **Sample SCR Enrollment File**



Note: Columns "Z" through "BM" contain the ACL kW for Peak Load Date Hour 1 through 40. AN ACL kW value must be specified for each of the Top 40 SCR Load Zone Peak Hours as indicated in the SCR Enrollment File

### **Sample EDRP Enrollment File**

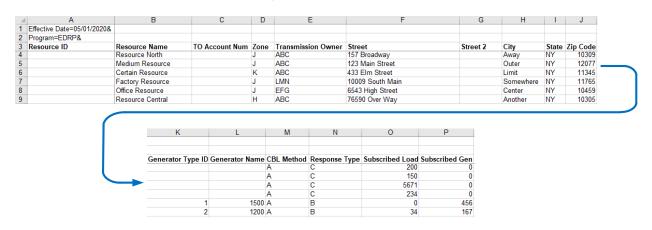




Figure 69: SCR Enrollment File Detail of ACL kW Column Label

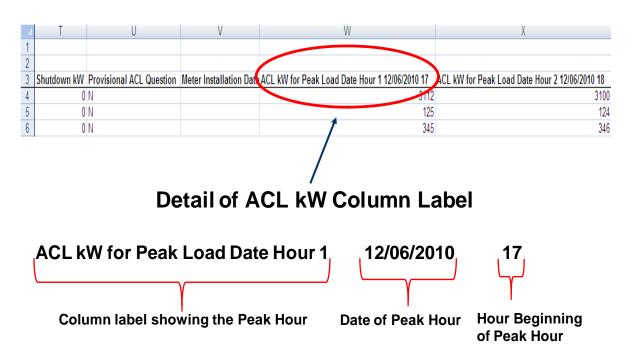


Figure 70: Sample EDRP Enrollment File in .CSV Format

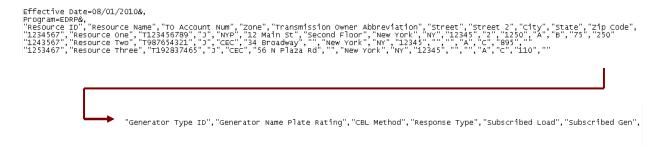




Figure 71: Sample DSASP Enrollment File in Excel

)ate=0	re 4/01/201	13&											
ROGR	RAM=DS	ASP&											
Resour	ce ID		Name		ım		Zone	Transmissio Owner Abbreviation	n Street		Stre	eet 2	-
212121			Name		64867		C	RGE	123 Pine N				Rocheste
222222	22		Name		34985		F	NMP		e Extension			Albany
			Name		19634		J	CED	1064 19th	2.22			Brooklyn
444444			Name		357814		C	RGE	54 Allen S	•			Rocheste
555555			Name		84735		F	NMP	63-584 No				Albany
6666666	66		Name	6 11	19348	363	J	CED	1574 4th S	it.			Manhattar
777777	17		Name	7 93	72856	9723	E	NYP	2 Hills Ct				Elmira
	State NY NY	Zip Co 14626 12210		F-0 1.D	70 50	0	Y	<i>r</i> .	101 102	Type 2 2		C C	
	NY	11230	4		60	-	Y		103	3		В	
	NY	14626	-		30	_	Y		101	2		C	
		12210			40		Y		102	2		С	
		11230	4		80	10	Y		103	3		В	
	NY						120						
							100		404				
	NY NY	14903				Sumi		Summer	104 Winter	1 Winter		С	j
	NY	14903 Spinn	ing &	Non -	Sync	Subs	ner cribed		Winter	Winter	-	ect	nication
		14903 Spinn	ing &	Non -	Sync	Subs	ner cribed	Summer Subscribed	Winter Subscribed	Winter Subscribed	-	ect	nication
<b>→</b> Sp	NY	14903 Spinn Regul	ing &		Sync	Subs	ner cribed	Summer Subscribed Gen kW	Winter Subscribed Load kW	Winter Subscribed Gen kW	Cor	ect	nication
Sp Y N	NY	Spinn Regul N Y	ing &	N N	Sync	Subst Load 800 800	ner cribed	Summer Subscribed Gen kW 0	Winter Subscribed Load kW 800 800	Winter Subscribed Gen kW 0	Cor Y Y	ect	nication
Sp Y N	NY	Spinn Regul N Y	ing &	N N Y	Sync	Subse Load 800 800 500	ner cribed	Summer Subscribed Gen kW 0 0 500	Winter Subscribed Load kW 800 800 500	Winter Subscribed Gen kW 0 0 500	Cor Y Y Y	ect	nication
Sp Y N N Y	NY	Spinn Regul N Y N	ing &	N N Y	Sync	Subs Load 800 800 500 600	ner cribed	Summer Subscribed Gen kW 0 0 500	Winter Subscribed Load kW 800 800 500 600	Winter Subscribed Gen kW 0 0 500	Cor Y Y Y Y	ect	nication
Sp Y N	NY	Spinn Regul N Y	ing &	N N Y	Sync	Subse Load 800 800 500	ner cribed	Summer Subscribed Gen kW 0 0 500	Winter Subscribed Load kW 800 800 500	Winter Subscribed Gen kW 0 0 500	Cor Y Y Y	ect	nication

In order for an enrollment file to be successfully processed by DRIS, the header data must meet pre-defined rules that are based on the specific DR program requirements. Figure 72 details the rules specific to SCR, EDRP and DSASP enrollment files along with the error messages the system will generate should the file violate any of the rules. Likewise, in order for resource data to be imported to the system, the data must meet pre-defined rules related to formatting and value, again based on the DR program.



Figure 73 details the rules specific to SCR resource data, Figure 74 details the rules specific to EDRP resource data and Figure 75 details the rules specific to DSASP resource data.

Note: Under certain circumstances, some fields in the enrollment file must be left blank. Figure 73, Figure 74, and Figure 75, indicate fields that meet this condition.

After creating a properly structured, formatted, and populated enrollment file, the MP must import the file to DRIS as the next step in enrolling resources.



Figure 72: Rules for Successful Processing of SCR, EDRP and DSASP Resource Enrollment Import Files

Attribute	Rule	Error Message
Effective Date	The month in the header must match that chosen via the system interface.	Effective Date <effective date=""> in the Import File header does not match the Month selected.</effective>
	For SCR and EDRP, day must be the first of the month.	Effective Date <effective date=""> must be the first of the month.</effective>
	For DSASP, day must be equal to the System Date.	Effective Date <effective date=""> in the import file header is not equal to today's date.</effective>
Program Type	The program type in the header must match that chosen via the system interface.	Program <program> in the Import File header does not match Program selected for Import.</program>
Multiple Tabs	The SCR program enrollment file must have a tab designated for each zone within the Excel file.	
	The two header rows, Effective Date and Program Type, must appear on each zonal tab within the Excel file.	

Figure 73: Rules Specific to Resource Data in SCR Enrollment Files

Note: The SCR Enrollment File contains column headings for the SCR Load Zone Peak Hour fields. Each ACL kW column heading begins with the column label and is then followed by the specific Date of the Peak Hour followed by the specific Hour Beginning of the Peak Hour. In the example: ACL kW for Peak Load Hour 1 12/06/2010 17, the field label is "ACL kW for Peak Load Hour 1", the specific Date of the Peak Hour is "12/06/2010", and the specific Hour Beginning of the Peak Hour is "17".

SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Resource ID	A	Numeric	The Resource ID assigned by the NYISO.  If Resource is new to the MP portfolio, leave blank.	NO	N/A



SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Resource Name	В	Text Up to 100 characters	The name of the SCR resource.	YES	NO
TO Account Num	С	Text Up to 30 characters	The account number assigned by the Transmission Owner.  The account number assigned by the Transmission Owner must be reported into DRIS with the letter <i>T</i> preceding the account number. For example, if the account number is <i>5436789</i> , it must be reported on the import file to DRIS as <i>T5436789</i> .  For resources assigned Rochester Gas & Electric or NYS Electric & Gas, do not use the TO Account Number. Instead, use the Point of Distribution ID (POD ID).  When the POD ID assigned by the Transmission Owner is preceded by an <i>R</i> or an <i>N</i> , do not precede the POD ID with the letter <i>T</i> . For example, if the POD ID is <i>R5436789</i> it must be reported on the import file to DRIS as <i>R5436789</i> .  Can only be numbers and the preceding <i>T</i> , or <i>R</i> or <i>N</i> for POD IDs, No other characters may be added to the utility account number including additional letters, dashes, spaces between numbers/letters, or any odd characters.	NO [Note: To change this field, the MP must contact the NYISO Stakeholder Services Department(SSD), and, if approved, the change must be made in DRIS by the NYISO.]	N/A
Meter Authority	D	Text Up to 3 characters	The Transmission Owner or Meter Services Entity that is providing the meter data used for the Top 40 ACL values for the resource being enrolled.  The Meter Authority will be the 3 character abbreviation for the Meter Authority being used for the resource. The list of abbreviated Meter Authority names can be found on the NYISO website: Approved Meter Services  Entities	YES	NO



SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Zone	E	Text 1 character	The letter of the Load Zone where the resource facility is located.	YES	YES
Transmission Owner Abbreviation	F	Text 3 characters	The three-letter abbreviation for the Transmission Owner/District in which the resource facility is located.  • CEC for Con Edison • CHG for Central Hudson • LIP for LIPA • NMP for Niagara Mohawk • NYP for NYPA • NYS for New York State E & G • ORU for Orange & Rockland • RGE for Rochester G & E	YES	YES
Street	G	Text	Street address of the resource facility.	YES	YES
Street2	Н	Text	Second street address, if applicable, of the resource facility.	YES	NO
City	I	Text	City (town, village) in which the resource facility is located.	YES	YES
State	J	Text 2 characters	NY.	NO	N/A
Zip Code	К	Text Up to 10 characters in the following format: 12345-7890	Zip code in which the resource facility is located.  Only the first 5 digits are required; however, when using nine digits, the dash separating the first 5 digits and the last 4 digits is required.	YES	YES
TO Service Voltage ID	L	Numeric 1- or 2-digit number	The Voltage Level ID corresponding to the Transmission Owner voltage service level and description of the resource. (See section 2.2, for instructions on ascertaining Voltage Level IDs via the Transmission Loss Factors table in DRIS.)	YES	NO



SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Generator Type ID	M	Numeric 1-digit number	The Generator Type ID corresponding to the generator type of the resource. (See section 2.3, for instructions on ascertaining Generator Type IDs via DRIS.)  Required when using Response Type G (Generation) or B (Both) for the resource.  When using Response Type C (Curtailment), must be left blank.	YES	YES
Generator Name Plate Rating	N	Numeric Up to 5 digits No decimals	The Generator Name Plate Rating as a numeric value representing the kW rating of the generator.  If using more than one generator, provide the total generator kW.  Required when using Response Type G (Generation) or B (Both).  When using Response Type C (Curtailment), must be left blank.	YES	YES
CBL Method	0	Text 1 character	A single letter representing the CBL Method that will be used to report Energy Payment data for the resource:  • A for Average Day  • W for Weather-sensitive	YES (only upon initial enrollment in a Capability Period)	NO
Compliance Question	P	Text 1 character	When using Response Type G (Generation) or B (Both), specify Y or N in response to the following question:  Does customer comply with all legal and regulatory requirements of the local utility and all federal, state, and local authorities with respect to operation of generation used to reduce load on the NYCA system during an SCR event?  When using Response Type C (Curtailment), must be left blank.	YES	NO



SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Aggregation ID	Q	Numeric	The aggregation ID to which the resource is assigned.	YES	YES
			Required in the import file.	(can be modified	
			For resources <b>new</b> to the MP portfolio, must be an aggregation ID already existing in DRIS for the specific MP.	via the import file <b>ONLY</b> in conjunction with a modification to	
			For <b>existing</b> resources, must match the aggregation ID to which the resource is currently assigned in DRIS.	the Zone of the resource)	
			<b>Note:</b> Aggregation reassignment must be done via the Aggregation Assignment page in DRIS, as outlined under section 10.2.2.		
			<b>Note:</b> The aggregation ID used in DRIS is not the same as that in the SCR Workbook used under the legacy enrollment process prior to DRIS deployment. <b>Do not</b> use the aggregation IDs previously entered in the SCR Workbook or import exceptions will result.		
Response Type	R	Text	A single letter of the response type of the resource:	YES	NO
		Must be C, G, or B	<ul> <li>C for Curtailable Load</li> <li>G for Generation</li> <li>B for Both or for Net-metered generation</li> </ul>		
Subscribed Load	S	Numeric	For resources with Response Type C or B, the	YES	NO
		Up to 6 digits	Curtailment Declared ICAP value in kW/h must be greater than or equal to zero.		
		No decimals	For resources with Response Type G, must be either blank or zero.		
			For resources requesting ACL Data from the NYISO, must be null.		
			The Declared Value of the resource (the combination of Subscribed Load and Subscribed Generation) cannot be greater than the resource Net ACL.		



SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Subscribed Gen	Т	Numeric Up to 6 digits No decimals	For resources with Response Type G or B, the Generation Declared ICAP value in kW/h must be greater than or equal to zero.  For resources with Response Type G or B, the Generation Declared ICAP value in kW/h cannot be greater than the Generator Name Plate Rating.  For resources with Response Type C, must be either blank or zero.  For resources requesting existing ACL Data from the NYISO, must be null.  The Declared Value of the resource (the combination of Subscribed Load and Subscribed Generation) cannot be greater than the resource Net ACL.	YES	NO
Shutdown kW	U	Numeric Up to 7 digits No decimals	For SCR resources with a Change in Status, the Shutdown value in kilowatts must be greater than or equal to zero.  For the first month in which the Change in Status occurs, enter the kilowatt value of the Shutdown and then enter the kilowatt value for each subsequent month in which the Change in Status is in effect.  For the first month in which the Change in Status is no longer in effect, enter a zero as the kilowatt value of the Shutdown.  For resources requesting existing ACL Data from the NYISO, must be null.  For resources with a Calculated ACL value less than 500 kW, must be zero.  The kW value entered must be greater than or equal to 30% of the calculated ACL, unless value supplied is greater than 5,000 kW in Zone J or 10,000 kW in Zones A-I and K.	YES	NO



SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Incremental kW	V	Numeric Up to 7 digits No decimals	For resources requesting existing ACL data from the NYISO, must be null.  For resources requesting to enroll with a Provisional ACL, must be zero.  For resources with a calculated ACL value less than 500 kW, must be zero.  The kW value entered must be greater than or equal to 20% of the Calculated ACL, unless value supplied is greater than 5,000 kW in Zone J or 10,000 kW in Zones A-I and K.	YES	NO
Provisional ACL Question	W	Text Must be Y or N	Y if using Provisional ACL.  N if not using Provisional ACL.  A resource Provisional ACL is allowed if a new SCR resource has not previously been enrolled with the ISO and never had interval billing meter data from the Prior Equivalent Capability Period.  For resources requesting existing ACL data from the NYISO, must be N.	NO	N/A
Request to use existing ACL Data	Х	Text Must be Y or N	Y if requesting to use existing ACL data in DRIS for the resource.  N if providing ACL data in file.  For resources requesting to enroll with a Provisional ACL, must be N.	NO	N/A
Meter Installation Date	Y	Date MM/DD/YYYY	Date on which the resource meter was installed.  Required for all resources enrolling with a Provisional ACL.  Required for all resources enrolling with a request for ACL data.  Must be less than or equal to the system date.	YES	YES (after the first month of enrollment in a Capability Period it will become a Pending Request requiring approval)



SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
ACL kW for Peak Load Date Hour 1 MM/DD/YYYY HH	Z	Numeric Up to 7 digits before decimal and 1 digit after decimal	The kW meter value for the resource for the specified Capability Period SCR Load Zone Peak Hour.  For resources enrolling with a Provisional ACL, RIP must provide a single kW value representing the Provisional ACL for the enrollment period.  For resources enrolling with a request for ACL data, must be null.	YES	YES (only during the Capability Period)
ACL kW for Peak Load Date Hour 2 MM/DD/YYYY HH	AA	Numeric Up to 7 digits before decimal and 1 digit after decimal	The kW meter value for the resource for the specified Capability Period SCR Load Zone Peak Hour.  For resources enrolling with a Provisional ACL, must be null.  For resources enrolling with a request for ACL data, must be null.	YES	YES (only during the Capability Period)
Note: Continue with a The ACL kW column I	•	•	10 Capability Period Load Zone Peak Hours. ".		
ACL kW for Peak Load Date Hour 40 MM/DD/YYYY HH	ВМ	Numeric Up to 7 digits before decimal and 1 digit after decimal	The kW meter value for the resource for the specified Capability Period SCR Load Zone Peak Hour.  For resources enrolling with a Provisional ACL, must be null.  For resources enrolling with a request for ACL data, must be null.	YES	YES (only during the Capability Period)

Note: When enrolling a resource with an Incremental ACL, there are three thresholds which DRIS will validate against, for the value supplied in the resource Incremental kW field. The Incremental kW may be between 20% and 29.99% of the NYISO Calculated ACL if the sum of the Subscribed Load and Subscribed Gen (Declared Value) do not change over the prior equivalent Capability Period. When the Incremental kW value supplied for the resource is between 30% and 100% of the NYISO Calculated ACL, the sum of the values supplied for the Subscribed Load and Subscribed Gen (Declared Value) may change over the prior equivalent Capability Period. The value supplied in the resource Incremental kW field may not exceed 100% of the NYISO Calculated ACL.



Figure 74: Rules Specific to Resource Data in EDRP Enrollment Files

EDRP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Resource ID	A	Numeric	The Resource ID assigned by the NYISO.  If Resource is new to the MP portfolio, leave blank.  Note: For MPs that participated in the EDRP prior to the June 2010 deployment of DRIS, DRIS-generated Resource IDs must be used for EDRP resources.	NO	N/A
Resource Name	В	Text Up to 100 characters	The name of the EDRP resource.	YES	NO
TO Account Num	С	Text Up to 30 characters	The account number assigned by the Transmission Owner.  The account number assigned by the Transmission Owner must be reported into DRIS with the letter <i>T</i> preceding the account number. For example, if the account number is <i>5436789</i> , it must be reported on the import file to DRIS as <i>T5436789</i> .  For resources assigned Rochester Gas & Electric or NYS Electric & Gas do not use the TO Account Number. Instead, use the Point of Distribution ID (POD ID).  When the POD ID assigned by the Transmission Owner is preceded by an <i>R</i> or an <i>N</i> , do not precede the POD ID with the letter <i>T</i> . For example, if the POD ID is <i>R5436789</i> it must be reported on the import file to DRIS as <i>R5436789</i> .  Can only be numbers and the preceding <i>T</i> , or <i>R</i> or <i>N</i> for POD IDs, No other characters may be added to the utility account number including additional letters, dashes, spaces between numbers/letters, or any odd characters are not allowable.	NO (Note: To change this field, the MP must contact the NYISO Stakeholder Services Department(SSD), and, if approved, the change must be made in DRIS by the NYISO.)	N/A
Zone	D	Text 1 character	The letter of the Load Zone where the resource facility is located.	YES	YES



EDRP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Transmission Owner Abbreviation	E	Text 3 characters	The three-letter abbreviation for the Transmission Owner/District in which the resource facility is located.  • CEC for Con Edison • CHG for Central Hudson • LIP for LIPA • NMP for Niagara Mohawk • NYP for NYPA • NYS for New York State E & G • ORU for Orange & Rockland • RGE for Rochester G & E	YES	YES
Street	F	Text	Street address of the resource facility.	YES	YES
Street2	G	Text	Second street address, if applicable, of the resource facility.	YES	NO
City	Н	Text	City (town, village) in which the resource facility is located.	YES	YES
State	I	Text 2 characters	NY.	NO	N/A
Zip Code	J	Text Up to 10 characters in the following format: 12345-7890	Zip code in which the resource facility is located.  Only the first 5 digits are required; however, when using nine digits, the dash separating the first 5 digits and the last 4 digits, is required.	YES	YES



EDRP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Generator Type ID	К	Numeric 1-digit number	The Generator Type ID corresponding to the generator type of the resource. (See section 2.3, for instructions on ascertaining Generator Type IDs via DRIS.)  Note: This field is not currently required for any EDRP resource response type. However, if the value is supplied, the following business rules apply:  • May be entered when using Response Type G (Generation) or B (Both) for the resource.  • When using Response Type C (Curtailment), must be left blank.	YES	NO
Generator Name Plate Rating	L	Numeric Up to 5 digits No decimals	The Generator Name Plate Rating as a numeric value representing the kW rating of the generator.  Note: This field is not currently required for any EDRP resource response type. However, if the value is supplied, the following business rules apply:  If using more than one generator, provide the total generator kW.  May be entered when using Response Type G (Generation) or B (Both) for the resource.  When using Response Type C (Curtailment), must be left blank.	YES	NO
CBL Method	M	Text 1 character	A single letter representing the CBL Method that will be used to report Energy Payment data for the resource:  • A for Average Day • W for Weather-sensitive	YES (Only upon initial enrollment in a Capability Period.)	NO



EDRP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Response Type	N	Text Must be C, G, or B	A single letter of the response type of the resource:  C for Curtailable Load G for Generation B for Both or for Net-metered generation	YES	YES
Subscribed Load	0	Numeric Up to 6 digits No decimals	The Curtailment Declared value in kW/h.  For resources with Response Type C or B, must be greater than or equal to zero.  For resources with Response Type G, must be either blank or zero.	YES	NO
Subscribed Gen	P	Numeric Up to 6 digits No decimals	The Generation Declared value in kW/h.  For resources with Response Type G or B, must be greater than or equal to zero.  For resources with Response Type G or B, when Generator Name Plate Rating has been provided, the Generation Declared ICAP value in kW/h cannot be greater than the Generator Name Plate Rating.  For resources with Response Type C, must be either blank or zero.	YES	NO



Figure 75: Rules Specific to Resource Data in DSASP Enrollment Files

DSASP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Resource ID	A	Numeric	The Resource ID assigned by the NYISO.  If Resource is new to the MP portfolio, leave blank.	NO	N/A
Resource Name	В	Text Up to 100 characters	The name of the DSASP resource.	YES	NO
TO Account Num	С	Text Up to 30 characters	The account number assigned by the Transmission Owner.  The account number assigned by the Transmission Owner must be reported into DRIS with the letter <i>T</i> preceding the account number. For example, if the account number is <i>5436789</i> , it must be reported on the import file to DRIS as <i>T5436789</i> .  For resources assigned Rochester Gas & Electric or NYS Electric & Gas, do not use the TO Account Number. Instead, use the Point of Distribution ID (POD ID).  When the POD ID assigned by the Transmission Owner is preceded by an <i>R</i> or an <i>N</i> , do not precede the POD ID with the letter <i>T</i> . For example, if the POD ID is <i>R5436789</i> it must be reported on the import file to DRIS as <i>R5436789</i> .  Can only be numbers and the preceding <i>T</i> , or <i>R</i> or <i>N</i> for POD IDs, No other characters may be added to the utility account number including additional letters, dashes, spaces between numbers/letters, or any odd characters.	NO [Note: To change this field, the MP must contact the NYISO Stakeholder Services Department (SSD), and, if approved, the change must be made in DRIS by the NYISO.]	N/A



DSASP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Zone	D	Text 1 character	The letter of the LBMP Zone where the resource facility is located.	NO [Note: To change this field, the MP must contact the NYISO Stakeholder Services Department(SSD), and, if approved, the change must be made in DRIS by the NYISO.]	N/A
Transmission Owner Abbreviation	E	Text 3 characters	The three-letter abbreviation for the Transmission Owner/District in which the resource facility is located.  • CEC for Con Edison • CHG for Central Hudson • LIP for LIPA • NMP for Niagara Mohawk • NYP for NYPA • NYS for New York State E & G • ORU for Orange & Rockland • RGE for Rochester G & E	NO [Note: To change this field, the MP must contact the NYISO Stakeholder Services Department (SSD), and, if approved, the change must be made in DRIS by the NYISO.]	N/A
Street	F	Text	Street address of the resource facility.	YES	YES
Street2	G	Text	Second street address, if applicable, of the resource facility.	YES	NO
City	Н	Text	City (town, village) in which the resource facility is located.	YES	YES
State	I	Text 2 characters	NY.	NO	N/A



DSASP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Zip Code	J	Text	Zip code in which the resource facility is located.	YES	YES
		Up to 10 characters in the following format:	Only the first 5 digits are required; however, when using nine digits, the dash separating the first 5 digits and the last 4 digits is required.		
		12345-7890			
Generator Type ID	K	Numeric 1-digit number	The Generator Type ID corresponding to the generator type of the resource. (See section 2.3, for instructions on ascertaining Generator Type IDs via DRIS.)	YES	YES
			Required when using Response Type G (Generation) or B (Both) for the resource.		
			When using Response Type C (Curtailment), must be left blank.		
Generator Name Plate Rating	L	Numeric Up to 5 digits	The Generator Name Plate Rating as a numeric value representing the kW rating of the generator.	YES	YES
		No decimals	If using more than one generator, provide the total generator kW.		
			Required when using Response Type G (Generation) or B (Both).		
			When using Response Type C (Curtailment), must be left blank.		
DSASP Authorization	М	Text 1 character	Specify Y or N in response to the following acknowledgement:	NO	N/A
			Acknowledgement by the program provider that an authorization form or contract exists between the provider organization and the demand-side resource to participate in the DSASP.		
			Only demand-side resources with DSASP Authorizations may participate in the DSASP.		



DSASP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Aggregation ID	N	Numeric	The aggregation ID to which the resource is assigned.	YES	NO
			If resource is new to the MP must be left blank.		
			For <b>existing</b> resources which are to remain in the same aggregation, must match the aggregation ID to which the resource is currently assigned in DRIS.		
			For <b>existing</b> resources changing aggregations, must be left blank and DRIS will assign the resource to the correct aggregation ID based on zone and product type of the resource.		
			<b>Note:</b> Aggregation reassignment must be done via the Import process into DRIS. Only resources without an active Submittal or those that are not part of a Qualified aggregation can change aggregation assignments.		
Aggregation Type	0	Numeric 1-digit number	The Aggregation Type ID corresponding to the resource. (See section 2.7, for instructions on ascertaining Aggregation Type IDs via DRIS.)	YES (Can be modified via the import file <b>ONLY</b> when a	NO
			An Aggregation Type of 1, represents an individual demand-side resource (Response Type B, C or G) participating in the Ancillary Services market, in any one of the three product categories.	Qualified aggregation.)	
			An Aggregation Type of 2 represents a group of Response Type C demand-side resources participating in the Ancillary Services market, in either the Spinning or Spinning & Regulation market product categories.		
			An Aggregation Type of 3 represents a group of demand-side resources (Response Type B, C or G) participating in the Ancillary Services market, in the Non-Synchronous market product category.		
			An Aggregation Type of 4, represents an individual demand-side resource (Response Type B or G) participating in the Ancillary Services market, in the Non-Synchronous market product category.		



DSASP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Response Type	Р	Text Must be C, G, or B	A single letter of the response type of the resource:  • C for Curtailable Load  • G for Generation  • B for Both or for Net-metered generation	YES	YES
Spinning	Q	Text 1 character  Must = Y or N	One of three market products in which a demand-side resource can participate.  All resources within an aggregation must have the same response.  Cannot be Y if another market product is also Y.  Cannot be Y when Aggregation Type ID is 3.	YES (Can be modified via the import file ONLY when a resource does not have an active Submittal or is not part of a Qualified aggregation.)	NO
Spinning & Regulation	R	Text 1 character  Must = Y or N	One of three market products in which a demand-side resource can participate.  All resources within an aggregation must have the same response.  Cannot be Y if another market product is also Y.  Cannot be Y when Aggregation Type ID is 3.	YES (Can be modified via the import file ONLY when a resource does not have an active Submittal or is not part of a Qualified aggregation.)	NO
Non - Sync	S	Text 1 character  Must = Y or N	One of three market products in which a demand-side resource can participate  All resources within an aggregation must have the same response.  Cannot be Y if another market product is also Y.  Cannot be Y when Aggregation Type ID is 2.	YES (Can be modified via the import file ONLY when a resource does not have an active Submittal or is not part of a Qualified aggregation.)	NO



DSASP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Summer - Subscribed Load kW	Т	Numeric Up to 6 digits No decimals	For resources with Response Type C or B, the Curtailment Declared value in kW/h must be greater than or equal to zero.	YES	NO
			For resources with Response Type G, must be either blank or zero.		
Summer - Subscribed Gen kW	U	Numeric Up to 6 digits No decimals	For resources with Response Type G or B, the Generation Declared value in kW/h must be greater than or equal to zero.	YES	NO
			For resources with Response Type C, must be either blank or zero.		
			For resources with Response Type G or B, the Generation Declared value in kW/h cannot be greater than the Generator Name Plate Rating.		
Winter - Subscribed Load kW	V	Numeric Up to 6 digits No decimals	For resources with Response Type C or B, the Curtailment Declared value in kW/h must be greater than or equal to zero.	YES	NO
			For resources with Response Type G, must be either blank or zero.		
Winter - Subscribed Gen kW	W	Numeric Up to 6 digits No decimals	For resources with Response Type G or B, the Generation Declared value in kW/h must be greater than or equal to zero.	YES	NO
			For resources with Response Type C, must be either blank or zero.		
			For resources with Response Type G or B, the Generation Declared value in kW/h cannot be greater than the Generator Name Plate Rating.		



DSASP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Direct	X	Text	The type of communication path used by the demand-	YES	YES
Communication		1 character	side resource to communicate to the NYISO.	(Can be modified via the import file	
			Must be Y when the resource is communicating directly	<b>ONLY</b> when a	n a
			with the NYISO.	resource does not have an	
			Must be N when the resource is communicating through active Submittal or is not part of a		
			the Transmission Owner.	Qualified aggregation)	
			All resources within an aggregation must have the same Direct Communication response.	aggrogation)	



## 7.4. Importing the Resource Enrollment File

After creating a properly structured, formatted, and populated enrollment file, the MP must import the file to DRIS as the next step in the process to enroll resources.

### **Pre-requisites**

- The MP is registered in MIS to participate in the specific DR programs in which it intends to enroll resources.
- The MP organization has one or more contacts assigned as an Admin contact type and one or more contacts assigned as an Event-Responder contact type in DRIS for the specific DR program.
- For SCR program and EDRP enrollment, the DRIS Event Calendar indicates that the Capability Period and month for which the MP intends to enroll resources are open for performing this task (refer to Section 2.1).
- The MP has created a properly structured, formatted, and populated .csv file for the EDRP or the DSASP or .xlsx or .xlsx file for the SCR program, EDRP, and DSASP for upload of resource data to the system, as outlined under Section 7.3.
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").
- Each enrollment file is limited to a maximum of 2,500 resources. To enroll more than 2,500 resources, the MP must upload separate files of no more than 2,500 individual resources. Uploads may be submitted sequentially after the prior file has finished uploading. Only one enrollment file should be uploaded to DRIS at a time.

#### To import a resource enrollment file

1. From the **Main** menu, choose **Imports/Exports**.

The system displays the Imports/Exports page (see Figure 76).



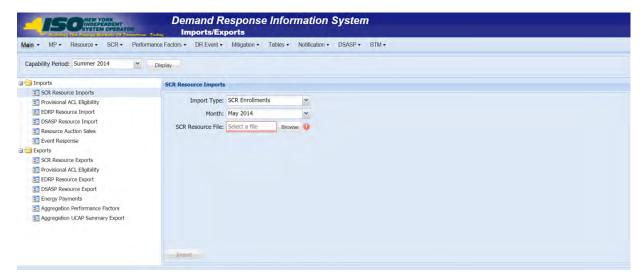
Figure 76: Import/Export Page as Initially Displayed



- 2. From the corresponding filter near the top of the page, for SCR and EDRP choose the **Capability Period** for which resources are being enrolled. For DSASP, choose the current Capability Period.
- 3. Beside the Capability Period filter, click the **Display** button. The system activates the middle frame and populates the lowermost frame with a list of import events for the Capability Period chosen at step 2.
- On the left side of the middle frame and under the **Imports** heading, click either **SCR** 4. Resource Imports, EDRP Resource or DSASP Resource Import, depending on the program into which the resources are being enrolled.
  - The area to the right refreshes to display input components specific to the type of enrollment being performed (see Figure 77).



Figure 77: Import/Export Page Displaying Input Components Specific to SCR Resource **Imports** 



- 5. When importing SCR resources, choose **SCR Enrollments** from the **Import Type** drop-down filter on the right side of the middle frame.
- 6. When importing either SCR resources or EDRP resources, choose the applicable **Month** from the corresponding drop-down filter on the right side of the middle frame.
- 7. On the right side of the middle frame, click the **Browse** button. The system displays a File Upload dialog box.
- 8. Via the File Upload dialog box, navigate to and choose the file containing the data for the resources being enrolled, then click the **Open** button.
  - The File Upload dialog box closes, and the system populates the Resource File field in the right pane of the middle frame with the name of the chosen file.
- 9. Click the **Import** button, located in the lower-left corner of the right side of the middle frame. The system displays a dialog box summarizing the results of the import process (see Figure 78).
- Review the import results and proceed accordingly, as outlined under Section 7.5.



Import Type: SCR\_Resource Record Count: 35 File Name: SCR\_Enrollments\_05-01-2014.xls Records Added: 35 Start Time: 04/01/2014 14:06:08 Records Exception: 0 End Time: 04/01/2014 14:06:08 Records General Alerts: 0 Records Pending: 0 Records Potential 0 Mitigation: Records Payment: 0 Records No Change: 0 Message Field Name Field Value Exception Code

Figure 78: Sample Import Summary Dialog Box for Resource Enrollments

### 7.5. Monitoring and Managing Enrollment Results

Once the MP initiates import of the resource enrollment file, DRIS evaluates the file and displays a Summary dialog box detailing a number of statistics, including the following:

- *Record Count:* The number of resources reported for enrollment, which equates to the number of rows excluding the heading rows in the import file.
- Records Added: The number of enrollments successfully processed and added to the system, including the addition of new resources to DRIS and updates to existing resources in DRIS.
- Records Exception: The number of enrollments for which the system halted processing without importing due to exceptions (i.e., data errors, changes, or omissions).
- Records General Alerts: The number of resources in the enrollment file for which the system has generated an informational alert.
- Records Potential Mitigation: The number of added and/or pending enrollments requiring that additional Offer Floor information for the resource to be reported directly to NYISO Market Mitigation and Analysis for determination of a possible floor price to be used in the NYISO Installed Capacity Auction. These resources are denoted with an *Alert* (For further details, refer to Section 7.5.2.)



- Records Pending: The number of enrollments requiring further intervention. (For further details, refer to Section 7.5.3.)
- Records No Change: The number of enrollments for which data in the import file exactly matched data pre-existing in the system.
- Records for Payment: The number of resource responses to an event or test accepted into DRIS for possible energy payment. (For further details, refer to Section 12.7.2.)

If the displayed dialog box indicates that one or more rows have been designated as pending or as having an alert or exceptions, the MP must take further action to determine the reason(s) for the pending designation and/or the alert or exception(s) and take corrective action in order to proceed with the enrollment of resource(s).

**Note:** If instead of similar information to that illustrated in Figure 78, the *Message* pane in the Summary dialog box displayed by the system indicates that the import failed, no resource data will be imported. In order to proceed with the enrollment process in this case, the MP must rectify the errors in the file header, as outlined in the Exceptions pane of the dialog box, and report the revised file containing data for all resources. Section 7.3, provides guidance on creating a properly structured and formatted enrollment file.

#### 7.5.1. Reviewing and Rectifying Resource Enrollment Exceptions

Whenever the MP attempts to import a resource enrollment file to DRIS, the system generates a report outlining the results of the process. If the data for one or more resources in the enrollment file contain exceptions (i.e., data errors, changes, or omissions) that prevent one or more resources from being imported to the system, the report details each exception on a separate line and identifies for each exception the resource ID or TO account number of the record containing the exception, the specific field containing the exception, the value supplied in the field containing the exception, and a message specifying the nature of the exception (see

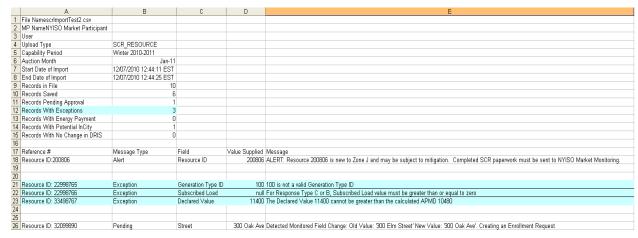
Figure 79). The MP must review the report for purposes of creating and reporting a file containing correct data for the resources in question, along with correct header data, prior to the deadline for enrolling resources in the specific DR program as specified on the DRIS Event Calendar (refer to Section 2.1).

Note: Enrollment deadlines for DR programs specified on the DRIS Event Calendar pertain to the SCR program and the EDRP. Enrollment for DSASP can occur at any point in the calendar year.

Note: The MP may access the import report directly from the Summary dialog box displayed immediately following import by clicking the Excel button in the lower right-hand corner of the dialog box then taking the requisite steps to either open or save the corresponding file.



Figure 79: Sample Results Report for a Resource Enrollment File Import with Exceptions Highlighted



### Pre-requisite

- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").
  - To access the import report and manage related errors

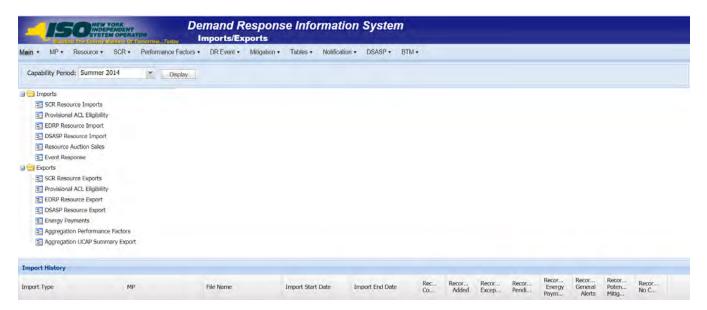
**Note:** If the Summary dialog box displayed after import is open, the import report may instead be accessed by clicking the Excel button in the lower right corner of the dialog box then taking the requisite steps to either open or save the corresponding file.

From the **Main** menu, choose **Imports/Exports**. 1.

The system displays the Imports/Exports page (see Figure 80).



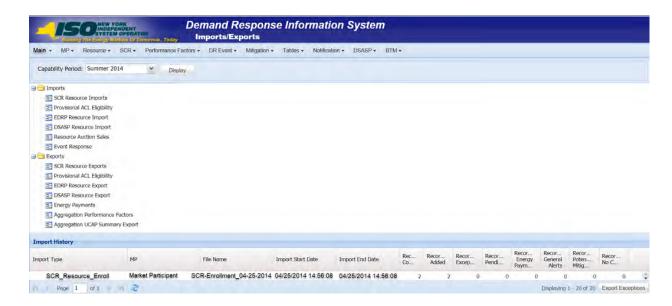
Figure 80: Imports/Exports Page



- 2. From the corresponding filter near the top of the page, choose the Capability Period for the previously reported enrollment file that generated the exception(s).
- Beside the Capability Period filter, click the **Display** button. 3. The Import History frame at the bottom of the page refreshes to display a grid listing each import event for the chosen Capability Period (see Figure 81).



Figure 81: Populated Import History Grid on Imports/Exports Page



- 4. In the **Import History** grid, select the entry for the import event that generated the exception(s).
- 5. In the lower-right corner of page, click the **Export Exceptions** button. The system displays a dialog box via which the import report can be saved or opened.
- 6. Take the requisite steps to either save or open the import report. The report is either saved to the designated location or displayed on screen.
- Review the report, correct all exceptions in the resource enrollment file, then import the 7. updated file to DRIS.

**Note:** The import file containing corrections to exceptions may be re-imported to DRIS with only those resources having updates or with all resources from the original file. If the latter approach is taken, and any new resources were successfully enrolled in DRIS during the original import, the updated file must contain the Resource IDs newly generated by DRIS for those resources prior to re-importing the corrected file.

#### 7.5.2. Reviewing and Acting on Resource Enrollment Alerts

When the MP attempts to import a resource enrollment file to DRIS, the system generates a report outlining the results of the process. One or more resources in the enrollment file may require that further information be reported or additional action be taken, or that the MP be made aware of specific circumstances. These resources will receive the message type of Alert on the Enrollment Exception report.



Separate lines are provided for each Resource ID or TO Account Number of the record receiving the alert with a message specifying the nature of the alert (see Figure 82). Below are potential Alert messages returned by the system based on the program to which the resource is being enrolled.

### Potential **Alert** messages for all programs:

Truncating Exception List to first 200

"Resource ID xxx received one or more Exceptions not listed on this report."

The Enrollment Exception report automatically truncates the message type of Exception at 200 records. The first 200 records signify the number of actual Exception messages rather than the number of resources which receive an Exception. A resource may receive one or more Exceptions and each of these increments to the total of 200 Exceptions. For resources which the system identifies as having errors after the initial 200, DRIS will assign the following Alert message: "Resource ID received one or more Exceptions not listed on this report."

To successfully view Exceptions past the first 200 identified by the system, the MP must correct the listed Enrollment Exceptions and re-import the file. Once imported, the new Enrollment Exceptions report will display **Exceptions** which were originally truncated.

### Potential **Alert** messages for all programs:

Resource ID xxx has been assigned to resource with TO Account Number xxx

"When a resource is new to the MP organization but not new to DRIS, the system returns an Alert message providing the Resource ID."

### Potential **Alert** message for the SCR program only:

Resource ID xxx is new to Zone I and may be subject to mitigation. Completed SCR paperwork must be sent to NYISO Market Monitoring

The additional information for the SCR resource must be reported directly to NYISO Market Mitigation and Analysis by the deadline stated on the DRIS Event Calendar (refer to Section 2.1). These resources may have otherwise been successfully processed and added into DRIS or may have been earmarked for review by the NYISO in regard to other SCR enrollment data.

# Potential **Alert** message for the DSASP only:

Resource ID is enrolled in a NYISO demand response reliability program with another Market **Participant** 



When a DSASP Demand Side Resource is first imported into DRIS and the resource is also enrolled in a Reliability Program (SCR or EDRP), with a different Market Participant, DRIS notifies the MP.

The MP must review the report for purposes of identifying the alerted resources and report the additional Offer Floor information to NYISO Market Mitigation and Analysis or handle the listed Exceptions and re-import the Enrollment file. The Alert message of a Resource ID or of a resource which has an enrollment in both DSASP and a Reliability Program does not require action and is provided solely for informational purposes.

**Note:** The MP may access the import report directly from the Summary dialog box displayed immediately following import by clicking the Excel button in the lower right-hand corner of the dialog box, then taking the requisite steps to either open or save the corresponding file.

1 File NamescrlmportTest2.csv 2 MP NameNYISO Market Participant 3 User 4 Upload Type SCR\_RESOURCE 5 Capability Period 6 Auction Month Winter 2010-2011 Jan-11 12/07/2010 12:44:11 EST Start Date of Import End Date of Import 12/07/2010 12:44:25 EST Records in File 10 Records Saved Records Pending Approval Records With Exceptions Records With Energy Payment 14 Records With Potential InCit: 15 Records With No Change in DRIS Reference # Field Value Supplied Message Message Type Resource ID:200806 Resource ID 200606 ALERT: Resource 200606 is new to Zone J and may be subject to mitigation. Completed SCR paperwork must be sent to NYISO Market Monitoring. Resnurce ID: 22998765 Exception Generation Type ID 100 100 is not a valid Generation Type ID. null For Response Type C or B, Subscribed Load value must be greater than or equal to zero Resource ID: 22998766 Exception Subscribed Load 23 Resource ID: 33498767 Declared Value 11400 The Declared Value 11400 cannot be greater than the calculated APMD 10480 Exception 26 Resource ID: 32099890 Pending 300 Oak Ave Detected Monitored Field Change: Old Value; 300 Elm Street' New Value; 300 Oak Ave', Creating an Enrollment Request Street

Figure 82: Sample Results Report for a Resource Enrollment File Import with Alerts Highlighted

#### Pre-requisite

The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

# To access the import report and manage related errors

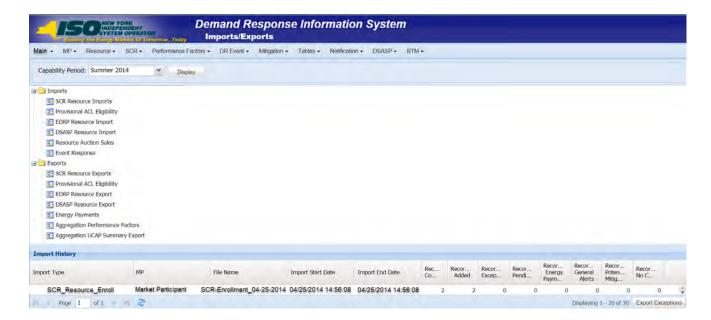
**Note:** If the Summary dialog box displayed after import is open, the import report may instead be accessed by clicking the Excel button in the lower right corner of the dialog box then taking the requisite steps to either open or save the corresponding file.

1. From the **Main** menu, choose **Imports/Exports**.

The system displays the Imports/Exports page (see Figure 83).



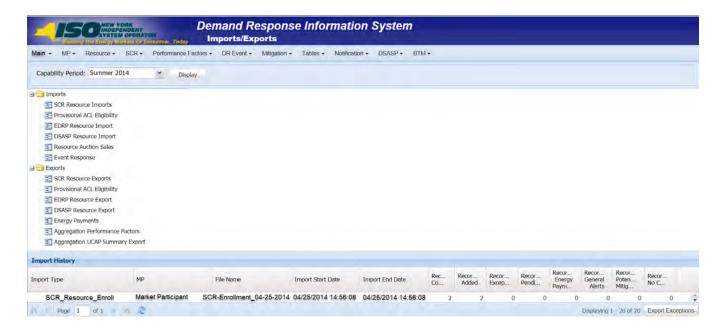
Figure 83: Imports/Exports Page



- 2. From the corresponding filter near the top of the page, choose the **Capability Period** for the previously reported enrollment file that generated the exception(s).
- Beside the Capability Period filter, click the **Display** button. 3.
  - The Import History frame at the bottom of the page refreshes to display a grid listing each import event for the chosen Capability Period (see Figure 84).



Figure 84: Populated Import History Grid on Imports/Exports Page



- 4. In the **Import History** grid, select the entry for the import event that generated the exception(s).
- 5. In the lower-right corner of page, click the **Export Exceptions** button. The system displays a dialog box via which the import report can be saved or opened.
- 6. Take the requisite steps to either save or open the import report. The report is either saved to the designated location or displayed on screen.
- 7. Review the report and report the necessary additional Offer Floor information to NYISO Market Mitigation and Analysis or handle the listed Exceptions and import again.

# 7.5.3. Monitoring Resource Enrollment Requests

**Note:** Resource enrollments receiving a *Pending* enrollment request designation, may be viewed on the import results report. This report is a result of the assignment of a *Pending* designation at the time of the enrollment import and is not subsequently updated when a *Pending* enrollment request is either Approved, Denied, or Canceled within the DRIS application.

Under certain circumstances, the data for one or more resources in an enrollment file may meet all requirements for import to DRIS but may not result in automatic enrollment of the resource(s) in question. This may happen for either or both of the following reasons:



Duplicate Enrollment –The resource is already enrolled in either the same program or a mutually exclusive program in the same Capability Period with a different MP.

Note: When there is an attempt to enroll an SCR or EDRP resource that is already enrolled in the same Capability Period and month with another MP in either the same or a mutually exclusive program, DRIS assigns a *Pending* request status to both the incoming enrollment request and the existing enrollment of that resource. Duplicate enrollment conditions are addressed through a manual process that includes contact with both MPs affected by the duplicate enrollment. When this occurs, the resource cannot participate with any MP until the matter it is resolved. Accordingly, it is advisable for MPs to monitor pending requests on a regular basis subsequent to enrolling resources.

Note: A duplicate enrollment occurs for DSASP when an MP attempts to enroll a resource that is already enrolled in DSASP with another MP. DRIS will assign a Pending request status to both the incoming enrollment request and the existing enrollment of that resource Duplicate enrollment conditions are addressed through a manual process that includes contact with both MPs affected by the duplicate enrollment. When this occurs, the resource cannot participate with the MP causing the duplicate enrollment situation but may continue to participate with the original MP, until the matter is resolved. Accordingly, it is advisable for MPs to monitor pending requests on a regular basis subsequent to enrolling resources.

Monitored Fields –One or more data values that pre-exist for the resource in DRIS due to current or previous enrollment and that DRIS monitors for change across enrollments has changed in the most recently provided enrollment file. (Figure 85 and Figure 86 outlines the fields DRIS monitors for changes and their applicability by DR program.)

**Note:** Even seemingly minor differences between pre-existing and newly provided data, such as extraneous spaces between words and inconsistent capitalization or punctuation, are considered changes to monitored field data.

If a change is made to a monitored field, the enrollment request status is Pending until the NYISO reviews the monitored field and approves or denies the enrollment request. The MP may also cancel a pending enrollment request for monitored fields, as outlined under Section 7.5.3.1.

Request for ACL Data –The RIP which is enrolling the resource has requested to use pre-existing metered load data contained in DRIS to calculate an ACL. The window for the MP to accept a request for ACL data falls after the close of enrollment and before the close of aggregation management task (refer to Section 2.1). Section 7.5.3.2 outlines the process for handling a resource enrollment request for ACL data.

**Note:** RIPs may only enroll a resource with a Request for ACL Data when there is sufficient preexisting metered load data to calculate an ACL for the Capability Period.

Prior to enrollment with a Request for ACL Data, the RIP will be afforded the opportunity to check the eligibility of a resource to enroll with either a Provisional ACL or a Request for ACL Data through the Provisional ACL Eligibility Import. The enrolling RIP may check on this eligibility at any time during the enrollment period for the Auction Month selected, section 7.1 outlines the process for importing the Provisional ACL Eligibility file.

Each occurrence, other than a Request for ACL Data, of the above scenarios results in a resource enrollment request earmarked for review by the NYISO. The affected SCR or EDRP resource(s) cannot



participate until action is taken on the enrollment request. The DSASP resource may continue participating until action is taken on the enrollment request. Once action is taken on the enrollment request, the DSASP resource may continue participating, may be separated from the MP portfolio, or may require additional action by the MP. The system tracks all enrollment requests for MP review and follow-up, as necessary.

Figure 85: Reliability Program Fields Monitored by DRIS for **Changes** 

Fields Monitored for both SCR and EDRP Enrollments			
Zone			
Transmission Owner			
Transmission Owner Account Number			
Resource Facility Street			
Resource City			
Resource Zip Code			
Response Type*			
Fields Monitored Only for SCR Enrollments			
Generator Type ID			
Generator Name Plate Rating			
ACL kW for Peak Load Date Hour 1 *			
through			
ACL kW for Peak Load Date Hour 40 *			
TO Service Voltage ID			
Calculated ACL kW (ACL kW value calculated by DRIS from the Top 40 ACL kW Peak Load values imported on			

Figure 86: Economic Program Fields Monitored by DRIS for **Changes** 

Fields Monitored for DSASP Enrollments
Resource Facility Street
Resource City
Resource Zip Code
Generator Type ID
Generator Name Plate Rating
Response Type
Direct Communication



# Pre-requisites

- The MP previously imported to DRIS a resource enrollment file that resulted in one or more resource enrollment requests.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

#### To monitor resource enrollment requests

From the **Main** menu, choose **Dashboard**. 1.

> The system opens the Dashboard page, where the uppermost, side-by-side panes display the number of enrollment requests by status category in the following order by request type, SCR EDRP, Documentation Vault, DSASP and total DSASP Qualified MWs. (see Figure 87).

Note: Status categories displayed for SCR, EDRP and DSASP Enrollment requests are:

OPending (for requests earmarked for and awaiting NYISO review),

OMP Action Required (for requests to use existing ACL data by the RIP, for the resource, where no other pending requests exist),

OApproved (for previously pending requests that have been reviewed and accepted by the NYISO),

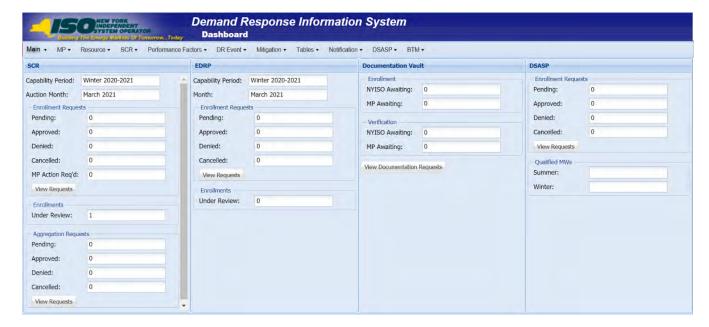
ODenied (for previously pending requests that have been reviewed and rejected by the NYISO),

ODuplicate (the resource is already enrolled in either the same program or a mutually exclusive program in the same Capability Period with a different MP),

OCanceled (for previously pending requests that have been canceled by the MP that attempted the enrollment). The numbers displayed for each category are dynamic such that they change to reflect the outcome of request processing as the process unfolds. SCR and EDRP requests are displayed for the Current Capability Period and month while DSASP requests are displayed for a rolling 30-day period.



Figure 87: Dashboard Illustrating Enrollment Requests by Category and DSASP Qualified MWs



Note: The Qualified MWs displayed represent the DSASP Provider's total seasonal MW participation of active DSASP Resource(s) in the Demand-Side Ancillary Services Market.

- 2. For Documentation Vault, click the View Documentation Requests button. The system displays the Documentation vault page (see figure 116).
- 3. For SCR, EDRP, and DSASP programs click the **View Requests** button in the upper most panes.

The system displays the Resource Enrollment Requests page.

Note: The Resource Enrollment Requests page also may be accessed via the Resource menu and Enrollment Requests option.

- For the SCR program and EDRP, from the corresponding filter near the top of the page 4. Resource Enrollment Requests page, choose the Capability Period encompassing the enrollment requests to be viewed.
- 5. Optionally, further limit the scope of the resource enrollment requests to be viewed to a specific Resource, Month, Program, Reason for Request (All, Monitored Field, Duplicate Enrollment, Request for ACL Data) **Submittal From Date**, and/or **Status** (i.e., **Pending**) by choosing the applicable option(s) from the corresponding search filter(s) near the top of the page (see Figure 88).



#### 6. Click the **Display** button.

The Enrollment Requests Summary frame refreshes to display a grid of resource enrollment requests meeting the criteria selected at steps 4 and 5, where whether the request resulted due to a Duplicate Enrollment, a change in Monitored Fields and/or a Request to Use **Existing ACL Data, is** indicated by a *checkbox* in the corresponding columns (see Figure 88).

Figure 88: Resource Enrollment Requests Page Showing One Request



Note: The column "Doc Vault Status" on the DRIS Resource Enrollment Request page also identifies documentation requests. This is where an MP can view whether a resource enrollment request requires any action from the MP or the NYISO.

7. Proceed as applicable based on the reason(s) for the displayed request(s).

> If the request was created due to a change in monitored fields, click the row housing the request. The Resource Request Details frame in the lowermost area of the page refreshes to display a grid with two rows, where the upper row reflects complete data for the preexisting resource enrollment (the status of which for SCR or EDRP is now set to *Under* Review), and the lower row from the Zone column over toward the right reflects only the monitored data that differs from the pre-existing data and, therefore, resulted in the request (see Figure 89). In addition, the Reason for Pending Request column details the fields monitored for change, displaying the current value and the value requested for change.



Note: The data displayed in the Resource Request Details frame can be downloaded in Excel format. To do so, click the Excel button in the lower-right corner of the Resource Enrollment Requests page, then via the displayed dialog box, take the requisite steps to either open or save the file.

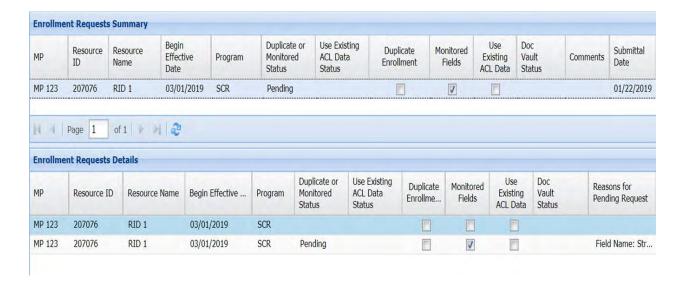
### OR

• If the request was created due to a duplicate enrollment condition, whether occurring alone or in combination with a change in monitored fields or request for ACL data, proceed directly to step 8.

### OR

• If the request was created due to a request for ACL data enrollment condition, whether occurring alone or in combination with a change in monitored fields or duplicate enrollment, proceed directly to step 9.

Figure 89: Resource Enrollment Requests Page Showing Changes to Monitored Fields



- Proceed as applicable, based on the reason(s) for the displayed request(s). 8.
  - If the request was created due to a change in monitored fields, review the details of the request as displayed in the Resource Request Details frame and the Reason for Pending **Request** column to determine whether to cancel the request (see Section 7.5.3.1) or await action by the NYISO.

OR



- If the request was created due to a duplicate enrollment condition, whether occurring alone or in combination with a change in monitored fields, await action by the NYISO.
- 9. Proceed as applicable, based on the reason(s) for the displayed request(s).
  - If the request was created due to a change in monitored fields, review the details of the request as displayed in the Resource Request Details frame and the Reason for Pending **Request** column to determine whether to cancel the request (see Section 7.5.3.1) or await action by the NYISO.

OR

- If the request was created due to a request for ACL data condition, whether occurring alone or in combination with a change in monitored fields or duplicate enrollment, await action by the NYISO and the close of the enrollment period. Section 7.5.3.2 details the steps for viewing, approving and declining a resource enrollment request for ACL data.
- 10. Optionally, download the Enrollment Request Summary data by clicking the drop-down arrow beside the Display button near the top of the Resource Enrollment Requests page and choosing **Download**, then via the displayed dialog box taking the requisite steps to either save or open the resulting file.

A file containing Enrollment Request Summary data for all enrollments matching the criteria specified at steps 4 and 5 is either saved to the designated location on the user's computer or displayed on screen.

**Note:** If the file is saved, it is named according to the convention *Resource Enrollment* Request [download date in mm-dd-yyyy format].csv, where bracketed content is replaced with actual values to result in a file name such as Resource Enrollment\_Request\_05-19-2010.csv.

# 7.5.3.1. Canceling Pending Resource Enrollment Requests

The MP has the option of canceling an individual resource enrollment request designated as pending due to a change in monitored fields or a request for ACL data, as long as that same request was not also identified by DRIS as a duplicate enrollment attempt. The action of cancelling an enrollment request also cancels the associated open documentation requests.

The MP may also cancel "all" resource enrollment requests designated as pending due to a change in monitored fields or a request for ACL data, as long as those same requests were not also identified by DRIS as duplicate enrollment attempts. "All" resource enrollment requests are those resource enrollment requests appearing on the first page returned in the Enrollment Request Summary pane based on user-



designated search parameters. Any search parameters that return resource enrollment requests exceeding the space available in a single the grid will be broken across separate pages, as reflected in the bottom status bar. Under such circumstances, canceling all requests must be done on a per page basis.

When a pending request is canceled, the system retains all information related to the request for subsequent review but nullifies the enrollment attempt, thereby leaving active the most recently approved enrollment of the resource, provided the resource does have an approved enrollment. For SCR and EDRP, when an enrollment for the Capability Period does not exist, the resource remains un-enrolled for the Capability Period until the MP attempts another import for resource enrollment.

Note: Depending on the reason for cancelling a pending resource enrollment request, the MP may be required to take additional action. For example, if the MP unintentionally changed monitored data for a previously enrolled SCR or EDRP resource and needs to either change non-monitored data for the resource or re-enroll the resource for a new Capability Period, the MP must correct the monitored data in the enrollment file and import the updated file to DRIS. This file must contain data for the resource(s) that generated the resource enrollment request(s) due to monitored fields along with the required header data and for SCR and EDRP must be imported prior to the applicable enrollment deadline, as specified on the DRIS Event Calendar (refer to Section 2.1).

# Pre-requisites

- The MP previously imported to DRIS a resource enrollment file that resulted in one or more pending resource enrollment requests.
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

#### To cancel an individual pending resource enrollment request

**Note:** If the Resource Enrollment Requests page has already been opened and the pending resource enrollment request to be canceled located, skip to step 6.

From the **Main** menu, choose **Dashboard**. 1.

> The system opens the Dashboard page, where the uppermost, side-by-side panes display the number enrollment requests by status category, with the left pane devoted to SCR requests, the middle pane devoted to EDRP requests and the right most pane devoted to DSASP requests and total DSASP Qualified MWs (refer to Figure 87).



Note: The status categories displayed for SCR, EDRP and DSASP requests are Pending (for requests earmarked for and awaiting NYISO review), Approved (for previously pending requests for monitored fields or duplicate enrollments that have been reviewed and accepted by the NYISO and requests for ACL data that have been accepted by the MP), Denied (for previously pending requests that have been reviewed and rejected by the NYISO). Canceled (for previously pending requests that have been canceled by the MP) or Awaiting MP Action (for requests earmarked for and awaiting MP review for ACL data requests). The numbers displayed for each category are dynamic such that they update to reflect the outcome of request processing as the process unfolds. SCR and EDRP requests are displayed for the Current Capability Period and month while DSASP requests are displayed for a rolling 30-day period.

2. In the uppermost pane corresponding to the DR program in which the MP attempted the resource enrollment that generated the pending request(s) to be canceled, click the **View** Requests button.

The system displays the Resource Enrollment Requests page (refer to Figure 88).

Note: The Resource Enrollment Requests page also may be accessed via the Resource menu and Enrollment Requests option.

- 3. For the SCR program and EDRP, from the corresponding search filter near the top of the page, choose the **Capability Period** encompassing the pending resource enrollment request(s) to be canceled.
- Optionally, further limit the scope of resource enrollment requests to view: 4.
  - To view requests for only a specific Resource, Month, Submittal From Date, Program, Reason for Request (i.e., Monitored Fields) and/or Status (i.e., Pending), choose the applicable option(s) from the corresponding search filter(s) near the top of the page (refer to Figure 88), then proceed to step 5.

OR

- To view all requests for the chosen Capability Period, proceed directly to step 5.
- 5. Click the **Display** button.

The Enrollment Requests Summary frame refreshes to display a grid of resource enrollment requests meeting the criteria selected at steps 3 and 4, where whether the request resulted due to a **Duplicate Enrollment**, a change in **Monitored Fields** and/or a request to **Use Existing ACL Data (Request for ACL Data)** is indicated by a checkbox in the corresponding columns.



- 6. In the Enrollment Requests Summary frame, click the entry for the enrollment request that was designated as pending due to a change in a monitored field or a request for ACL data and is now to be canceled.
- In the Enrollment Request Details frame, click the entry for the enrollment request that was 7. designated as pending (as reflected in the Status column) due to a change in a monitored field or a request for ACL data and is now to be canceled.
- In lower-right corner of the Resource Enrollment Requests page, click the Cancel button (see 8. Figure 90).

The system changes the status of the request from *Pending* to *Canceled*, as reflected in the Status column in both the Enrollment Requests Summary frame and the Resource Request Details frame, while also increasing the number of Canceled enrollment requests and decreasing the number of *Pending* enrollment requests by 1 on Dashboard.

Figure 90: Resource Enrollment Request Page Highlighting Cancel Button





To cancel all pending resource enrollment requests



**Note:** If the Resource Enrollment Requests page has already been opened and the pending resource enrollment requests to be canceled located, skip to step6.

1. From the **Main** menu, choose **Dashboard**.

> The system opens the Dashboard page, where the uppermost, side-by-side panes display the number enrollment requests by status category, with the left pane devoted to SCR requests, the middle pane devoted to EDRP requests and the right most pane devoted to DSASP requests and total DSASP Qualified MWs.(refer to Figure 87).

**Note:** The status categories displayed for, SCR, EDRP and DSASP requests are *Pending* (for requests earmarked for and awaiting NYISO review), Approved (for previously pending requests for monitored fields or duplicate enrollments that have been reviewed and accepted by the NYISO and requests for ACL data that have been accepted by the MP), Denied (for previously pending requests that have been reviewed and rejected by the NYISO), Canceled (for previously pending requests that have been canceled by the MP) or Awaiting MP Action (for requests earmarked for and awaiting MP review for ACL data requests). The numbers displayed for each category are dynamic such that they update to reflect the outcome of request processing as the process unfolds. SCR and EDRP requests are displayed for the Current Capability Period and month while DSASP requests are displayed for a rolling 30-day period

2. In the uppermost pane corresponding to the DR program in which the MP attempted the resource enrollment that generated the pending request(s) to be canceled, click the **View Requests** button.

The system displays the Resource Enrollment Requests page (refer to Figure 88).

Note: The Resource Enrollment Requests page also may be accessed via the Resource menu and Enrollment Requests option.

- 3. When electing the option to Cancel All, choose the Capability Period, Month, and Program, from the search filter near the top of the page, encompassing the pending resource enrollment request(s) to be canceled.
- Optionally, further limit the scope of resource enrollment requests: 4.
  - To view requests for only a specific Resource, Reason for Request (i.e., Monitored **Fields**) and/or **Status** (i.e., **Pending**), choose the applicable option(s) from the corresponding search filter(s) near the top of the page (refer to Figure 88), then proceed to step 5.

OR

• To view all requests for the chosen Capability Period, proceed directly to step 5.



5. Click the **Display** button.

> The Enrollment Requests Summary frame refreshes to display a grid of resource enrollment requests meeting the criteria selected at steps 3 and 4, where whether the request resulted due to a Duplicate Enrollment a change in Monitored Fields and/or a request to Use Existing ACL Data (Request for ACL Data) is indicated by a checkbox in the corresponding columns (see Figure 91).

6. In the lower-right of the status bar beneath the Enrollment Requests Summary frame, click the Cancel All button (see Figure 91).

The system displays a confirmation prompt via the user must indicate whether to complete the Cancel All action (see Figure 92).



Figure 91: Resource Enrollment Request Page Displaying the Option to Cancel All

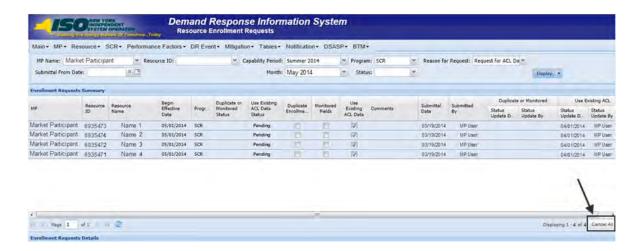
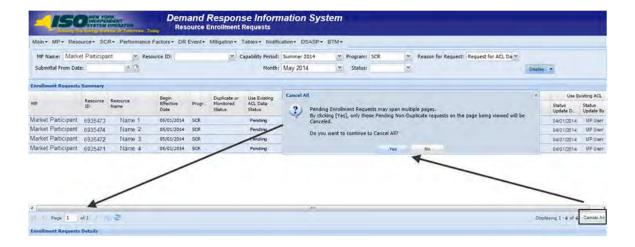


Figure 92: Confirmation Prompt Displayed When Electing to Cancel All



#### 7. Choose **Yes** in the confirmation prompt.

The system changes the status of the *Pending* requests from *Pending* to *Canceled*, as reflected in the Status column in the Enrollment Requests Summary frame, while also increasing the number of Canceled enrollment requests and decreasing the number of Pending enrollment requests by corresponding numbers on the Dashboard.

Note: When electing to Cancel All Enrollment requests the system will only cancel those enrollment requests with a Pending Request Status and those which are not also associated with a Duplicate Enrollment Condition



# 7.5.3.2. Processing ACL Data Requests

The MP has the option of approving or declining a request for ACL data enrollment request designated as pending during the period between the close of enrollment and the close of aggregation management, as long as that same request was not also identified by DRIS as a change to a monitored field or a duplicate enrollment attempt which has yet to be acted upon by the NYISO.

The MP request for ACL data will remain in a status of **Pending** until such time that all other enrollment requests have been satisfied, associated with the resource. When the ACL data request for the resource is the sole **Pending** request remaining for the resource and the enrollment period has closed but the aggregation management window has yet to close, the MP will have the ability to both view and take action on the enrollment request.

When a pending enrollment request to request ACL data becomes available to the MP to take action on, the status of **MP** Action Required will be assigned to the resource enrollment request. The resource request for ACL data enrollment request will remain in this status until the close of aggregation management, at which point it will be assigned a status of **Declined** or **Denied**, based upon the MP's ability to have viewed the resource information.

**Note:** When the period for the MP to take action on an enrollment request for ACL data has expired. DRIS will automatically assign a status of either **Declined** or **Denied** to the resource. The resource enrollment request will be assigned a status of **Declined** at this point, should the MP view and choose to take no action on the enrollment request for ACL data. The resource enrollment request will be assigned a status of **Denied** at this point, should the MP not view or not be given the opportunity to view the resource enrollment request for ACL data.

Note: When there are outstanding combinations of a resource enrollment request for ACL data and Monitored Fields or Duplicate enrollment, the MP will not have the opportunity to view the request for ACL data until all other pending enrollment requests associated with that resource, have been approved.

Note: Depending on the outcome of the situation where the resource has a combination of both a resource enrollment request for a duplicate enrollment and a request for ACL data, the MP may not have the ability to approve or decline the resource enrollment request for ACL data.

### **Pre-requisites**

- The MP previously imported to DRIS a resource enrollment file that resulted in one or more pending resource enrollment requests for a request for ACL data.
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").
  - To view a pending resource enrollment request for ACL data



**Note:** If the Resource Enrollment Requests page has already been opened and the pending resource enrollment request for ACL data located, skip to step 6.

1. From the **Main** menu, choose **Dashboard**.

> The system opens the Dashboard page, where the uppermost, side-by-side panes display the number enrollment requests by status category, with the left pane devoted to SCR requests, the middle pane devoted to EDRP requests and the right most pane devoted to DSASP requests and total DSASP Qualified MWs (refer to Figure 87).

**Note:** The status categories displayed for SCR, EDRP and DSASP reguests are *Pending* (for requests earmarked for and awaiting NYISO review), Approved (for previously pending requests for monitored fields or duplicate enrollments that have been reviewed and accepted by the NYISO and requests for ACL data that have been accepted by the MP), Denied (for previously pending requests that have been reviewed and rejected by the NYISO), Canceled (for previously pending requests that have been canceled by the MP) or Awaiting MP Action (for requests earmarked for and awaiting MP review for ACL data requests). The numbers displayed for each category are dynamic such that they update to reflect the outcome of request processing as the process unfolds. SCR and EDRP requests are displayed for the Current Capability Period and month while DSASP requests are displayed for a rolling 30-day period.

2. In the uppermost pane corresponding to the SCR program, click the **View Requests** button. The system displays the Resource Enrollment Requests page (refer to Figure 88).

Note: The Resource Enrollment Requests page also may be accessed via the Resource menu and Enrollment Requests option.

- For the SCR program, from the corresponding search filter near the top of the page, choose 3. the **Capability Period** encompassing the pending resource enrollment request(s) to be viewed.
- 4. Further limit the scope of resource enrollment requests to view only requests for ACL data:
  - To view enrollment requests for only requests for ACL data, choose the search filter criteria specific to the enrollment type, Month; month of enrollment request, Program; SCR, Reason for Request; Request for ACL Data and Status; Pending from the corresponding search filter(s) near the top of the page (refer to Figure 93), then proceed to step 5.

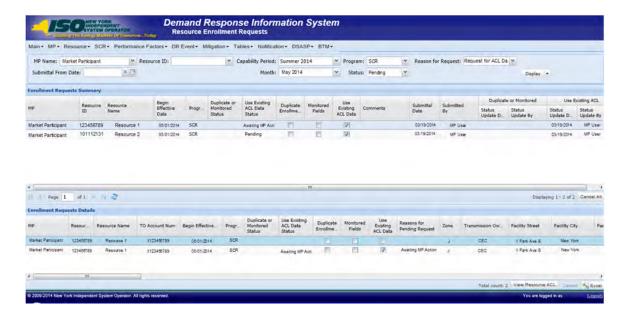
OR

5. Click the **Display** button.



The Enrollment Requests Summary frame refreshes to display a grid of resource enrollment requests meeting the criteria selected at steps 3 and 4, where whether the request resulted due to a **Duplicate Enrollment or a** change in **Monitored Fields** and a request to **Use** Existing ACL Data (Request for ACL Data) is indicated by a checkbox in the corresponding columns.

Figure 93: Searching for Resource Enrollment Requests for ACL Data



- In the Enrollment Requests Summary frame, click the entry for the enrollment request that was designated as pending due to a request for ACL data and now has a status of Awaiting MP Action, in the Use Existing ACL Data field column.
- 7. In the Enrollment Request Details frame, click the entry for the enrollment request that was designated as Awaiting MP Action (as reflected in the *Use Existing ACL Data Status* column) due to a request for ACL data and is now to be viewed.
- 8. In the lower-right corner of the Resource Enrollment Requests page, click the **View Resource ACL** button (see Figure 94).
- 9. The system prompts the user with the View Resource ACL window (see Figure 95).



Figure 94: View Resource Enrollment Request for ACL Data Button







Figure 95: Enrollment Request for ACL Data View Resource ACL Summary Window



- To approve or decline pending resource enrollment requests for ACL data
- 1. From the **Resource Enrollment Requests** screen, select a resource enrollment request pending for a request for ACL data with a status of Awaiting MP Action; choose View Resource ACL in the Enrollment Requests Details section.

The system opens the View Resource ACL window, where the uppermost fields display the un-editable values for the resource, with the lowermost fields display the fields which the user may edit, labeled Enrolled Values, based on the response type of the resource. (refer to Figure 96).



Figure 96: Enrollment Request for ACL Data View Resource ACL Summary Window EditableFields



**Note:** The categories displayed for the resource selected to view for a request for ACL data will fall into one of three categories. The first of the categories of values which are displayed for the resource are provided for informational purposes and may not be edited, regardless of response type. The resource fields which fall into this category are the resource MP Name, Resource ID, TO Account Number, Resource Name, Calculated ACL, Zone, Response Type and Gen Rating. The second of the categories of values which are displayed for the resource are provided for the user to enter enrollment values before accepting or declining the resource. These fields are editable based on the Response Type of the resource and they may be one of the following; the resource Subscribed Load kW, Subscribed Gen kW, Incremental kW and the Shutdown kW. The final of the three categories is the Net ACL, which DRIS will update based on the Calculated ACL and the fields which the user has chosen to edit (see Figure 97).

2. In the lowermost section corresponding to the resource editable fields for which the MP may update based on response type, click each editable field and update with values, as applicable. The system updates the resource Net ACL (refer to Figure 97).

Note: The optionally editable fields on the View Resource ACL window will be editable based on resource Response Type. Fields which may not be edited based on resource Response Type will be locked and grayed out.



Figure 97: Enrollment Request for ACL Data View Resource ACL Summary Window Updated Net ACL



3. When electing the option to approve or decline the resource enrollment request for ACL data, the user will be prompted with a confirmation box, following the selection of one of these two options (see Figure 98).

When the user chooses to approve the resource, the system will validate and process the resource edited fields, based on response type (see Figure 99).

Note: The option of choosing to approve the resource enrollment request for ACL data and confirming the approval will enroll the resource, for the auction month which it was imported for.

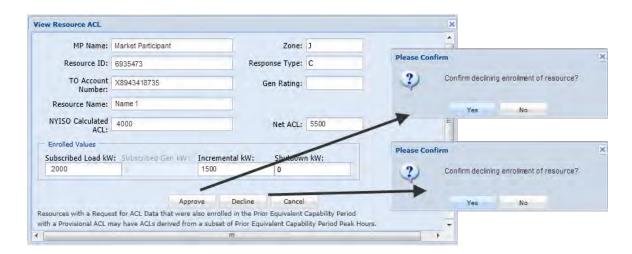
Note: The option of choosing to decline the resource enrollment request for ACL data will remove the pending status Awaiting MP Action from the enrollment request. Once the user has confirmed this decision, the user will be prevented from taking any further action on the resource enrollment request for ACL data.

Note: The user will also be provided with the option to choose to cancel the option of either approving or declining the enrollment request for ACL data. When the user elects to choose cancel, the system will return to the Resource Requests Summary screen and make no updates.

4. When the user has confirmed the decision to approve or decline the resource enrollment request for ACL data, system will save the decision and update the resource enrollment and return the user to the Resource Requests Summary screen.



Figure 98: Enrollment Request for ACL Data View Resource ACL Summary Window Confirm Approve or **Decline** 



Note: Once the MP has chosen to view the NYISO calculated ACL and/or has chosen to Decline the resource enrollment based on the NYISO calculated ACL, the MP will be prevented from re-enrolling the resource with metered load data for the remainder of the Capability Period. In this instance, should the MP take no action, DRIS will automatically Decline the resource enrollment request at the close of Aggregation Management.

Note: The MP may choose to not view the NYISO Calculated ACL for a resource enrollment request for ACL data. When the MP does not view the NYISO Calculated ACL, they may re-enroll the resource with metered load data in subsequent remaining months of the Capability Period. In this instance, should the MP take no action, DRIS will automatically Deny the resource enrollment request at the close of Aggregation

Figure 99: Rules Specific to Resource Enrollment Requests for ACL Data

View Resource Request for ACL Data Fields	Field Format	Description and Rule(s)	Modifiable?
Subscribed Load	Numeric Up to 6 digits No decimals	For resources with Response Type C or B, the Curtailment Declared ICAP value in kW/h must be greater than or equal to zero.  For resources with Response Type G, field will be locked.  The Declared Value of the resource (the combination of Subscribed Load and Subscribed Generation) cannot be greater than the resource Net ACL.	YES



View Resource Request for ACL Data Fields	Field Format	Description and Rule(s)	Modifiable?
Subscribed Gen	Numeric Up to 6 digits No decimals	For resources with Response Type G or B, the Generation Declared ICAP value in kW/h must be greater than or equal to zero.  For resources with Response Type G or B, the Generation Declared ICAP value in kW/h cannot be greater than the Generator Name Plate Rating.  For resources with Response Type C, the field will be locked.  The Declared Value of the resource (the combination of Subscribed Load and Subscribed Generation) cannot be greater than the resource Net ACL.	YES
Shutdown kW	Numeric Up to 7 digits No decimals	For SCR resources with a Change in Status, the Shutdown value in kilowatts must be greater than or equal to zero.  For the first month in which the Change in Status occurs, enter the kilowatt value of the Shutdown and then enter the kilowatt value for each subsequent month in which the Change in Status is in effect, on the import file.  For resources with a Calculated ACL value less than 500 kW, must be zero.  The kW value entered must be greater than or equal to 30% of the Calculated ACL, unless value supplied is greater than 5,000 kW in Zone J or 10,000 kW in Zones A-I and K.	YES
Incremental kW	Numeric Up to 7 digits No decimals	For resources with a Calculated ACL value less than 500 kW, must be zero.  The kW value entered must be greater than or equal to 20% of the Calculated ACL, unless value supplied is greater than 5,000 kW in Zone J or 10,000 kW in Zones A-I and K.	YES

Note: When enrolling a resource with an Incremental ACL, there are three thresholds which DRIS will validate against, for the value supplied in the resource Incremental kW field. The Incremental kW may be between 20% and 29.99% of the NYISO Calculated ACL if the sum of the Subscribed Load and Subscribed Gen (Declared Value) do not change over the prior equivalent Capability Period. When the Incremental kW value supplied for the resource is between 30% and 100% of the NYISO Calculated ACL, the sum of the values supplied for the Subscribed Load and Subscribed Gen (Declared Value) may change over the prior equivalent Capability Period. The value supplied in the resource Incremental kW field may not exceed 100% of the NYISO Calculated ACL.



# 8. Maintaining Resource Enrollments

Once the MP has successfully enrolled resources, the enrollments can be monitored by various parameters and at varying levels of detail. In addition, MPs can update their resource portfolios by adding new resources or changing data for existing resources or separating resources (subject to Event Calendar deadlines for the SCR program and the EDRP). Finally, DRIS provides for downloading resource enrollment data in the file format required for reporting to the system as a basis for creating updated enrollment files.

# 8.1. Viewing Resource Enrollments

Resource enrollments can be viewed at varying levels of detail in DRIS. In ascending order of detail, the MP can view resource enrollments by:

- Capability Period,
- month, or
- monthly details.

### 8.1.1. Viewing Resource Enrollments by Capability Period

Viewing resource enrollments by Capability Period provides the MP with a snapshot of resources enrolled in a specific Capability Period. This view also serves as the only system window into resource peak monthly demand (PMD) data or resource Average Coincident Load (ACL) data for enrolled SCR resources which are not enrolled with either a Provisional ACL or an Incremental ACL (although these data are included in resource enrollment files downloaded from the system, as outlined under Section 8.5). Additional enrollment period information for resources enrolled with a Provisional ACL or an Incremental ACL may be found in Section 10.6.5 for Provisional ACL enrollments and Section 10.7.5 for Incremental ACL enrollments.

When viewing resource enrollments by Capability Period, the MP must, at a minimum, specify a Capability Period or resource.

The MP can further narrow the data the system displays by either or both of the following additional parameters:

- Program
- Zone
- Second Test Required



Regardless of viewing scope, the system initially displays the following data for each resource enrollment:

- Resource ID
- Resource name
- Capability Period for the SCR program and EDRP
- Zone
- Sub-load pocket for the SCR program and EDRP
- Enrollment Approval dates by program type for the SCR program, EDRP and DSASP
- Enrollment dates by program type

Optionally, the MP can view additional data for currently displayed resource enrollments, by program type. Beginning with the Summer 2011 Capability Period, SCR program data will include Average Coincident Load (ACL) details for the resource as a result of the program change from the Average Peak Monthly Demand (APMD) baseline methodology to the ACL baseline methodology. For the Summer 2011 Capability Period, the PMD kW fields will display the ACL kW values and the calculated APMD field will display the resource ACL reported on the SCR resource enrollment file \*. SCR resource APMD data will continue to be viewable to the MP for Capability Periods prior to Summer 2011.

Note: \* The Average Coincident Load (ACL) is effective for the Summer 2011 Capability Period forward. ACL data reported for an SCR resource on the Summer 2011 Capability Period enrollment, is viewable in the PMD kW value fields and as the calculated APMD value.

SCR

- TO account number
- TO abbreviation
- Small customer aggregation indicator
- CBL (customer baseline load) method
- APMD (average peak monthly demand) value
- APMD provisional status
- Compliance status
- PMD (peak monthly demand) dates
- PMD hours
- PMD kW values

**EDRP** 

- TO account number
- TO abbreviation
- CBL method

**DSASP** 

- TO account number
- TO abbreviation



- ACL (Average Coincident Load) value
- **ACL Provisional status**
- **ACL Using Existing Data Status**
- Date/Hour of the SCR Load Zone Peak Hour
- MP Reported ACL kW for the date/hour
- TO add-back kW for the date/hour (see Note: 1 as identified below)
- Reporting TO for the TO addback for the date/hour
- DADRP Add-back kW for the date/hour (see Note: 1 as identified below)
- DSASP Baseline kW for the date/hour (see Note: 1 as identified below)
- Total kW for the date/hour
- Used in ACL calculation status
- **Calculation Base**
- Calculated ACL kW

Note: 1 - Corrections may be made to the TO and DADRP add-back kW values or the DSASP Baseline kW value of a resource during the calendar event for enrolling resources or during the calendar event for reporting Provisional ACL verification data, respectively. The MP must contact the TO directly to have the TO make the necessary corrections to resource TO add-back kW values. Contact information for each TO reporting add-back kW values will be made available each Capability Period at https://www.nyiso.com/installed-capacity-market (in the Forms folder). The MP must contact the NYISO directly to have the NYISO make any necessary corrections to the resource DADRP addback kW values or the DSASP Baseline kW values. For corrections to DADRP or DSASP values. contact Stakeholder Services at 518-356-6060. For additional views of resource TO and DADRP addback kW values or the DSASP Baseline kW value of a resource, see Section 10.1.

Note: 2 - A resource which is enrolled using a Provisional ACL will not use any applicable TO addback, DADRP add-back or DSASP baseline kW values in the final determination of the resource ACL for the selected Capability Period. A resource which is enrolled with a Provisional ACL will use only the Provisional ACL kW value imported on the enrollment import file as the ACL of the resource for the selected Capability Period.

### Pre-requisites

- The MP has previously enrolled resources.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".



#### To view resource enrollments by Capability Period

- 1. From the **Resource** menu, choose **Capability Period Enrollments**. The system displays the Resource Capability Period Enrollments page.
- From the corresponding search filter(s) in the uppermost frame on the Resource Capability 2. Period Enrollments page (see Figure 100), choose the **Capability Period** and/or the **Resource ID** for which the system should display enrollments.

Figure 100: Resource Capability Period Enrollments Page Search Filters



- 3. Optionally, further limit the scope of resource enrollments to be displayed by the system to only a specific **Program, Zone and/or Second Test Required** by choosing the applicable option(s) from the corresponding search filter(s) near the top of the page.
- 4. Near the top of the Resource Capability Period Enrollments page, click the **Display** button. The system populates the Capability Period Enrollments grid below the search filters with an entry for each resource enrollment meeting the criteria chosen at steps 2 and 3 (see Figure 101).

Note: The value in the SCR or EDRP Approval Date column reflects the date that the corresponding resource initially enrolled, when no monitored field request existed from the enrollment import, or the date the resource Pending request was approved; for the specified Capability Period. The value in the SCR or EDRP Enrollment Date column reflects the date that the corresponding resource began enrollment for the specified Capability Period. The value in the DSASP Enrollment Date column reflects the date that the corresponding resource initially enrolled, when no monitored field request existed from the enrollment import, or the date the resource Pending request was approved.

**Tip:** If the number of enrollments exceeds the space available in the grid, the program breaks the data set across separate pages, as reflected on the left side of the status bar. To navigate among multiple pages of resource enrollments, click the applicable button to either move forward one page ( ), move back one page ( ), move to the beginning of the data set ( !...), or move to the end of the data set ( 11).

To refresh the Capability Period Enrollments grid so that it displays up-to-date information, click the element button in the grid status bar.

Figure 101: Resource Capability Period Enrollments Page Populated with Data



5. Optionally, view further details for a specific resource enrollment by clicking the corresponding row in the Capability Period Enrollments grid.

The system expands a two-pane frame at the bottom of the page, where additional enrollment data in the form of Resource Details are displayed on the left and Program Capability Details are displayed on the right (see

# Figure 102).

Tip: To collapse the details frame, click the downward pointing arrow (N) in the middle of the top border.

Tip: The system page for viewing monthly enrollment data related to the resource currently selected in the Capability Period Enrollments grid can be accessed by clicking the Monthly **Enrollment** button in the status bar beneath the grid, then when the system opens the Resource Monthly Enrollments page, clicking the **Display** button near the top of the page.

6. Optionally, download the Capability Period data by clicking the drop-down arrow beside the **Display** button near the top of the Resource Capability Period Enrollments page and choosing **Download**, then via the displayed dialog box taking the requisite steps to either save or open the resulting file.

A file containing Capability Period data for all enrollments matching the criteria specified at steps 2 and 3 is either saved to the designated location on the user's computer or displayed on screen.

**Note:** If the file is saved, it is named according to the convention Capability Period Enrollments [download date in mm-dd-yyyy format].csv, where bracketed content is replaced with actual values to result in a file name such as Capability\_Period\_Enrollments\_05-19-2010.csv.



Figure 102: Resource Details Displayed from Capability Period Enrollments Grid on Resource Capability **Period Enrollments Page** 

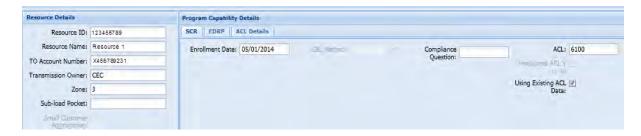
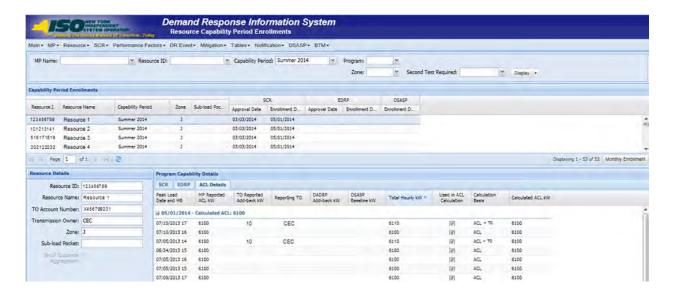


Figure 103: ACL Details Tab Illustrating ACL kW and TO Add-back kW



**Note:** A resource which is enrolled using a Provisional ACL will not use any applicable TO add-back, DADRP add-back or DSASP baseline kW values in the final determination of the resource ACL for the selected Capability Period. A resource which is enrolled with a Provisional ACL will use only the Provisional ACL kW value imported on the enrollment import file as the ACL of the resource for the selected Capability Period.

# 8.1.2. Viewing SCR or EDRP Resource Enrollments by Month

In viewing SCR and EDRP resource enrollments by month, the MP can see the beginning and ending dates of enrollment, as well as enrollment status, zone, response type, subscribed load and generation, and, for SCR enrollments, aggregation assignment. This view also serves as the access point for initiating separation of a resource from the MP's portfolio (as outlined in Section 8.3).



When viewing resource enrollments by month, the MP must, at a minimum, specify a Capability Period or resource.

Note: Because a resource may have been enrolled in a previous Capability Period, and a resource enrollment may be updated after initial enrollment in a Capability Period, the system may display more than one entry per resource, depending on the search criteria defined by the MP.

The MP can further narrow the data the system displays by any or all of the following additional parameters:

- Month
- Program
- Zone
- Aggregation (for SCR enrollments only)
- Status

Regardless of viewing scope, the system displays the following data for each resource enrollment, by program type:

### SCR

- Resource ID
- Resource name
- **Enrollment status**
- Zone
- Sub-load pocket
- Beginning and ending effective dates
- Program type
- Response type
- Subscribed load value
- Subscribed generation value
- Aggregation ID

### **Pre-requisites**

- The MP has previously enrolled resources.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".
  - To view resource enrollment data by month
  - 1. From the **Resource** menu, choose **Monthly Enrollment**s.

The system displays the Resource Monthly Enrollments page.

# **EDRP**

- Resource ID
- Resource name
- **Enrollment status**
- Zone
- Sub-load pocket
- Beginning and ending effective dates
- Program type
- Response type
- Subscribed load value
- Subscribed generation value



2. From the corresponding search filter(s) in the uppermost frame on the Resource Monthly Enrollments page (see Figure 104), choose the Capability Period and/or the Resource ID for which the system should display enrollments.

Figure 104: Resource Monthly Enrollments Page Search Filters



- 3. Optionally, further limit the scope of resource enrollments to be displayed by the system to only a specific **Month**, **Program**, **Zone**, **Aggregation** (for SCR only), and/or enrollment **Status** by choosing the applicable option(s) from the corresponding search filter(s) near the top of the page.
- 4. Near the top of the Resource Monthly Enrollments page, click the **Display** button. The system populates the Monthly Enrollments grid below the search filters with those resource enrollments meeting the criteria chosen at steps 2 and 3 (see Figure 105).

Note: Because a resource may have been enrolled in a previous Capability Period, and a resource enrollment may be updated after initial enrollment in a Capability Period, the system may display more than one entry per resource, depending on the defined search criteria (see Figure 105). Entries in the Monthly Enrollments grid are displayed in descending order based on effective date, with the values in the Begin Effective Date and End Effective Date columns indicating the time span of each enrollment.

To refresh the Monthly Enrollments grid so that it displays the most up-to-date information, click the displayment button in the grid status bar.

Tip: If the number of enrollments exceeds the space available in the grid, the program breaks the data set across separate pages, as reflected in the lower left of the status bar. To navigate among multiple pages of resource enrollments, click the applicable icons to either move forward one page ( ), move back one page ( ), move to the beginning of the data set ( !!! ), or move to the end of the data set ( ). To see data displayed beyond the current viewing area, use the horizontal and/or vertical scroll bars.

Tip: Note that the system pages for viewing either Capability Period data or monthly details data for the resource currently selected in the Monthly Enrollments grid can be directly accessed from the grid by clicking either the Capability Period Enrollment button or the Enrollment Details button, respectively, in the status bar beneath the grid, then when the system opens the applicable page, clicking the **Display** button near the top of the page.

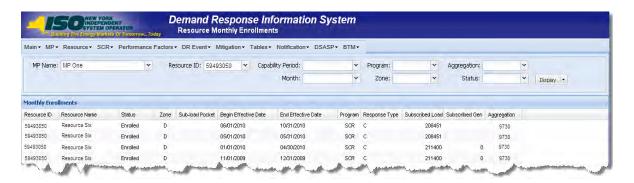


5. Optionally, download the monthly data by clicking the drop-down arrow beside the **Display** button near the top of the Resource Monthly Enrollments page and choosing **Download**, then via the displayed dialog box, taking the requisite steps to either save or open the resulting file.

A file containing monthly enrollment data for all enrollments matching the criteria specified at steps 2 and 3 is either saved to the designated location or displayed on screen.

Note: If the file is saved, it is named according to the convention Monthly Details [download date in mm-dd-yyyy format].csv, where bracketed content is replaced with actual values to result in a file name such as Monthly Details 05-19-2010.csv.

Figure 105: Resource Monthly Enrollments Page Illustrating Multiple Entries for a Single Resource



# 8.1.3. Viewing SCR and EDRP Resource Enrollments by Monthly Details

In viewing SCR and EDRP resource enrollments by monthly details, the MP can see comprehensive resource data — including, for SCR enrollments, UCAP and ICAP values — across a Capability Period broken down by each month that the resource was enrolled within the Capability Period.

When viewing resource enrollments by monthly details, the MP must, at a minimum, specify a Capability Period or resource.

The MP can further narrow the data the system displays by any or all of the following additional parameters:

- T<sub>0</sub>
- Month
- **Program**
- Zone
- Aggregation ID (SCR enrollments only)
- Status



# Meter Authority

Regardless of viewing scope, the system displays data for each resource enrollment, by program type. Beginning with the Summer 2011 Capability Period, SCR program data will include Average Coincident Load (ACL) details for the resource as a result of the program change from the Average Peak Monthly Demand (APMD) baseline methodology to the ACL baseline methodology. SCR resource APMD data will continue to be viewable to the MP for Capability Periods prior to Summer 2011.

### **SCR**

- Resource ID
- Resource name
- TO account number
- Meter Authority
- Month
- Beginning and ending effective dates
- **Enrollment status**
- Program type
- Floor price
- Subscribed load value
- Subscribed generation value
- Raw Performance Factor
- Performance factor
- Aggregation ID
- ICAP value
- Adjusted ICAP value
- Transmission loss factor
- Declared value
- Provisional ACL status (Summer 2011 and greater)
- Use Existing ACL Data status (Summer 2014 and greater)
- APMD (prior to Summer 2011)
- ACL (Summer 2011 and greater)
- Shutdown kW
- Incremental kW
- Net APMD (prior to Summer 2011)
- Net ACL (Summer 2011 and greater)
- Contract Minimum Demand (CMD)

#### **EDRP**

- Resource ID
- Resource name
- TO account number
- Meter Authority\*
- Month
- Beginning and ending effective dates
- **Enrollment status**
- Program type
- Subscribed load value
- Subscribed generation value
- Response type
- Generator type
- Generator rating
- TO
- Zone
- Sub-load pocket
- Facility address



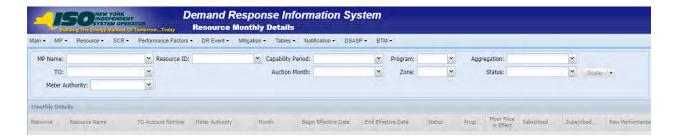
SCR **EDRP** 

- Response type
- Generator type
- Generator rating
- TO
- TO and voltage level
- Strike price
- Zone
- Sub-load pocket
- Meter Installation Date
- Facility address
- \* For EDRP Resources, the Meter Authority column will appear blank as the Meter Authority field is not part of the EDRP Resource enrollment

# Pre-requisites

- The MP has previously enrolled resources.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".
  - To view resource enrollment data by monthly details
  - 1. From the **Resource** menu, choose **Monthly Details**.
    - The system displays the Resource Monthly Details page.
  - 2. From the corresponding search filter(s) in the uppermost frame on the Resource Monthly Details page (see Figure 106), choose the **Capability Period** and/or the **Resource ID** for which the system should display enrollments.

Figure 106: Resource Monthly Details Page Search Filters



3. Optionally, further limit the scope of resource enrollments to be displayed by the system to only a specific Month, Program, Zone, Aggregation (for SCR only), enrollment Status,



and/or **Meter Authority**, by choosing the applicable option(s) from the search filter(s) near the top of the page.

4. Near the top of the Resource Monthly Details page, click the **Display** button.

The system populates the Monthly Details grid below the search filters with data for those resource enrollments meeting the criteria chosen at steps 2 and 3 (see Figure 107).

Note: The system may display more than one entry per resource, depending on the defined criteria. Entries in the Monthly Details grid are displayed in descending order based on the months within the specified Capability Period, with the values in the Begin Effective Date and End Effective Date columns indicating the time span of each enrollment.

To refresh the Monthly Details grid so that it displays up-to-date information, click the 🍣 button in the grid status bar.

Tip: If the number of enrollments exceeds the space available in the grid, the program breaks the data set across separate pages, as reflected in the lower left of the status bar. To navigate among multiple pages of resource enrollments, click the applicable icons to either move forward one page( ), move back one page ( ), move to the beginning of the data set (!!), or move to the end of the data set ( 🛂 ). To see data displayed beyond the current viewing area, use the horizontal and/or vertical scroll bars.

Tip: Note that the system page for viewing Capability Period data related to the resource currently selected in the Monthly Details grid can be accessed by clicking the Capability Period **Enrollment** button in the status bar beneath the grid.

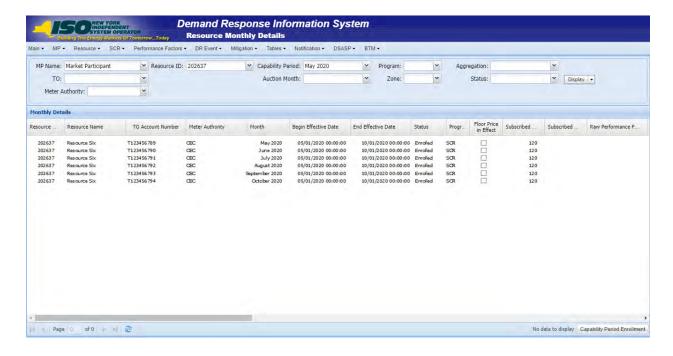
Optionally, download the monthly detail data by clicking the drop-down arrow beside the 5. **Display** button near the top of the Resource Monthly Details page and choosing **Download**, then via the displayed dialog box taking the requisite steps to either save or open the resulting file.

A file containing monthly details data for all enrollments matching the criteria specified at steps 2 and 3 is either saved to the designated location or displayed on screen.

**Note:** If the file is saved, it is named according to the convention Monthly Enrollment Details [download date in mm-dd-yyyy format].csv, where bracketed content is replaced with actual values to result in a file name such as Monthly Enrollment Details 05-19-2010.csv.



Figure 107: Resource Enrollment Monthly Details Page Illustrating Multiple Entries for a Single Resource



### 8.1.4. Viewing DSASP Resource Enrollment Details

In viewing DSASP Demand-Side Resource enrollment details, the MP can see comprehensive resource data — including, all data associated with the DSASP Demand-Side Resource for each new record created for each enrollment status of the resource. The initial default view of the enrollment details page provides the option to view only the "Active Record" for each resource. The "Active Record" of a resource is the current enrollment record with no End Effective Date. Additionally, the MP User may view DSASP resource enrollments within a specified time-frame.

When viewing resource DSASP enrollment details the MP must, at a minimum, specify a status type or resource.

The MP can further narrow the data the system displays by any or all of the following additional parameters:

- Resource ID
- Resource Name
- TO Account Number
- Zone
- Aggregation
- Status
- Gen PTID
- From Date



To Date

Regardless of viewing scope, the system displays data for each resource enrollment, by Resource ID descending and then by Begin Effective Date, ascending.

### **DSASP**

- Resource ID
- Resource name
- TO account number
- Status
- Begin Effective Date
- End Effective Date
- Aggregation ID
- Gen PTID
- Response Type
- Product Type
- Aggregation Type
- Summer Subscribed Load (kW)
- Summer Subscribed Gen (kW)
- Summer Rating (kW)
- Winter Subscribed Load (kW)
- Winter Rating (kW)
- **Direct Communication**
- DSASP Authorization
- Zone
- Sub-load Pocket
- Gen Type
- Gen Rating
- T0
- Facility Street 1
- Facility Street 2
- City
- State
- Zip

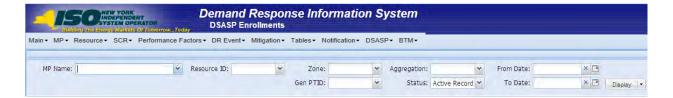
### Pre-requisites

- The MP has previously enrolled resources.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".
  - To view resource enrollment data for DSASP Enrollment details



- 1. From the **DSASP** menu, choose **Enrollment Details**.
  - The system displays the DSASP Enrollment Details page.
- 2. From the corresponding search filter(s) in the uppermost frame on the DSASP Enrollment Details page (see Figure 108) choose the **Status** and/or the **Resource ID** for which the system should display enrollments.

Figure 108: DSASP Enrollment Details Page Search Filters



- Optionally, further limit the scope of resource enrollments to be displayed by the system to 1. only a specific Resource Name, TO Account Number, Zone, Aggregation, Gen PTID and/or From/To Dates, by choosing the applicable option(s) from the search filter(s) near the top of the page.
- 2. Near the top of the DSASP Enrollment Details page, click the **Display** button.

The system populates the Enrollment Details grid below the search filters with data for those resource enrollments meeting the criteria chosen at steps 2 and 3 (see Figure 108).

**Note:** The system may display more than one entry per resource, depending on the defined criteria. Entries in the DSASP Enrollment Details grid are displayed in descending order based on the Resource ID and Status Type, with the values in the Begin Effective Date and End Effective Date columns indicating the time span of each enrollment.

To refresh the DSASP Enrollment Details grid so that it displays up-to-date information, click the distance button in the grid status bar.

Tip: If the number of enrollments exceeds the space available in the grid, the program breaks the data set across separate pages, as reflected in the lower left of the status bar. To navigate among multiple pages of resource enrollments, click the applicable icons to either move forward one page ( ), move back one page ( ), move to the beginning of the data set ( ), or move to the end of the data set ( ). To see data displayed beyond the current viewing area, use the horizontal and/or vertical scroll bars.

3. Optionally, download the resource detail data by clicking the drop-down arrow beside the Display button near the top of the DSASP Enrollment Details page and choosing Download,

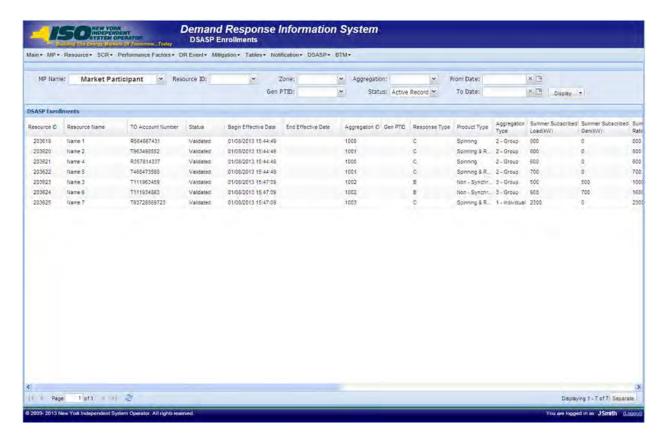


then via the displayed dialog box taking the requisite steps to either save or open the resulting file.

A file containing enrollment details data for all enrollments matching the criteria specified at steps 2 and 3 is either saved to the designated location or displayed on screen.

**Note:** If the file is saved, it is named according to the convention DSASP Resource Enrollments [download date in mm-dd-yyyy format].csv, where bracketed content is replaced with actual values to result in a file name such as DSASP Resource Enrollments 04-01-2013.csv.

Figure 109: DSASP Resource Enrollment Details Page Illustrating Multiple Entries



# 8.2. Updating Resource Enrollments during a Capability Period

In updating resource enrollments, MPs can add new resources or change data for existing resources. In relation to the SCR program, these tasks can be done only within the prescribed time frame. This limited period occurs during the month preceding the effective auction month as specified on the DRIS Event Calendar (refer to Section 2.1). For EDRP, these tasks are also limited to a prescribed time frame, which occurs during the month preceding the effective month as specified on the DRIS Event Calendar. For



DSASP, these tasks are not limited to a prescribed time-frame and may occur at any point during the calendar year.

To update resources, the MP must create a properly structured and formatted file containing all data for each resource being added or changed, as well as required header data.

**Note:** The MP may export a file populated with resource enrollment data as a model for creating an import file. For details, refer to Section 8.5.

After creating the file to update resource enrollments, the MP must follow the same processes for importing the file to DRIS and monitoring the results, as outlined under Section 7.4 and Section 7.5, respectively.

# 8.3. Separating a Resource from a Portfolio

When an MP no longer represents a resource, DRIS provides the means to programmatically remove the resource from the MP's portfolio of resources by separating the resource.

### Pre-requisites

- The MP has previously enrolled the resource.
- For the SCR program and the EDRP, the DRIS Event Calendar indicates that the resource enrollment period is open (refer to Section 2.1).
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

#### To separate an SCR or EDRP resource from a portfolio

- 1. From the **Resource** menu, choose **Monthly Enrollments**.
  - The system displays the Resource Monthly Enrollments page.
- 2. From the corresponding search filters in the uppermost frame on the Resource Monthly Enrollments page, choose the **Resource ID** for the resource to be separated from the MP's portfolio and the Capability Period and Month in which the MP wants the separation to begin (refer to Figure 104).
- 3. Near the top of the page, activate the **Display** button.



The system populates the Monthly Enrollments grid below the filters with the resource enrollments meeting the criteria chosen at step 2.

4. In the Monthly Enrollments grid, click the row housing the entry for the resource to be separated.

Note: The Begin Effective Date of the resource may be the first of the month for the current enrollment month or any past month within the Capability Period. When the Begin Effective Date is not equal to the enrollment month for which the separation will begin, a new record will be created for the resource with a Begin Effective Date for the first of the month when the separation will begin, and the resource status will be marked as Separated. When the Begin Effective Date is equal to the enrollment month for which the separation will begin, the Enrolled status of the resource will be changed to Separated on the existing record.

5. On the right side of the status bar just beneath the Monthly Enrollments grid, click the **Separate** button (see Figure 110).

The Monthly Enrollments grid refreshes to reflect either a status change on the existing enrollment from *Enrolled* to *Separated* or a new entry for the resource with a status of *Separated*, and the resource is separated from the MP's portfolio.

Note: Once separated, a resource cannot participate unless and until it is re-enrolled via import file, as outlined under Section 8.4.



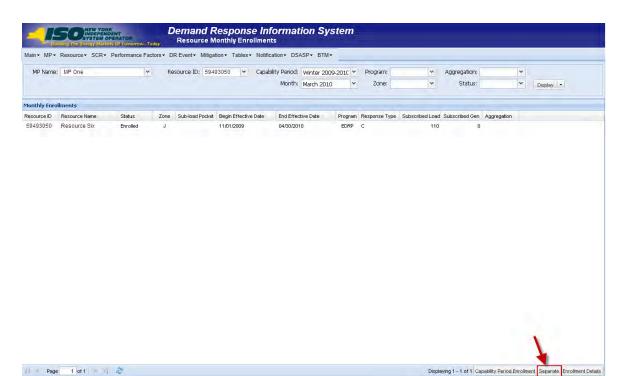


Figure 110: Resource Monthly Enrollment Page Highlight Separate Button

# To separate a DSASP Demand-Side Resource from a portfolio

1. From the **DSASP** menu, choose **Enrollment Details** 

The system displays the DSASP Enrollment Details page.

- 2. From the corresponding search filters in the uppermost frame on the DSASP Enrollment Details page, choose the **Resource ID** for the resource to be separated from the MP's portfolio and the Status of Active Record for which the MP wants to separate (refer to Figure 110).
- Near the top of the page, activate the **Display** button. 3. The system populates the Enrollment Details grid below the filters with the resource enrollments meeting the criteria chosen at step 2.
- In the Enrollment Details grid, click the row housing the entry for the resource to be 4. separated.



Note: Only records with a status of Validated and no End Effective Date, where no other Status types exist with no End Effective Date may be separated. Should a record exist for the Resource with a Status of Submitted or Qualified with no End Effective Date, those records must be end dated before the separation can occur. This would be by either Canceling the Submittal or Removing the Resource from the active aggregation, respectively. When a separation occurs, a new record will be created with a Separated status and no End Effective date and the Validated record for the resource will be End Dated.

5. On the right side of the status bar just beneath the Enrollment Details grid, click the **Separate** button (see Figure 111).

The Enrollment Details grid refreshes to reflect the new entry for the resource with a status of Separated and no End Effective Date and the Validated record will be End Dated.

Note: Once separated, a resource cannot participate unless and until it is re-enrolled via import file, as outlined under Section 8.4.

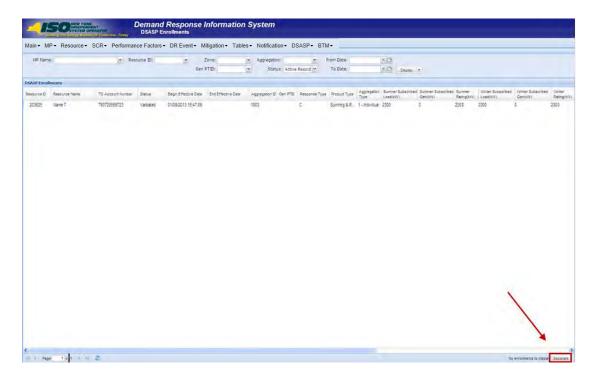


Figure 111: DSASP Enrollment Details Page Highlight Separate

### 8.4. Re-enrolling Resources

For the SCR and EDRP programs, any resources that an MP wants to use, even if enrolled in a prior Capability Period, must be re-enrolled for each Capability Period by the deadline specified on the DRIS Event Calendar (refer to Section 2.1). For the DSASP, resources will remain enrolled, regardless of timeframe, unless that resource is either separated from the MP portfolio by the MP or the NYISO. Re-



enrollment is accomplished via file import to DRIS of all data for all resources that the MP wants to enroll, according to the same process as outlined under Section 7.

Note: For re-enrollment, the MP may export a properly formatted and structured file populated with resource enrollment data currently in DRIS to create a new file containing updated resource data. For details, refer to Section 8.5.

### 8.5. Downloading a Resource Enrollment File

Pre-existing resource enrollment data in the file format required for reporting to the system can be downloaded from DRIS by the MP. The MP can then use this file to create a properly structured and formatted file containing updated resource data for subsequent reporting to DRIS, including to correct exceptions (i.e., data errors, changes, or omissions) found in previous enrollment files; update resource enrollments; or re-enroll resources.

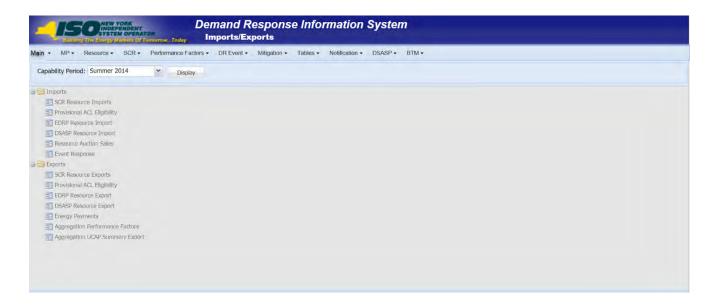
### Pre-requisites

- Data for the MP's resources already exist in the system.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").
  - To download a resource enrollment file
  - 1. From the **Main** menu, choose **Imports/Exports**.

The system displays the Imports/Exports page (see Figure 112).



Figure 112: Import/Export Page as Initially Displayed



- 2. For the SCR and EDRP programs, from the corresponding search filter in the uppermost frame on the Imports/Exports page, choose the Capability Period encompassing the enrollment data to be downloaded. For the DSASP, choose the *current* Capability Period.
- 3. Beside the Capability Period filter, click the **Display** button. The system makes available the middle frame.
- 4. Under the Exports heading in the left pane of the middle frame, choose SCR Resource Exports, EDRP Resource Exports, or DSASP Resource Exports as applicable.

The system refreshes the right pane of the middle frame to display additional filters along with a button to initiate download of the file (as illustrated in Figure 113).



Figure 113: Filters for Downloading an SCR Resource Enrollment File



- When exporting SCR resources, choose **SCR Enrollments** from the **Export Type** drop-down 5. filter on the right side of the middle frame.
- When exporting either SCR resources or EDRP resources, choose the applicable **Month** from 6. the corresponding drop-down filter on the right side of the middle frame.
- 7. Select the file format from the **Export** button, located in the lower-left corner of the right pane in the middle frame and click to export.
  - The system displays a dialog box via which the enrollment file can be either saved or opened.
- 8. Take the requisite steps to either save or open the enrollment file.
  - The enrollment file is either saved to the designated location or displayed on screen.

Note: If the enrollment file is saved, it is named according to the convention [program type] enrollments [download date in mm-dd-yyyy format].[format type], where bracketed content is replaced with actual values to result in a file name such as edrp\_enrollments\_05-19-2010.xls.



# 9. Documentation Vault Management

The NYISO may request supporting documentation to validate the enrollment of Resources. The enrolling MP will have the ability to view applicable documentation requests, submit the supporting documentation directly into DRIS, and monitor the documentation request status using the Documentation Vault Management page. Documentation requests may be created by the NYISO due to either pending enrollment requests as described below in Section 9.1 and/or due to resource verification as described in Section 9.2. The steps to view documentation requests, submit documentation, and viewing the status of the documentation requests is the same regardless of the reason for documentation request.

# 9.1. Enrollment Requested Related Documentation Requests

If an enrollment request is in a pending/under review status in DRIS due to a Monitored Field being triggered, the NYISO requires additional documentation from the MP to support the resource's enrollment information. Upon submitting the enrollment request, the system will automatically generate documentation requests based on the Monitored Fields. The Documentation Vault page will display the documentation requests that require MP action by the specified due date. If sufficient supporting documentation is not submitted by the MP by the specified due date, the Resource may be separated from the MP's portfolio.

### 9.2. Documentation Requests and Resource Verification

A documentation record may also be created by the NYISO for Resource verification purposes. The Source Type of the documentation request will show as Verification within the Documentation Vault. All Documentation Vault actions regarding a resource verification should be handled similarly to the Documentation Vault actions of a pending/under review enrollment request. When a resource verification is underway, the NYISO will notify the applicable MP by email with instructions. After receiving an email from the NYISO, the MP should submit the supporting documentation in Documentation Vault in accordance with the instructions provided by the NYISO. Viewing Documentation Requests.

### 9.3. Viewing Documentation Requests

Documentation requests can be viewed in DRIS using the Documentation Vault page. There are two ways in which a MP can access the Documentation Vault page.

1) From the menu bar, under Resource and then Documentation Vault.



2) The Dashboard also has a control labeled "View Documentation Requests," which brings the user to the Documentation Vault page.

> Note: Another indication of documentation requests can be found in the column titled "Doc Vault Status" on the DRIS Resource Enrollment Request page. This is where an MP can view whether a resource enrollment request requires any action from the MP or the NYISO.

## 9.3.1. Viewing Search Criteria

After arriving at the Documentation Vault page, documentation requests can be filtered by multiple categories. The system automatically populates the Documentation Vault page by:

- Active
- Capability Period
- Month

Note: An Active documentation record is a request within the Documentation Vault page that has a status of MP Awaiting, NYISO Awaiting or Extension Request

The MP can further narrow the data the system displays by the following additional parameters in the Search Criteria:

- Resource ID
- **Documentation Type**
- Status
- Monitored Field
- **Enrollment Request Status**
- **Program**
- **Enrollment Status**
- Source Type

**Note:** Documentation Type is a required type of document, such as utility bill, that will be used by the NYISO to validate a resource's enrollment.

**Note:** Status indicates who is currently responsible to take action on a documentation request. MP Awaiting requires action from the MP, NYISO Awaiting or Extension Request requires action from the NYISO.

Note: Source Type is the category of request, either Resource enrollment request or NYISO enrollment verification.



System populates documentation request records on the basis of pending resource enrollments or verifications. A Resource is put in a status of pending/under review enrollment as a result of triggering Monitored Fields found in the enrollment import file. The list of monitored fields for the Reliability Programs is described in Figure 85.

Each Monitored Field will have a specific set of Documentation Types associated with it in order to support a resource's enrollment. The MP is required to reply to each documentation request by submitting comments and attachments.

### **Prerequisites**

- The MP has previously enrolled resources.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".
  - To view documentation requests for resources
  - 1. From the **Resource** menu, choose **Documentation Vault**.
    - The system displays the Documentation Vault page.
  - 2. From the corresponding search filter(s) in the uppermost frame on the Documentation Vault page (see Figure 100), choose the Capability Period, Active, Month and/or the Resource **ID** for which the system should display documentation requests.

Figure 114: Documentation Vault Page Search Filters



Optionally, further limit the scope of documentation requests to be displayed by the system 3. to only a specific Enrollment Request Status, Status, Program, Enrollment Status,

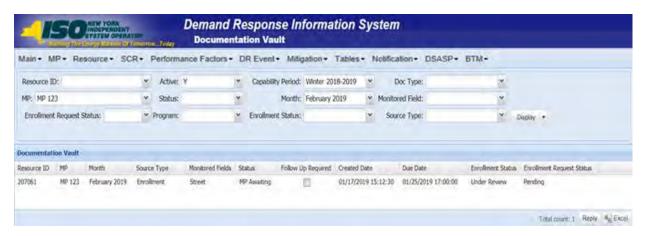


**Documentation Type, Monitored Field and/or Source Type** by choosing the applicable option(s) from the corresponding search filter(s) near the top of the page.

- Near the top of the Documentation Vault page, click the Display button. 4. The system populates the Documentation Vault grid below the search filters with an entry for each documentation request meeting the criteria chosen at steps 2 and 3 (see Figure 114).
- 5. Optionally, download the Capability Period data by clicking the drop-down arrow beside the **Display** button near the top of the Documentation Vault page and choose **Download**, then via the displayed dialog box taking the requisite steps to either save or open the resulting file.

A file containing Capability Period data for all documentation requests matching the criteria specified in steps 2 and 3 is either saved to the designated location on the user's computer or displayed on screen.

Figure 115: Documentation Vault Management Page Populated with Data



### 9.3.2. Viewing Documentation Vault Summary

Based on the chosen viewing scope, the system will display the data in the following columns in the Documentation Vault Summary grid:

- Resource ID
- MP
- Month
- Source Type



- Monitored Field
- Status
- Follow Up Required
- Created Date
- Due Date
- **Enrollment Status**
- **Enrollment Request Status**

Note: Follow Up Required is an indicator on a documentation request that informs the MP to take an action the following month in accordance with NYISO's instructions.

Note: Created Date is the date when a documentation request record was created within the Documentation Vault.

Note: Due Date is the date that the documentation request must be completed by the MP.

### 9.3.3. Viewing Documentation Details

In viewing the Documentation Details grid within the Documentation Vault page, the MP can see specific documentation request records that are required for each Resource. When a single Resource is selected in the summary section, the documentation request is populated below in the Documentation Details section, which provides information on each Resource including:

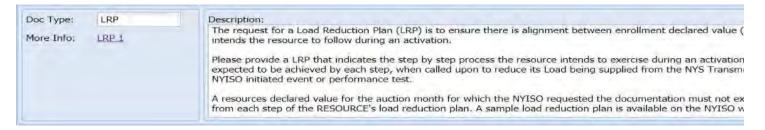
- Resource ID
- **Documentation Type**
- Monitored Fields
- Created Date
- Due Date
- Status
- Follow Up Required
- **Submitted Date**
- **MP Comments**
- **NYISO Comments**

Note: Comments can be used as a reply but also may include questions or additional information on the attached documentation entered by the MP and by the NYISO



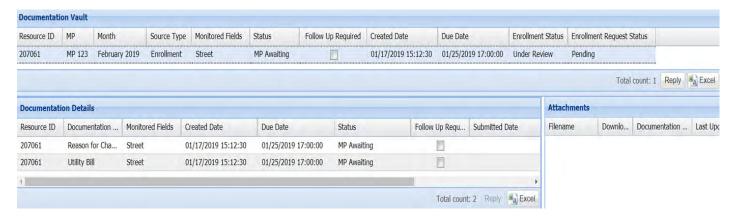
Multiple documentation request records may appear for one Resource. When a single documentation request record is selected, the system provides a detailed description of the Documentation Type at the bottom of the page.

Figure 116: Documentation Description



Note: A Documentation Type may have more information included as a hyperlink

Figure 117: Viewing Documentation Details within the Documentation Vault Page



### 9.3.4. Viewing Documentation Vault Management Attachments

In viewing the Documentation Vault Attachment grid within the Documentation Vault page, the MP can see any attachments associated with an individual documentation request record selected within Documentation Details grid. The Documentation Vault Attachment section provides several columns including the name of an attached file, the associated Documentation Type, who the file was last updated by and also when the file was updated last. Additionally, any file attached to a Documentation Vault record can be downloaded from this grid by selecting the icon in the Download column for any given file. It is possible that multiple files are attached to a single documentation request record.



Figure 118: Viewing Attachments within the Documentation Vault Page



### 9.4. Replying to a Documentation Vault Management Request

After filtering the Documentation Vault page as desired, the MP can see the documentation requests. The status of each resource will indicate who needs to take an action on a documentation request.

### 9.4.1. Documentation Vault Management Reply Window

The Documentation Vault Management Reply window is where the MP can reply to a documentation request. It is required that the MP respond to a documentation request using the Documentation Vault Reply window, which can be reached in two different ways.

The first option is within the summary portion of the Documentation Vault page, by selecting "Reply." Next to this button, there is a total count of records within the Documentation Vault indicating the number of active Resources with documentation requests, for the specified time period. Using the Summary Reply button allows the MP to reply to multiple resources at a time.

Figure 119: Accessing Reply Window from Summary Page



The second path to arrive at the Reply window is to select the "Reply" button within Documentation Details grid. This will also bring the MP to the Documentation Vault Reply window, however this window only displays the documentation request records associated with the single Resource that was selected within the Documentation Details grid.



Figure 120: Accessing Reply from Documentation Details

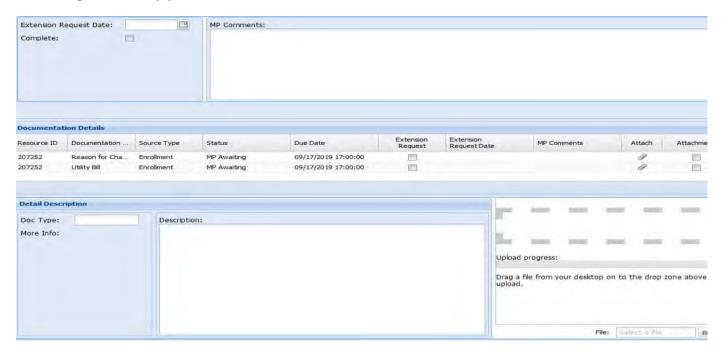


### 9.4.2. Reply Window Features

When "Reply" is selected in the Summary grid, the Documentation Vault Reply window will appear with data for all Active resources with their corresponding documentation request records. This Reply window contains different attributes that allow the MP to reply to a documentation request including:

- **Extension Request**
- **MP Comments**
- Attachments
- Complete

Figure 121: Reply Window





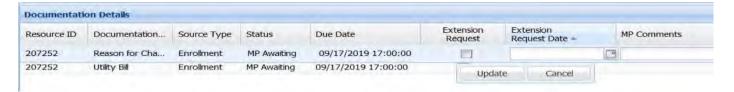
Within the "Reply" window, there is a Documentation Details grid that displays all active documentation request records, which can be sorted by the column header as desired. This grid details each documentation record by Resource and includes the following columns: Resource ID, Documentation Type, Source Type, Status, Due Date, Extension Request, Extension Request Date, and MP Comments. To take an action on a single documentation request record within the Reply window, the MP shall select a record in the Documentation Details grid. Once a record is selected, the system allows the MP to Update or Cancel modifications to the selected record, including:

- **Extension Request Indicator**
- **Extension Request Date**
- Comment
- Attachment
- Complete

Note: Extension Request Date allows the MP to request NYISO more time to respond to a documentation request. Extension requests must be approved by the NYISO. The NYISO will review the request and may grant the extension date requested, specify an alternate due date, or reject MP request and keep the original due date.

Note: When an MP selects "Complete" and "Update" the record goes to NYISO Awaiting Status and is longer editable by the MP

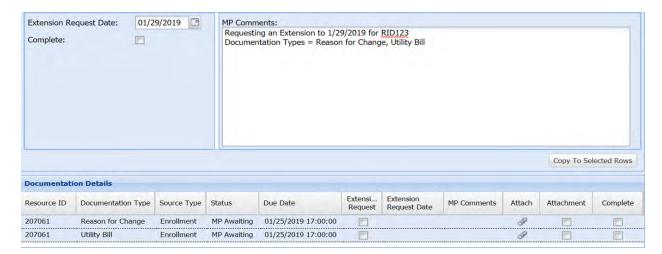
Figure 122: Record Selected to be Individually Updated



In order for a documentation request record to be eligible for submission, the MP must enter a comment and/or attach a file. Within the Reply window, there is an option to reply to a single documentation request record or to multiple records at a time.



Figure 123: Two Records Selected to be Updated



#### To Comment on a Documentation Request

To insert a comment for a single record,

- 1. Select the record in the Documentation Details grid
- 2. Type the desired comment in the MP Comments column
- 3. Select the Update button to Save actions

To enter the same comment for multiple records

- 1. Hold Ctrl+Shift to select multiple records in the Documentation Details grid
- 2. Type the desired message in the MP Comment section in the "Reply" window, in the upper right part of the screen.
- To save the action of entering a comment, the user must select "Copy to Selected Rows" 3.
- 4. This button will copy the comment and apply it to all selected records.

Note: The "Copy to Selected Rows" Pop Up window gives a numeric count indicating how many records are being saved

#### To Execute an Extension Request

To submit an Extension request for an individual record

1. Select the record in the Documentation Details grid



- 2. Selecting the calendar button next to Extension Request Date
- 3. Choose the new deadline date desired
- 4. The selected Date will appear in the Extension Request Date section
- 5. Click the Extension Request indicator
- 6. Select Update.

To submit an Extension request for multiple records

- 1. Select applicable records in the Documentation Details grid
- 2. Select the calendar next to Extension Request Date within the "Reply" window
- 3. Choose the new deadline date desired
- 4. Select the Copy to Selected Rows button
- 5. Select Yes or No on Pop Up window to Copy to Rows

When an Extension Request is submitted, the Status of the record(s) will change from MP Awaiting status to Extension Request Status. Extension Requests must be approved by the NYISO. The NYISO will review the request and may grant the extension date requested, specify an alternate due date, or reject MP request and keep the original due date.

Note: Extension Requests do not require the MP to click on Complete indicator

- a. If the NYISO approves the Extension Request or specifies an alternate due date, the due date will update for each record request to the NYISO approved date in DRIS, which will be viewable in Documentation Details grid
- b. If the NYISO rejects the Extension Request, the original due date associated with the record will remain

### To Attach a File

Attaching a file will require an MP to prepare the appropriate documentation in advance. A file can be attached to one record at a time and the MP can either drag a file or select one utilizing the browse button.

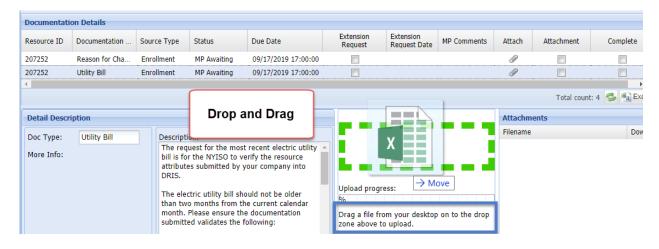
To Drag a File

1. Select the record in the Documentation Details grid



- 2. Drag a file across the screen into the upload box in the Reply window
- 3. Verify the file is successfully attached in the Attachment grid

Figure 124: Attaching a File Utilizing Drag and Drop Feature



### To Upload a File

- 1. Select the record in the Documentation Details grid
- 2. Select the icon under Attach or Download
- 3. Choose the applicable file
- 4. Verify the file is successfully attached in the Attachment grid

Figure 125: Attaching a File Utilizing Browse Feature

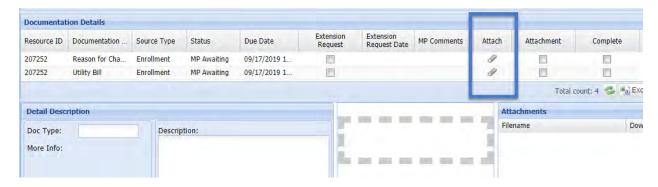
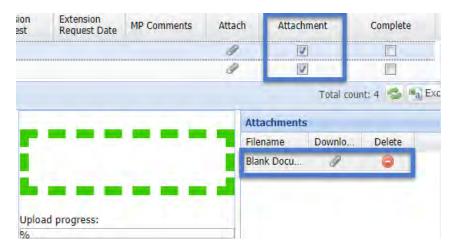




Figure 126: Verify Documentation Attachment



To remove a file on a documentation record, select the red minus sign next to the attachment within the Reply window. The system will prompt to confirm this action, verifying that the attachment will be deleted from the record.

#### To Complete a Documentation Request

To complete a single documentation request for submission

- 1. Select the record in the Documentation Details grid
- 2. Check the Complete Box
- 3. Select Update.

To complete multiple documentation requests for submission

- 1. Hold Ctrl+Shift to select multiple records in the Documentation Details grid
- 2. Check the Complete box in the Reply window
- 3. To save the action, the MP must select "Copy to Selected Rows"
- 4. This button will apply it to all selected records

When a record is marked as complete, the status of the record will change to NYISO Awaiting and will no longer be editable by the MP.

Note: Do not select Complete for Extension Requests. Once Complete selection is saved, the record moves to NYISO Awaiting Status.



# 10. Performing SCR-Specific Tasks

For those MPs acting as RIPs in relation to the SCR program, DRIS provides the means to perform the following tasks in relation to resources for which the MP has authorization to act:

- Viewing Resource ACL Adjustment TO/DADRP add-back kW values and DSASP baseline kW values
- Managing aggregations and strike prices
- Viewing system-calculated aggregation performance factors and aggregation UCAP values
- Viewing the results of the automatic transfer of system-calculated UCAP values to ICAP AMS
- **Downloading UCAP values**
- Allocating resource auction sales when there is a partial sale of the aggregation
- Importing and viewing resource Provisional ACL verification data
- Viewing resource Provisional ACL shortfall
- Importing and viewing resource Incremental ACL verification data
- Viewing resource Incremental ACL shortfall
- Viewing resources subject to an offer floor

### 10.1. Viewing Resource ACL Adjustment TO/DADRP Add-back kW Values and DSASP Baseline kW **Values for a Resource**

Transmission Owner, DADRP add-back kW values and DSASP baseline kW values for a resource are made visible to the Market Participant for Enrolled resources. An MP may view TO/DADRP add-back kW values and DSASP baseline kW values for a resource as the add-back is applied to or the baseline replaces the resource enrollment (see Section 8.1.1) or as the add-back is applied to or the baseline replaces the reporting of the resource Provisional ACL or Incremental ACL verification data (see Section 10.6.5).

Corrections may be made to the add-back kW values or the baseline kW value of a resource during the calendar event for enrolling resources or during the calendar event for reporting Provisional ACL and Incremental ACL verification data, respectively. The MP must contact the TO directly for corrections to resource TO add-back kW values. The MP must contact the NYISO directly for corrections to resource DADRP add-back kW values or DSASP baseline kW values. Contact information for each TO reporting addback kW values will be made available each Capability Period at https://www.nyiso.com/installedcapacity-market(in the Forms folder). To reach the NYISO, contact NYISO Stakeholder Services at 518-356-6060.

The MP can view add-back kW and baseline values in summary and detail.



Note: Optionally, view add-back kW and baseline kW values for a resource from the ACL Details tab on the Capability Period page (see Section 8.1.1).

#### 10.1.1. Viewing Summary of TO/DADRP Add-back kW and DSASP Baseline kW Values

In viewing a summary of the TO/DADRP add-back kW and DSASP baseline values, the MP can see the resources enrolled for the selected Capability Period by Resource ID and TO account number, as well as an indicator specifying when a TO/DADRP add-back or DSASP baseline value exists for the resource.

When viewing values from this screen, the MP must, at a minimum, identify a Capability Period and Zone or resource.

The MP can further narrow the data the system displays by any of the following additional parameters:

- Transmission owner
- Submittal date from
- Submittal date to

Regardless of viewing scope, the system displays the following data for each enrolled resource;

- Resource ID
- TO account number
- Applicable Capability Period
- TO add-back indicator
- DSASP baseline indicator
- DADDRP add-back indicator

### **Pre-requisites**

- The MP has previously enrolled resources.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".
  - To view summary of TO/DADRP add-back and DSASP baseline kW values
- 1. From the **SCR** menu, choose **Resource ACL Adjustments**.

The system displays the Resource ACL Adjustment page.



2. From the corresponding search filter(s) in the uppermost frame on the Resource ACL Adjustment page (see Figure 127), choose the Capability Period, Zone and/or the Resource ID for which the system should display add-back or baseline kW values.

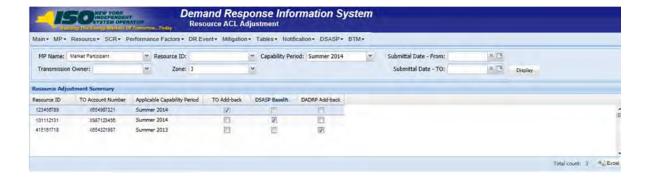
Figure 127: Resource ACL Adjustment Page Search Filters



- 3. Optionally, further limit the scope of resource add-back or baseline values to be displayed by the system to only a specific Transmission Owner, Zone, Submittal Date-From, and/or Submittal **Date-To** by choosing the applicable option(s) form the corresponding search filter(s) near the top of the page.
- Near the top of the Resource ACL Adjustment page, click the **Display** button.

The system populates the Resource Adjustment Summary grid below the search filters with those resources meeting the criteria chosen at step 2 and 3 (see Figure 128).

Figure 128: Resources with a TO Add-back Value, a DADRP Add-back Value and a DSASP Baseline Value for the Selected Capability Period

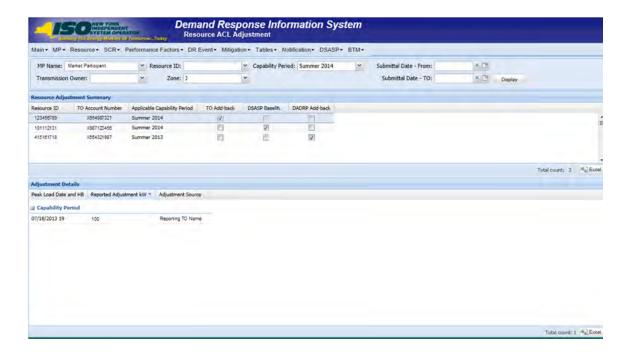


5. Optionally, view details of the Adjustment kW values for a resource by clicking the corresponding row in the Resource TO Adjustment Summary grid.



The system expands a frame at the bottom of the page, where additional details for the adjustment values of the resource are displayed (see Figure 129).

Figure 129: Details of Resource Adjustment Values for Resource Highlighted in the Resource Adjustment **Summary Grid** 



#### 10.1.2. Viewing Details of Resource Adjustment kW Values

In viewing details of the adjustment kW values (TO, DADRP or DSASP) of a resource, the MP can see adjustment values for specific SCR Load Zone Peak Hours and the source of the adjustment, which reported the add-back value.

This data is visible in a frame at the bottom of the Resource ACL Adjustment page (see Figure 129).

The system displays the following information for the selected resource and Capability Period:

- Peak Load Date and HB
- Reported Adjustment kW
- **Adjustment Source**

**Note:** When a resource reduces load in more than one TO load reduction program in the same SCR Peak Load Date and Hour, all add-back kW values imported by a TO are saved, however, the highest TO add-back kW value is made viewable on the screen and used in the resource ACL calculation.



### Pre-requisites

- The MP has previously enrolled resources.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".
  - To view details of Resource Adjustment kW values
- 1. From the **SCR** menu, choose **Resource ACL Adjustment**.

The system displays the Resource ACL Adjustment page.

2. From the corresponding search filter(s) in the uppermost frame on the Resource Adjustment page (see Figure 130), choose the **Capability Period and Zone** and/or the **Resource ID** for which the system should display Resource Adjustment kW values.

Figure 130: Resource ACL Adjustment Page Search Filters

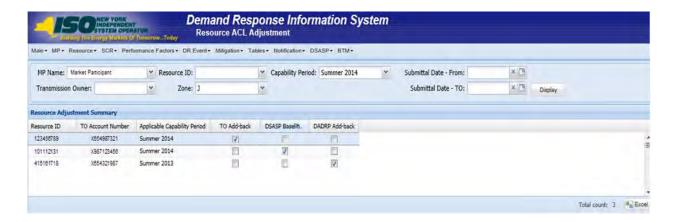


- 3. Optionally, further limit the scope of resource adjustment values to be displayed by the system to only a specific Transmission Owner, Zone, Submittal Date-From, and/or Submittal Date-To by choosing the applicable option(s) form the corresponding search filter(s) near the top of the page.
- 4. Near the top of the Resource ACL Adjustment page, click the **Display** button.

The system populates the Resource Adjustment Summary grid below the search filters with those resources meeting the criteria chosen at step 2 and 3 (see Figure 131).



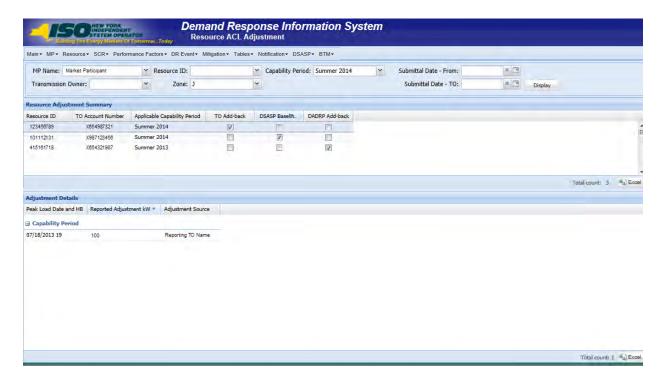
Figure 131: Resources with Adjustment Values for the Selected Capability Period



5. View details of the resource adjustment kW value for a resource by clicking the corresponding row in the Resource Adjustment Summary grid.

The system expands a frame at the bottom of the page, where additional details for the resource adjustment value of the resource are displayed (see Figure 132).

Figure 132: Details of Resource Adjustment Values for Resource Highlighted in the Resource Adjustment **Summary Grid** 





#### 10.2. **Managing Aggregations**

Managing aggregations consists of performing some or all of the following tasks within DRIS:

- Requesting new aggregation IDs
- Managing aggregation strike prices
- Viewing aggregation data including performance factors and UCAP values
- Moving resources between aggregations
- Viewing aggregation UCAP values transferred to ICAP AMS
- Allocating auction sales for aggregations with partial auction sales

Note: In the SCR menu the selection of "Aggregation Assignment" will navigate the user to the Aggregation Management screen which provides Aggregation Performance Factors. This screen will be enabled with the start of the SCR Enrollment calendar event for the May 2012 auction month. The selection of "Aggregation Assignment Pre-Summer 2012" will navigate the user to the process for Aggregation Management prior to the Summer 2012 Capability Period.

The "Aggregation Assignment Pre-Summer 2012" selection will continue to provide historical views after the Winter 2011 - 2012 Capability Period but will no longer be available for the Aggregation Management process beginning with the Summer 2012 Capability Period. Beginning with the Summer 2012 Capability Period, users should perform the Aggregation Management process through the "Aggregation Assignment" SCR menu option.

#### 10.2.1. **Requesting New Aggregation IDs**

To request a new aggregation ID, the MP must designate a unique name for the aggregation and specify the Zone and strike price.

When the MP requests a new aggregation ID, the system will process and save the request for review by the NYISO, and, thereafter, the MP can monitor the status of the request as outlined under Section 10.2.1.1.

**Note:** New aggregation IDs may be requested only within the time frame specified on the DRIS Event Calendar (refer to section 2.1). Aggregation IDs are required in the import file for all new or existing resources (see section 7.3).

Upon approval by the NYISO of the aggregation ID request, the new aggregation ID will be created in both DRIS and the ICAP Automated Market System (AMS), and the MP may assign resources to the aggregation.

**Note:** The MP may cancel any aggregation ID request pending approval, as outlined under Section 10.2.1.2.

### **Pre-requisites**

The MP is registered in MIS to participate in the SCR program.



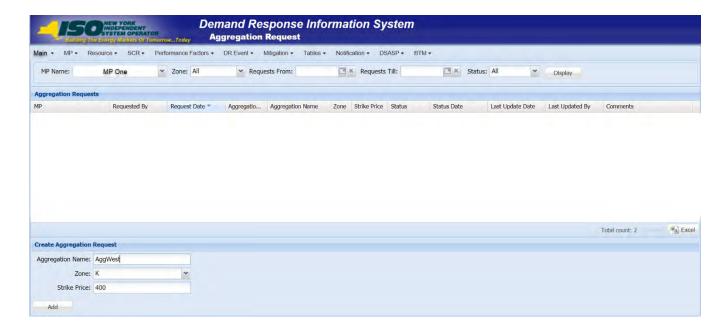
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The DRIS Event Calendar indicates that the time frame for requesting new aggregation IDs is open (refer to Section 2.1).
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

#### To request a new aggregation ID

- 1. From the **SCR** menu, choose **Aggregation Reques**t. The system displays the Aggregation Request page.
- 2. In the corresponding fields of the lowermost frame, type a unique identifying **Aggregation** Name, choose the applicable Zone, and type the Strike Price for the aggregation (see Figure 133).

Note: The aggregation name is limited to 20 characters. Strike price must be any dollar value between \$0.00 and \$500.00.

Figure 133: Aggregation Request Page with Required Data Provided

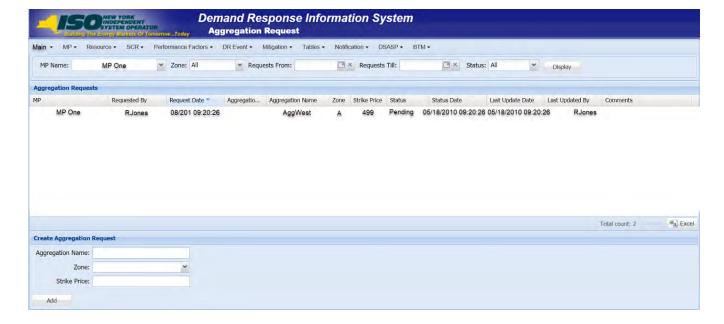


3. In the lower-left corner of the Create Aggregation Request frame, click the **Add** button.



The status bar near the bottom of the page indicates that the request was saved, and the system adds a listing for the request to the Aggregation Requests grid in the middle frame (see Figure 134).

Figure 134: Aggregation Request Page Reflecting a Pending Request



#### 10.2.1.1. Monitoring the Status of Aggregation ID Requests

Any time after reporting requests for new aggregation IDs, the MP may review the status of all requests.

Note: The MP may cancel any aggregation ID request still pending approval, as outlined under Section 10.2.1.2.

### Pre-requisites

- The MP has reported one or more requests for new aggregation IDs.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

#### To monitor aggregation ID requests

1. From the **Main** menu, choose **Dashboard**.

> The system opens the Dashboard page, where the uppermost left pane displays the number of aggregation requests by status category (see Figure 135).



Note: The status categories displayed for aggregation ID requests are Pending (for requests earmarked for and awaiting NYISO review), Approved (for previously pending requests that have been reviewed and accepted by the NYISO), Denied (for previously pending requests that have been reviewed and rejected by the NYISO), or Canceled (for previously pending requests that have been canceled by the MP). The numbers displayed for each category are dynamic such that they update to reflect changes in status as those changes unfold.

2. Under the **Aggregation Requests** heading in the left uppermost pane, click the **View** Requests button.

> Tip: If the button is not currently in view, use the vertical scroll bar to adjust the view in the left uppermost pane.

The system displays the Aggregation Request page.

Note: The Aggregation Request page may also be accessed via the SCR menu and Aggregation Requests option.

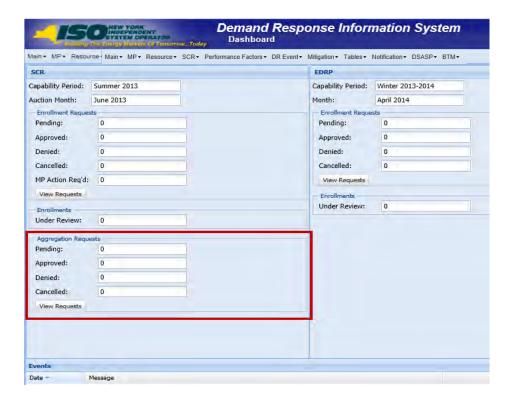


Figure 135: Aggregation Requests Area of Dashboard

3. Limit the scope of the aggregation ID requests to be viewed:



To view requests for only a specific **Zone**, range of reporting dates (**Requests From** and **Requests Till)**, and/or **Status**, choose the applicable option(s) from the corresponding search filter(s) near the top of the page (see Figure 136), then proceed to step 4.

OR

To view all requests, proceed directly to step 4.

Figure 136: Aggregation Request Page Display Filters



- Near the top of the page, activate the **Display** button. 4.
  - The system populates the Aggregation Requests grid below the filters with an entry for each aggregation ID request meeting the criteria chosen at step 3 (refer to Figure 134).
- 5. Review the displayed aggregation ID requests, particularly the *Status* of each request, as reflected in the corresponding column.

**Note:** The data displayed in the Aggregation Requests grid may be downloaded in Excel format. To do so, click the **Excel** button in the lower-right corner of the page, then via the displayed dialog box, take the requisite steps to either open or save the file.

#### 10.2.1.2. **Canceling Aggregation ID Requests**

The MP can cancel an aggregation ID request as long as the request is still pending approval.

Whenever an aggregation ID request is canceled, the system retains all information related to the request for subsequent review but does not create the aggregation ID.

# Pre-requisites

- The MP previously requested one or more new aggregation IDs for a specific auction month, and that auction month is still designated as open for new aggregation IDs according to the DRIS Event Calendar (refer to Section 2.1).
- The MP aggregation ID requests to be canceled are still pending approval.
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.



The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

#### To cancel an aggregation ID request

Note: If the Aggregation Request page has already been accessed and the desired request found, skip to step 4.

1. From the **SCR** menu, choose **Aggregation Reques**t.

The system displays the Aggregation Request page.

- 2. Optionally, limit the scope of the aggregation ID requests to be displayed for viewing to that encompassing the request to be canceled:
  - To view requests for only a specific **Zone**, range of reporting dates (**Requests From** and **Requests To**), and/or **Status**, choose the applicable option(s) from the corresponding search filter(s) near the top of the page (refer to Figure 136), then proceed to step 3.

OR

- To view all requests, proceed directly to step 3.
- 3. Near the top of the page, activate the **Display** button.

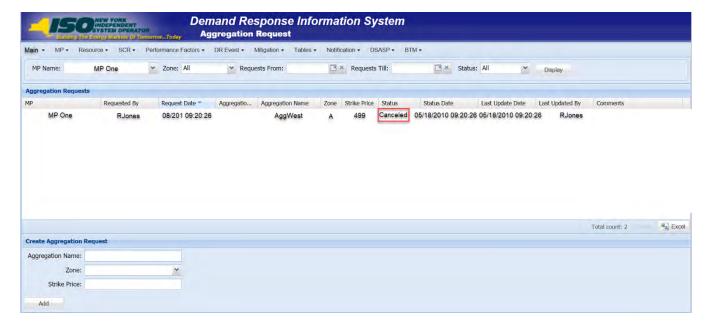
The system populates the Aggregation Requests grid in the middle frame with all aggregation ID requests meeting the criteria chosen at step 2.

- 4. In the Aggregation Requests grid, click the row housing the request to be canceled.
- 5. On the right side of the status bar just below the Aggregation Requests grid, click the **Cancel** button (see Figure 137).

The system nullifies the aggregation ID request and changes the corresponding status from Pending to Canceled in the Aggregation Requests grid (see Figure 137), while also increasing the number of *Canceled* aggregation requests and decreasing the number of *Pending* aggregation requests by 1 on the DRIS Dashboard.



Figure 137: Aggregation Request Page Illustrating Canceled Request



#### 10.2.2. **Managing Strike Prices**

The MP initially specifies aggregation strike price as part of requesting a new aggregation ID. Aggregation strike prices remain in effect until modified, which can be done only within the time frames for strike price management as specified on the DRIS Event Calendar (refer to Section 2.1), and take effect the first day of the month specified by the MP.

The MP can either nullify or update any changed strike price yet to take effect, assuming the applicable time frame for strike price management is still open according to the DRIS Event Calendar.

## 10.2.2.1. Changing a Strike Price across Auction Months

Aggregations strike prices can be modified within the time frame for strike price management as specified on the DRIS Event Calendar (refer to Section 2.1), with the changes taking effect the first day of the month specified by the MP.

## **Pre-requisites**

- The MP has one or more aggregations.
- The time frame for strike price management is open as specified on the DRIS Event Calendar (refer to Section 2.1)
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.



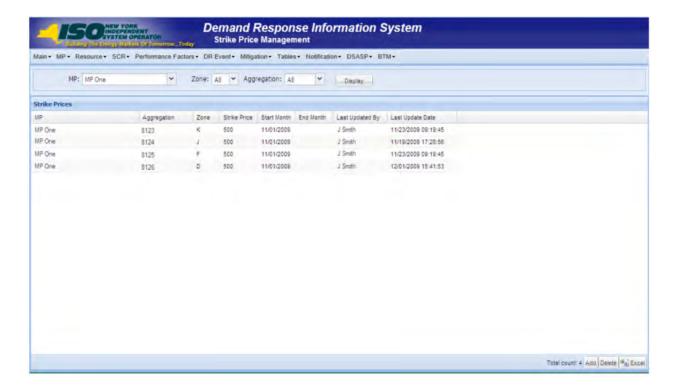
The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

#### To change a strike price

1. From the **SCR** menu, choose **Strike Price Management**.

The system displays the Strike Price Management page, where the Strike Prices grid is populated with strike prices for all aggregations (see Figure 138).

Figure 138: Strike Price Management Page



- 2. Optionally, limit the scope of strike price data displayed by the system:
  - To have the system display strike price data for only those aggregations in a specific **Zone** and/or for a specific **Aggregation**, choose the applicable option(s) from the corresponding search filter(s) near the top of the page, then proceed to step 3.

OR

• To have the system continue to display strike price data for all aggregations, proceed to step 3.

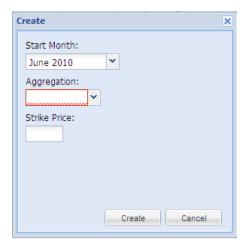


3. Click the **Display** button.

> The Strike Prices grid below the filters refreshes to display strike price data for each aggregation meeting the criteria chosen at step 2, including the strike price itself, the month the price took effect (i.e., the *Start Month*), and, if applicable, the last month it was in effect (i.e., the *End Month*).

4. In the lower-right corner of the Strike Price Management page, click the **Add** button. The system displays the Create dialog box.

Figure 139: Dialog Box for Creating a Strike Price



5. In the Create dialog box (see Figure 139), choose the applicable **Start Month** and **Aggregation** from the corresponding drop-down filters, type the desired **Strike Price** in the corresponding field, then click **Create** button.

A meter indicating the progress of the creation process opens then closes, after which the system displays a message box confirming that the strike price was successfully added.

6. Click **OK** in the confirmation box.

> The confirmation box closes, revealing that the system has taken the following actions (as illustrated in Figure 140):

• Added an entry to the Strike Prices grid for the new strike price and set that price to take effect the first day of the next month, as reflected in the Start Month column of the corresponding row (subject to conforming with the DRIS Event Calendar).



• Set the pre-existing strike price to expire on the last day of the current month, as reflected in the *End Month* column of the corresponding row in the Strike Prices grid.

**Note:** The data displayed in the Strike Prices grid can be downloaded in Excel format by clicking the Excel button in the lower-right corner of the page then via the displayed dialog box, taking the requisite steps to either open or save the file.

Demand Response Information System · 1 Strike Price Management Main ▼ MP ▼ Resource ▼ SCR ▼ Performance Factors ▼ DR Event ▼ Mitigation ▼ Tables ▼ Notification ▼ DSASP ▼ BTM ▼ y Zone: A∥ y Aggregation: A∥ MP: MP One Strike Prices MP Aggregation Zone Strike Price Start Month End Month Last Updated By Last Update Date MP One 8123 K 500 11/01/2009 J Smith 11/23/2009 10:17:45 MP One 8124 J 500 11/01/2009 11/19/2009 17:28:56 J Smith MP One 8125 F 500 11/01/2009 11/23/2009 09:19:24 J Smith MP One D 300 11/01/2009 12/31/2009 12/01/2009 14:37:28 8126 J Smith MP One 8126 D 500 01/01/2010 12/01/2009 14:38:00 J Smith Total count: 4 Add Delete a Excel

Figure 140: Strike Price Management Page Illustrating Change of an Aggregation Strike Price

## **Updating a Changed Strike Price** 10.2.2.2.

The MP can update a changed strike price that has not yet taken effect as long as the applicable time frame for strike price management is still designated as open according to the DRIS Event Calendar (refer to Section 2.1).

In processing such an update, DRIS modifies the previously changed strike price, leaving the start date as the first day of the upcoming auction month without establishing a separate record for the most recently designated strike price.

## **Pre-requisites**

The MP previously changed the strike price to take effect beginning with the next auction month, and the auction month in question is still designated as open for strike price management on the DRIS Event Calendar (refer to Section 2.1).



- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

## To update a strike price

1. From the **SCR** menu, choose **Strike Price Management**.

The system displays the Strike Price Management page, where the Strike Prices grid is populated with strike prices for all aggregations.

- 2. Optionally, limit the scope of strike price data displayed by the system:
  - To have the system display strike price data for only those aggregations within a specific **Zone** and/or for a specific **Aggregation**, choose the applicable option(s) from the corresponding search filter(s) near the top of the page, then proceed to step 3.

OR

- To have the system continue to display strike price data for all aggregations, proceed to step 3.
- 3. Click the **Display** button.

The Strike Prices grid below the filters refreshes to display strike price data for each aggregation meeting the criteria chosen at step 2, including the strike price itself, the month the price took effect (i.e., the *Start Month*), and, if applicable, the last month it was in effect (i.e., the *End Month*).

In the **Strike Prices** grid, double-click the row housing the previously changed strike price to 4. be updated.

The system opens the row for purposes of editing the strike price (see Figure 141).



Figure 141: Input Area for Updating a Previously Changed Strike Price



- 5. In the **Strike Price** input field, type the desired strike price.
- 6. Beneath the Strike Price field, click the **Update** button. A meter indicating the progress of the update process opens then closes, after which the updated strike price is displayed in the Strike Price column of the row for the aggregation.

#### 10.2.2.3. **Deleting a Changed Strike Price**

The MP can delete a changed strike price that has not yet taken effect, as long as the applicable time frame for strike price management is still designated as open according to the DRIS Event Calendar (refer to Section 2.1).

In processing such a change, DRIS removes the most recently designated strike price for the aggregation in question and nullifies the end date of the strike price that was in effect for that aggregation immediately prior to the most recently implemented change.

## **Pre-requisites**

- The MP previously changed the strike price to take effect beginning with the next auction month, and the auction month in question is still designated as open for strike price management on the DRIS Event Calendar (refer to Section 2.1).
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

#### To delete a changed strike price

1. From the **SCR** menu, choose **Strike Price Management**.



The system displays the Strike Price Management page, where the Strike Prices grid is populated with strike prices for all aggregations.

- 2. Optionally, limit the scope of strike price data displayed by the system:
  - To have the system display strike price data for only those aggregations in a specific **Zone** and/or for a specific **Aggregation**, choose the applicable option(s) from the corresponding search filter(s) near the top of the page, then proceed to step 3.

OR

- To have the system continue to display strike price data for all aggregations, proceed to step 4.
- 3. Click the **Display** button.

The Strike Prices grid below the filters refreshes to display strike price data for each aggregation meeting the criteria chosen at step 2, including the strike price itself, the month the price took effect (i.e., the *Start Month*), and, if applicable, the last month it was in effect (i.e., the *End Month*).

- 4. In the **Strike Prices** grid, click the row housing the previously changed strike price to be deleted.
- 5. In the lower right corner of the Strike Price Management page, click the **Delete** button (refer to Figure 140).

A meter indicating the progress of the deletion process opens then closes, after which the previously changed strike price is removed from the Strike Prices grid, and the end date of the strike price that was in effect prior to the most recent change is nullified, as reflected in the *End Date* column of the row for the aggregation.

### 10.2.3. **Viewing Aggregation Data**

At any time, the MP may view aggregation data, ascertaining at a glance data for all Enrolled resources within the aggregation for the month.

# Pre-requisites

The MP has enrolled resources in the SCR program, as outlined under section 7.



The MP representative performing the task is logged in to DRIS (see Section 1.3 "Accessing the System").

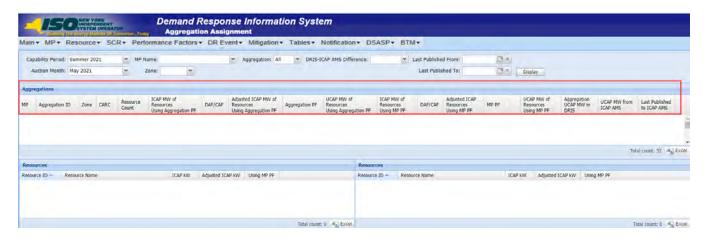
#### To view aggregation data

- 1. From the **SCR** menu, choose **Aggregation Assignment**. The system displays the Aggregation Assignment page.
- 2. From the corresponding search filters near the top of the page, choose the Capability Period and **Auction Month** for which the system should display aggregation data.
- 3. Optionally, further limit the scope of aggregation data to be displayed by the system to a specific **Zone** by choosing the applicable option from the corresponding search filter near the top of the page.
- Near the top of the page, activate the **Display** button. 4.
- 5. The Aggregations grid below the filters refreshes to display data for each aggregation meeting the criteria chosen at steps 2 and 3, including the aggregation ID, Zone, resource count, ICAP MW of resources using the aggregation performance factor in the aggregation UCAP calculation and the ICAP MW of resource using the MP performance factor in the aggregation UCAP calculation (see Figure 142).
- The Aggregations grid also displays the DAF/CAF which represents the Duration Adjustment 6. Factor (DAF) from Summer 2021 to Winter 2023-2024 and Capacity Accreditation Factor (CAF) and the applicable Capacity Accreditation Resource Class (CARC) beginning Summer 2024, which is utilized in the formulation of the Adjusted ICAP MW of Resources Using Aggregation performance factor. The DAF/CAF is also utilized to develop the Adjusted ICAP MW of Resources Using MP performance factor (see Figure 142).

Note: The data displayed in the Aggregations grid can be downloaded by clicking the Excel button in the lower-right corner of the page, then via the displayed dialog box, taking the requisite steps to either open or save the file.



Figure 142: Aggregation Assignment Page



- To view data for resources assigned to the aggregation
- 1. From the **SCR** menu, choose **Aggregation Assignment**.
- The system displays the Aggregation Assignment page.
- From the corresponding search filters near the top of the page, choose the Capability Period and **Auction Month** for which the system should display aggregation data.
- 4. Optionally, further limit the scope of aggregation data to be displayed by the system to a specific **Zone** by choosing the applicable option from the corresponding search filter near the top of the page.
- Near the top of the page, activate the **Display** button.
- 6. The Aggregations grid below the filters refreshes to display data for each aggregation meeting the criteria chosen at steps 2 and 3, including the aggregation ID, Zone, resource count, ICAP MW of resources using the aggregation performance factor in the aggregation UCAP calculation, the ICAP MW of resource using the MP performance factor in the aggregation UCAP calculation, UCAP MW of resources using the aggregation performance factor and UCAP MW of resources using the MP performance factor (see Figure 142).
- 7. The Aggregations grid displays the DAF/CAF which represents the Duration Adjustment Factor (DAF) from Summer 2021 to Winter 2023-2024 and Capacity Accreditation Factor (CAF) and the



applicable Capacity Accreditation Resource Class (CARC) beginning Summer 2024,, which is utilized in the formulation of the Adjusted ICAP MW of Resources Using Aggregation performance factor. The DAF/CAF is utilized to develop the Adjusted ICAP MW of Resources Using MP performance factor (see Figure 142).

Note: DAF/CAF and Adjusted ICAP MW columns will be empty prior to the Summer 2021 Capability Period.

8. From the **Aggregations** grid, click and drag to one of the panes in the lowermost frame the aggregation for which details will be viewed.

The system displays in the target pane all resources currently assigned to the aggregation and highlights the row in the Aggregations grid the same color as the title bar in the destination pane (see Figure 143).

The data displayed for each resource currently assigned to the aggregation includes the resource ID, resource name, resource ICAP kW, resource Adjusted ICAP kW, and an indicator which when checked, indicates that the resource is using the MP performance factor in the final calculation of the aggregation UCAP value.

The summary data displayed for the aggregation includes the aggregation ID, resource count, and the total ICAP kW of the aggregation.



Total count: 0 -a Excel

Demand Response Information System **Aggregation Assignment** Performance Factors - DR Event - Mitigation - Tables - Notification - DSASP - BTM -✓ Last Published From: Capability Period: Summer 2021 ✓ MP Name: Y Aggregation: All ✓ DRIS-ICAP AMS Difference: O X O X Display Zone CARC Using Aggregation PF Market Participant 1234 Resource Count: 3 ICAP: 205 kW ICAP kW 1234567890 Resource 1 72.9 81 0987654321 Resource 2 70 63 5432102345 54 48.6 Resource 3

Figure 143: Aggregation Assignment Page Showing Resources for an Aggregation

Main ▼ MP ▼ Resource ▼ SCR ▼ Performance Factors ▼ DR Event ▼ Mitigation ▼ Tables ▼ Notification ▼ DSASP ▼ BTM ▼ VIEWING Aggregation Performance Factors and UCAP values

Aggregation performance factors and UCAP values are calculated and made viewable in DRIS on a monthly basis upon the close of the SCR Enrollment period, as specified on the DRIS Event Calendar (refer to Section 2.1).

Total count: 3 🚜 Excel

After the initial calculation of aggregation performance factors and aggregation UCAP values, these values will be recalculated for the month when resources are moved between aggregations during the Aggregation Management period, as specified on the DRIS Event Calendar (refer to Section 2.1). They will also be recalculated for the month when there is a change in the enrollment status of a resource within the aggregation or when a *Pending* request has been approved for a resource within the aggregation.

Once aggregation performance factors and UCAP values are calculated, additional information is made viewable on the DRIS Aggregation Assignment page:

- Aggregation Performance Factor: performance factor of the aggregation for the Capability Period and auction month.
- Aggregation UCAP MW in DRIS: UCAP MW of the aggregation for the Capability period and auction month.



# Pre-requisites

- The period for SCR enrollment in relation to the auction month for which the MP wants to view aggregation performance factors and UCAP values has ended according to the DRIS Event Calendar (refer to Section 2.1).
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

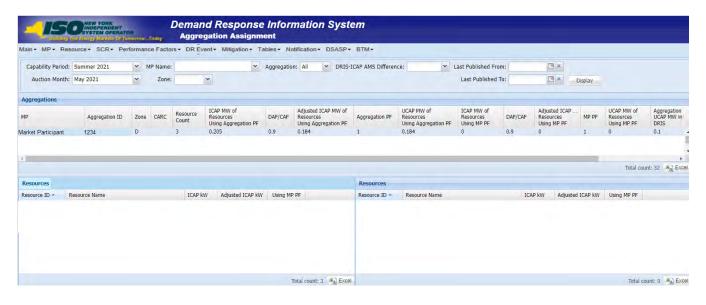
### To view aggregation performance factor and UCAP data

- From the **SCR** menu, choose **Aggregation Assignment**. 1. The system displays the Aggregation Assignment page.
- 2. From the corresponding search filters near the top of the page, choose the Capability Period and **Auction Month** for which the system should display aggregation data.
- 3. Optionally, further limit the scope of aggregation data to be displayed by the system to a specific **Zone** by choosing the applicable option from the corresponding search filter near the top of the page.
- 4. Near the top of the page, activate the **Display** button.
- 5. The Aggregations grid below the filters refreshes to display data for each aggregation meeting the criteria chosen at steps 2 and 3, including the aggregation ID, Zone, resource count, and the ICAP and Adjusted ICAP MW of resources using the aggregation performance factor in the aggregation UCAP calculation and the MP performance factor in the aggregation UCAP calculation. (see Figure 144).
- The Aggregations grid displays the DAF/CAF which represents the Duration Adjustment 6. Factor (DAF) from Summer 2021 to Winter 2023-2024 and Capacity Accreditation Factor (CAF) and the applicable Capacity Accreditation Resource Class (CARC) beginning Summer 2024, which is utilized in the formulation of the Adjusted ICAP MW of Resources Using Aggregation performance factor. The DAF/CAF is utilized to develop the Adjusted ICAP MW of Resources Using MP performance factor (see Figure 144).
- 7. In addition, the following data is now made viewable: aggregation performance factor and aggregation UCAP MW in DRIS (see Figure 144).



Note: DAF/CAF and Adjusted ICAP MW columns will be empty prior to the Summer 2021 Capability Period.

Figure 144: Aggregation Assignment Screen Showing Aggregation Performance Factor and UCAP Value



Main ▼ MP ▼ Resource ▼ SCR ▼ Performance Factors ▼ DR Event ▼ Mitigation ▼ Tables ▼ Notification ▼ DSASP ▼ BTM ▼ 10.2.3.2. **Exporting Aggregation Performance Factor Details** 

DRIS makes aggregation performance factor details available for download, through the Aggregation Performance Factors Export, The Aggregation Performance Factors Export may be exported after the close of the SCR Enrollment period for the Capability Period and auction month, as specified on the DRIS Event Calendar (refer to Section 2.1).

Resource details viewable on the export include enrollment data and event or test response data used in the calculation of the aggregation performance factor for the Capability Period and auction month.

Resources that are *Pending* an enrollment request or have been placed *Under Review* by the NYISO, are not included in the calculation of the aggregation performance factor and will not appear on the Aggregation Performance Factors Export until the resource *Pending* or *Under Review* status is resolved.

## **Pre-requisites**

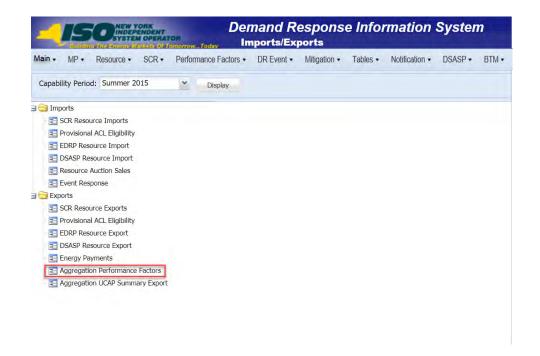
- The SCR enrollment period for the auction month for which the MP wants to export aggregation performance factor details has closed, according to the DRIS Event Calendar (refer to Section 2.1).
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").



- To export aggregation performance factor details
- 1. From the **Main** menu, choose **Imports/Exports**.

The system displays the Imports/Exports page (see Figure 145).

Figure 145: Import/Export Page Showing Aggregation Performance Factors Export Option



9. From the corresponding filter in the uppermost frame on the Imports/Exports page, choose the **Capability Period** encompassing the auction month for which aggregation performance factor details are to be downloaded.

> Note: The system has aggregation performance factor details beginning with the Summer 2012 Capability Period when this functionality was introduced for the SCR program.

10. Beside the Capability Period filter, click the **Display** button.

The system makes available the middle frame.

9. Under the Exports heading in the left pane of the middle frame, choose **Aggregation Performance Factors.** 

The system refreshes the right pane of the middle frame to display additional filters along with a button to initiate download of the file (see Figure 146).



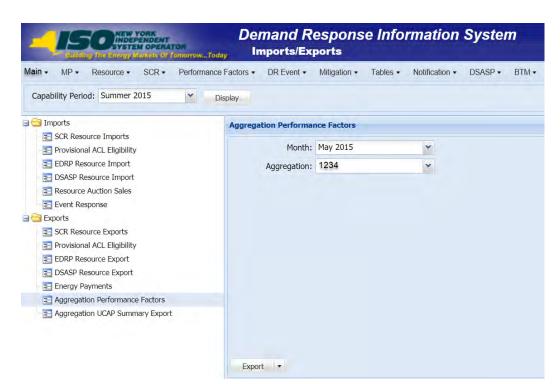


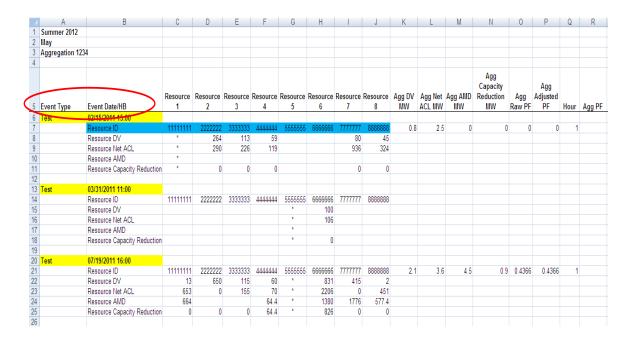
Figure 146: Filters for Exporting an Aggregation Performance Factors File

- From the corresponding filter in the right pane of the middle frame, choose the applicable 10. Month and Aggregation.
- Click the **Export** button, located in the lower-left corner of the right pane in the middle frame. The system displays a dialog box via which the aggregation performance factors file can either be saved or opened.
- 12. Take the requisite steps to either save or open the aggregation performance factors file. The aggregation performance factors file for the chosen Capability Period, month, and aggregation is either saved to the designated location or displayed on screen.
- View aggregation performance factors export
- 1. The Aggregation Performance Factors export displays export header information in the form of the Capability Period, auction month, and aggregation ID for which the file was exported, in the upper left corner of the export (see Figure 147).



2. Displayed directly below the file header information is each Event and Event Date and Hour Beginning being evaluated for use in the aggregation performance factor calculation (see Figure 147).

Figure 147: Aggregation Performance Factors Export File



- 3. For each resource within the aggregation, the following enrollment data and event or test hourly response data is displayed (see Figure 148):
  - Resource ID
  - Resource Declared Value:
    - Test Hour = the maximum DV of the resource in the Capability Period
    - Event Hour = the DV of the resource enrollment for the month in which the event occurred
  - Resource Net ACL: ACL for the Capability Period, including any Shutdown kW or Incremental kW values for the auction month
  - Resource AMD: metered kW of the resource for the event or test hour
  - Resource Capacity Reduction:
    - Resources enrolled with a Response Type equal to C or B = Net ACL AMD, when Capacity Reduction is negative set to zero



- Resources enrolled with Response Type equal to G = AMD
- Proxy Test Indicator:
  - A row will be displayed when the Event Type is the First Performance Test in a Capability Period
  - Displays a "Y" indicating that the test record contains Proxy Values for the First Performance Test
  - Displays a "N" indicating the values are from the actual First Performance Test in a Capability Period

**Note:** On the Aggregation Performance Factor Export, an asterisk is displayed in place of the resource enrollment and response values during periods when the resource was enrolled with another MP. The values masked by the asterisks are included in the Hourly Aggregation values and the final Aggregation Performance Factor calculation.

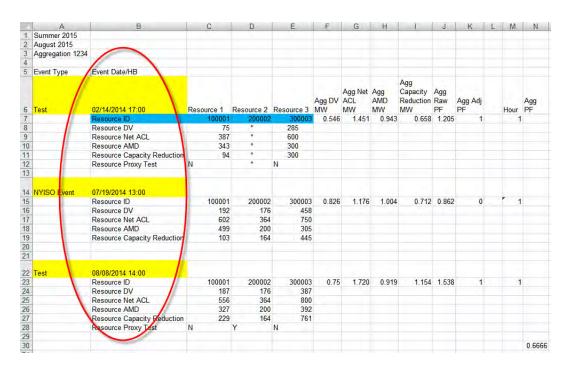


Figure 148: Aggregation Performance Factors Export File

For each event or test hour, the aggregation hourly event or test data is equal to the sum of the resource values for the individual event hour or the combined sum of the resource values for two test hours within the Capability Period (see Figure 149).



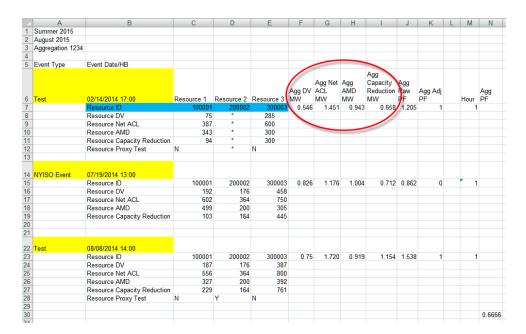
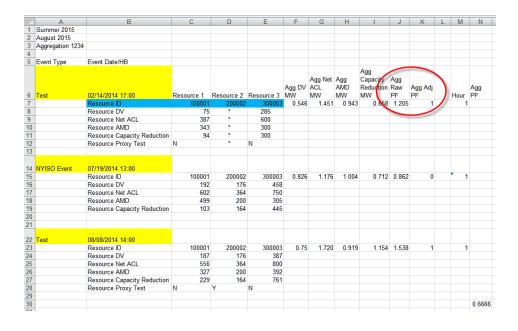


Figure 149: Aggregation Performance Factors Export File

- Additional hourly event or test values are displayed for the aggregation which include (see Figure 150):
  - Aggregation Raw PF= Capacity Reduction MW of the aggregation for the event or test hour / Declared Value MW of the aggregation for the event or test hour
  - Aggregation Adjusted PF =
    - Aggregation Raw PF for the Event/Test hour when the Aggregation Raw PF is less than or equal to 1
    - When the Aggregation Raw PF for the Event/Test hour is greater than 1, set to 1
  - Hour = 1 indicates that the Capacity Reduction for that event or test hour is being used in the aggregation performance factor calculation
    - Event Hour is used in the calculation when the Capacity Reduction MW of the event hour is part of the block of the highest four contiguous Capacity Reduction MWs for the event
    - Test Hour: the two Capability tests are treated as one hour



Figure 150: Aggregation Performance Factors Export File



- The calculated aggregation performance factor is located in the lower right corner of the export (see Figure 151).
  - Agg PF = Sum of the hourly Agg Adjusted PFs which are included (as indicated by a "1" in the Hour column) / Sum of Hours



Summer 2015 August 2015 Aggregation 1234 5 Event Type Event Date/HB Agg Net Agg ACL AMD Agg Agg DV ACL Reduction Raw Agg Adj MW MW 0.546 0.658 1.205 1.451 0.943 Resource DV 8 9 10 11 12 13 Resource Net ACI 387 600 Resource AMD 300 Resource Capacity Reduction Resource Proxy Test 94 300 N 14 15 16 17 18 19 20 21 07/19/2014 13:00 100001 0.712 0.862 Resource ID 200002 300003 0.826 1.176 1.004 Resource DV 364 Resource Net ACL 602 750 Resource AMD Resource Capacity Reduction 103 445 22 23 24 25 26 27 28 29 30 08/08/2014 14:00 Resource ID 100001 200002 300003 0.75 0.919 Resource DV 176 387 Resource Net ACL Resource AMD 327 200 392 Resource Capacity Reduction Resource Proxy Test 0.6666

Figure 151: Aggregation Performance Factors Export File

10.2.3.3. **Exporting Capability Period Summary of Aggregation UCAP Values** 

DRIS also makes available for download, a Capability Period summary of aggregation UCAP values, through the Aggregation UCAP Summary Export. The Aggregation UCAP Summary Export may be exported after the close of the SCR Enrollment period for the Capability Period and auction month, as specified on the DRIS Event Calendar (refer to Section 2.1).

Resources that are *Pending* an enrollment request or have been placed *Under Review* by the NYISO, are not included in the aggregation UCAP calculation for the specified auction month until the resource *Pending* or *Under Review* status is resolved.

# Pre-requisites

- The Aggregation Management period for the auction month for which the MP wants to export a summary of aggregation UCAP values has closed, according to the DRIS Event Calendar (refer to Section 2.1).
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

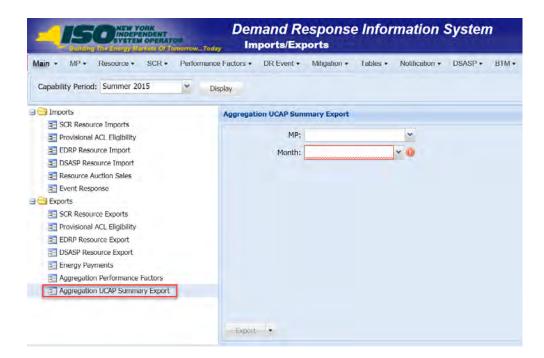
## To export summary of aggregation UCAP values

1. From the **Main** menu, choose **Imports/Exports**.



The system displays the Imports/Exports page (see Figure 152).

Figure 152: Import/Export Page Showing Aggregation UCAP Summary Export



- 2. From the corresponding filter in the uppermost frame on the Imports/Exports page, choose the **Capability Period** for which a summary of aggregation UCAP values are to be downloaded.
- 3. Beside the Capability Period filter, click the **Display** button.

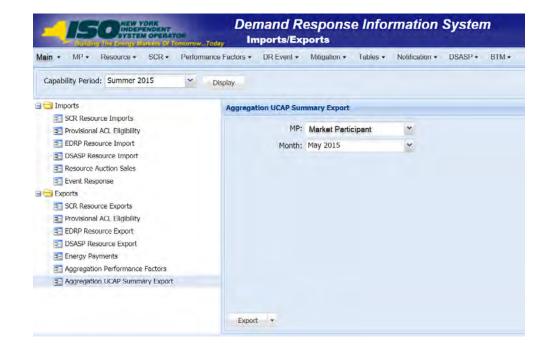
The system makes available the middle frame.

4. Under the Exports heading in the left pane of the middle frame, choose **Aggregation UCAP** Summary Export.

The system refreshes the right pane of the middle frame to display additional filters along with a button to initiate download of the file (see Figure 153).



Figure 153: Filters for Exporting an Aggregation UCAP Summary Export



- 5. From the corresponding filter in the right pane of the middle frame, choose the applicable Month.
- 6. Click the **Export** button, located in the lower-left corner of the right pane in the middle frame. The system displays a dialog box via which the aggregation performance factors file can either be saved or opened.
- 7. Take the requisite steps to either save or open the aggregation UCAP summary file. The aggregation UCAP summary file for the chosen Capability Period and month is either saved to the designated location or displayed on screen.

## View summary of aggregation UCAP values export

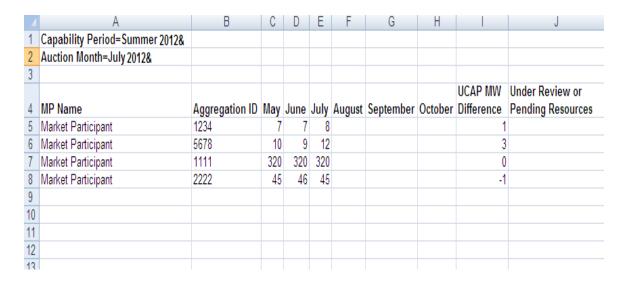
- The Aggregation UCAP Summary export displays export header information in the form of the Capability Period and auction month for which the file was exported, in the upper left corner of the export (see Figure 154).
- 2. Displayed below the header information is a row for each aggregation in the MP portfolio having a calculated UCAP value.



For each aggregation, the UCAP value is displayed for each auction month in the Capability Period up to and including the auction month for which the file was exported.

- 3. Additional information pertaining to the specific aggregations is displayed as:
  - UCAP MW Difference: change in UCAP MW from the selected auction month and the auction month prior to the selected auction month
  - Under Review or Pending Resources: displayed as an "X" when the aggregation includes any resources with a status of *Under Review* or *Pending* for the auction month selected.

Figure 154: Aggregation UCAP Summary Export File



#### 10.2.4. **Moving Resources between Aggregations**

The MP can move a resource from one aggregation to another. This task can be done only within the time frame for aggregation management as specified on the DRIS Event Calendar (refer to Section 2.1).

In order for a resource to be moved between aggregations, the Zone in which the resource facility is located must match the Zone of the target aggregation

Note: In the SCR menu the selection of "Aggregation Assignment" will navigate the user to the Aggregation Management screen which provides Aggregation Performance Factors. This screen will be enabled with the start of the SCR Enrollment calendar event for the May 2012 auction month. The selection of "Aggregation Assignment Pre-Summer 2012" will navigate the user to the process for Aggregation Management prior to the Summer 2012 Capability Period.

The "Aggregation Assignment Pre-Summer 2012" selection will continue to provide historical views after the Winter 2011 - 2012 Capability Period but will no longer be available for the Aggregation Management process beginning with the Summer 2012 Capability Period. Beginning with the Summer 2012 Capability Period, users should perform the Aggregation Management process through the "Aggregation Assignment" SCR menu option.



# Pre-requisites

- The MP has enrolled resources in the SCR program, as outlined under section 7.
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The auction month beginning with which the MP wants the updated aggregation assignments to take effect is open for aggregation management according to the DRIS Event Calendar (refer to Section 2.1).
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").
  - To move resources between aggregations
  - 1. From the **SCR** menu, choose **Aggregation Assignment**. The system displays the Aggregation Assignment page.
  - 2. From the corresponding search filters near the top of the page, choose the applicable **Capability Period** and **Auction Month** (see Figure 155).

**Note:** Resources can be moved between aggregations only within the time frame established for aggregation management, as specified on the DRIS Event Calendar (refer to Section 2.1).

Optionally, further limit the scope of aggregations to be displayed by the system to only the 3. Zone encompassing the aggregations to and from which resource(s) are to be moved, choosing the applicable option from the **Zone** search filter near the top of the page.

Note: In order for a resource to be moved between aggregations, the Zone in which the resource facility is located must match the Zone of the target aggregation.



Demand Response Information System **Aggregation Assignment** Capability Period: Summer 2021 MP Name: Market Participant ▼ Last Published From: Auction Month: May 2021 Zone: D Last Published To: o x ICAP MW of Resources Using Aggregation PF Adjusted ICAP MW of Resources UCAP MW of ICAP MW of Adjusted ICAP Aggregation PF Resources Using Aggregation PR Using Aggregation PF Market Participant Resource ID = Resource Name TCAP kW Adjusted TCAP kW Using MP PE Resource ID \* Total count: 3 🚜 Excel Total count: 0 -a Excel

Figure 155: Aggregation Assignment Page Displaying Zone Selection

- 4. Near the top of the page, activate the **Display** button.
  - The Aggregations grid below the filters refreshes to display data for each aggregation meeting the criteria chosen at step 3, including the aggregation ID, Zone, Capacity Accreditation Resource Class (CARC), resource count, and the ICAP, DAF/CAF and Adjusted ICAP MW of resources using the aggregation performance factor in the aggregation UCAP calculation and the MP performance factor in the aggregation UCAP calculation.
- 5. From the **Aggregations** grid, click and drag to one of the panes in the lowermost frame the *first* aggregation between which resources are to be moved.
  - The system displays in the target pane all resources currently assigned to the aggregation and highlights the row in the Aggregations grid the same color as the title bar in the destination pane (see Figure 156).
- 6. From the Aggregations grid, click and drag to the opposite pane in the lowermost frame the second aggregation between which resources are to be moved.
  - The system displays in the target pane all resources currently assigned to the aggregation and highlights the row in the Aggregations grid the same color as the title bar in the destination pane (see Figure 156).



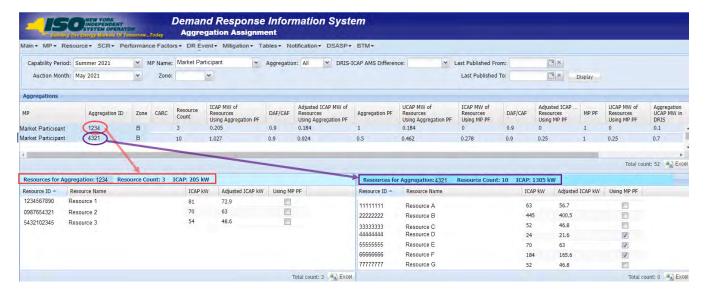


Figure 156: Aggregation Assignment Page Post Preparation for Resource Reassignment

- In either the right or left pane of the lowermost frame, select all resources to be moved to the other chosen aggregation:
  - To select a single resource, click the corresponding listing.
  - To select multiple contiguous resources, click the listing for the first desired resource, press and hold the SHIFT key, click the listing for the last desired resource, then release the **SHIFT** key.
  - To select multiple non-contiguous resources, click the listing for the first desired resource, press and hold the CTRL key, click the listing for each remaining desired resource, then release the CTRL key.

The system highlights the selected resource listing(s).

- Move the resource(s) selected at step 7 from the current aggregation to the target 8. aggregation by clicking and holding anywhere within the highlighted resource listings, dragging the mouse pointer to the opposite pane in the lowermost frame, then releasing the mouse button.
  - The system displays listings for the resources at the top of the destination pane and automatically recalculates and displays at the top of both panes the number of resources and



total ICAP value for the aggregations between which the resources were moved (see Figure 157).

The system will also automatically recalculate and display the summary aggregation values in the **Aggregation** grid for the count of resources, ICAP MW of resources using the aggregation performance factor, aggregation performance factor, Adjusted ICAP MW of resources using aggregation performance factor, ICAP MW of resource using the MP performance factor, Adjusted ICAP of resources using MP performance factor and the aggregation UCAP MW.

- 9. Repeat steps 7 and 8, until all resources are moved as desired between the aggregations chosen at steps 5 and 6.
- To move resources between aggregations other than those previously selected, repeat steps 5 through 8.

Demand Response Information System **Aggregation Assignment** Performance Factors + DR Event + Mitigation + Tables + Notification + DSASP + BTM + Canability Period: Summer 2021 MP Name: Market Participant Y Last Published From: o x Auction Month: May 2021 o x Last Published To: Display Using Aggregat 0.184 Using MP PF Market Participant ICAP: 1359 kW Resources for Aggregation: 1234 ICAP: 205 kW Adjusted ICAP kW Using MP PF Adjusted ICAP kW 1234567890 11111111 Resource A 0987654321 70 63 445 400.5 2222222 Resource B 5432102345 48.6 33333333 52 46.8 Resource C Resource D 24 21.6 5555555 Resource E 184 165.6 Resource F 77777777 52 46.8 Resource G 5432102345

Figure 157: Aggregation Assignment Post Resource Reassignment

## 10.2.5. Transfer of UCAP Values to ICAP AMS

Upon close of the aggregation management period for the upcoming auction month, as specified on the DRIS Event Calendar (refer to Section 2.1), DRIS automatically transfers the aggregation UCAP values for all Enrolled resources, to the ICAP AMS for use in the ICAP auction.



After the initial transfer of the aggregation UCAP values, Aggregation UCAP values that have changed (i.e., due to a change in the enrollment status of a resource or when a resource *Pending* request has been approved) are automatically transferred to the ICAP AMS.

Once Aggregation UCAP values are transferred to the ICAP AMS, additional information is made viewable on the DRIS Aggregation Assignment page:

- Last Published to ICAP AMS: Date and time UCAP value was saved in ICAP AMS.
- UCAP MW from ICAP AMS: Aggregation UCAP MW value as it appears in the ICAP AMS. This provides verification of the DRIS UCAP MW value that was saved in the ICAP AMS.

# Pre-requisites

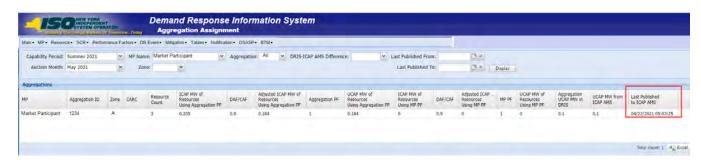
- The period for aggregation management in relation to the auction month for which the MP wants to view UCAP values transferred to ICAP AMS has ended according to the DRIS Event Calendar (refer to Section 2.1).
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

#### To view UCAP values transferred to ICAP AMS

- 1. From the **SCR** menu, choose **Aggregation Assignment**. The system displays the Aggregation Assignment page.
- 2. From the search filters near the top of the page, choose the **Capability Period** and **Auction** Month.
- 3. Optionally, further limit the scope of aggregation data to be displayed to a specific **Zone** by choosing the applicable option from the corresponding search filter near the top of the page.
- 4. Near the top of the page, activate the **Display** button.
  - The Aggregations grid below the filters refreshes to display data for each aggregation meeting the criteria chosen at steps 2 and 3, including the aggregation ID, Zone, resource count, and UCAP megawatts (see Figure 158).
- The UCAP MW Values from ICAP AMS and the Last Published to ICAP AMS dates are viewable on the aggregation grid page (see Figure 158).



Figure 158: Aggregation Assignment Page Illustrating UCAP Values Transferred to ICAP AMS



Note: Beginning with the February 2012 ICAP auction month, the ICAP AMS Maintain DMNC page will no longer allow for manual entry of SCR PTID DMNC values. The MW value will be transferred from DRIS and displayed in ICAP AMS with the following data:

Effective Date: Effective auction month from DRIS.

Expiration Date: Last day of the Capability Period.

Date of Test: Date on which aggregation management closed in DRIS for the specified Effective

Date.

Status: Will be set to Approved.

Last Updated By: Will be set to NYISO.

#### 10.2.6. Viewing Aggregation Data Prior to Summer 2012

Aggregation UCAP values calculated prior to the Summer 2012 Capability Period are viewable in DRIS through the Aggregation Assignment - Pre Summer 2012 page. The UCAP Worksheet also remains available for the exporting of historical aggregation UCAP values calculated prior to the Summer 2012 Capability Period.

## **Pre-requisites**

- The MP has enrolled resources in the SCR program, as outlined under Section 7.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").
  - To view aggregation data prior to Summer 2012
  - 1. From the SCR menu, choose Aggregation Assignment Pre-Summer 2012. The system displays the Aggregation Assignment Pre-Summer 2012 page.

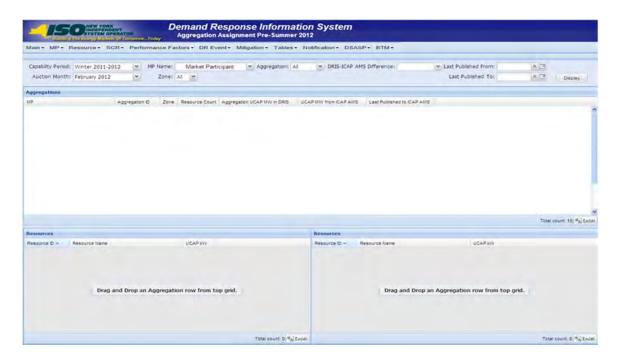


- 2. From the corresponding search filters near the top of the page, choose the Capability Period and **Auction Month** for which the system should display aggregation data.
- 3. Optionally, further limit the scope of aggregation data to be displayed by the system to a specific **Zone** by choosing the applicable option from the corresponding search filter near the top of the page.
- 4. Near the top of the page, activate the **Display** button.

The Aggregations grid below the filters refreshes to display data for each aggregation meeting the criteria chosen at steps 2 and 3, including the aggregation ID, Zone, resource count and UCAP MW (see Figure 159)

Note: The data displayed in the Aggregations grid can be downloaded by clicking the Excel button in the lower-right corner of the page, then via the displayed dialog box, taking the requisite steps to either open or save the file.

Figure 159: Aggregation Assignment Pre-Summer 2012 Page



- To view data for resources assigned to the aggregation prior to Summer 2012
- From the SCR menu, choose Aggregation Assignment Pre-Summer 2012. 1. The system displays the Aggregation Assignment Pre-Summer 2012 page.



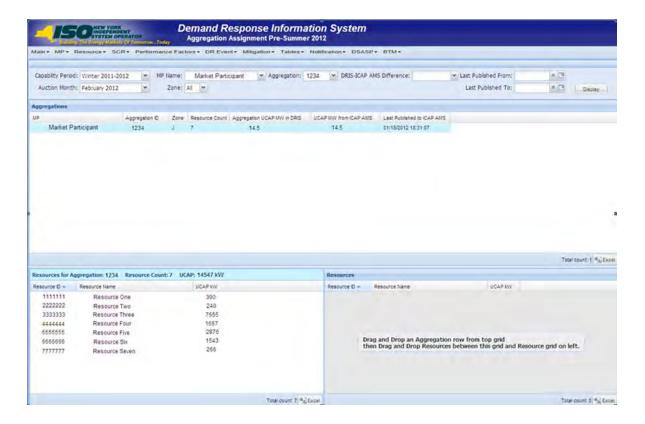
- 2. From the corresponding search filters near the top of the page, choose the Capability Period and **Auction Month** for which the system should display aggregation data.
- 3. Optionally, further limit the scope of aggregation data to be displayed by the system to a specific **Zone** by choosing the applicable option from the corresponding search filter near the top of the page.
- 4. Near the top of the page, activate the **Display** button.
  - The Aggregations grid below the filters refreshes to display data for each aggregation meeting the criteria chosen at steps 2 and 3, including the aggregation ID, Zone, resource count and UCAP MW (see Figure 160).
- 5. From the **Aggregations** grid, click and drag to one of the panes in the lowermost frame the aggregation for which details will be viewed.
- 6. The system displays in the target pane all resources assigned to the aggregation and highlights the row in the Aggregations grid the same color as the title bar in the destination pane (see Figure 160).

The data displayed for each resource currently assigned to the aggregation includes the resource ID, resource name, and UCAP kW.

The summary data displayed for the aggregation includes the aggregation ID, resource count, and the total UCAP kW of the aggregation.

Figure 160: Aggregation Assignment Pre-Summer 2012 Page Showing Resources for an Aggregation





## 10.3. **Viewing Aggregation and Resource Auction Sales**

After the Spot Market Auction in the NYISO ICAP Market System has closed, Aggregation Auction Sales will be posted in DRIS. The aggregation sales can be viewed by various parameters and at varying levels of detail. In addition, the MPs have the opportunity to allocate partial sales to resources belonging to aggregations that sold a portion of their UCAP value in the Spot Market Auction.

#### 10.3.1. **Viewing Aggregation and Resource Auction Sales**

Aggregation auction sales can be viewed by varying parameters in DRIS. When viewing aggregation auction sales, the MP must, at a minimum, specify a Capability Period and Month. The MP can further narrow the data the system displays by selecting the following additional parameter:

Aggregation ID

Regardless of viewing scope, the system initially displays the following data for each Aggregation:

- Aggregation ID
- Zone
- Auction Sale MW (megawatt value of UCAP sold for the Aggregation, Capability Period, and Month, posted in DRIS from the ICAP Market System)



- Calculated MW (megawatt value of UCAP calculated by DRIS for the Aggregation, Capability Period, and Month, as reflected in the UCAP report exportable from DRIS)
- Assigned MW (megawatt value of the sum of kilowatt values allocated to resources within the Aggregation when the Aggregation has partial sales or no sales for the Capability Period and Month)

## **Pre-requisites**

- The Spot Market Auction has closed and Auction Sales of zero or greater megawatts have been posted in DRIS for the Capability Period and auction month selected.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".

## To view aggregation auction sales

- 1. From the **SCR** menu, choose **Auction Sale Summary**. The system displays the Summary of Aggregation Auction Sales page (see Figure 161).
- 2. From the corresponding search filter(s) in the uppermost frame on the Summary of Aggregation Auction Sales page (see Figure 161), choose the Capability Period and the **Month** for which the system should display aggregation auction sales.

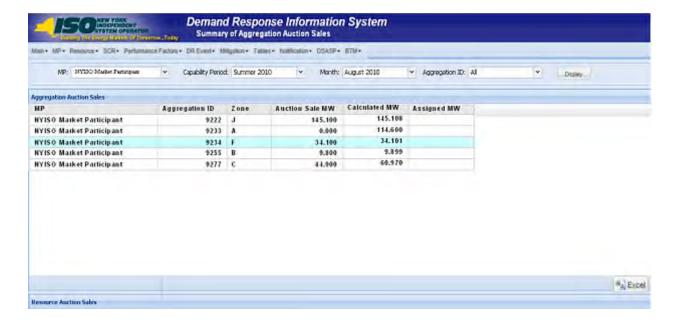
Figure 161: Summary of Aggregation Auction Sales Page Search Filters



- 3. Optionally, further limit the scope of aggregation auction sales to be displayed by the system to only a specific **Aggregation ID** by choosing the applicable option from the corresponding search filter near the top of the page.
- Near the top of the Summary of Aggregation Auction Sales page, click the **Display** button. 4. The system populates the Aggregation Auction Sales grid below the search filters with an entry for each aggregation meeting the criteria chosen at steps 2 and 3 (see Figure 162).



Figure 162: Summary of Aggregation Auction Sales Page Populated with Data



5. Optionally, view further details for a specific aggregation by clicking the corresponding row in the Aggregation Auction Sales grid.

Note: The data displayed in the Aggregation Auction Sales grid may be downloaded in Excel format. To do so, click the Excel button in the lower-right corner of the frame, then via the displayed dialog box, take the requisite steps to either open or save the file.

Note: Aggregations that are fully sold, and therefore do not require partial sales reporting, will display a UCAP value in the Auction Sale MW column that matches the corresponding value in the Calculated UCAP MW column to the nearest tenth of a decimal.

Aggregations that are unsold, and therefore do not require partial sales reporting, will display a zero UCAP value in the Auction Sale MW column.

Aggregations that are partially sold, and therefore may have partial sales allocated, will display a UCAP value in the Auction Sale MW column less than the corresponding value in the Calculated UCAP MW column (see Figure 162).

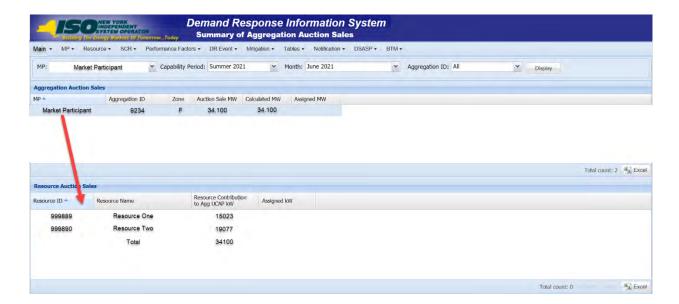
#### To view resource auction sales

- From the **SCR** menu, choose **Auction Sale Summary**. 1. The system displays the Summary of Aggregation Auction Sales page (see Figure 161).
- 2. From the corresponding search filter(s) in the uppermost frame on the Summary of Aggregation Auction Sales page (see Figure 161), choose the Capability Period and the **Month** for which the system should display aggregation auction sales.



- 3. Optionally, further limit the scope of aggregation auction sales to be displayed by the system to only a specific Aggregation ID by choosing the applicable option from the corresponding search filter near the top of the page.
- Near the top of the Summary of Aggregation Auction Sales page, click the **Display** button. 4. The system populates the Aggregation Auction Sales grid below the search filters with an entry for each aggregation meeting the criteria chosen at steps 2 and 3 (see Figure 162).
- 5. In the Aggregation Auction Sales grid, click the row corresponding to the aggregation for which the system should display resource auction sales.
  - The Resource Auction Sales frame in the lowermost area of the page refreshes to display the specific resources within the chosen aggregation along with the resource Calculated kW and Assigned kW, as applicable (see Figure 163).

Figure 163: Resource Auction Sales Frame Populated with Aggregation Resources from the Aggregation **Auction Sales Pane** 



## 10.4. **Allocating Resource Partial Auction Sales**

Upon close of the Spot Market Auction in the NYISO ICAP Market System, MPs have the opportunity to allocate resource sales to any Aggregations that had sales greater than zero but less than the full UCAP amount. This may be performed through the Resource Auction Sales import file or directly through the Summary of Aggregation Auction Sales page in DRIS.



Resource auction sales can be reported only within a pre-established time frame as provided in the DRIS Event Calendar. This limited Partial Sales Reporting period occurs in DRIS after the close of the Spot Market in the ICAP Market System and after Auction Sales have been posted in DRIS. During this time frame, partial sales may be initially allocated and then subsequently updated as often as necessary, provided that the calendar event for reporting has not closed.

Only aggregations having sales greater than zero but less than the full UCAP value can be reported. All resources within the partially sold aggregation must be reported even if one or more of the resources within the aggregation are assigned a zero as the amount sold.

Aggregations having zero sales cannot report partial sales. Resources within an aggregation with zero sales will automatically be assigned zero as the UCAP amount sold.

After the close of the DRIS Partial Sales Reporting Calendar Event, any unreported partially sold Aggregation will use the full DRIS Calculated UCAP amount of each resource in the Aggregation for performance factor calculations.

> Note: Aggregations that are fully sold, and therefore do not require partial sales reporting, will display a UCAP value in the Auction Sale MW column that matches the corresponding value in the Calculated UCAP MW column to the nearest tenth of a decimal.

> Aggregations that are unsold, and therefore do not require partial sales reporting, will display a zero UCAP value in the Auction Sale MW column.

Aggregations that are partially sold, and therefore may have partial sales allocated, will display a UCAP value in the Auction Sale MW column less than the corresponding value in the Calculated UCAP MW column (see Figure 162).

# Pre-requisites

- Auction sales in relation to the auction month for which the MP wants to report partial sales have been posted in DRIS.
- The period for Partial Sales Reporting in relation to the auction month for which the MP wants to report partial sales is open on the DRIS Event Calendar (refer to Section 2.1).
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

#### 10.4.1. **Creating a Resource Auction Sales File**

When electing to allocate partial auction sales through an import file, it is the responsibility of the MP to perform the following:

Create a correctly structured, formatted, and populated resource auction sales file



- 2. Import the resource auction sales file to DRIS
- 3. Review and manage as necessary the results of the import process

Task 3 immediately preceding may require the MP take an additional action in the form of, for example, correcting exceptions (i.e., data errors, changes, or omissions) that prevent import of some or all data reported in error.

As illustrated by the sample resource auction sales files in Figure 164 and Figure 165, the file must contain header data in the form of the auction month for which the resource partial sales are being reported. The file must also contain a set of data for each resource being reported for the auction month, and may contain column headings.

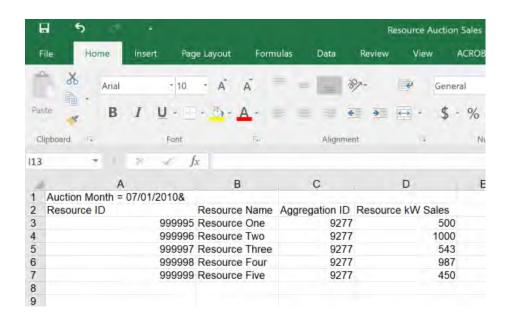


Figure 164: Sample Resource Auction Sales File in .XLS or .XLSX Format



Figure 165: Sample Resource Auction Sales File in .CSV Format

```
Resource Auction Sales - Notepad
File Edit Format View Help
Auction Month = 07/01/2010&,,,
Resource ID, Resource Name, Aggregation ID, Resource kW Sales
999995, Resource One, 9277, 500
999996, Resource Two, 9277, 1000
999997, Resource Three, 9277, 543
999998, Resource Four, 9277, 987
999999, Resource Five, 9277, 450
```

In order for a resource auction sales file to be successfully processed by DRIS, the header data must be properly completed for the auction month in question. Likewise, in order for resource auction data to be imported to the system, the data must meet predefined rules related to formatting and value Figure 166 and Figure 167 details the rules specific to the resource auction sales file header and resource data.

After creating a properly structured, formatted, and populated resource auction sales file, the MP must import the file to DRIS as the next step to reporting partial auction sales.

> Note: The resource auction sales file must be imported into DRIS as .csv format. Blank .csv or Excel "template" files for importing resource auction sales can be obtained from the NYISO Web site at <a href="https://www.nyiso.com/demand-response">https://www.nyiso.com/demand-response</a> (in the Special Case Resource ICAP Program folder). Note that if a blank .csv "template" file is opened in Excel or OpenOffice; it must be saved to .csv format before being imported to the system.

Figure 166: Rules for Successful Processing of Resource Auction Sales Import File

Resource Auction Sales Header Field Name	Rule	Error Message	
Auction Month	The date in the header must be the first day of the auction month selected.	Selected <auction month=""> does not equal the Auction Month in Import File header.</auction>	



Figure 167: Rules Specific to Successful Processing of Resource Auction Sales Files

Resource Auction Sales Field Name	Column in Import File	Field Format	Description and Rule(s)	Error Message
Resource ID	A	Numeric	The Resource ID assigned by the NYISO.  Resource must have been Enrolled for the auction month for which the partial sales are being reported.	Resource <resource id=""> in the file was not Enrolled for the auction month being reported.</resource>
Resource Name	В	Text Up to 100 characters	The name of the SCR resource.	N/A
Aggregation ID	С	Numeric	The aggregation ID to which the resource was assigned for the auction month for which partial sales are being reported.	Resource <resource id=""> in the file was associated with the Aggregation ID <aggregation id=""> for the auction month being reported.</aggregation></resource>
Resource kW Sales	D	Numeric Up to 7 digits	Must be >=0	Resource <resource id=""> sales must be greater than or equal to zero.</resource>
		No decimals	Must be less than or equal to the Calculated UCAP kW value of the resource when the auction sales were imported from AMS.	Resource <resource id=""> sales must be less than or equal to the Calculated UCAP value <ucap value=""> for the auction month.</ucap></resource>

## 10.4.2. **Importing the Resource Auction Sales File**

- To import a resource auction sales file
- From the **Main** menu, choose **Imports/Exports**. 1.

The system displays the Imports/Exports page (see Figure 168).



Figure 168: Import/Export Page as Initially Displayed

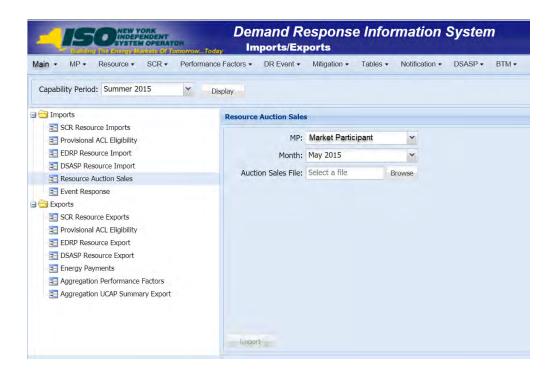


- 2. From the corresponding filter near the top of the page, choose the **Capability Period** for which resource partial auction sales are being allocated.
- 3. Beside the Capability Period filter, click the **Display** button. The system activates the middle frame and populates the lowermost frame with a list of import events for the Capability Period chosen at step 2.
- On the left side of the middle frame and under the Imports heading, click Resource Auction 4. Sales.

The area to the right refreshes to display input components specific to the month for which the import is being performed (see Figure 169).



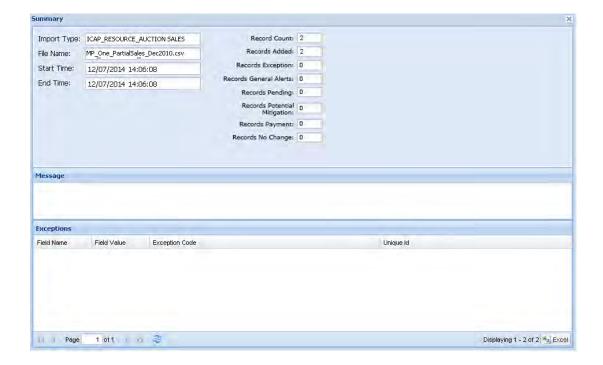
Figure 169: Import/Export Page Displaying Input Components Specific to Resource **Auction Sales** 



- 5. Select the applicable **Month** from the corresponding drop-down filter on the right side of the middle frame.
- 6. On the right side of the middle frame, click the **Browse** button. The system displays a File Upload dialog box.
- 7. Via the File Upload dialog box, navigate to and choose the file containing the data for the resources reporting partial auction sales, then click the **Open** button.
  - The File Upload dialog box closes, and the system populates the Auction Sales File field in the right pane of the middle frame with the name of the chosen file.
- 8. Click the **Import** button, located in the lower-left corner of the right side of the middle frame. The system displays a dialog box summarizing the results of the import process (see Figure 170).
- 9. Review the import results and proceed accordingly, as outlined in Section 10.4.3.



Figure 170: Sample Import Summary Dialog Box for Auction Sales



#### 10.4.3. **Managing Resource Auction Sales Import Results**

Whenever an MP attempts to import a resource auction sales import file to DRIS, the system generates a report outlining the results of the process. If the data for one or more resources in the auction sales file contain exceptions, the report details each exception on a separate line and identifies the resource ID of the record containing the exception, the specific field containing the exception, the value supplied in the field containing the exception, and a message specifying the nature of the exception (see Figure 171).

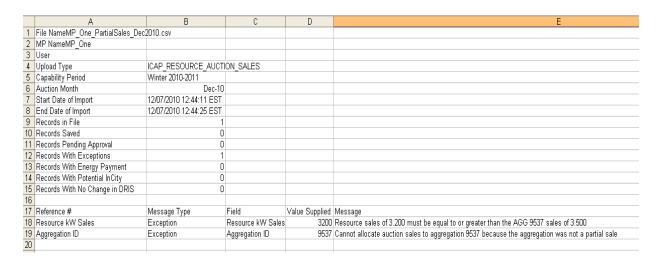
**Note:** When exceptions are found for one or more resources in the resource auction sales import file. the entire import process fails, and no resources are updated with their reported partial sales. Any and all exceptions must be corrected and the resource auction sales import file re-imported successfully to allocate partial sales.

The MP must review the report for purposes of creating and reporting a file containing correct data for the resources in question, along with correct header data, prior to the deadline for reporting resource partial auction sales as specified on the DRIS Event Calendar (refer to Section 2.1).

**Note:** The MP may access the import report directly from the Summary dialog box displayed immediately following import by clicking the **Excel** button in the lower right-hand corner of the dialog box then taking the requisite steps to either open or save the corresponding file.



Figure 171: Sample Exceptions Report for Resource Auction Sales File Import



# Pre-requisite

- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").
  - To access the import activity report and manage related errors

**Note:** If the Summary dialog box displayed after import is open, the import report may instead be accessed by clicking the Excel button in the lower right corner of the dialog box then taking the requisite steps to either open or save the corresponding file.

From the **Main** menu, choose **Imports/Exports**. 1.

The system displays the Imports/Exports page (see Figure 172).



Figure 172: Import/Exports Page



- 2. From the corresponding filter near the top of the page, choose the Capability Period for the previously reported resource auction sales file that generated the exception(s).
- 3. Beside the Capability Period filter, click the **Display** button. The Import History frame at the bottom of the page refreshes to display a grid listing each import event for the chosen Capability Period (see Figure 173).

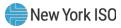
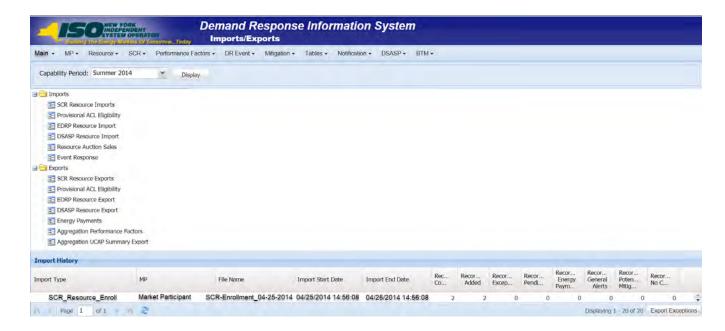


Figure 173: Populated Import History Grid on Imports/Exports Page



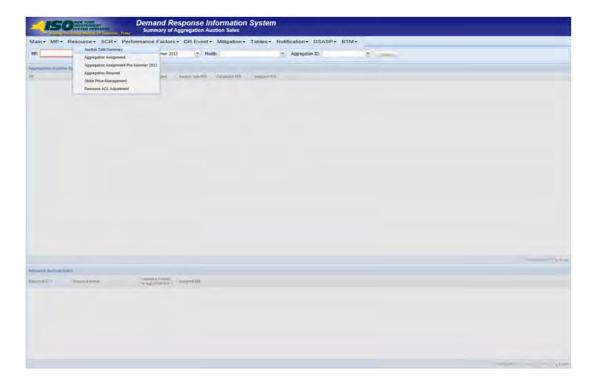
- 4. In the **Import History** grid, select the entry for the import event that generated the exception(s).
- 5. In the lower-right corner of page, click the **Export Exceptions** button. The system displays a dialog box via which the import report can be saved or opened.
- Take the requisite steps to either save or open the import report. 6. The report is either saved to the designated location or displayed on screen.
- 7. Review the report, correct all exceptions in the resource auction sales file, then import the updated file to DRIS.

### 10.4.4. Allocating Resource Auction Sales via the Corresponding System Page

- To allocate partial sales via the corresponding system page
- 1. From the **SCR** menu, choose **Auction Sale Summary**. The system displays the Summary of Aggregation Auction Sales page (see Figure 174).



Figure 174: Navigating to the Summary of Aggregation Auction Sales page

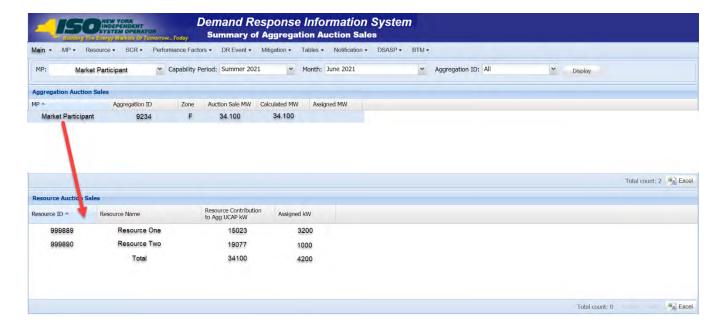


- 2. From the corresponding filter in the uppermost frame in the Summary of Aggregation Auction Sales page, choose the **Capability Period** and **Month** encompassing the auction month for which the partial sales are to be reported.
- 3. Optionally, choose a specific **Aggregation ID** from the corresponding filter in the uppermost frame on the Summary of Aggregation Auction Sales page to further narrow the aggregation auction sales data to be displayed.
- Click the **Display** button. 4.
  - The Aggregation Auction Sales frame refreshes to display a grid of aggregations meeting the criteria selected at step 2.
- 5. Click the row housing the aggregation for which the partial sales are to be allocated. The Resource Auction Sales frame in the lowermost area of the page refreshes to display a grid of all enrolled resources within the selected aggregation at the time of the auction.
- On the Resource Auction Sales frame, click the **Assign** button, in the lower right corner, to 6. initially allocate each resource an Assigned kW.



- Prior to modifying the Assigned kW of an individual resource, click the **Save** button in the lower right corner of the Resource Auction Sales frame. This will save the full auction sale kW value for each resource, which can then be modified in Step 8 below.
- 8. To change the Assigned kW value of a resource, in the Resource Auction Sales frame, click the row housing the resource for which the Assigned kW value should be a partial amount for the actual Calculated kW value of the aggregation (see Figure 175).
- 9. Type directly in the **Assigned kW** field to update the partial value sold for the resource.

Figure 175: Highlighted Row Housing the Resource for which Partial Sales will be Assigned



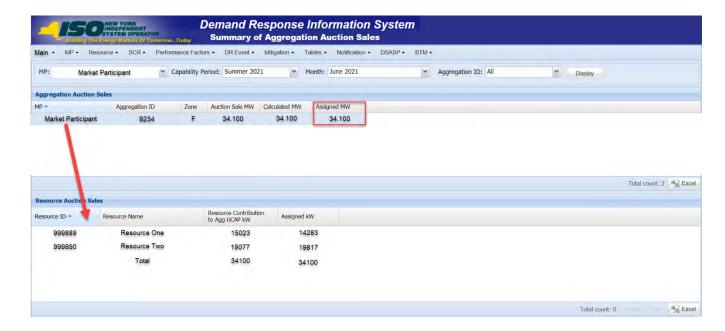
- 10. Repeat steps 8 and 9 until the partial sales allocation for all resources within the selected aggregation have been assigned.
- 11. When all resources within the aggregation have been assigned a partial sold value, click the Save button.

DRIS updates the sum of the partial sales allocations from the Assigned kW column in the Resource Auction Sales frame to the corresponding aggregation's Assigned MW value in the Aggregation Auction Sales frame (see Figure 176).

12. To allocate partial sales for aggregations other than the one previously chosen, repeat steps 5 through 11.



Figure 176: Partial Resource Sales Summed at the Aggregation



### 10.5. **Viewing Resources Subject to an Offer Floor**

Viewing resources that are determined to require an Offer Floor for use in the ICAP Auction provides the MP with a snapshot of the resource Offer Floor prices and a running count of the number of months in which the resource has cleared the offer price in an auction. Resource Offer Floor data displayed includes the following:

- Resource ID
- Resource name
- Month
- Aggregation ID
- Sale kW
- Summer floor price
- Winter floor price
- Passed validation indicator
- Current number of months cleared

The Current Number of Months Cleared value increments each time the resource is determined to have cleared its Offer Floor price in the ICAP auction. This value is displayed to the MP as the total number of months cleared, including months the resource may have been enrolled with another MP. This value will



continue to increment until it reaches 12 months cleared, at which time the resource will no longer appear on the UCAP Export as having an Offer Floor assigned and will no longer be subject to an Offer Floor in the ICAP auction.

## To view resource Offer Floor details

- 1. From the Mitigation menu, choose Validate Auction Sales. The system displays the Validate Mitigated Auction Sales page.
- 2. From the corresponding search filters in the uppermost frame on the Validate Mitigated Auction Sales page (see Figure 177), choose the **Resource ID** and/or **Month** for which the system should display resource validated auction sales details.

Figure 177: Validate Mitigated Auction Sales Page Search Filters



- Near the top of the Validate Mitigated Auction Sales page, click the **Display** button. 3.
  - The system populates the Mitigated Auction Sales page below the search filters with data for the resources meeting the criteria chosen at step 2 (see Figure 178).



Figure 178: Validate Mitigated Auction Sales Page Populated with Data



**Note:** The determination of a resource passing validation occurs for each auction month in which the resource has sales. Validation occurs for a specific auction month after the close of the Partial Sales Reporting period for that auction month, as specified on the DRIS Event Calendar (refer to section 2.1).

#### To view resources with an Offer Floor

- 1. From the **Resource** menu, choose **Monthly Details**.
  - The system displays the Resource Monthly Details page.
- From the corresponding search filters in the uppermost frame on the Resource Monthly 2. Details page (see Figure 179), choose the Capability Period and/or the Resource ID for which the system should display resources with an Offer Floor.

**Note:** Section 8.1.3 further details the search functionality on the Monthly Details page.

Figure 179: Resource Monthly Details Page Search Filters



3. Near the top of the Resource Monthly Details page, click the **Display** button.

The system populates the Monthly Details grid below the search filters with data for those resource enrollments meeting the criteria chosen at step 2 (see Figure 180).



Note: The system may display more than one entry per resource, depending on the defined criteria. Entries in the Monthly Details grid are displayed in descending order based on the months within the specified Capability Period, with the values in the Begin Effective Date and End Effective Date columns indicating the time span of each enrollment.

Resources having an Offer Floor will be identified with a checkmark in the Floor Price In Effect field in the Monthly Details grid. The field will be checked only for those months in which the resource was subject to an Offer Floor.

Figure 180: Resource Monthly Details Page Displaying Floor Price in Effect Field



### **Managing Provisional ACL Resource Enrollments & Verification Data** 10.6.

For those MPs with resources enrolled with a Provisional ACL in the selected Capability Period, DRIS provides the means to perform the following:

- Download a properly formatted file to use as a template for reporting resource Provisional ACL verification data
- Import resource Provisional ACL verification data
- View imported resource Provisional ACL verification data, including applicable Transmission Owner add-back kW values, DADRP add-back kW values and DSASP baseline kW values for the resource
- View resources which have a Provisional ACL shortfall

Resource Provisional ACL verification data must be imported into DRIS within a pre-established time frame as specified on the DRIS Event Calendar (refer to Section 2.1).

It is the responsibility of the MP to perform the following:

Download and create a correctly structured, formatted, and populated resource Provisional 1. ACL verification file



- 2. Import the resource Provisional ACL verification file to DRIS
- 3. Review and manage as necessary the results of the import process

Task 3 immediately preceding may require the MP take an additional action in the form of, for example, correcting exceptions (i.e., data errors, changes, or omissions) that prevent import of some or all data.

> Note: Reporting resource Provisional ACL verification data through the Provisional ACL Verification import file in DRIS is the *only* means by which resource Provisional ACL verification data will be accepted by the NYISO. The imported data will be used for both the calculation of the resource ACL and the determination of a shortfall based on the resource Verified ACL and the resource Provisional ACL previously imported on the resource enrollment during the selected Capability Period.

### 10.6.1. **Downloading the Provisional ACL Verification File**

Reporting of resource Provisional ACL verification data is initiated via MP import to DRIS of the NYISO provided Excel (.xlsx or .xlsx) file. Importing of Provisional ACL verification data for multiple resources is initiated at one time.

Pre-existing resource data in the file format required for reporting to the system can be downloaded from DRIS by the MP. The MP can then use the file to create a properly structured and formatted file containing resource Provisional ACL data for subsequent reporting to DRIS.

# Pre-requisites

- Data for the MP's resources already exist in the system.
- The MP representative performing the task is logged in to DRIS (see section 1.3, "Accessing the System").

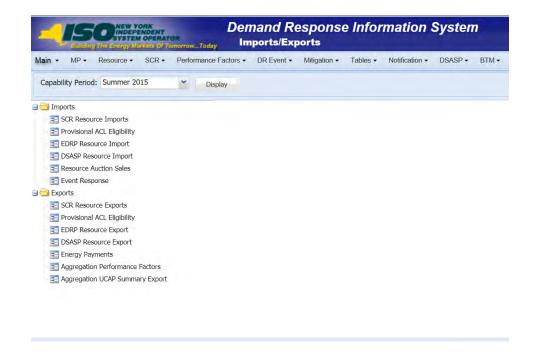
# To download the Provisional ACL verification file

1. From the **Main** menu, choose **Imports/Exports**.

The system displays the Imports/Exports page (see Figure 181).



Figure 181: Import/Export Page as Initially Displayed



- 2. From the corresponding search filter in the uppermost frame on the Imports/Exports page, choose the Capability Period.
- 3. Beside the Capability Period filter, click the **Display** button.

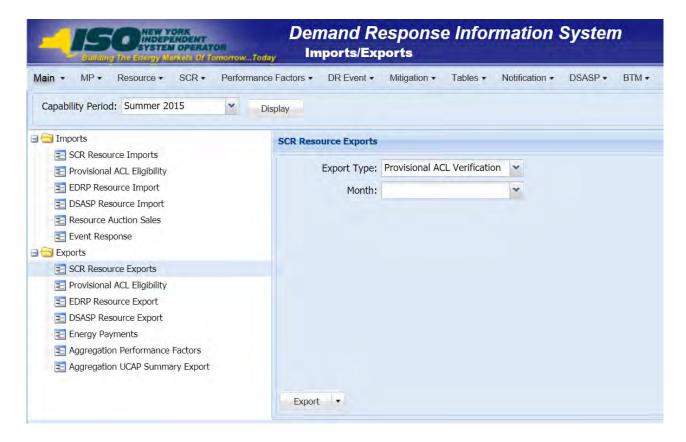
The system makes available the middle frame.

4. Under the Exports heading in the left pane of the middle frame, choose **SCR Resource Exports**.

The system refreshes the right pane of the middle frame to display additional filters along with a button to initiate download of the file (as illustrated in Figure 182).



Figure 182: Import/Export Page Displaying Input Components Specific to Provisional ACL Verification **Export** 



- 5. Select **Provisional ACL Verification** from the **Export Type** drop-down filter on the right side of the middle frame.
- 6. When selecting **Provisional ACL Verification**, the **Month** drop-down filter should remain unpopulated.
- 7. Select the file format from the **Export** button, located in the lower-left corner of the right pane in the middle frame, and click to export.
  - The system displays a dialog box via which the Provisional ACL verification file can either be saved or opened.
- 8. Take the requisite steps to either save or open the Provisional ACL verification file.
  - The Provisional ACL verification file is either saved to the designated location or displayed on screen.



#### 10.6.2. **Creating the Provisional ACL Verification File**

The downloaded Provisional ACL verification file provides the MP with the file format required for reporting to the system. The file format includes the following resource data pre-populated for resources which were enrolled with a Provisional ACL for the selected Capability Period:

- Resource ID
- Resource name
- TO account number
- Meter Authority
- Meter installation date
- Zone

In addition, the file contains the following column headings pre-populated with the SCR Load Zone Peak Hours for the Capability Period selected.

- ACL kW for Peak Load Date Hour 1 mm/dd/yyyy hh, through
- ACL kW for Peak Load Date Hour 40 mm/dd/yyyy hh

**Note:** The Provisional ACL Verification File contains column headings for the SCR Load Zone Peak Hour fields. Each ACL kW column heading begins with the column label and is then followed by the specific Date of the Peak Hour followed by the specific Hour Beginning of the Peak Hour. In the example: ACL kW for Peak Load Hour 1 12/14/2010 17, the field label is "ACL kW for Peak Load Hour 1", the specific Date of the Peak Hour is "12/14/2010", and the specific Hour Beginning of the Peak Hour is "17".

The MP is required to provide the kW value for each resource in the file for all of the specified SCR Load Zone Peak Hours which occur from the individual resource meter installation date through the end of the Capability Period.

Note: Resources for which no Capability Period SCR Load Zone Peak Hours occur from the resource meter installation date through the end of the Capability Period should remain listed on the Provisional ACL verification file as required for reporting of the resource Provisional ACL verification. ACL kW cells for which no ACL kW data is available based on the resource meter installation date should remain blank on the import file.

As illustrated by the sample Provisional ACL verification file in Figure 183, the file must contain header data in the form of Capability Period and DR program. The file must also contain a separate tab for each zone. Each zonal tab must contain the header data.

Note: Excel (.xlsx or .xlsx) is the only file format accepted into DRIS for the import of the resource Provisional ACL Verification file.



Figure 183: Sample Provisional ACL Verification File in Excel

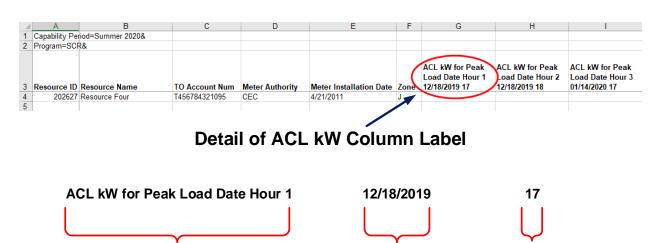


- Provisional ACL Verification Export File will list all resources enrolled with a Provisional ACL in the Capability Period selected
- Provisional ACL verification file formatted with a separate tab for each zone



Figure 184: Detail of ACL kW Column Label

Column label showing the Peak Hour



**Date of Peak Hour** 

In order for a Provisional ACL verification file to be successfully processed by DRIS, the header data must meet pre-defined rules. Figure 185 details the rules along with the error messages the system will generate should the file violate any of the rules. Likewise, in order for the resource data to be imported to

**Hour Beginning of** 

**Peak Hour** 



the system, the data must meet pre-defined rules relating to formatting and value. Figure 186 details the specific rules.

After creating a properly structured, formatted, and populated Provisional ACL verification file, the MP must import the file to DRIS as the next step in reporting resource Provisional ACL verification data.

Figure 185: Rules for Successful Processing of Provisional ACL Verification Import File

Attribute	Rule	Error Message
Capability Period	The Capability Period in the header must match that chosen via the system interface.	Capability Period < Capability Period > in the Import File header does not match the Capability Period selected.
Program	The program in the header must be equal to SCR.	Program <program> in the Import File header must be SCR.</program>
Multiple Tabs	The Provisional ACL Verification file must have a tab designated for each zone within the Excel file.  The two header rows, Capability Period and Program, must appear on each zonal tab within the Excel file.	

Figure 186: Rules Specific to Resource Data in Provisional ACL Verification File

Note: The Provisional ACL Verification File contains column headings for the SCR Load Zone Peak Hour fields. Each ACL kW column heading begins with the column label and is then followed by the specific Date of the Peak Hour followed by the specific Hour Beginning of the Peak Hour. In the example: ACL kW for Peak Load Hour 1 12/14/2010 17, the field label is "ACL kW for Peak Load Hour 1", the specific Date of the Peak Hour is "12/14/2010", and the specific Hour Beginning of the Peak Hour is "17".

Provisional ACL Verification Field Name	Column in Import File	Field Format	Description and Rule(s)
Resource ID	A	Numeric	The Resource ID assigned by the NYISO.
Resource Name	В	Text Up to 100 characters	The name of the SCR resource.
TO Account Num	С	Text	The account number assigned by the Transmission Owner.
		Up to 30 characters	The account number assigned by the Transmission Owner must be reported into DRIS with the letter <i>T</i> preceding the account number. For example, if the account number is <i>5436789</i> , it must be reported on the import file to DRIS as <i>T5436789</i> .
			For resources assigned Rochester Gas & Electric or NYS Electric & Gas do not use the TO Account Number. Instead, use the Point of Distribution ID (POD ID).
			When the POD ID assigned by the Transmission Owner is preceded by an <i>R</i> or an <i>N</i> , do not precede the POD ID with the letter <i>T</i> For example, if the POD ID is <i>R5436789</i> it must be reported on the import file to DRIS as <i>R5436789</i> .
			Can only be numbers, letters, or a combination of the two; dashes, spaces between numbers/letters, or any odd characters are not allowable.

Provisional ACL Verification Field Name	Column in Import File	Field Format	Description and Rule(s)
Meter Authority	D	Text Up to 3 characters	The Transmission Owner or Meter Services Entity that is providing the meter data used for the Top 40 ACL values for the resource being enrolled.  The Meter Authority will be the 3 character abbreviation for the Meter Authority being used for the resource. The list of abbreviated Meter Authority names can be found on the NYISO website: <a href="Approved Meter Services Entities">Approved Meter Services Entities</a>
Meter Installation Date	Е	Date MM/DD/YYYY	Date on which the resource meter was installed.
Zone	F	Text 1 character	The letter of the LBMP Zone where the resource facility is located.
ACL kW for Peak Load Date Hour 1 MM/DD/YYYY HH	G	Numeric Up to 7 digits before decimal and 1 digit after decimal	The kW meter value for the resource for the specified Capability Period SCR Load Zone Peak Hour.  Enter an ACL kW value for each Capability Period SCR Load Zone Peak Hour occurring from the resource meter installation date through the end of the Capability Period.
			The ACL kW cell should remain blank for each Capability Period SCR Load Zone Peak Hour occurring prior to the resource meter installation date,
Note: Continue with a sepa The ACL kW column labels			Zone Peak Hours.
ACL kW for Peak Load Date Hour 40 MM/DD/YYYY HH	AT	Numeric Up to 7 digits before decimal and 1 digit after decimal	The kW meter value for the resource for the specified Capability Period SCR Load Zone Peak Hour.  Enter an ACL kW value for each Capability Period SCR Load Zone Peak Hour occurring from the resource meter installation date through the end of the Capability Period.
			The ACL kW cell should remain blank for each Capability Period SCR Load Zone Peak Hour occurring prior to the resource meter installation date,

### 10.6.3. Importing the Provisional ACL Verification File

After creating a properly structured, formatted, and populated Provisional ACL verification file, the MP must import the file to DRIS as the next step in reporting resource Provisional ACL verification data

Note: Upon initial import of the resource Provisional ACL verification file, DRIS will calculate the resource ACL and any associated Provisional ACL shortfalls for resources in the file which pass all validations. The individual resource ACL details, Verified ACL, and shortfall will be saved in the system with an Approved status.

# **Pre-requisites**

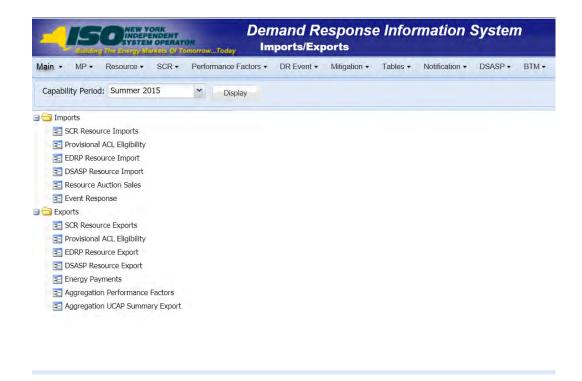
- The DRIS Event Calendar indicates that the time period for importing Provisional ACL verification data is open for performing this task (refer to Section 2.1).
- The MP has created a properly structured, formatted, and populated .xlsx or .xlsx file for upload of resource Provisional ACL verification data to the system, as outlined under Section 10.6.1.
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

# To import the Provisional ACL Verification File

1. From the **Main** menu, choose **Imports/Exports**.

The system displays the Imports/Exports page (see Figure 187).

Figure 187: Import/Export Page as Initially Displayed



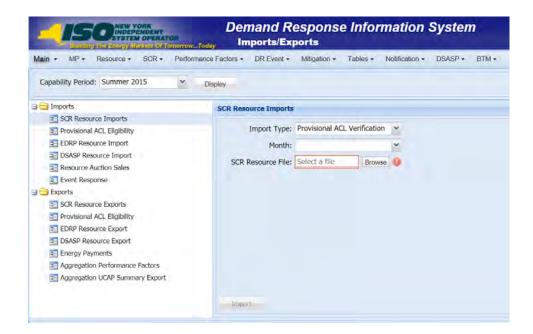
- 2. From the corresponding filter near the top of the page, choose the **Capability Period** for which Provisional ACL verification data is being imported.
- 3. Beside the Capability Period filter, click the **Display** button.

The system activates the middle frame and populates the lowermost frame with a list of import events for the Capability Period chosen at step 2.

4. On the left side of the middle frame and under the **Imports** heading, click **SCR Resource** Imports.

The area to the right refreshes to display input components specific to the type of SCR resource import being performed (see Figure 188).

Figure 188: Import/Export Page Displaying Input Components Specific to **Provisional ACL Verification Import** 



- 5. Select **Provisional ACL Verification** from the **Import Type** drop-down filter on the right side of the middle frame.
- 6. When selecting **Provisional ACL Verification**, the **Month** drop-down filter should remain unpopulated.
- 7. On the right side of the middle frame, click the **Browse** button.
  - The system displays a File Upload dialog box.
- 8. Via the File Upload dialog box, navigate to and choose the file containing the data for the resources with a Provisional ACL being reported, then click the **Open** button.
  - The File Upload dialog box closes, and the system populates the SCR Resource File field in the right pane of the middle frame with the name of the chosen file.
- 9. Click the **Import** button, located in the lower-left corner of the right side of the middle frame.
  - The system displays a dialog box summarizing the results of the import process (see Figure 189).

10. Review the import results and proceed accordingly, as outlined under Section 10.6.4.

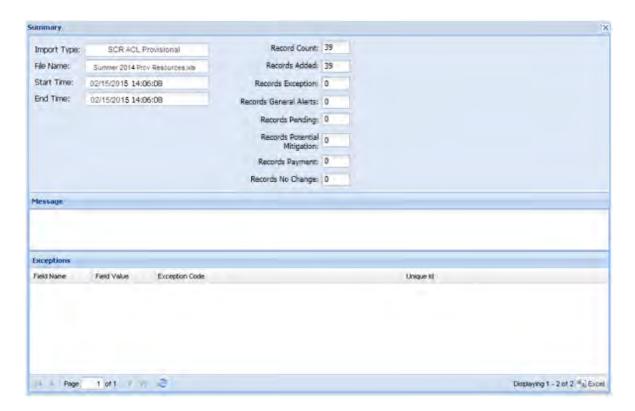


Figure 189: Sample Import Summary Dialog Box for Provisional ACL Verification Import

### 10.6.4. **Managing Provisional ACL Verification File Import Results**

Whenever an MP attempts to import a resource Provisional ACL verification import file to DRIS, the system generates a report outlining the results of the process. If the data for one or more resources in the Provisional ACL verification file contain exceptions, the report details each exception on a separate line and identifies the resource ID of the record containing the exception, the specific field containing the exception, the value supplied in the field containing the exception, and a message specifying the nature of the exception (see Figure 190).

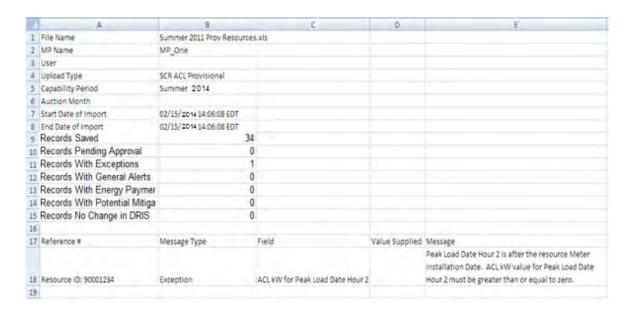
> Note: If instead of similar information to that illustrated in Figure 189 the Message pane in the Summary dialog box displayed by the system indicates that the import failed, no resource data will be imported. In order to proceed with the import process in this case, the MP must rectify the errors in the file header, as outlined in the Exceptions pane of the dialog box, and report the revised file containing data for all resources. Section 10.6.2, provides guidance on creating a properly structured and formatted Provisional ACL verification file.

The MP must review the report for purposes of creating and reporting a file containing correct data for the resources in question, along with correct header data, prior to the deadline for

reporting resource Provisional ACL verification data as specified on the DRIS Event Calendar (refer to Section 2.1).

> Note: The MP may access the import report directly from the Summary dialog box displayed immediately following import by clicking the Excel button in the lower right-hand corner of the dialog box then taking the requisite steps to either open or save the corresponding file.

Figure 190: Sample Results Report for Provisional ACL Verification File Import

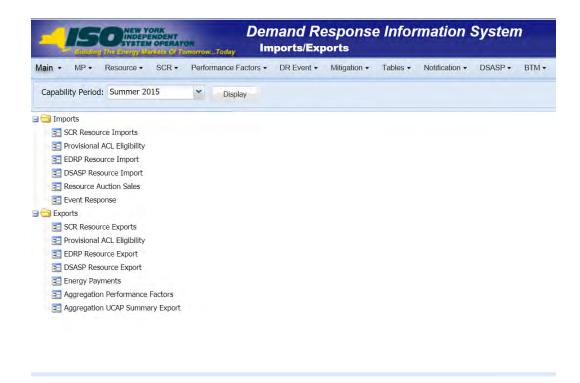


# Pre-requisite

- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").
  - To access the import activity report and manage related errors
- 1. From the **Main** menu, choose **Imports/Exports**.

The system displays the Imports/Exports page (see Figure 191).

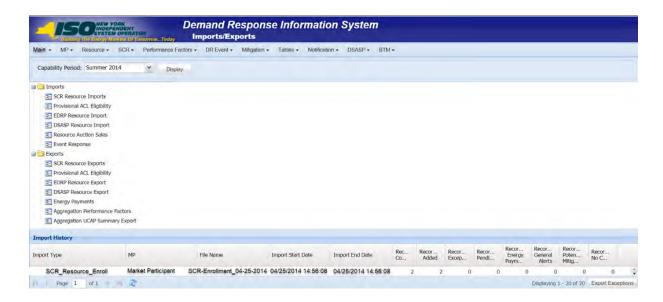
Figure 191: Import/Export Page as Initially Displayed



- 2. From the corresponding filter near the top of the page, choose the Capability Period for the previously reported resource Provisional ACL verification file that generated the exception(s).
- 3. Beside the Capability Period filter, click the **Display** button.

The Import History frame at the bottom of the page refreshes to display a grid listing each import event for the chosen Capability Period (see Figure 192).

Figure 192: Populated Import History Grid on Import/Export Page



- 4. In the **Import History** grid, select the entry for the import event that generated the exception(s).
- 5. In the lower right corner of page, click the **Export Exceptions** button. The system displays a dialog box via which the import report can be saves or opened.
- 6. Take the requisite steps to either save or open the import report. The report is either saved to the designated location or displayed on screen,
- 7. Review the report, correct all exceptions in the resource Provisional ACL verification file, then import the updated file to DRIS.

#### 10.6.5. **Viewing Resource Provisional ACL Verification Data**

Viewing resource Provisional ACL verification data provides the MP with a snapshot of the resource Verified ACL based on imported data. DRIS also identifies when a Provisional ACL shortfall exists for the resource for the selected Capability Period and month.

Resource Provisional ACL verification data is displayed by Capability Period and month and includes the following:

- Provisional ACL kW: The Provisional ACL kW value of the resource reported with the resource enrollment data for the selected Capability Period
- Shutdown kW: The resource Shutdown kW for the Capability Period and month selected

- *Net ACL kW*: The resource Provisional ACL kW value reported with the resource enrollment data for the Capability Period selected, less the Shutdown kW for the Capability Period and month selected
- Verified ACL kW: The DRIS calculated ACL kW for the resource from the import of the resource Provisional ACL verification file includes the TO/DADRP add-back kW and DSASP baseline kW values. (TO/DADRP add-back kW and DSASP baseline kW values do not apply to the calculation of the resource Verified ACL for the Summer 2011 ACL verification data, DADRP add-back kW and DSASP baseline kW values do not apply to the calculation of the resource Verified ACL prior to Summer 2014 ACL verification data.)
- Raw Shortfall kW: The difference between the Net ACL kW and the Verified ACL kW fields of the resource for the Capability Period and month selected
- UCAP Equivalent of Shortfall kW: The UCAP equivalent of the Raw Shortfall kW
- Auction Sales kW: The resource auction sales for the Capability Period and month selected
- AMD: The lowest Actual Metered Demand of the resource from all event and test hours in which the resource performed in the Capability Period selected (Displays for resources enrolled with a Provisional ACL prior to Summer 2014)
- Applicable Shortfall kW: The kW value of the shortfall based on the Provisional ACL Shortfall Calculation, for the Capability Period and month selected

### To view resource Provisional ACL verification data

1. From the **Performance Factors** menu, choose **Provisional ACL**.

The system displays the Provisional ACL page.

2. From the corresponding search filters in the uppermost frame on the Provisional ACL page (see Figure 193), choose the Capability Period and Month for which the system should display resources with Provisional ACL verification details.

Optionally, choose the Capability Period and Resource ID to display all months within the Capability Period for the selected resource.

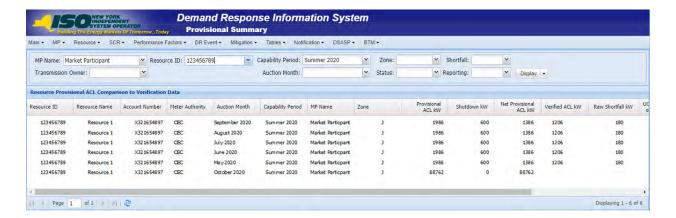
Figure 193: Provisional Summary Page Search Filters



3. Near the top of the Provisional ACL page, click the **Display** button.

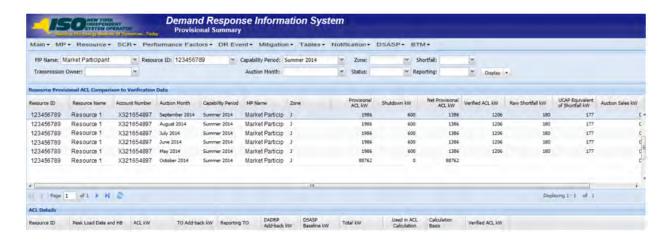
The system populates the Provisional ACL page below the search filters with the data for the resources meeting the criteria chosen at step 2 (see Figure 194).

Figure 194: Provisional Summary Page Illustrating Resource Information for Provisional ACL **Verification Data** 



- 4. Optionally, view details of the resource Provisional ACL verification data by clicking the corresponding row in the Provisional Summary grid.
- 5. The system expands a frame at the bottom of the page, where additional resource ACL details are displayed (see Figure 195).

Figure 195: Provisional Summary Page Illustrating Additional ACL Details



# 10.6.6. Viewing Resource Provisional ACL Verification Details

The Provisional ACL Verification Details displays the ACL details of the resource imported by the Market Participant and the TO add-back kW, DADRP add-back kW and DSASP baseline kW values imported by the Transmission Owner for the Capability Period SCR Load Zone Peak Hour. The system displays the following information for the selected resource ACL data:

- Status
- Submittal date
- Verified ACL
- Capability Period SCR Load Zone Peak Hour date and hour beginning
- ACL kW
- TO add-back kW
- TO add-back Reporting TO
- DADRP add-back kW
- DSASP baseline kW
- Total kW
- Used in ACL calculation indicator
- Calculation Basis
- Verified ACL kW

Note: Upon initial import of the resource Provisional ACL verification file, DRIS will calculate the resource ACL for resources in the file which pass all validations. The resource ACL is calculated using the ACL kW value imported by the MP and any TO add-back, DADRP addback or DSASP baseline kW values imported by the TO or the NYISO. The individual resource ACL details and Verified ACL will be saved in the system with an Approved status. Any resource which receives a Provisional ACL shortfall kW based on the Provisional ACL Shortfall Calculation performed in DRIS will be identified as having a shortfall.

#### To view Provisional ACL verification details

1. From the **Performance Factors** menu, choose **Provisional ACL**.

The system displays the Provisional ACL page.

2. From the corresponding search filters in the uppermost frame on the Provisional ACL page (see Figure 196), choose the **Capability Period** and **Month** for which the system should display resources with Provisional ACL verification details.

Optionally, choose the Capability Period and Resource ID to display all months within the Capability Period for the selected resource.

Figure 196: Provisional Summary Page Search Filters

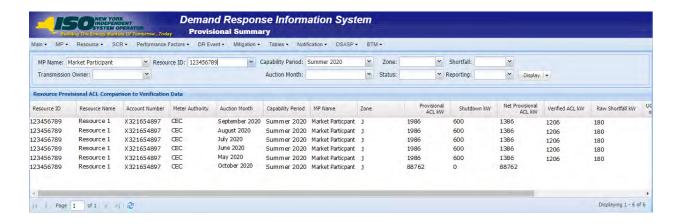


3. Near the top of the Provisional ACL page, click the **Display** button.

The system populates the Provisional ACL page below the search filters with the data for the resources meeting the criteria chosen at step 2 (see Figure 197).

Note: Upon initial import of the resource Provisional ACL verification file, DRIS will calculate the resource ACL and determine if a Provisional ACL Shortfall exists for resources in the file which pass all validations. Any resource which receives a Provisional ACL shortfall kW based on the Provisional ACL Shortfall Calculation performed in DRIS will be identified as having a shortfall. Once shortfalls have been determined by the NYISO, the user will have the option of using the "Reporting" filter option "No Verified Data", which will return resources enrolled with a Provisional ACL in the Capability Period selected that did not have verification data imported during the reporting period.

Figure 197: Provisional Summary Page Illustrating Resource Information for Provisional ACL **Verification Data** 



View details of the resource Provisional ACL verification data by clicking the corresponding row in the Provisional Summary grid.

The system expands a frame at the bottom of the page, where additional resource ACL details are displayed (see Figure 198).

Demand Response Information System **Provisional Summary** Resource + SCR + Performance Factors + DR Event + Mitigation + Tables + Notification + DSASP + BTM + Y Zone: MP Name: Market Participant ▼ Resource ID: 123456789 Capability Period: Summer 2020 Shortfall: Auction Month: → Status: ▼ Reporting: Transmission Owner: ➤ Display -Resource Provisional ACL Comparison to Verification Data Provisional ACL kW Shutdown kW Net Provisional ACL kW Verified ACL kW Raw Shortfall kW Resource ID Resource Name Account Number Meter Authority Auction Month Capability Period MP Name X321654897 123456789 1986 600 1386 Resource 1 September 2020 Summer 2020 Market Participant J 1206 180 123456789 Resource 1 X321654897 CEC August 2020 Summer 2020 Market Participant J 1386 1206 180 X321654897 CEC X321654897 CEC X321654897 CEC X321654897 CEC 123456789 Resource 1 July 2020 Summer 2020 Market Participant 1 1986 600 1386 180 123456789 Summer 2020 Market Particpant J Resource 1 1986 600 1386 1206 180 123456789 Resource 1 May 2020 Summer 2020 Market Particpant J 1986 1206 180 October 2020 Summer 2020 Market Particpant J 123456789 Resource 1 88762 0 88762 Displaying 1 - 6 of 6 | | Page | 1 | of 1 | | | @ ACL Details DADRP Add-back kW DSASP Baseline kW Used in ACL Calculation Resource ID Peak Load Date and HB ACL kW TO Add-back kW Reporting TO Total kW \* Verified ACL kW ■ APPROVED - Resource ID: - Submittal Date: 12/19/2019 09:47:53 - Verified ACL: 06/24/2014 12:00:00 ACL + TO 123456789 ACL + DADRP 123456789 06/24/2014 14:00:00 1260 1200 1206 1200 123456789 07/08/2014 15:00:00 1200 ACL 1206 123456789 07/08/2014 17:00:00 1200 ACL 1200 123456789 07/08/2014 14:00:00 1206 1206 123456789 07/18/2014 19:00:00 1200 1200 ACL 123456789 08/11/2014 17:00:00 ACL

Figure 198: Provisional Summary Page Illustrating Additional ACL Details

# 10.7. Managing Incremental ACL Resource Enrollments & Verification Data

For those MPs with resources enrolled with an Incremental ACL in the selected Capability Period and month, DRIS provides the means to perform the following:

- Download a properly formatted file to use as a template for reporting resource Incremental ACL verification data
- Import resource Incremental ACL verification data
- View imported resource Incremental ACL verification data, including applicable
   Transmission Owner add-back kW values, DADRP add-back kW values and DSASP baseline
   kW values for the resource
- View resources which have an Incremental ACL shortfall

Resource Incremental ACL verification data must be imported into DRIS within a preestablished time frame as specified on the DRIS Event Calendar (refer to Section 2.1).

It is the responsibility of the MP to perform the following:

Download and create a correctly structured, formatted, and populated resource
 Incremental ACL verification file

Total count: 40 Ma Ex

- 2. Import the resource Incremental ACL verification file to DRIS
- 3. Review and manage as necessary the results of the import process

Task 3 immediately preceding may require the MP take an additional action in the form of, for example, correcting exceptions (i.e., data errors, changes, or omissions) that prevent import of some or all data.

> Note: Reporting resource Incremental ACL verification data through the Incremental ACL Verification import file in DRIS is the only means by which resource Incremental ACL verification data will be accepted by the NYISO. The imported data will be used for both the calculation of the resource ACL and the determination of a shortfall based on the resource Verified ACL and the resource Incremental ACL previously imported on the resource enrollment during the selected Capability Period and month.

#### 10.7.1. **Downloading the Incremental ACL Verification File**

Reporting of resource Incremental ACL verification data is initiated via MP import to DRIS of the NYISO provided Excel (.xlsx or .xlsx) file. Importing of Incremental ACL verification data for multiple resources is initiated at one time.

Pre-existing resource data in the file format required for reporting to the system can be downloaded from DRIS by the MP. The MP can then use the file to create a properly structured and formatted file containing resource Incremental ACL data for subsequent reporting to DRIS.

## **Pre-requisites**

- Data for the MP's resources already exist in the system.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").
  - To download the Incremental ACL verification file
- 5. From the **Main** menu, choose **Imports/Exports**.

The system displays the Imports/Exports page (see Figure 181).

Figure 199: Import/Export Page as Initially Displayed



- 6. From the corresponding search filter in the uppermost frame on the Imports/Exports page, choose the Capability Period.
- 7. Beside the Capability Period filter, click the **Display** button.

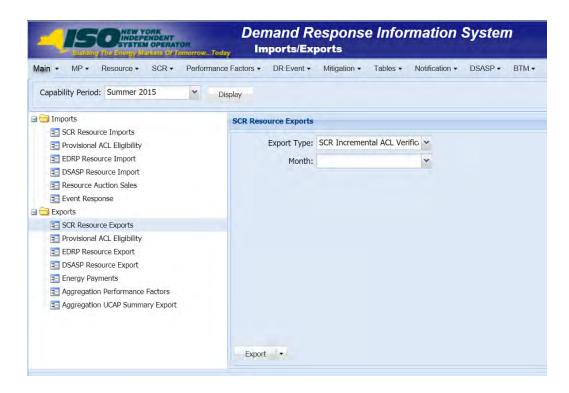
The system makes available the middle frame.

8. Under the Exports heading in the left pane of the middle frame, choose SCR Resource Exports.

The system refreshes the right pane of the middle frame to display additional filters along with a button to initiate download of the file (as illustrated in

Figure 200).

Figure 200: Import/Export Page Displaying Input Components Specific to Incremental ACL **Verification Export** 



- 9. Select **SCR Incremental ACL Verification** from the **Export Type** drop-down filter on the right side of the middle frame.
- 10. When selecting **SCR Incremental ACL Verification**, the **Month** drop-down filter should remain unpopulated.
- 11. Select the file format from the **Export** button, located in the lower-left corner of the right pane in the middle frame, and click to export.

The system displays a dialog box via which the Incremental ACL verification file can either be saved or opened.

12. Take the requisite steps to either save or open the Incremental ACL verification file.

The Incremental ACL verification file is either saved to the designated location or displayed on screen.

#### 10.7.2. **Creating the Incremental ACL Verification File**

The downloaded Incremental ACL verification file provides the MP with the file format required for reporting to the system. The file format includes the following resource data pre-populated for resources which were enrolled with an Incremental ACL for the selected Capability Period:

- Monthly SCR Load Zone Peak Hours for all months and zones with a corresponding resource Incremental ACL enrollment
- Resource ID
- Resource name
- TO account number
- Meter Authority
- Zone
- Resource month of enrollment with an Incremental ACL

In addition, the file contains the following column headings pre-populated with the SCR Load Zone Peak Hours for the Capability Period selected.

- Hour 1, through
- Hour 40

**Note:** The Incremental ACL Verification File contains column headings for the top 40 Monthly SCR Load Zone Peak Hours in which the resource was enrolled with an Incremental ACL. Each ACL kW column heading label for an individual resource should be associated by the user with the similarly labeled column header associated with the Monthly SCR Load Zone Peak Hour for the month and zone in which the resource was enrolled with an Incremental ACL, found on the first tab in the export file, labeled Info - Monthly Hours. These tabs are illustrated in Figure 202.

The MP is required to provide the 40 kW values for each resource in the file for all of the specified Monthly SCR Load Zone Peak Hours which occur in the month which the individual resource was enrolled with an Incremental ACL.

As illustrated by the sample Incremental ACL verification file in Figure 201, the file must contain header data in the form of Capability Period and DR program.

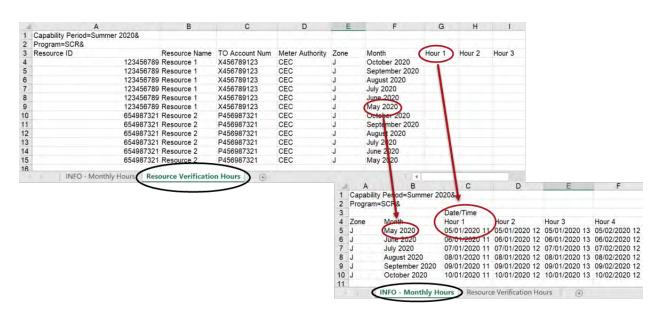
**Note:** Excel (.xlsx or .xlsx) is the only file format accepted into DRIS for the import of the resource Provisional ACL Verification file.

Figure 201: Sample Incremental ACL Verification File in Excel

4	A	В	C	D	E	F	G	H	1	J	K	1
1	Capability Period=Summer 20208	k										
2	Program=SCR&											
3	Resource ID	Resource Name	TO Account Num	Meter Authority	Zone	Month	Hour 1	Hour 2	Hour 3	Hour 4	Hour 5	Hour 6
4	1234	456789 Resource 1	X456789123	CEC	J	October 2020						
5	1234	456789 Resource 1	X456789123	CEC	J	September 2020						
6	1234	456789 Resource 1	X456789123	CEC	J	August 2020						
7	1234	456789 Resource 1	X456789123	CEC	J	July 2020						
8	1234	456789 Resource 1	X456789123	CEC	J	June 2020						
9	1234	456789 Resource 1	X456789123	CEC	J	May 2020						
0	6549	987321 Resource 2	P456987321	CEC	J	October 2020						
11	6549	987321 Resource 2	P456987321	CEC	J	September 2020						
2	6549	987321 Resource 2	P456987321	CEC	J	August 2020						
3	6549	987321 Resource 2	P456987321	CEC	J	July 2020						
14	6549	987321 Resource 2	P456987321	CEC	J	June 2020						
5	6549	987321 Resource 2	P456987321	CEC	J	May 2020						
16												

- Incremental ACL Verification Export File will list all resources enrolled with an Incremental ACL in the Capability Period selected
- Incremental ACL Verification File formatted for all resources to be listed on one tab

Figure 202: Location Detail of ACL kW Column Label Dates and Times



In order for an Incremental ACL verification file to be successfully processed by DRIS, the header data must meet pre-defined rules. Figure 203 details the rules along with the error messages the system will generate should the file violate any of the rules. Likewise, in order for the resource data to be imported to the system, the data must meet pre-defined rules relating to formatting and value. Figure 204 details the specific rules.

After creating a properly structured, formatted, and populated Incremental ACL verification file, the MP must import the file to DRIS as the next step in reporting resource Incremental ACL verification data.



Figure 203: Rules for Successful Processing of Incremental ACL Verification Import File

Attribute	Rule	Error Message		
Capability Period in the header must match that chosen via the system interface.		Capability Period < Capability Period > in the Import File header does not match the Capability Period selected.		
Program	The program in the header must be equal to SCR.	Program <program> in the Import File header must be SCR.</program>		
Multiple Tabs	The Incremental ACL Verification file must have the first tab designated for the monthly hours and the second tab designated for the resources within the Excel file.			
	The two header rows, Capability Period and Program, must appear on each zonal tab within the Excel file.			

Figure 204: Rules Specific to Resource Data in Incremental ACL Verification File

Note: The Incremental ACL Verification File contains column headings for the Monthly SCR Load Zone Peak Hour fields. Each ACL kW column heading begins with the column label and is then followed by the specific sequence of the Peak Hours for the month(s) which the resource was enrolled with an Incremental ACL. Each "Hour 1" through "Hour 40" on the resource tab is associated with the same "Hour 1" through "Hour 40" on the monthly hours tab, for the zone and month the resource was enrolled with an Incremental ACL.



Incremental ACL Verification Field Name	Column in Import File	Field Format	Description and Rule(s)
Resource ID	A	Numeric	The Resource ID assigned by the NYISO.
Resource Name	В	Text Up to 100 characters	The name of the SCR resource.
TO Account Num	C	Text Up to 30 characters	The account number assigned by the Transmission Owner.  The account number assigned by the Transmission Owner must be reported into DRIS with the letter <i>T</i> preceding the account number. For example, if the account number is <i>5436789</i> , it must be reported on the import file to DRIS as <i>T5436789</i> .  For resources assigned Rochester Gas & Electric or NYS Electric & Gas do not use the TO Account Number. Instead, use the Point of Distribution ID (POD ID).  When the POD ID assigned by the Transmission Owner is preceded by an <i>R</i> or an <i>N</i> , do not precede the POD ID with the letter <i>T</i> For example, if the POD ID is <i>R5436789</i> it must be reported on the import file to DRIS as <i>R5436789</i> .  Can only be numbers, letters, or a combination of the two; dashes, spaces between numbers/letters, or any odd characters are not allowable.



Incremental ACL Verification Field Name	Column in Import File	Field Format	Description and Rule(s)				
Meter Authority	D	Up to 3 characters  the Top 40 ACL values for the resour The Meter Authority will be the 3 cha for the resource. The list of abbrevia	The Transmission Owner or Meter Services Entity that is providing the meter data used for the Top 40 ACL values for the resource being enrolled.				
			The Meter Authority will be the 3 character abbreviation for the Meter Authority being used for the resource. The list of abbreviated Meter Authority names can be found on the NYISO website: <a href="Approved Meter Services Entities">Approved Meter Services Entities</a>				
Zone	Zone E Text 1 character		The letter of the LBMP Zone where the resource facility is located.				
Month and Year  F  Alpha –  Numeric  MMMM/YY		· •	The month and year of enrollment for the resource with an Incremental ACL.				
Hour 1  MM/DD/YYYY HH  G  Numeric  Up to 7 digits before decimal and 1 digit after decimal		Up to 7 digits before decimal and 1 digit after	The kW meter value for the resource for the specified Monthly SCR Load Zone Peak Hour.  Enter an ACL kW value for each Monthly SCR Load Zone Peak Hour associated with the month in which the resource was enrolled with an Incremental ACL.				
Note: Continue with a separate column for each of the Top 40 Load Zone Peak Hours.  The ACL kW column labels begin with "G" and end with "AT".							
Hour 40 MM/DD/YYYY HH	AT	Numeric Up to 7 digits	The kW meter value for the resource for the specified Monthly SCR Load Zone Peak Hour.				
,25,1111		before decimal and 1 digit after decimal	Enter an ACL kW value for each Monthly SCR Load Zone Peak Hour associated with the month in which the resource was enrolled with an Incremental ACL.				

#### 10.7.3. Importing the Incremental ACL Verification File

After creating a properly structured, formatted, and populated Incremental ACL verification file, the MP must import the file to DRIS as the next step in reporting resource Incremental ACL verification data.

Note: Upon initial import of the resource Incremental ACL verification file, DRIS will calculate the resource ACL and any associated Incremental ACL shortfalls for resources in the file which pass all validations. The individual resource ACL details, Verified ACL, and shortfall will be saved in the system with an *Approved* status.

## **Pre-requisites**

- The DRIS Event Calendar indicates that the time period for importing Incremental ACL verification data is open for performing this task (refer to section 2.1).
- The MP has created a properly structured, formatted, and populated .xlsx or .xlsx file for upload of resource Incremental ACL verification data to the system, as outlined under Section 10.7.2.
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

### To import the Incremental ACL Verification File

1. From the **Main** menu, choose **Imports/Exports**.

The system displays the Imports/Exports page (see Figure 205).

Figure 205: Import/Export Page as Initially Displayed



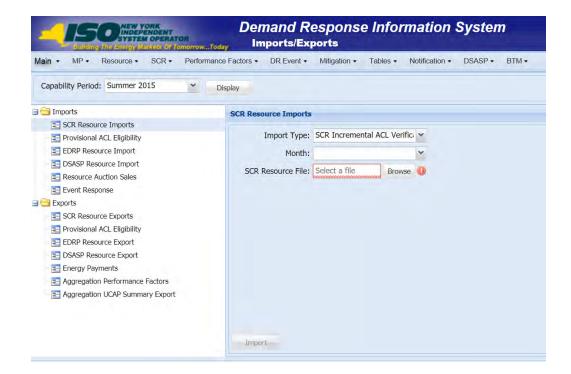
- 2. From the corresponding filter near the top of the page, choose the **Capability Period** for which Incremental ACL verification data is being imported.
- 3. Beside the Capability Period filter, click the **Display** button.

The system activates the middle frame and populates the lowermost frame with a list of import events for the Capability Period chosen at step 2.

4. On the left side of the middle frame and under the **Imports** heading, click **SCR Resource Imports**.

The area to the right refreshes to display input components specific to the type of SCR resource import being performed (see Figure 188).

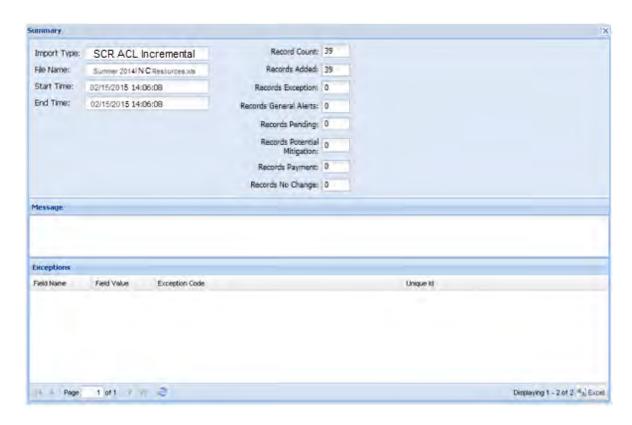
Figure 206: Import/Export Page Displaying Input Components Specific to Incremental ACL Verification **Import** 



- 5. Select **SCR Incremental ACL Verification** from the **Import Type** drop-down filter on the right side of the middle frame.
- 6. When selecting **SCR Incremental ACL Verification**, the **Month** drop-down filter should remain unpopulated.
- 7. On the right side of the middle frame, click the **Browse** button.
  - The system displays a File Upload dialog box.
- 8. Via the File Upload dialog box, navigate to and choose the file containing the data for the resources with an Incremental ACL being reported, then click the **Open** button.
  - The File Upload dialog box closes, and the system populates the SCR Resource File field in the right pane of the middle frame with the name of the chosen file.
- 9. Click the **Import** button, located in the lower-left corner of the right side of the middle frame.
  - The system displays a dialog box summarizing the results of the import process (see Figure 207).

10. Review the import results and proceed accordingly, as outlined under Section 10.7.4.

Figure 207: Sample Import Summary Dialog Box for Incremental ACL Verification Import



#### 10.7.4. **Managing Incremental ACL Verification File Import Results**

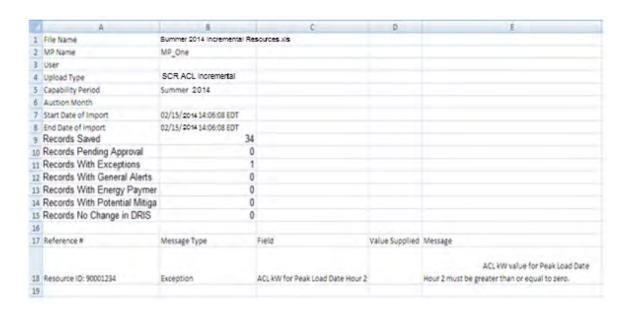
Whenever an MP attempts to import a resource Incremental ACL verification import file to DRIS, the system generates a report outlining the results of the process. If the data for one or more resources in the Incremental ACL verification file contain exceptions, the report details each exception on a separate line and identifies the resource ID of the record containing the exception, the specific field containing the exception, the value supplied in the field containing the exception, and a message specifying the nature of the exception (see Figure 208).

Note: Figure 207 the Message pane in the Summary dialog box displayed by the system indicates that the import failed, no resource data will be imported. In order to proceed with the import process in this case, the MP must rectify the errors in the file header, as outlined in the Exceptions pane of the dialog box, and report the revised file containing data for all resources. Section 10.7.2, provides guidance on creating a properly structured and formatted Incremental ACL verification file.

The MP must review the report for purposes of creating and reporting a file containing correct data for the resources in question, along with correct header data, prior to the deadline for reporting resource Incremental ACL verification data as specified on the DRIS Event Calendar (refer to Section 2.1).

Note: The MP may access the import report directly from the Summary dialog box displayed immediately following import by clicking the Excel button in the lower right-hand corner of the dialog box then taking the requisite steps to either open or save the corresponding file.

Figure 208: Sample Results Report for Incremental ACL Verification File Import

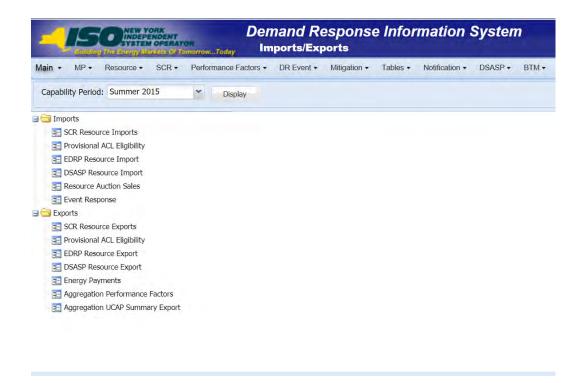


# Pre-requisite

- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").
  - To access the import activity report and manage related errors
- 1. From the **Main** menu, choose **Imports/Exports**.

The system displays the Imports/Exports page (see Figure 209).

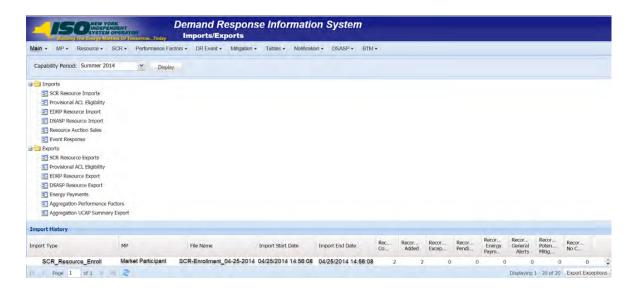
Figure 209: Import/Export Page as Initially Displayed



- 2. From the corresponding filter near the top of the page, choose the **Capability Period** for the previously reported resource Incremental ACL verification file that generated the exception(s).
- 3. Beside the Capability Period filter, click the **Display** button.

The Import History frame at the bottom of the page refreshes to display a grid listing each import event for the chosen Capability Period (see Figure 210).

Figure 210: Populated Import History Grid on Import/Export Page



- 4. In the **Import History** grid, select the entry for the import event that generated the exception(s).
- 5. In the lower right corner of page, click the **Export Exceptions** button.

The system displays a dialog box via which the import report can be saves or opened.

6. Take the requisite steps to either save or open the import report.

The report is either saved to the designated location or displayed on screen,

Review the report, correct all exceptions in the resource Incremental ACL verification file, then import the updated file to DRIS.

#### 10.7.5. **Viewing Resource Incremental ACL Verification Data**

Viewing resource Incremental ACL verification data provides the MP with a snapshot of the resource Verified ACL based on imported data. DRIS also identifies when an Incremental ACL shortfall exists for the resource for the selected Capability Period and month.

Resource Incremental ACL verification data is displayed by Capability Period and month and includes the following:

- ACL kW: The ACL kW value of the resource, calculated based on the top 20 out of 40 Capability Period SCR Load Zone Peak Hours from the prior equivalent Capability Period
- Shutdown kW: The resource Shutdown kW for the Capability Period and month selected

- Incremental kW: The resource Incremental kW for the Capability Period and month selected, as reported with the resource enrollment data
- Net ACL kW: The resource ACL kW value reported with the resource enrollment data for the Capability Period selected, including the Incremental kW for the Capability Period and month selected
- Monthly ACL kW: The Monthly ACL kW value calculated based on the metered load data supplied by the MP for the month of the record selected
- Verified ACL Basis: The indicator associated with the specific Monthly ACL kW values used in the calculation for the Verified ACL kW of the resource
- Verified ACL kW: The DRIS calculated ACL kW for the resource from the import of the resource Incremental ACL verification file includes the TO/DADRP add-back kW and DSASP baseline kW values.
- Raw Shortfall kW: The difference between the Net ACL kW and the Verified ACL kW fields of the resource for the Capability Period and month selected
- UCAP Equivalent of Shortfall kW: The UCAP equivalent of the Raw Shortfall kW
- Auction Sales kW: The resource auction sales for the Capability Period and month selected
- Applicable Shortfall kW: The kW value of the shortfall based on the Incremental ACL Shortfall Calculation, for the Capability Period and month selected.

#### To view resource Incremental ACL verification data

1. From the **Performance Factors** menu, choose **Incremental ACL**.

The system displays the Incremental ACL page.

2. From the corresponding search filters in the uppermost frame on the Incremental ACL page (see Figure 211), choose the Capability Period and Month for which the system should display resources with Provisional ACL verification details.

Optionally, choose the Capability Period and Resource ID to display all months within the Capability Period for the selected resource.

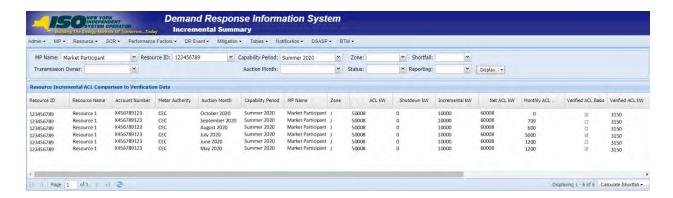
Figure 211: Incremental Summary Page Search Filters



3. Near the top of the Incremental ACL page, click the **Display** button.

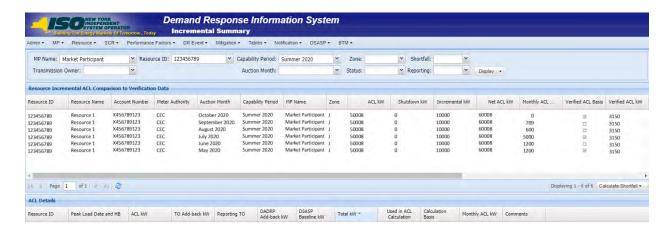
The system populates the Incremental ACL page below the search filters with the data for the resources meeting the criteria chosen at step 2 (see Figure 212).

Figure 212: Incremental Summary Page Illustrating Resource Information for Incremental ACL Verification Data



- Optionally, view details of the resource Incremental ACL verification data by clicking the corresponding row in the Incremental Summary grid.
- 5. The system expands a frame at the bottom of the page, where additional resource ACL details are displayed (see Figure 213).

Figure 213: Incremental Summary Page Illustrating Additional ACL Details



#### 10.7.6. **Viewing Resource Incremental ACL Verification Details**

The Incremental ACL Verification Details displays the ACL details of the resource imported by the Market Participant and the TO add-back, DADRP add-back and DSASP baseline kW values imported by the Transmission Owner for the Monthly SCR Load Zone Peak Hour. The system displays the following information for the selected resource ACL data:

- Status
- Submittal date
- Verified ACL
- Monthly Period SCR Load Zone Peak Hour date and hour beginning
- ACL kW
- TO add-back kW
- TO add-back Reporting TO
- DADRP add-back kW
- DSASP baseline kW
- Total kW
- Used in ACL calculation indicator
- **Calculation Basis**
- Monthly ACL kW

Note: Upon initial import of the resource Incremental ACL verification file, DRIS will calculate the resource ACL for resources in the file which pass all validations. The resource ACL is calculated using the ACL kW value imported by the MP and any TO add-back, DADRP add-back or DSASP baseline kW values imported by the TO or the NYISO. The individual resource ACL details and Monthly ACL will be saved in the system with an Approved status. Any resource which receives an Incremental ACL shortfall kW based on the Incremental ACL Shortfall Calculation performed in DRIS will be identified as having a shortfall.

#### To view Incremental ACL verification details

From the Performance Factors menu, choose Incremental ACL.

The system displays the Incremental ACL page.

2. From the corresponding search filters in the uppermost frame on the Provisional ACL page (see Figure 214), choose the **Capability Period** and **Month** for which the system should display resources with Provisional ACL verification details.

Optionally, choose the Capability Period and Resource ID to display all months within the Capability Period for the selected resource.

Figure 214: Incremental Summary Page Search Filters



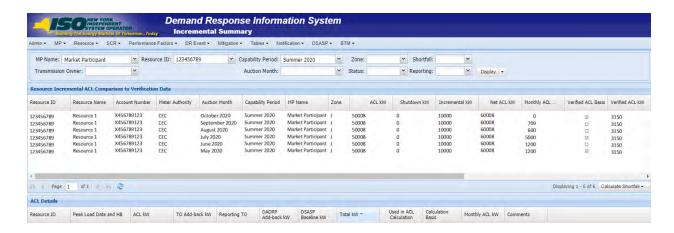
3. Near the top of the Incremental ACL page, click the **Display** button.

The system populates the Incremental ACL page below the search filters with the data for the resources meeting the criteria chosen at step 2 (see

Figure 215).

Note: Upon initial import of the resource Incremental ACL verification file, DRIS will calculate the resource ACL and determine if an Incremental ACL Shortfall exists for resources in the file which pass all validations. Any resource which receives an Incremental ACL shortfall kW based on the Incremental ACL Shortfall Calculation performed in DRIS will be identified as having a shortfall. Once shortfalls have been determined by the NYISO, the user will have the option of using the "Reporting" filter option "No Verified Data", which will return resources enrolled with an Incremental ACL in the Capability Period selected that did not have verification data imported during the reporting period.

Figure 215: Incremental Summary Page Illustrating Resource Information for Incremental ACL Verification **Data** 



4. View details of the resource Incremental ACL verification data by clicking the corresponding row in the Incremental Summary grid.

The system expands a frame at the bottom of the page, where additional resource ACL details are displayed (see Figure 216).

**Demand Response Information System Incremental Summary** Admin + MP + Resource + SCR + Performance Factors + DR Event + Mitigation + Tables + Notification + DSASP + BTM + v Zone: ✓ Shortfall: MP Name: Market Participant ➤ Resource ID: 123456789 Capability Period: Summer 2020 \* Reporting: Transmission Owner: Auction Month: Y Status: ✓ Display → Resource Incremental ACL Comparison to Verification Data Resource Name Account Number Meter Authority Auction Month Capability Period MP Name Zone ACL kW Shutdown kW Incremental kW Net ACL kW Monthly ACL ... Verified ACL Basis Verified ACL kW Resource ID X456789123 X456789123 X456789123 3150 3150 3150 laying 1 - 6 of 6 Calculate Shortfall • ACL Details DADRP Add-back kW Peak Load Date and HB Monthly ACL kW Comments Resource ID TO Add-back kW Reporting TO 123456789 79999.9 123456789 123456789 123456789 123456789 123456789 123456789 123456789 123456789 123456789 1000 1000 1000 1000 1000 1000 1000 1000 1000 07/04/2020 13:00:00 07/04/2020 14:00:00 07/06/2020 12:00:00 07/06/2020 11:00:00 07/03/2020 17:00:00 1000 1000 1000 Total count: 0 Approve Under Review Deny Add Comments Ha Excel

Figure 216: Incremental ACL Summary Page Illustrating Additional ACL Details

### 10.8. Managing SCR Change of Status Shutdown kW Resource Data & Reporting

For those MPs with resources enrolled with or reporting a Change of Status in the selected Capability Period and month, DRIS provides the means to perform the following:

- View resource Change of Status Shutdown kW data imported with the SCR resource enrollment form
- View resource Change of Status Shutdown kW data reported after the close of enrollment for a specified Auction Month in DRIS
- View resources which have a Change of Status shortfall
- When reporting a Change of Status condition for months in the same Capability Period, report a Change of Status Shutdown kW after the close of partial sales for a specified Auction Month and prior to the close of the Capability Period
- When reporting a Change of Status condition that is in effect for the current Capability Period and that extends into the next Capability Period, report a Change of Status Shutdown kW for all applicable months of the current Capability Period after the close of enrollment for the first auction month of the next Capability Period and prior to the close of the current Capability Period.
- Resource Reported Change of Status data must be entered into DRIS within a pre-established time frame as listed above and as specified on the DRIS Event Calendar (refer to Section 2.1).

It is the responsibility of the MP to perform the following:

- 1. Report the resource Change of Status data into DRIS
- 2. Review and manage as necessary the results of the reporting process

Note: Reporting resource Change of Status data through the Change of Status screen in DRIS is the only means by which resource Change of Status data will be accepted by the NYISO after the close of partial sales of an Auction Month. The reported data will be used for the calculation of the resource ACL, the determination of a shortfall based on the resource Change of Status enrollment information previously imported on the resource enrollment during the selected Capability Period and month and in the determination of a resource requirement to demonstrate capability in the second test in the Capability Period.

When a Change of Status condition is known before the close of enrollment for the applicable month, the Change of Status Shutdown kW value should be reported on the SCR Enrollment Import File (See Section 7, Enrolling Resources).

#### 10.8.1. Viewing Resource Change of Status Shutdown kW Data

Viewing resource Change of Status Shutdown kW data provides the MP with a snapshot of the resource effective Change of Status Shutdown kW based on the data available in DRIS. DRIS also identifies when a Change of Status shortfall exists for the resource, for the selected Capability Period and month.

Resource Change of Status data is displayed by Capability Period and month and includes the following:

- ACL kW: The ACL kW value of the resource, calculated based on the top 20 out of 40 Capability Period SCR Load Zone Peak Hours from the Prior Equivalent Capability Period plus the Incremental kW value from enrollment. Once the verification period of resource metered load data for resources enrolled with a Provisional ACL or Incremental ACL in the selected Capability Period, has closed, this value will be updated with the Verified ACL kW.
- Enrolled Shutdown kW: The resource Shutdown kW for the Capability Period and month selected as provided on the SCR enrollment import
- Post Enrollment Shutdown kW: The resource Shutdown kW for the Capability Period and month selected as provided through the Resource Change of Status screen in DRIS, after the close of enrollment for the associated month.
- Change of Status Type: The reporting type of the resource Shutdown kW for the Capability Period and month selected as selected at the time of reporting. The three status types which may be displayed are "Enrolled," "Reported" and "Unreported"

- *Peak Monthly Demand:* the maximum one hour metered load for the month, provided by the MP as requested by and entered into DRIS by the NYISO
- Raw Shortfall kW: The initial Shortfall kW value calculated for the resource with a "Reported" or "Unreported" Change of Status
- UCAP Equivalent of Shortfall kW: The UCAP equivalent of the Raw Shortfall kW
- Auction Sales kW: The resource auction sales for the Capability Period and month selected
- Applicable Shortfall kW: The kW value at which the resource has incurred a shortfall based on either the "Reported" or "Unreported" Change of Status Shortfall Calculation for the Capability Period and month selected.

### To view resource Change of Status data

1. From the **Performance Factors** menu, choose **Change of Status**.

The system displays the Change of Status page.

2. From the corresponding search filters in the uppermost frame on the Change of Status page (see Figure 231), choose the Capability Period for which the system should display resources with Change of Status details.

Optionally, choose the **Capability Period** and **Resource ID** to display all months within the Capability Period for the selected resource.

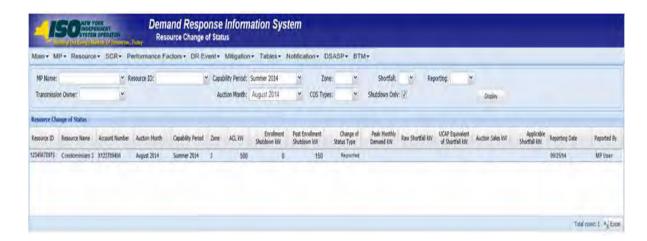
Figure 217: Change of Status Details Page Search Filters



3. Near the top of the Change of Status page, click the **Display** button.

The system populates the Change of Status page below the search filters with the data for the resources meeting the criteria chosen at step 2 (see Figure 232).

Figure 218: Change of Status Details Page Illustrating Resource Information for Change of Status Data



- Optionally, view details of the resource Change of Status detailed reporting data by clicking the corresponding row in the grid to view the detailed record.
- 5. The system populates additional resource data in the lower frame, where additional resource reported Change of Status Shutdown kW details are displayed (see Figure 233).

Figure 219: Change of Status Details Page Illustrating Expanded Reported Details



#### 10.8.2. Viewing Resource Change of Status Shutdown kW Details

The Change of Status Shutdown kW Details displays the Change of Status reporting details of the resource, both imported by the Market Participant at the time of enrollment and also as reported after the close of enrollment for the associated month, by either the Market Participant or the NYISO. The system displays the following information for the selected resource Change of Status Shutdown kW data for each month in the Capability Period:

- Reporting Date: The date on which the Change of Status was reported
- Reporting Type: The type of Change of Status which was reported (Enrolled, Reported, Unreported)

- Reporting By: The entity which reported the Change of Status (MP or NYISO)
- *Begin Effective Date:* The begin effective date of the Change of Status
- *End Effective Date:* The end effective date of the Change of Status
- Change of Status Shutdown kW, by month: The kW value of the applicable decrease in capacity, to be reduced from the resource ACL in the month and Capability Period being reported
- *Peak Monthly Demand, by month:* The kW value supplied by the MP for the resource and upon request from the NYISO and entered into the DRIS by the NYISO.

Note: Upon initial import of the resource SCR enrollment data, when the Shutdown kW field value is greater than zero, a Change of Status record with a reporting type of "Enrolled" will populate as the first record in the Resource Change of Status Shutdown kW details section. All subsequent, postenrollment reported Change of Status Shutdown kW values will then appear in descending order, with the most recent post-enrollment reported record adjacent to the values supplied on the SCR enrollment import.

- To view Resource Change of Status Shutdown kW details
- 1. From the **Performance Factors** menu, choose **Change of Status**.

The system displays the Change of Status page.

2. From the corresponding search filters in the uppermost frame on the Change of Status page (see Figure 220), choose the Capability Period for which the system should display resources with Change of Status details.

Optionally, choose the **Capability Period** and **Resource ID** to display all months within the Capability Period for the selected resource.

Optionally, de-select the **Shutdown Only checkbox** and select a specific Resource to view the monthly enrollment records for the resource, within the Capability Period selected for which no Change of Status Shutdown kW data has yet been reported.

Figure 220: Change of Status Summary Page Search Filters



3. Near the top of the Change of Status page, click the **Display** button.

The system populates the Change of Status page below the search filters with the data for the resources meeting the criteria chosen at step 2 (see Figure 221).

Figure 221: Change of Status Summary Page Illustrating Resource Information for Change of Status Shutdown kW Data



4. View details of the resource Change of Status data by clicking the corresponding row in the Change of Status Summary grid.

The system displays a pane at the bottom of the page, where additional resource details are displayed (see Figure 222).

5. The resource existing Change of Status Shutdown kW details will display for the **Capability Period** and **Month** selected.

Demand Response Information System Resource Change of Status rce - SCR - Performance Factors - DR Event - Mitigation - Tables - Notification - DSASP - BTM ▼ Resource ID: Capability Period: Summer 2014 Zone: MP Name: Shortfall: ✓ Shutdown Only: COS Types: Transmission Owner Auction Month: August 2014 source ID Resource Name Account Number Auction Month Capability Period Zone ACL NV Shutdown NV Shutdown NV Status Type Peak Monthly
Demand kW Raw Shortfall kW UCAP Equivalent Auction Sales kW Shortfall kW Reporting Date

Shortfall kW Reporting Date Total count: 1 % Expe May 2014 June 2014 July 2014 August 2014 September October 2014 Resource ID Reporting Date Reporting Type Reported By Start Date End Date Shutdown k. Shutdown k. Shutdown k. Shutdown k. Shutdown k. 12345678975 150 Total count: 1 Add 4 Excel

Figure 222: Change of Status Summary Page Illustrating Additional Details

# 10.8.3. Reporting the Change of Status Data after the Close of Enrollment

Reporting of resource Change of Status Shutdown kW data for an auction month(s) for which partial sales has closed is initiated via manual entry into DRIS through the resource Change of Status screen.

Reporting of Change of Status data is required to be initiated one resource at a time.

Resource enrollment data as imported by the MP for the resource for the Capability Period and month(s) selected will be displayed alongside the Change of Status Shutdown kW information as reported after the close of partial sales. The MP may update the resource Change of Status Shutdown kW data at any time into DRIS after the close of partial sales, up until the deadline specified in the DRIS Event Calendar. If the MP is reporting a Change of Status condition that is in effect for the current Capability Period and that extends into the next Capability Period, DRIS will allow the user to report a Change of Status Shutdown kW for all applicable months of the current Capability Period after the close of enrollment for the first auction month of the next Capability Period and prior to the close of the current Capability Period.

At the time of reporting a Change of Status Shutdown kW for month(s) in the selected Capability Period, the MP user will be required to enter the following:

- Reporting Type: The type of Change of Status which was reported (Enrolled or Reported)
- *Begin Effective Date:* The begin effective date of the Change of Status
- End Effective Date: The end effective date of the Change of Status

• *Change of Status Shutdown kW, by month:* The kW value of the applicable decrease in capacity to be reduced from the resource ACL in the month and Capability Period being reported

## Pre-requisites

- Resource should have been enrolled with the MP for at least one month in the Capability Period selected.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").
  - To report the Change of Status Shutdown kW data
- 1. From the **Performance Factors** menu, choose **Change of Status**.

The system displays the Change of Status page.

2. From the corresponding search filters in the uppermost frame on the Change of Status page (see Figure 223), choose the **Capability Period** for which the system should display resources with Change of Status details.

Optionally, choose the **Capability Period** and **Resource ID** to display all months within the Capability Period for the selected resource.

Optionally, de-select the **Shutdown Only checkbox** to display all resources within the Capability Period selected for which no Change of Status Shutdown kW data has yet been reported.

Figure 223: Change of Status Details Page Search Filters



3. Near the top of the Change of Status page, click the **Display** button.

The system populates the Change of Status page below the search filters with the data for the resources meeting the criteria chosen at step 2 (see Figure 224).

Figure 224: Change of Status Details Page Illustrating Resource Information for Change of Status Data

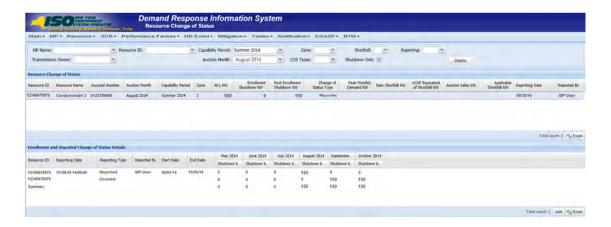


4. View details of the resource Change of Status data by clicking the corresponding row in the Change of Status Summary grid.

The system displays a pane at the bottom of the page, where additional resource details are displayed.

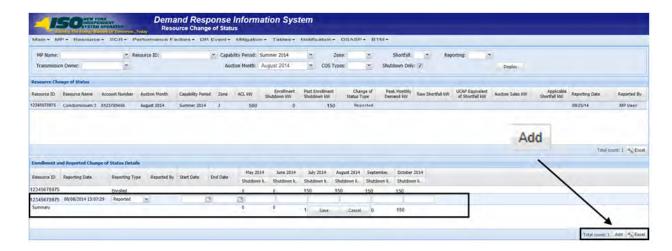
5. The resource's existing Change of Status Shutdown kW details, if any, will display for the Capability Period and Month selected. (See Figure 225).

Figure 225: Change of Status Details Page Illustrating Expanded Reported Details



- 6. At the bottom of the lower pane on the Change of Status page, click the **Add** button.
  - 7. The system populates the Change of Status details reporting functionality as the last row in the details section, with editable cells (see Figure 226).

Figure 226: Change of Status Reporting Fields



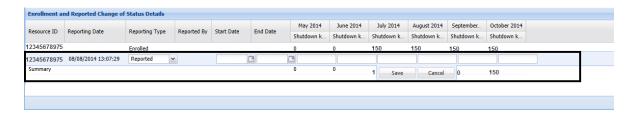
Note: The Change of Status Shutdown kW reporting functionality allows the MP User to change existing or to add new Shutdown kW values after the close of partial sales, for specific month(s) in the Capability Period. Depending on the objective, the MP User has the option of selecting the Change of Status Type of either Enrolled or Reported. The user should select the Change of Status Type of Enrolled when adding the specific Begin and End Effective Dates for an existing Change of Status condition which was reported on the SCR Enrollment Import. The MP user should select the Change of Status Type of Reported when electing to report a new Change of Status, to edit an existing Change of Status Shutdown kW value in DRIS or to report a return from a Change of Status.

The Change of Status reporting functionality as accessed from the **Resource Change of Status Screen** in DRIS should be used when reporting a Change of Status after the close of partial sales for the applicable month. Prior to the close of enrollment for the applicable month, reporting of a new Change of Status, edits to the Shutdown kW value of an existing Change of Status, or a return from a Change of Status should be performed with the SCR Enrollment Import File (See Section 7, Enrolling Resources.

The MP is required to provide the Reporting Type, the Begin Effective Date, the End Effective Date and the Change of Status Shutdown kW value for all Change of Status reporting functionality.

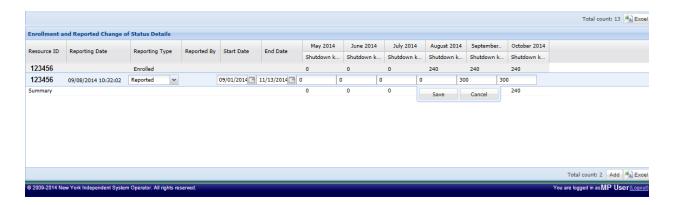
As illustrated by the sample Change of Status reporting in Figure 227, the reporting functionality must contain all editable fields which fall within the date range.

Figure 227: Change of Status Reporting Fields



Note: All months open for reporting which fall within the Begin Effective Date and the End Effective Date must contain a Change of Status Shutdown kW greater than zero. (see Figure 228.

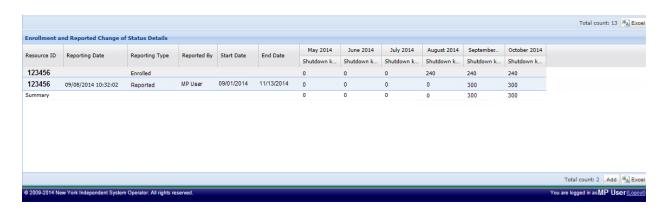
Figure 228: Change of Status Shutdown kW Reported as Zero, Outside of Date Range



In order for the Change of Status reporting functionality to be successfully processed by DRIS, the data must meet pre-defined rules. Figure 230 details the rules along with the error messages the system will generate should the file violate any of the rules.

After creating a properly structured, formatted, and populated Change of Status entry, the MP must select **Save** as the next step in reporting resource Change of Status data.

Figure 229: Change of Status Shutdown kW Reported and Saved



- Take the requisite steps to correct any error messages generated from selecting **Save**.
- 9. **Save** the Change of Status reporting entry once values have been modified.

Figure 230: Rules Specific to Resource Data in Change of Status Verification File.

Change of Status Reporting Field Name	Column in Entry Row	Field Format	Editable (Y/N)	Description and Rule(s)
Resource ID	А	Numeric	N	The Resource ID assigned by the NYISO.
Reporting Date	В	Date and Time	N	The date and time auto-assigned by DRIS when a Change of Status Shutdown kW reporting entry is saved.
Reporting	С	Text	Υ	The reporting type as selected by the user.
Туре		Drop-down		User may select from either <i>Enrolled</i> or <i>Reported</i> .
				For resources removing an existing Change of Status Shutdown kW value, select <i>Enrolled</i> and enter a value of zero.
				For resources adding or editing an existing Change of Status Shutdown kW value, select <i>Reported</i> and enter a value greater zero.
				Must be provided.
Begin	D	Alpha – Numeric MM/DD/YYYY	Y	The day on which the Change of Status began.
Effective Date				Must be earlier in the calendar year than the End Effective Date.
				Must be provided.
End Effective	Е	Alpha –	Υ	The day on which the Change of Status ends.
Date		Numeric MM/DD/YYYY		Must be provided.
Shutdown KW	F	Numeric Up to 7 digits	Y	The kW meter value for the resource for the specified month of enrollment with the MP user to be applied as a reduction from the enrolled ACL and representative of the SCR Change of Status Shutdown kW.
				For SCR resources with a Change in Status, the Shutdown value in kilowatts must be greater than or equal to zero when the month being supplied falls within the date range between the Begin Effective Date and the End Effective Date.
				For resources with a Calculated ACL value less than 500 kW, must be zero.
				The kW value entered must be greater than or equal to 30% of the calculated ACL, unless value supplied is greater than 5,000 kW in Zone J or 10,000 kW in Zones A-I and K.  Must be provided.

Change of Status Reporting Field Name	Column in Entry Row	Field Format	Editable (Y/N)	Description and Rule(s)
Peak Monthly Demand KW	F	Numeric Up to 7 digits	N	The kW meter value for the resource for the specified Monthly Load Zone Peak, as supplied by the enrolling MP upon request by the NYISO for the associated month and entered into DRIS by the NYISO.

Note: The following example is a common scenario which may occur, for reporting a resource Change of Status in DRIS.

# Common Reporting Scenario for a resource Change of Status

A resource has experienced a Change of Status for the months of September and October. Partial sales for both September and October have closed. The following steps should be followed for reporting the Change of Status kW value in DRIS.

- 1. User navigates to the Change of Status screen in DRIS.
- 2. User selects the resource for which a Change of Status kW value is to be reported and de-selects the "Shutdown Only" box.
- 3. User selects "Add" in the lower right hand corner of the display.
- 4. User must populate the following reporting parameters;
  - a. Reporting type of "Reported".
  - b. Start Date of the Change of Status.
  - c. End date of the Change of Status.
  - d. The Change of Status Shutdown kW value for the months of September and October for which the partial sales window has passed.
- 5. User saves entries.
- 6. User manages any error messages which may have occurred.

7.

## 10.9. Viewing Resource Shortfall kW Summary Data

For those MPs with resources enrolled with either a Change of Status, Incremental ACL and/or a Provisional ACL in a selected Capability Period and month, DRIS provides the means to perform the following:

- View concurrent resource Shortfall kW data for the Capability Period and month selected
  - View resource Change of Status Shortfall kW data
  - View resource Incremental ACL Shortfall kW data
  - View resource Provisional ACL Shortfall kW data
- View Shortfall kW data denoted as attributable to the *Greatest Deficiency*

It is the responsibility of the MP to perform the following:

- 1. Report any applicable resource Change of Status data into DRIS
- 2. Report any applicable resource Verification data attributable to an enrollment with either an Incremental ACL or Provisional ACL

**Note:** Reporting resource Change of Status data through the Change of Status screen in DRIS is the only means by which resource Change of Status data will be accepted by the NYISO after the close of enrollment of an Auction Month and up to the deadline specified in the DRIS Event Calendar. The verification data for resources enrolled with either an Incremental ACL or Provisional ACL in the same Capability Period occurs during the reporting window for verified metered load data as specified on the DRIS Event Calendar.

## 10.9.1. Viewing Shortfall kW Data

Viewing resource Shortfall kW data provides the MP with a snapshot of the resource calculated shortfalls for each enrollment type of Change of Status, Incremental ACL and/or Provisional ACL, across a Capability Period. Only one type of Shortfall kW will be denoted as the "Greatest Deficiency" on this screen.

Resource Shortfall kW data is displayed by Capability Period and month and includes the following:

- Shortfall Type: The Shortfall Type is the resource enrollment type associated with the Capability Period and month selected for which a shortfall was determined. The Shortfall Types include Change of Status, Incremental ACL and Provisional ACL
- Used In Greatest Deficiency: This indicator will be marked as checked for the monthly records associated with the Shortfall Type determined to have the Greatest Deficiency in the Capability Period.
- Applicable Shortfall kW: The kW value at which the resource has incurred a shortfall based on the "Reported" or "Unreported" Change of Status Shortfall, the Incremental ACL Shortfall or the Provisional ACL shortfall, for the Capability Period and month selected.

#### To view resource Shortfall kW data

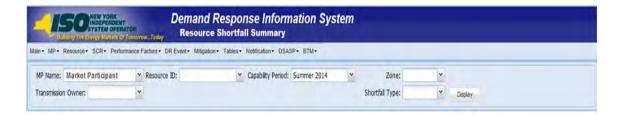
1. From the **Performance Factors** menu, choose **Resource Shortfall Summary**.

The system displays the Resource Shortfall Summary page.

2. From the corresponding search filters in the uppermost frame on the Resource Shortfall Summary page (see Figure 231), choose the **Capability Period** for which the system should display resources with Shortfall details.

Optionally, choose the Capability Period and Resource ID to display all months within the Capability Period for the selected resource.

Figure 231: Resource Shortfall Summary Page Search Filters



3. Near the top of the Shortfall Summary page, click the **Display** button.

The system populates the Shortfall Summary page below the search filters with the data for the resources meeting the criteria chosen at step 2 (see Figure 232).

Figure 232: Resource Shortfall Summary page Illustrating Resource Information for Capability Period Shortfall kW Data



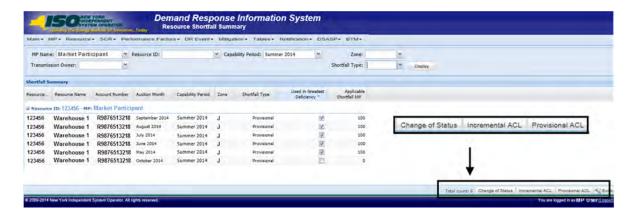
- 4. Optionally, view details of the resource Shortfall Summary detailed reporting data by clicking the corresponding row in the grid to expand the record.
- 5. The system expands the record within the frame, where additional resource Shortfall kW summary information are displayed (see Figure 233).

Figure 233: Resource Shortfall Summary Page Illustrating Expanded Reported Details



Note: The user may navigate to the individual shortfall details pages for resources enrolled with a Change of Status, Incremental ACL or Provisional ACL by selecting the resource and selecting the applicable button in the lower right hand corner of the screen (See Figure 234).

Figure 234: Resource Shortfall Summary Page, Other Page Navigation



# 11. Performing DSASP-Specific Tasks

For those MPs acting as DSASP Providers in relation to the DSASP program, DRIS provides the means to perform the following tasks in relation to resources for which the MP has authorization to act:

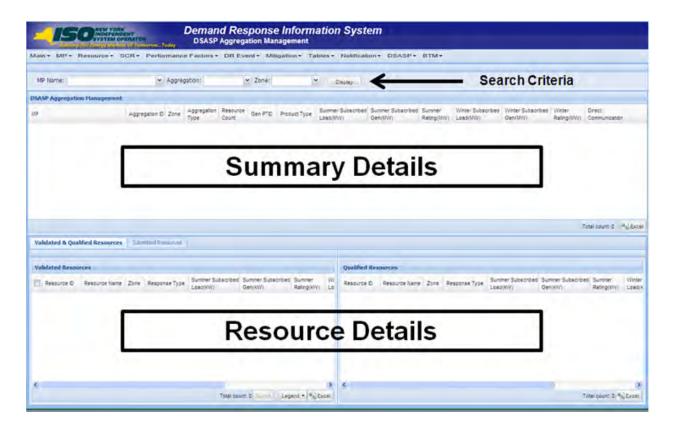
- Viewing DSASP Aggregations
- Managing DSASP Aggregations
- Submitting DSASP Aggregations for Market Participation
- Viewing current and historical DSASP Submittals

## 11.1. Viewing DSASP Aggregations

Viewing DSASP Resources that are aggregations of an individual DSR or a grouping of DSRs involves both summary and detailed views of the DSASP Resource and the Demand-Side Resources which comprise the aggregation (see Figure 235). Some or all of the following details can be viewed from the DSASP Aggregation Management screen within DRIS:

- DSASP Aggregation summary details
- Demand-Side Resource details
- **Demand-Side Resource Statuses**

Figure 235: DSASP Aggregation Management Screen



When viewing DSASP Aggregations and Demand-Side Resources within a DSASP Aggregation, the MP is not required to initially select search criteria, after navigating to the page.

## 11.1.1. Viewing DSASP Aggregation Management Summary Details

Viewing DSASP Resources that are aggregations of an individual DSR or a grouping of DSRs is the first step in viewing DSASP Demand-Side Resource details and Managing DSASP Aggregations. Performing search functionality from the DSASP Aggregation Management screen allows the MP User to select and view DSASP Aggregations in greater detail.

The MP can narrow the data the system displays by any or all of the following additional parameters:

- Aggregation
- Zone

Regardless of viewing scope, the system displays data for each DSASP Resource, by Aggregation ID ascending.

## **DSASP Aggregation**

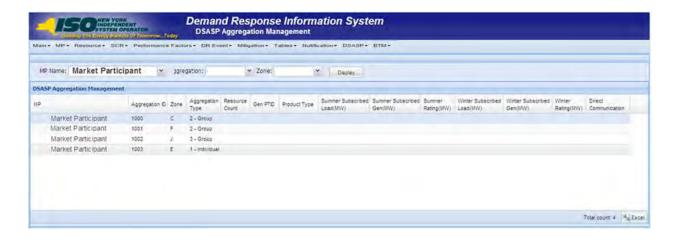
- MP Name
- Aggregation ID
- Zone
- **Aggregation Type**
- Resource Count
- Gen PTID
- **Product Type**
- Summer Subscribed Load (kW)
- Summer Subscribed Gen (kW)
- Summer Rating (MW)
- Winter Subscribed Load (kW)
- Winter Subscribed Gen (kW)
- Winter Rating (MW)
- **Direct Communication**

Note: In the DSASP menu the selection of "Aggregation Management" will navigate the user to the DSASP Aggregation Management screen which provides the user the ability to view and manage DSASP Aggregations. This screen will be viewable upon MP registration as a DSASP Provider and will begin to populate once the first successful DSASP Import has occurred.

Note: Upon the successful import of the first Demand-Side Resource of a DSASP Resource, the DSASP Aggregation ID will be automatically generated by DRIS.

Note: When the first import of DSASP Demand-side Resources occurs for a DSASP Aggregation containing an individual or group of DSRs, the summary level details displayed will be limited to MP Name, Aggregation ID, Zone and Aggregation Type (see Figure 236). Once the Demand-Side Resources within the aggregation have been Qualified for Market Participation, the remaining summary field values will populate.

Figure 236: DSASP Aggregation Management Summary



## Pre-requisites

- The MP is registered in MIS to participate in the DSASP program, as a DSASP Provider.
- The DSASP Provider representative performing the task has been assigned the DRIS Web UI MP Read-Only or the DRIS Web UI MP User privilege.
- The DSASP Provider representative performing the task is logged in to DRIS (see section 1.3, "Accessing the System").

#### To view summary data for DSASP Aggregations

- From the **DSASP** menu, choose **Aggregation Management**. 1. The system displays the DSASP Aggregation Management page.
- 2. From the corresponding search filter(s) in the uppermost frame on the DSASP Aggregation Management page (see Figure 237), choose the search filters for which the system should display DSASP Resources.

Figure 237: DSASP Aggregation Management Search Filters



3. Near the top of the DSASP Aggregation Management page, click the **Display** button. The system populates the DSASP Aggregation summary grid below the search filters with data for those aggregations, containing either an individual or a group of DSRs, meeting the criteria chosen in step 2.

Note: The system will display one entry per DSASP Aggregation, depending on the defined criteria. Entries in the DSASP Aggregation Management summary grid are displayed in ascending order based on the Resource ID.

To refresh the DSASP Aggregations grid so that it displays up-to-date information, click the button in the grid status bar.

Optionally, download the DSASP Aggregation Management summary data by clicking the Excel button in the lower right-hand corner of the screen, just below the summary grid.

A file containing enrollment details for all enrollments matching the criteria specified in step 2 is saved to the designated location.

## 11.1.2. Viewing Demand-Side Resources within a DSASP Aggregation

Viewing Demand-Side Resources within a DSASP Aggregation containing either an individual or group of DSRs is the second step in viewing DSASP Demand-Side Resource details and managing DSASP Aggregations. Performing search functionality from the DSASP Aggregation Management screen allows the MP User to view and select DSASP Aggregations in greater detail. Once a DSASP Aggregation has been selected, the Aggregation details grid on the lower half of the DSASP Aggregation Management screen will populate with two tabs displaying the details of Validated and Qualified Demand-Side Resources and/or Submitted Demand-Side Resources within the selected aggregation. (see Figure 238). Additionally, there is a DSASP Enrollment Status of Separated which can only be viewed from the DSASP Enrollment Details screen (see Viewing DSASP Resource Enrollment Details Section 8.1.4).

Figure 238: DSASP Resource Enrollment Statuses

Status	Begin Effective Date	End Effective Date
Validated	A new Validated record is created when:  • The resource is initially imported successfully into DRIS  • Each time an update to the resource is imported successfully into DRIS	The Validated record remains active until:  • An update is imported into DRIS which creates a new Validated record  • The resource is Separated from the Market Participant portfolio
Submitted	A new Submitted record is created when:  • The resource is included in the submission of the Aggregation to either become or remain part of the Qualified Aggregation  • The resource is currently part of the Qualified Aggregation and is being submitted for removal from the Qualified Aggregation (this does not remove the resource from a Validated Status in the aggregation)	The Submitted record remains active until:  • The Submitted Aggregation becomes Qualified  • The submission of the aggregation is Canceled
Qualified	A new Qualified record is created when:  • The Submitted Aggregation becomes Qualified and the resource was submitted to either become or remain part of the Qualified Aggregation	The Qualified record remains active until:  • The resource was submitted on a subsequent Submission of the Aggregation to remain part of the Qualified Aggregation and a new Qualified record has been created for the resource based on the new Submission of the Aggregation becoming Qualified • The resource was submitted on a subsequent Submission of the Aggregation to be removed from the aggregation and the new Submission of the Aggregation becoming Qualified • The resource is Separated from the MP portfolio
Separated	A new Separated record is created when:  • The resource is Separated from the DSASP Provider Portfolio	The Separated record remains active until:  • The resource is re-enrolled with the DSASP Provider in DSASP

Dependent on viewing scope, the system displays data for each Demand-Side Resource within a DSASP Aggregation, by Resource ID ascending.

# **Displayed for Enrollment Status Type**

	DSASP Demand-Side Resource	Validated	Submitted	Qualified
•	Resource ID	Y	Y	Y
٠	Resource Name	Y	Y	Y
•	Zone	Y	Y	Y
•	Response Type	Y	Y	Y
٠	Summer Subscribed Load(kW)	Y	Y	Y
٠	Summer Subscribed Gen(kW)	Y	Y	Y
•	Summer Rating (kW)	Y	Y	Y
•	Winter Subscribed Load(kW)	Y	Y	Y
•	Winter Subscribed Gen(kW)	Y	Y	Y
•	Winter Rating(kW)	Y	Y	Y
٠	Reliability Enrollment Indicator	Y	N	N

Note: In the DSASP Aggregation details grid in the lower half of the screen, there will be a separate pane for each of the three DSASP Enrollment Statuses, Validated, Qualified and Separated. The Validated and Qualified tab will appear immediately below the summary grid on the top half of the screen, while the Submitted tab must be selected (see Figure 239).

Note: The Reliability Enrollment Indicator, on the Validated tab, will appear checked when the Demand-Side Resource is enrolled in either the SCR or EDRP program, with any MP.

Note: The Validated record for a Demand-Side Resource may appear checked or highlighted, based on changes in status and/or enrollment values (see Figure 240).

Figure 239: DSASP Aggregation Demand-Side Resource Details

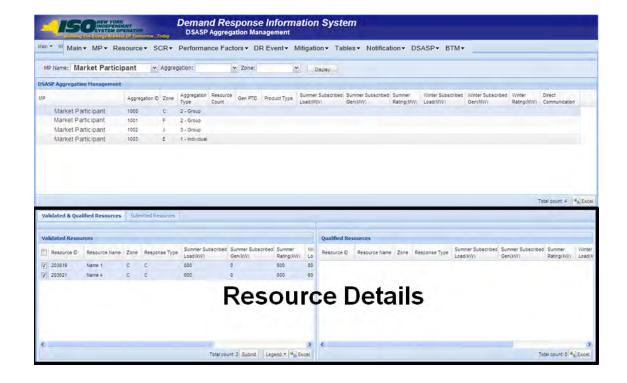
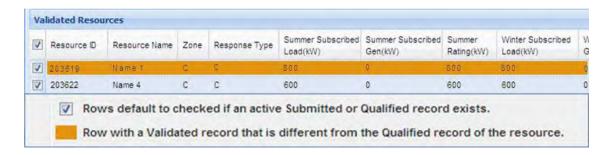


Figure 240: Validated Demand-Side Resources (Checked and Highlighted)



## Pre-requisites

- The MP is registered in MIS to participate in the DSASP program, as a DSASP Provider.
- The DSASP Provider representative performing the task has been assigned the DRIS Web UI MP Read-Only or the DRIS Web UI MP User privilege.
- The DSASP Provider representative performing the task has selected an aggregation from the DSASP Aggregation Management screen.
- The DSASP Provider representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

#### To view DSASP Aggregation Demand-Side Resource Details

- 1. From the **DSASP Aggregation Management summary grid**, choose a **DSASP Aggregation**. The system displays the Demand-Side Resource details in the corresponding Validated and Qualified Resources and/or Submitted Resources tabs.
- 2. Near the bottom of the DSASP Aggregation Management page, the MP User clicks the desired **DSASP Enrollment Status Tab for viewing.**
- 3. The system will display one entry per Demand-Side Resource, in the Validated, Qualified, and Submitted panes of the screen based on the enrollment status(es) of the resources as defined by the criteria in Figure 238.
- 4. Optionally, download the appropriate enrollment status detail data by clicking the Excel button in the lower right-hand corner of the corresponding pane, just below the grid. A file containing enrollment details for all enrollments matching the criteria specified in the search criteria for the DSASP Aggregation selected is saved to the designated location.

## 11.2. Managing DSASP Aggregations

The DSASP Provider has the ability to move a DSASP Demand-Side Resource from one enrollment status to another, with the goal of either adding the resource to a Qualified DSASP Aggregation or removing the resource from a Qualified DSASP Aggregation, whether an aggregation of an individual DSR or group of DSRs. The DSASP Provider can submit a Validated Demand-Side Resource to become part of the Qualified aggregation which will create a Submitted record for the Demand-Side Resource viewable on the Submitted Resources tab. The DSASP Provider has the option to also select resources which are Qualified to be removed from the aggregation. These tasks can be done only when there is no active enrollment status of Submitted for the aggregation.

Managing DSASP Aggregations containing either an individual DSR or a group of DSRs involves selecting and de-selecting the Validated resource enrollment records from the Validated Resources pane of the screen for the purpose of moving the Demand-Side Resource either in or out of the selected aggregation.

Managing a DSASP Aggregation successfully will result in the DSASP Provider choosing to Submit the selected resources which generates a DSASP Resource Report (see Section 11.2.3).

Managing a DSASP Aggregation involves:

- Selecting a *Validated* resource record for updates or addition to a *Qualified* DSASP Aggregation.
- De-Selecting a Validated resource record for removal from a Qualified DSASP Aggregation.
- Submitting *Validated* resources for addition, updates or removal in a DSASP Aggregation.
- Generating a DSASP Resource Report

Note: In the lower left pane of the DSASP Aggregation Management screen, Validated resources may appear checked or un-checked, as well as highlighted, based on the resource enrollment status and the Validated resource record values as compared to the Qualified resource record values (see Figure 240).

Note: Completely removing a DSASP Demand-Side Resource from a DSASP Provider Portfolio requires the action of first removing the Qualified resource from the aggregation and then separating the resource from the DSASP Provider Portfolio on the DSASP Enrollment Details screen (see Figure

## 11.2.1. Adding or Updating a Validated Demand-Side Resource for the Qualified DSASP Aggregation

The DSASP Provider has the ability to select a *Validated* resource in the Validated Resources pane of the DSASP Aggregation Management screen for the purpose of either adding the Demand-Side Resource to the Qualified DSASP Aggregation or updating the Demand-Side resource within the Qualified aggregation, containing either an individual or a group of DSRs, when changes to the Demand-Side Resource have been imported into DRIS.

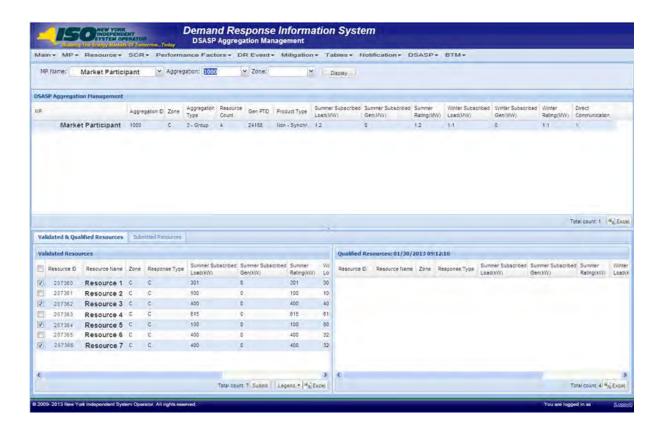
## Pre-requisites

- The MP has enrolled Demand-Side Resource(s) in the DSASP program, as a DSASP Provider, as outlined under Section 7.
- The DSASP Provider representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The DSASP Provider representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

#### To select Validated Demand-Side Resources for adding or updating

- 1. From the **DSASP** menu, choose **Aggregation Management**. The system displays the DSASP Aggregation Management page.
- 2. From the corresponding search filters near the top of the page, the DSASP Provider has the option to choose either the applicable **Aggregation ID** or **Zone** (see Figure 237).

Figure 241: DSASP Aggregation Management Page as Initially Displayed with only Validated Demand-Side **Resources** 



- 3. Near the top of the page, activate the **Display** button.
  - The DSASP Aggregation Management grid below the filters refreshes to display data for each DSASP Aggregation meeting the criteria chosen at step 2, including the DSASP Aggregation field values found in Section 11.1.1.
- 4. From the DSASP Aggregation Management grid, select the DSASP Aggregation which the MP will manage.
  - The system displays a record for each Demand-Side Resource for the selected DSASP Aggregation within the appropriate enrollment status panes (see Figure 238 and Section 11.1.2).
- 5. From the **Validated Resources** pane, select the *Validated* resources which will be added or updated for the *Qualified* DSASP Aggregation.

The DSASP Provider has the option to select or select all from the upper most check box in the lower left pane.

Note: The system will display Qualified Demand-Side Resources only if a Qualified DSASP Aggregation currently exists. If no Qualified DSASP Aggregation exists for the Aggregation ID, the right most *Qualified* Resource pane will be empty (see Figure 242).

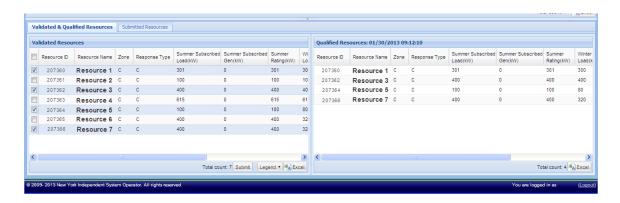
If a Qualified DSASP Aggregation exists, the associated Demand-Side Resources will populate in the Qualified Resources pane (See Figure 243)

Validated & Qualified Resources | Submitted Resources Qualified Resources: 01/30/2013 09:12:10

Figure 242: DSASP Demand-Side Resources with a Validated Record and no Qualified Record

Summer Wi Rating(kW) Lo Resource ID Resource Name Zone Response Type Summer Subscribed Load(kW) Summer Subscribed Gen(kW) Summer Rating(kt) Resource D Resource Name Zone Response Type Summer Subscribed Load(kW) Summer Subscribed Summer Subscribed Summer Winter Gen(kW) Rating(kW) Load(k ☑ 207360 Resource 1 C C 301 207361 Resource 2 C 100 ▼ 207362 Resource 3 C C 400 400 40 207363 Resource 4 C 615 ▼ 207366 Resource 7 C C 400 400 32 Total count: 7 Submit Legend ▼ 🖦 Excel Total count: 4 (a) Excel-

Figure 243: DSASP Demand-Side Resources with a Validated Record and a Qualified Record



Repeat step 5, until all Demand-Side Resources are selected as desired for addition or update 6. in the *Qualified* DSASP Aggregation.

Note: Resources with no updates, which the DSASP Provider chooses to keep as part of the Qualified aggregation, must remain checked to be included in the submission of the aggregation.

Note: The individual Demand-Side Resources which comprise the DSASP Aggregation do not require seasonal reduction capability for both Capability Periods but the aggregate of the Demand-Side Resources which form the DSASP Aggregation must provide greater than 1MW of capacity in **BOTH** the Winter and Summer Capability Periods.

7. To finalize the choice of selected Validated Demand-Side Resources for the DSASP Aggregation, the DSASP Provider must click Submit in the lower right corner of the Validated Resources pane.

DRIS will calculate and validate the Demand-Side Resources at the aggregate level for consideration in the Qualified DSASP Aggregation

When all validations at the aggregate level are successful, DRIS will create a *Submitted* record for each Demand-Side Resource included in the aggregation and create an export of the DSASP Resource Report to be included with the DSASP Resource Registration Packet (see Section 11.2.3).

Note: If a DSASP Aggregation Submittal is generated in error, it must be canceled by calling the NYISO Stakeholder Services at 518-356-6060. When calling, have the Aggregation ID and Submittal ID associated with the Submission.

Note: Demand-Side Resources can be added or removed (checked or unchecked) as part of the same submittal for the DSASP Aggregation.

## 11.2.2. Removing a Validated Demand-Side Resource from the Qualified DSASP Aggregation

The DSASP Provider has the ability to select a Validated Demand-Side Resource in the Validated Resources pane of the DSASP Aggregation Management screen for the purpose of removing the Demand-Side Resource from the *Qualified DSASP* Aggregation.

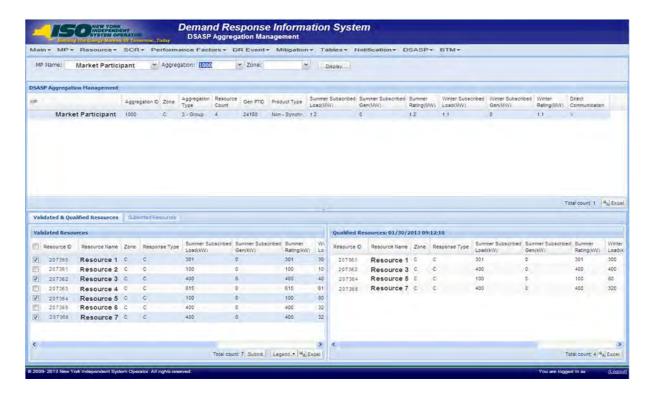
## Pre-requisites

- The MP has enrolled resources in the DSASP program, as a DSASP Provider, as outlined under section 7.
- The DSASP Provider representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The DSASP Provider organization has a *Qualified* DSASP Aggregation in DRIS.
- The DSASP Provider representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

#### To select Validated Demand-Side Resources for removal

- From the **DSASP** menu, choose **Aggregation Management**. 1. The system displays the DSASP Aggregation Management page.
- 2. From the corresponding search filters near the top of the page, the DSASP Provider has the option to choose either the applicable **Aggregation ID** or **Zone** (see Figure 237).

Figure 244: DSASP Aggregation Management Page as Initially Displayed with both Validated and Qualified **Demand-Side Resources** 



- 3. Near the top of the page, activate the **Display** button.
  - The DSASP Aggregation Management grid below the filters refreshes to display data for each DSASP Aggregation meeting the criteria chosen at step 2, including the DSASP Aggregation field values found in Section 11.1.1.
- From the **DSASP Aggregation Management** grid, select the DSASP Aggregation which the DSASP Provider will manage.

The system displays a record for each Demand-Side Resource for the selected DSASP Aggregation within the appropriate enrollment status panes (see Figure 238 and Section 11.1.2).

Note: In the lower left pane of the DSASP Aggregation Management screen, Validated Demand-Side Resources may appear checked or un-checked, as well as highlighted, based on the resource enrollment status and the Validated resource record values as compared to the Qualified resource record values (see Figure 240).

Note: Completely removing a DSASP Demand-Side Resource from a DSASP Provider Portfolio requires the action of first removing the Qualified resource from the aggregation and then separating the resource from the DSASP Provider portfolio on the DSASP Enrollment Details screen (see Figure 111).

5. From the Validated Resources pane, de-select the Validated Demand-Side Resources which will be removed from the *Qualified DSASP* Aggregation.

The DSASP Provider has the option to select or select all from the upper most check box in the lower left pane.

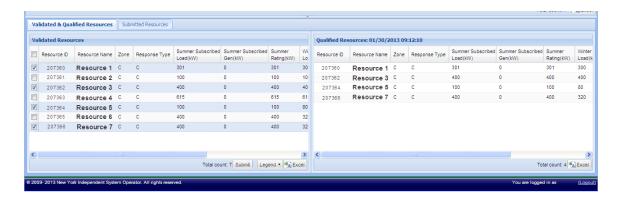
Note: The system will display Qualified Demand-Side Resources only if a Qualified DSASP Aggregation currently exists. If no Qualified DSASP Aggregation exists for the Aggregation ID, the right most Qualified Resource pane will be empty. In this instance, there will be no Demand-Side Resources to remove from the DSASP Aggregation (see Figure 245).

Note: If a Qualified DSASP Aggregation exists, the associated Demand-Side Resources will populate in the Qualified Resources pane. Only the Validated resource records which also have a Qualified resource record can be de-selected for removal from the DSASP Aggregation (see Figure 246).

Validated & Qualified Resources | Submitted Resources Qualified Resources: 01/30/2013 09:12:10 Resource ID Resource Name Zone Response Type Summer Subscribed Summer Subscribed Gen(kW) Gen(kW) Rating(kW) Lo ☑ 207360 Resource 1 C C 301 301 207361 Resource 2 C ☑ 207362 Resource 3 C C Resource 4 C ☑ 207364 Resource 5 C C 100 100 80 207365 Resource 6 C 400 400 32 ▼ 207366 Resource 7 C C 400 Total count: 7 Submit Legend ▼ 📆 Excel

Figure 245: DSASP Demand-Side Resources with a Validated Record and no Qualified Record

Figure 246: DSASP Demand-Side Resources with a Validated Record and a Qualified Record



Repeat step 5, until all Demand-Side Resources are de-selected as desired for removal from 6. the Qualified DSASP Aggregation.

Note: The individual Demand-Side Resources which comprise the DSASP Aggregation do not require seasonal reduction capability for both Capability Periods but the aggregate of the Demand-Side Resources which form the DSASP Aggregation must provide greater than 1MW of capacity in BOTH the Winter and Summer Capability Periods.

Note: When removing Demand-Side Resources from the DSASP Aggregation, the aggregation must maintain 1MW or greater of reduction capability for BOTH the Winter and Summer Capability Periods. If the DSASP Aggregation is no longer able to maintain these limits, all Demand-Side Resources are required to be de-selected for removal from the aggregation.

7. To finalize the choice of de-selected *Validated* Demand-Side Resources for removal from the DSASP Aggregation, the DSASP Provider must click Submit in the lower right corner of the *Validated Resources* pane.

DRIS will calculate and validate the individual Demand-Side Resources at the aggregate level for consideration in the Qualified DSASP Aggregation.

When all validations at the aggregate level are successful, DRIS will create a Submitted record for each Demand-Side Resource to be removed from the aggregation and create an export of the DSASP Resource Report to be included with the DSASP Resource Registration Packet (see Section 11.2.3).

Note: If a DSASP Aggregation Submittal is generated in error, it must be canceled by calling the NYISO Stakeholder Services at 518-356-6060. When calling, have the Aggregation ID and Submittal ID associated with the Submission.

**Note:** Demand-Side Resources can be added or removed (checked or unchecked) as part of the same submittal for the DSASP Aggregation.

### 11.2.3. DSASP Resource Report

DSASP Providers will be given the option to open or save the DSASP Resource Report after successfully submitting Demand-Side Resources for the DSASP Aggregation. Attaching Sections 1 and 2 of the DRIS generated DSASP Resource Report to the DSASP Resource Registration Packet is required when it is the first submission and *Qualification* of the DSASP Resource. The DRIS DSASP Resource Report and the DSASP Resource Registration Packet must be sent to Registration in the NYISO Member Relations Department as part of the DSASP Resource registration process.

After the first successful submission and Qualification of the DSASP Resource, subsequent DRIS DSASP Resource Report Sections 1 and 2, generated based on the addition of a new Demand-Side Resources, updates to existing Demand-Side Resources, or removal of Demand-Side Resources, are required to be sent to Registration in the NYISO Member Relations Department. The DSASP Resource Registration Packet is not required to be sent with each subsequent DRIS DSASP Resource Report.

The subsequent DRIS DSASP Resource Report serves as a DSASP Resource update form for the following changes to the initial DSASP Aggregation; changes to the count of Demand-Side Resource, changes to capacity of the DSASP Aggregation and changes to market segment information.

The DRIS DSASP Resource Report Section 3 is to be retained by the DSASP Provider.

**Note:** The DSASP Resource Report is initially generated and viewable from the DSASP Aggregation Management screen when the DSASP Provider elects to submit a DSASP Aggregation for Qualification (see Managing DSASP Aggregations Section 11.2). Historical DSASP Resource Reports can be accessed from the DSASP Submittals screen (see Viewing DSASP Submittals Section 11.3).

## 11.2.3.1. DSASP Resource Report Section 1

The DSASP Resource Report Section 1 is populated with all *Validated* Demand-Side Resources which are either being added to or updated for the DSASP Resource. This section will populate when the DSASP Resource Report is generated and is required to be sent with Section 2 of the DSASP Resource Report to Registration in the NYISO Member Relations Department.

Figure 247: DSASP Resource Report Section 1 Fields

# **Responsible Entity for Populating Information**

Γ	OSASP Resource Report Section 1	DRIS	MP
•	Submittal ID	Y	N
•	DSASP Aggregation ID	Y	N
•	Generator PTID	Y	N
•	DRIS Resource ID	Y	N
•	Resource Name	Y	N
•	Zip Code	Y	N
•	TO Account #	Y	N
•	Seasonal Total MWs	Y	N
•	Change From Inception	Y	N
•	Change From Last	Y	N
•	Provider Name	N	Y
•	Provider Signature	N	Y
٠	Provider Company Name	N	Y
٠	Date Signed	N	Y

Figure 248: DSASP Resource Report Section 1 Example

DRIS = Value will be populated by DRIS All others to be filled out by DSASP Provider					
DSASP Aggregation Submittal Report Date: 09/27/2013					
	Part 2: DSASP Demand Side Resource(s) Reporting: DRIS Form Page 1 of 2				
	Fait 21 Donor De	emano side ne.	ource(s) reporting bits rom	Submittal ID:	DRIS
				DSASP Agg ID:	DRIS
				Generator PTID:	DRIS
				delierator PTID:	DNIS
DRIS Resource ID	Resource Name	Zip Code	TO Account #	Summer kW	Winter kW
DRIS	DRIS	DRIS	DRIS	DRIS	DRIS
				_	
				$\neg$	
				V	
		-			
			~		
					185-4
			MW: Total*	Summer DRIS	Winter DRIS
			Change From Inception*	DRIS	DRIS
			Change From Last*	DRIS	DRIS
			*Totals will be on final page	Dillo	Dillo
			of DSASP Aggregation		
			Submittal Report		
Authorized DSASP					
Demand Reduction	To be complet	ted by	Date Signed		mpleted by
Provider Signature	DSASP Provi		Date Signed	DSASP	Provider
Authorized DSASP					
Demand Reduction	To be complet		DSASP Demand Reduction		mpleted by
Provider Printed Name	DSASP Provi	ider	Provider Company Name	DSASP	Provider
	igned form to Mc b	s Polation - 1	IYISO, 10 Krey boulevard, Ren	realmer NV 12144	
neturn completed and 5	igned form to:wembe	er Relations, I	11130, 10 kiej boulevard, ken	Seidel, N1 12144	

Note: Section 1 of the DSASP Resource Report is required to be sent to Registration in the NYISO Member Relations Department when the DSASP Provider submits a DSASP Aggregation.

Note: If a DSASP Aggregation Submittal is generated in error, it must be canceled by calling the NYISO Stakeholder Services at 518-356-6060. When calling, have the Aggregation ID and Submittal ID associated with the Submission.

## 11.2.3.2. DSASP Resource Report Section 2

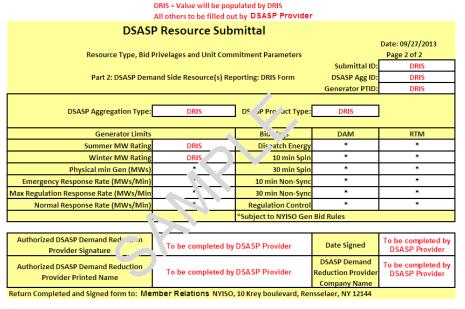
The DSASP Resource Report Section 2 is populated with the DSASP Resource Type, Bid Privileges and Unit Commitment Parameters. This section will populate when the DSASP Resource Report is generated and is required to be sent with Section 1 of the DSASP Resource Report to Registration in the NYISO Member Relations Department.

Figure 249: DSASP Resource Report Section 2 Fields

# **Responsible Entity for Populating Information**

Ι	OSASP Resource Report Section 2	DRIS	MP
•	Submittal ID	Y	N
•	DSASP Aggregation ID	Y	N
•	Generator PTID	Y	N
•	DSASP Aggregation Type	Y	N
•	DSASP Product Type	Y	N
•	Seasonal MW Ratings	Y	N
•	Physical Min Gen	N	Y
•	Response Rates	N	Y
•	Appropriate DAM Flags	N	Y
•	Appropriate RTM Flags	N	Y
•	Provider Name	N	Y
•	Provider Signature	N	Y
•	Provider Company Name	N	Y
	Date Signed	N	Y

Figure 250: DSASP Resource Report Section 2 Example



\* To be completed by DSASP Provider If not applicable, enter "N/A"

Note: Section 2 of the DSASP Resource Report is required to be sent to Registration in the NYISO Member Relations Department when the DSASP Provider submits a DSASP Aggregation.

Note: If a DSASP Aggregation Submittal is generated in error, it must be canceled by calling the NYISO Stakeholder Services at 518-356-6060. When calling, have the Aggregation ID and Submittal ID associated with the Submission.

### 11.2.3.3. DSASP Resource Report Section 3

The DSASP Resource Report Section 3 is populated with all Qualified Demand-Side Resources which are being removed from the DSASP Aggregation. This section will populate when the DSASP Resource Report is generated and one or more Demand-Side Resources are being removed from the *Qualified* aggregation. The DSASP Resource Report Section 3 is **NOT** required and should not be sent with Sections 1 & 2 of the DSASP Resource Report. The DSASP Provider is required to maintain the DSASP Resource Report Section 3 for the records of the organization.

Figure 251: DSASP Resource Report Section 3 Fields

# **Responsible Entity for Populating Information**

Ι	OSASP Resource Report Section 1	DRIS	MP
•	Submittal ID	Y	N
•	DSASP Aggregation ID	Y	N
•	Generator PTID	Y	N
•	DRIS Resource ID	Y	N
•	Resource Name	Y	N
•	Zip Code	Y	N
•	TO Account #	Y	N
•	Resource Summer kW	Y	N
•	Resource Winter kW	Y	N
•	Seasonal Aggregation MW	Y	N

Figure 252: DSASP Resource Report Section 3 Example

DRIS = Value will be populated by DRIS

Demand-Side Resource Removal Summary Date: 09/27/2013					
Submittal ID:			DRIS		
				DSASP Agg ID:	DRIS
*These Resources wil	l be removed	from this Aggrega	ition	Generator PTID:	DRIS
DRIS Resource ID	Resource Name	Zip Code	TO Account #	Summer kW	Winter kW
DRIS	DRIS	DRIS	DRIS	DRIS	DRIS
	<u> </u>				
		1			
			Summer	<u>Winter</u>	
	Total MW	Being Removed:	DRIS	DRIS	

<sup>\*</sup>Do not include this form with the DSASP Resource Report submitted to the NYISO Please keep this document for your own records.

**Note:** Section 3 of the DSASP Resource Report is not required, and should not be sent to Registration in the NYISO Member Relations Department when the DSASP Provider submits a DSASP Resource Aggregation. The DSASP Provider must retain the DSASP Resource Report Section 3 for the records of the organization.

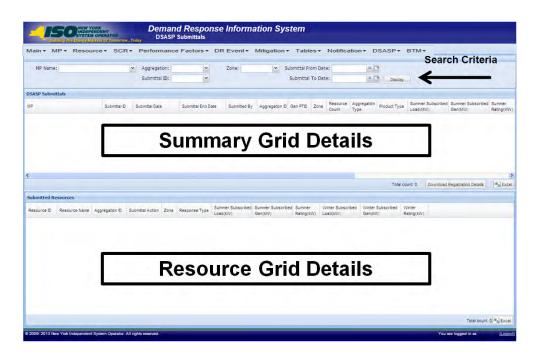
Note: If a DSASP Aggregation Submittal is generated in error, it must be canceled by calling the NYISO Stakeholder Services at 518-356-6060. When calling, have the Aggregation ID and Submittal ID associated with the Submission.

## 11.3. Viewing DSASP Submittals

Viewing DSASP Submittals involves both summary and detailed views of the DSASP Aggregation, as it existed at the time of submission. DSASP Providers can view the DSASP Submittals summary grid which displays data at the aggregation level or Submitted Resources grid which displays details of the Demand-Side Resources which were included as part of the Qualified aggregation or which were included to be removed from the Qualified aggregation at the time of the submission. (see Figure 253). Some or all of the following details and functions can be accessed from the DSASP Submittals screen within DRIS:

- **Aggregation Submittal Summary**
- Demand-Side Resource Submittal Details
- Demand-Side Resource Submittal Action
- Download Historical DSASP Resource Reports

Figure 253: DSASP Submittals Screen



When viewing DSASP Submittals and Demand-Side Resources within a DSASP Submittal, the DSASP Provider is not required to initially select search criteria, after navigating to the page.

## 11.3.1. Viewing DSASP Aggregation Submittal Summary

Viewing DSASP Submittals at the aggregation level, containing either an individual DSR or a group of DSRs, is the first step in viewing summary data of the aggregation at the time it was submitted for Qualification and downloading previously generated DSASP Resource Reports. Performing search functionality from the DSASP Submittals screen allows the DSASP Provider to view and select DSASP Aggregations to view additional details of the Demand-Side Resources within the aggregation.

The DSASP Provider can narrow the data the system displays by any or all of the following additional parameters:

- Aggregation
- Zone

- Submittal ID
- Submittal From Date
- Submittal To Date

Regardless of viewing scope, the system displays data for each DSASP Submittal, by Submittal ID descending.

# **DSASP Submittals**

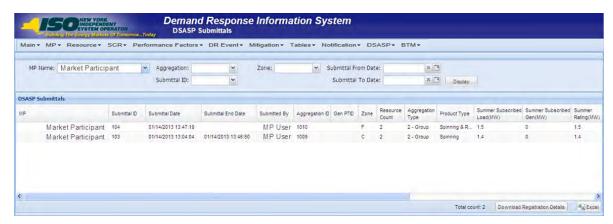
- MP Name
- Submittal ID
- Submittal Date
- Submittal End Date
- Submitted By
- Aggregation ID
- Gen PTID
- Zone
- **Resource Count**
- Aggregation Type
- Product Type
- Summer Subscribed Load(kW)
- Summer Subscribed Gen(kW)
- Summer Rating (MW)
- Winter Subscribed Load(kW)
- Winter Subscribed Load(kW)
- Winter Rating (MW)
- **Direct Communication**
- Canceled Flag
- Last Update Time
- Last Updated By

Note: In the DSASP menu the selection of "Submittals" will navigate the user to the DSASP Submittals screen which provides the ability to view DSASP Aggregations at a snapshot in time, as they existed for a submission. This screen will be viewable upon MP registration as a DSASP Provider and will begin to populate once the first DSASP Submittal has occurred.

Note: In the Submittal End Date field column, a populated value signifies that the Submittal has been closed out, either due to becoming Qualified and participating in the market or by being Canceled at the request of the DSASP Provider or by the NYISO (see Figure 254).

Note: When the first Submittal occurs for a DSASP Aggregation, the summary level details displayed will not include the Submittal End Date, Gen PTID and Canceled fields. These field values will populate once the DSASP Aggregation has become Qualified or the submission has been Canceled, (see Figure 254).





## **Pre-requisites**

- The MP is registered in MIS to participate in the DSASP program, as a DSASP Provider.
- The DSASP Provider representative performing the task has been assigned the DRIS Web UI MP Read-Only or the DRIS Web UI MP User privilege.
- The MP DRIS Web UI MP User has selected and submitted a DSASP Aggregation
- The DSASP Provider representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").
  - To view DSASP Submittals summary data
  - 1. From the **DSASP** menu, choose **Submittals**.
    - The system displays the DSASP Submittals page.

2. From the corresponding search filter(s) in the uppermost frame on the DSASP Submittals page (see Figure 255), choose the **search filters** for which the system should display DSASP Aggregations.

Figure 255: DSASP Submittals Search Filters



3. Near the top of the DSASP Submittals page, click the **Display** button.

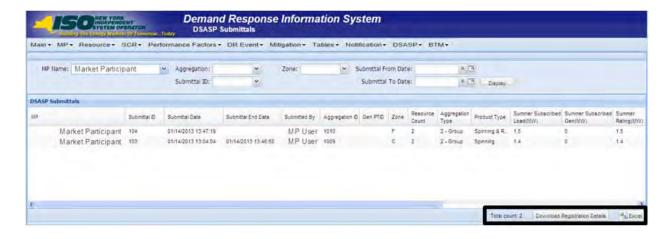
The system populates the DSASP Submittals summary grid below the search filters with data for those DSASP Aggregations meeting the criteria chosen in Step 2.

**Note:** The system will display one entry per DSASP Submittal, depending on the defined criteria. Entries in the DSASP Submittals summary grid are displayed in ascending order based on the Submittal ID.

To refresh the DSASP Enrollment Details grid so that it displays up-to-date information, click the sutton in the grid status bar.

- Optionally, download the DSASP Submittals summary data by clicking the Excel button in the 4. lower right-hand corner of the screen, just below the summary grid.
  - A file containing enrollment details data for all enrollments matching the criteria specified in step 2 is saved to the designated location.
- 5. Additionally, optionally, the DSASP Provider has the ability to download the DSASP Resource Report represented by the selected DSASP Submittal data by highlighting the desired DSASP Aggregation and Submittal ID and then clicking the DSASP Resource Report button in the lower right-hand corner of the screen, just below the summary grid (see Figure 256).
  - A file containing the DSASP Resource Report for the selected record, as it existed at the time of submission, is saved to the designated location.

Figure 256: Download DSASP Resource Report



## 11.3.2. Viewing Demand-Side Resources within a DSASP Submittal

Viewing Demand-Side Resources within a DSASP Submittal allows the DSASP Provider to view the Demand-Side Resource details as they existed at the time of submittal. Performing search functionality from the DSASP Submittals screen allows the DSASP Provider to view and select DSASP Aggregations in greater detail. Once a DSASP Aggregation has been selected, the Submitted Resources grid on the lower half of the DSASP Submittals screen will populate with the aggregation details.

In addition to the field values for the Demand-Side Resources, the DSASP Provider can also view the specific action that was taken on each Demand-Side Resource for the selected Submittal (see Figure 257).

Figure 257: DSASP Submittal Action

Submittal Action	Definition
<u>Add</u>	When a <i>Qualified</i> DSASP Enrollment record does not exist for the resource.
<u>Update</u>	When a <i>Qualified</i> DSASP Enrollment record exists for the resource and a field value has been modified.
No Change	When a <i>Qualified</i> DSASP Enrollment record exists for the resource and there are no field value modifications.
Remove	When a <i>Qualified</i> DSASP Enrollment record exists for the resource and it has been selected

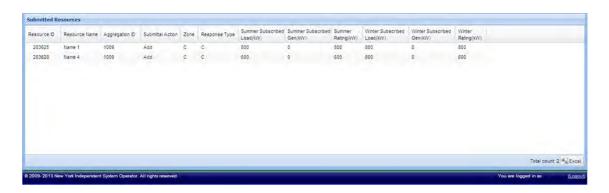
	for removal from the DSASP Aggregation.
<u>Separated</u>	When the resource has been separated from the DSASP Provider Portfolio.

The system displays data for each Demand-Side Resource within the aggregation, by Resource ID ascending.

### **Submitted Demand-Side Resource**

- Resource ID
- Resource Name
- Aggregation ID
- **Submittal Action**
- Zone
- Response Type
- Summer Subscribed Load(kW)
- Summer Subscribed Gen(kW)
- Summer Rating (kW)
- Winter Subscribed Load(kW)
- Winter Subscribed Gen(kW)
- Winter Rating(kW)

Figure 258: DSASP Submitted Resources Details



## Pre-requisites

The MP is registered in MIS to participate in the DSASP program, as a DSASP Provider.

- The DSASP Provider representative performing the task has been assigned the DRIS Web UI MP Read-Only or the DRIS Web UI MP User privilege.
- The DSASP Provider representative performing the task has selected a DSASP Submittal from the DSASP Submittals screen.
- The DSASP Provider representative performing the task is logged in to DRIS (see section 1.3, "Accessing the System").

#### To view DSASP Submittal details for an aggregation

- 1. From the **DSASP Submittals summary grid**, choose a DSASP Aggregation **Submittal**. The system displays the Submitted Resources details in the corresponding Submitted Resources grid.
- 2. Optionally, download the Submitted Resources details data by clicking the Excel button in the lower right-hand corner of the corresponding tab, just below the grid.
  - A file containing Submitted enrollment details data for all enrollments matching the criteria specified in the search criteria for the DSASP Aggregation selected is saved to the designated location.

# 12. Performing Reliability Program Demand Response Event-Specific or **Test-Specific Tasks**

For NYISO's Reliability Programs, Demand Response Events and Tests consist of receiving Event Notifications, reporting expected curtailment values by zone or subload pocket and reporting resource load reduction data following the event or test.

DRIS Event Notification provides the means to perform the following:

- Receive Event Notifications for events and performance tests
- View Event Notifications requiring an expected curtailment value
- Report expected curtailment values by zone or subload pocket
- View summary data of a specific event or test notification
- Receive and acknowledge Event Notifications for Communication Tests

For those MPs with resources that curtailed load in response to a Demand Response Event or Test, DRIS provides the means to perform the following:

- View details of a specific event or test
- Report and view resource responses to an event or test
- View resource payment details for an event or test
- Export payment details for an event or test

## 12.1. Receiving Event Notifications

Market Participants will be notified of Demand Response events, SCR performance tests, and communication tests through an email message and an automated phone message.

Before an MP organization can receive Event Notifications, the following criteria must be met:

The MP organization must have set up and assigned one or more Event-Responder Contacts in DRIS for the specific DR program (see Section 6 "

Managing Market Participant Organization Contacts").

- The MP must have enrolled resources for the Capability Period and auction month in one or more zones or subload pockets indicated on the Event Notification.
- An MP organization participating in the SCR program must establish an Event-Responder Contact for both the SCR and EDRP programs to ensure receipt of Event Notifications in auction months when an SCR resource has zero auction sales and is converted to an EDRP resource.

Note: Only contacts within DRIS with a contact type association of Event-Responder will receive Event Notifications of Demand Response events, SCR performance tests, and communication tests called by the NYISO.

As illustrated in Figure 259 and Figure 260, both email and automated phone Event Notifications contain the following parameters:

- Notification Type: NYISO Event, Targeted Demand Response Program Event, Performance Test 1, or Performance Test 2
- *Program:* SCR or EDRP
- Message Type: Day-Ahead Advisory, In-Day Advisory, 2-Hour Activation, Immediate Activation, Extension, Early Termination, or Communication Test
- Zone(s) or Subload Pocket(s)
- Start Time of Event
- End Time of Event
- Date of Performance Tests: for Performance Test Event Notifications only

Additionally, the email Event Notification will indicate the "From" email address as edrpscr@nyiso.com and display a "Subject" line stating the Message Type, Program, Zone(s) or Subload Pocket(s), Date of Event, Start Time of Event and End Time of Event (see Figure 259).

The automated phone Event Notification will display the caller ID as the NYISO Customer Relations phone number, "518-356-6060" and begin with "This is a message from the New York ISO" (see Figure 260).

Note: After the initial automated phone statement, "This is a message from the New York ISO", the automated phone system will prompt the listener to "Press 1" to play the Event Notification message. Once the message has completed, the system will prompt the listener to "Press 1" to confirm receipt of the message or "Press 2" to replay the message.

# Figure 259: Example Email Message for SCR 2-Hour Activation

- Email from: edrp-scr@nyiso.com
- Email Subject Line:
  - Activation(2 Hour Notice) Notification for SCR Resources in Zones G, I, J, K starting on 05/24/2012 at 14:00 and ending at 18:00
- Email Content:

Special Case Resources are needed today starting at 14:00 and ending at 18:00 Special Case Resources located in zones G, I, J, K are subject to this notice. Each Responsible Interface Party (RIP) must respond within one hour by logging into the NYISO Demand Response Information System (DRIS) and entering the load reduction levels (KWs) expected to be achieved on the system in each zone. This data is used for reliability purposes.

Participation in this event is mandatory for each Special Case Resource sold during 05/2012 and load reduction achieved by each Special Case Resource during this event is expected to be at the value of the KWs sold. Special Case Resources that fail to participate in this event at the value of the KWs sold during 05/2012 will be subject to future de-rating, as described in the applicable ISO Procedures and the corresponding RIPs may be subject to deficiency penalties pursuant to ISO Procedures.

This constitutes an official Special Case Resource Event Activation Two Hour notice. If any questions arise concerning this Special Case Resource Activation Two Hour notice please contact NYISO Customer Relations at 518-356-6060.

### Figure 260: Example Phone Message for SCR 2-Hour Activation

- Phone Caller ID: 518-356-6060
- Phone Introduction:
  - "This is a message from the New York ISO"
- Phone Message Content:

Special Case Resources are needed today starting at 14:00 and ending at 18:00. Special Case Resources located in zones G.I, J, K are subject to this notice. Each Responsible Interface Party must respond within one hour in accordance with separate email instructions. Participation in this event is mandatory for each Special Case Resource sold during 05/2012 and load reduction achieved by each Special Case Resource during this event is expected to be at the value of the KWs sold. This constitutes an official Special Case Resource Event Activation 2 Hour notice. If any questions arise concerning this Special Case Resource Event 2 Hour notice please contact NYISO Customer Relations at 518-356-6060.

# 12.2. Viewing Event Notifications Requiring an Expected Curtailment Response

After MPs have received an Event Notification, which requires a response in the form of an expected curtailment value, the Event Notification is viewable in DRIS.

Event Notifications which require an expected curtailment value include:

- All NYISO and TDRP Events with the Message Type of:
  - Day-Ahead Advisory
  - In-Day Advisory
  - 2-Hour Activation
  - Immediate Activation
- SCR Performance Test 1 and SCR Performance Test 2 with the Message Type of:
  - Day-Ahead Advisory
  - 2-Hour Activation

Viewing Event Notifications requiring an expected curtailment value provides the MP with a snapshot of notifications that may be narrowed by the following parameters:

- Capability Period
- Events from date
- Notification type
- Message type
- Program
- Zone or Subload Pocket
- **Include Expired**

The system initially displays all notifications for the current Capability Period. The following data is displayed for each notification:

- Capability Period
- Notification type
- Notice sent date/time
- Message type
- Program
- Event start date/time

- Event end date/time
- Zone(s) or Subload pocket(s)
- Response expiration date/time
- Notification created by

# Pre-requisites

- The MP representative performing the task is logged in to DRIS (see section 1.3, "Accessing the System").
- An Event Notification requiring an expected curtailment value exists in DRIS.

#### To view an Event Notification requiring an excepted curtailment value

1. From the **Notification** menu, choose **Response Summary**.

The system displays the Notification Responses page with search criteria defaulted to initially display all Event Notifications for the current Capability Period. To further narrow or expand the display of Event Notifications, from the corresponding search filters in the uppermost frame on the Notification Responses page (see Figure 261), choose from any combination of Capability Period, Events from Date, Notification Type, Program, Message Type, Zone, and/or **Exclude Expired** for which the system should display Event Notifications.

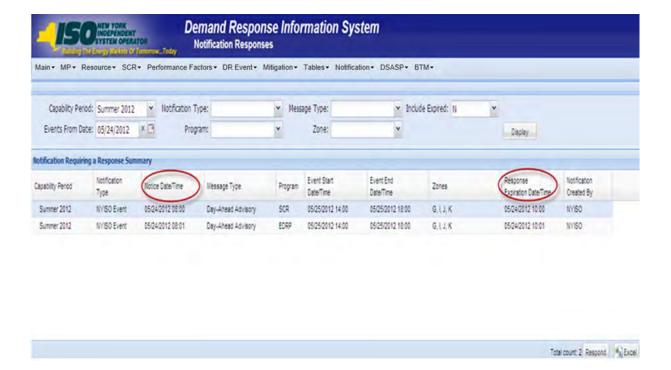
Figure 261: Notification Responses Page Search Filters



2. Near the top of the Notification Responses page, click the **Display** button.

The system populates the Notification Responses page below the search filters with data for the events or tests meeting the criteria chosen in at step 2 (see Figure 262).

Figure 262: Notification Responses Page Populated with Data



Note: The Notification Responses page defaults to display all Event Notifications requiring an expected curtailment value that have a Response Expiration Date/Time which has not yet expired.

3. In the Notification Requiring a Response Summary grid below the search filters, click the row corresponding to the Event Notification for which expected curtailment values have been previously entered.

The Notification Responses frame in the lowermost area of the page refreshes to display the expected curtailment values for the specific zones or subload pockets on the Event Notification (see Figure 263).

Demand Response Information System in . MP . Resource . SCR . Perfo ice Factors - DR Event - Mitigation - Tables - Notification - DSASP - BTM -Motification Type: · Hessage Type: ▼ Include Expired: N Capability Period: Summer 2012 Events From Date: 05/24/2012 Program: Zone: Program Event Start Event End Notification Created By Notification fictice Date/Time Message Type Response Expreton Date/Time NYSO Event 05/24/2012 08:00 Day-Aheas Advasory SCR 05/25/2012 14:00 05/25/2012 18:00 05/24/2012 10:00 NVISO Day-Aheas Advisory Summer 2012. NYSO Event 05/24/2012 08:01 60.00 05/25/2012 14:00 05/25/2012 15:00 05/24/2012 10:01 NYSO Q. LLK Total count 2 Respond | \* Lifece Total KIV Available Expected XIV Commement Response User Response Date/Time 05/24/2012 06:12:22 Market Participant User Name

Figure 263: Notification Responses Frame Populated with Expected Curtailment Values

## 12.3. Responding to Event Notifications Requiring an Expected Curtailment Value

Market Participants should respond through DRIS with the expected curtailment values for each zone or subload pocket indicated in the Event Notification for which resources are enrolled.

The Response Expiration Date/Time of the Event Notification specifies at what time expected curtailment values will no longer be accepted into DRIS. The Response Expiration Date/Time is determined by the Notice Sent Date/Time (see Figure 262). Market Participants will have one hour to respond with expected curtailment values for all event and performance test notifications which require a response.

Market Participants may update expected curtailment values to an Event Notification multiple times prior to the Response Expiration Date/Time. The zonal or subload pocket expected curtailment value with the most recent submittal date will be saved in DRIS.

Once the Response Expiration Date/Time has passed, MPs will not be able to enter an expected curtailment value for the Event Notification.

Note: Market Participants and their resources are expected to reduce load during the hours of the Event even if the MP has not entered the expected curtailment values before the Response Expiration Date/Time. Reporting of the expected curtailment values in response to an Event Notification does not modify the actual load reduction that is expected of the resource during the actual hours of the event.

Note: MPs will receive a separate Event Notification for Events that are either extended or terminated early from the original event end time for one or more of the zones or subload pockets on the original Event Notification. MPs will not respond with expected kW curtailment values to Events that are extended or terminated early. The MP expected kW curtailment value from the original Event Notification will be used as the MP expected kW curtailment value for Events which are extended.

# Pre-requisites

- The MP organization is registered in MIS on the date that the event or test occurs.
- The MP organization is enrolled in DRIS in the DR program and Capability Period for which the event or test occurs.
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").
- The MP organization must have enrolled resources for the Capability Period and auction month in one or more zones or subload pockets indicated on the Event Notification.
- The Event Notification to which the MP is responding has not yet expired.

## To respond to an Event Notification

1. From the **Notification** menu, choose **Response Summary**.

The system displays the Notification Responses page with search criteria defaulted to initially display all Event Notifications for the Capability Period.

2. To further narrow or expand the display of Event Notifications, from the corresponding search filters in the uppermost frame on the Notification Responses page (see Figure 264), choose from any combination of Capability Period, Events from Date, Notification Type, Program, Message **Type, Zone,** and/or **Exclude Expired** for which the system should display Event Notifications.

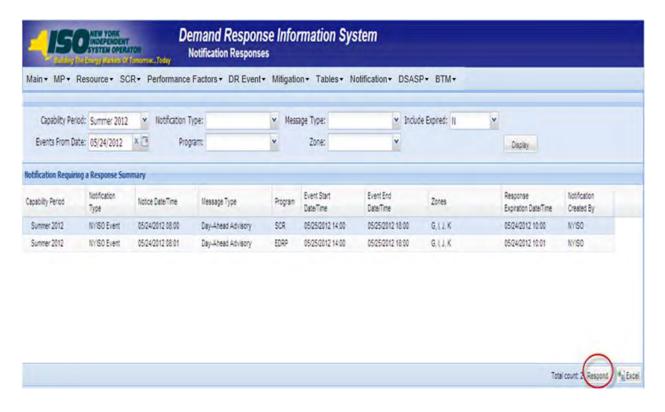
Figure 264: Notification Responses Page Search Filters



3. Near the top of the Notification Responses page, click the **Display** button.

The system populates the Notification Responses page below the search filters with data for the events or tests meeting the criteria chosen in at step 2 (see Figure 265).

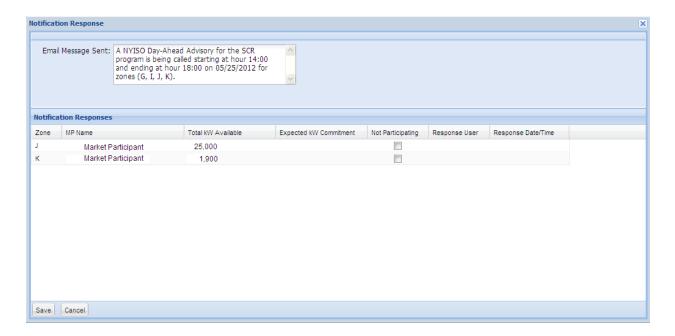
Figure 265: Notification Responses Page with Notification Selected for Responding with Expected **Curtailment Values** 



4. Select the row containing the Event Notification for which expected curtailment values are to be entered and click the **Respond** button in the lower-right corner of the frame to initiate the Notification Response window (see Figure 265).

5. The Notification Response window provides the text of the email from the Event Notification message, the zone(s) or subload pocket(s) from the Event Notification which are specific to the MP organization, and the Total kW Available curtailment by zone or subload pocket (see Figure 266).

Figure 266: Notification Response Window



6. To enter the expected curtailment value for each zone or subload pocket click the Expected kW Commitment field to make it editable (see Figure 267) and type in the numeric value of expected curtailment in kW increments (see Figure 268).

> **Note:** The Expected kW Commitment may be greater than the Total kW Available. DRIS will provide a Warning message when the Expected kW Commitment exceeds 110% of the Total kW Available for a specific zone or subload pocket. The user should accept the Warning message and the value will be saved in DRIS. The value may then be changed by clicking on the Expected kW Curtailment field and entering and saving a new Expected kW Commitment.

7. Alternately, to indicate no expected curtailment value for a specific zone or subload pocket, check the Not Participating box for the row of the zone or subload pocket.

DRIS will automatically assign an Expected kW Commitment value of zero (see Figure 268).

Figure 267: Notification Response Window with Expected kW Commitment field made Editable

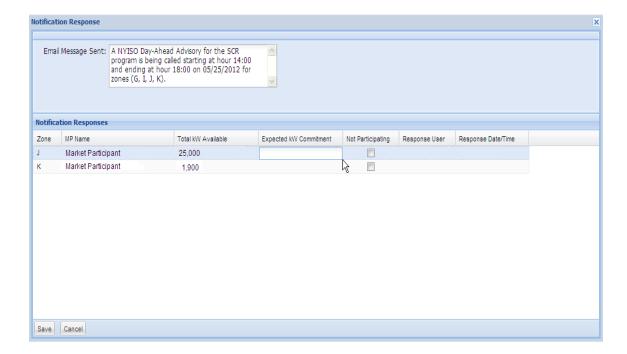
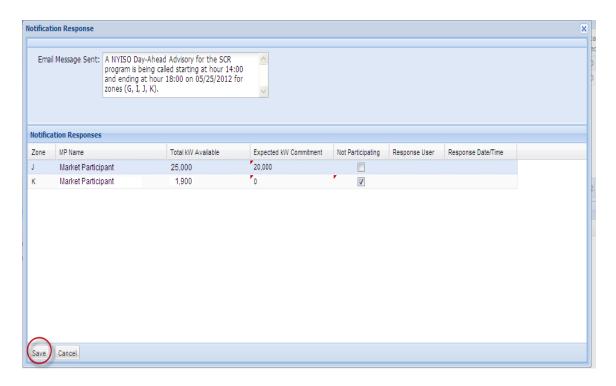


Figure 268: Notification Response Window with Expected kW Commitment Values



- 8. When all zones or subload pockets have had Expected kW Commitment values assigned or been indicated as Not Participating, click the Save button in the lower-left corner of the frame to save the response to the Event Notification (see Figure 268).
- 9. View the saved responses to the Event Notification from the lowermost area of the Notification Responses page (see Figure 269).

Demand Response Information System
Notification Responses Resource - SCR - Perform nce Factors - DR Event - Mitigation - Tables - Notification - DSASP - BTM w Include Expred: III ➤ Message Type: Capability Period: Summer 2012 Notification Type: Events From Date: 05/24/2012 Programo Zones utification Requiring a Response Su hosticates Type Program Event Start Date/Time Event End Date/Time Response Expreton Date/Time Notice Date/Time Message Type Zones Capability Period Type NVSO Event 05/24/2012 08:00 05/05/00/12 14:00 05/25/2012 10:00 0.11.5 05/24/2012 10:00 NVISO Event 05/24/2012 08 01 05/25/2012 18:00 55/24/2012 10:01 Total court 2 Respond | 4 Lain Total VV Available Market Participant 05/24/2012 08:12:22

Figure 269: Notification Responses Frame Populated with Expected Curtailment Values

## 12.4. Viewing Event Notifications

Market Participants can view summary information for event, SCR performance test, and communication test notifications issued by the NYISO. This allows for viewing of all notifications, including those for which the MP was not eligible to participate.

Viewing Event Notifications provides the MP with a snapshot of notifications which may be narrowed by the following parameters:

- Capability Period
- Events from date
- Notification type

- Message type
- **Program**
- Zone or Subload Pocket

The system initially populates the Events from Date with the system date and displays all notifications that have an Event End Date that occurs on or after the system date. The following data is displayed for each notification:

- Capability Period
- Notification type
- Notice date/time
- Message type
- Program
- Event start date/time
- Event end date/time
- Zone(s) or Subload pocket(s)
- Response expiration date/time
- Notification created by

# **Pre-requisites**

- The MP representative performing the task is logged in to DRIS (see section 1.3, "Accessing the System").
- An Event Notification exists in DRIS.
  - To view an Event Notification
- 1. From the **Notification** menu, choose **Summary**.

The system displays the Notification Summary page with search criteria defaulted to initially display all Event Notifications with an Event End Date that occurs on the system date.

2. To further narrow or expand the display of Event Notifications, from the corresponding search filters in the uppermost frame on the Notification Summary page (see Figure 270), choose from any combination of Capability Period, Events from Date, Notification Type, Program, Message **Type,** and **Zone** for which the system should display Event Notifications.

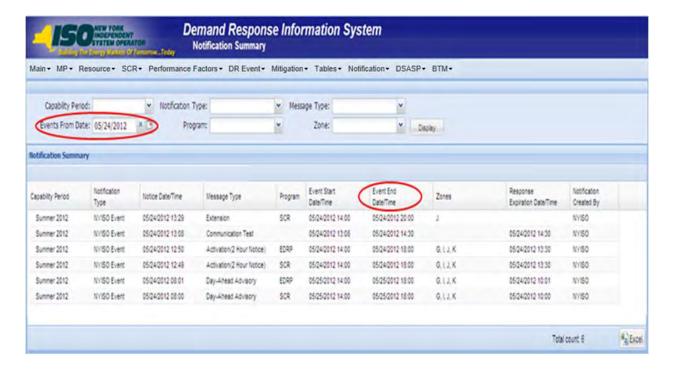
Figure 270: Notification Summary Page Search Filters



3. Near the top of the Notification Summary page, click the **Display** button.

The system populates the Notification Summary page below the search filters with data for the events or tests meeting the criteria chosen in at step 2 (see Figure 271).

Figure 271: Notification Summary Page Populated with Date



Note: The Notification Summary page defaults to display all Event Notifications with an Event End Date that occurs on or after the system date.

# 12.5. Receiving and Acknowledging Communication Tests

A Communication Test is a notification which provides for testing of the Event Notification process. The test allows for MPs to verify receipt of communications from the NYISO through email and phone and verify the ability of the MP organization to access DRIS to respond to a notification.

After MPs have received a Communication Test which requires an acknowledgement of receipt in DRIS, the Event Notification is viewable in DRIS.

Before an MP organization can receive a Communication Test, the following criteria must be met:

The MP organization must have set up and assigned one or more Event-Responder Contacts in DRIS for the specific DR program (see section 6 "

Managing Market Participant Organization Contacts").

Additionally, the email Communication Test will indicate the "From" email address as edrpscr@nyiso.com and display a "Subject" line announcing that it is a Communication Test (see Figure 272).

The automated phone Event Notification will display the caller ID as the NYISO Customer Relations phone number, "518-356-6060" and begin with "This is a message from the New York ISO" (see Figure 273).

Note: After the initial automated phone statement, "This is a message from the New York ISO", the automated phone system will prompt the listener to "Press 1" to play the Event Notification message. Once the message has completed the system will prompt the listener to "Press 1" to confirm receipt of the message or "Press 2" to replay the message.

# Figure 272: Example Email Message for Communication Test

- Email from: edrp-scr@nyiso.com
- Email Subject Line:
  - NYISO Communication Test
- Email Content:

This is a communications test of the Demand Response Emergency Notification System for Emergency Demand Response Program (EDRP) resources and Special Case Resources in Zones Athrough K. This communication test is used to verify that Event Responder contacts in the Demand Response Information System (DRIS) are receiving e-mail and phone messages.

Individual resources are not required to respond.

Please have one representative from your organization provide a response within one hour by logging into the NYISO Demand Response Information System.

If any questions arise concerning this communications test please contact NYISO Customer Relations at 518-356-6060.

Figure 273: Example Phone Message for Communication Test

- Phone Caller ID: 518-356-6060
- Phone Introduction:
  - "This is a message from the New York ISO"
- Phone Message Content:

This is a communications test of the Demand Response Emergency Notification System for Emergency Demand Response Program resources and Special Case Resources in Zones A through K. This communication test is used to verify that all Event Responder contacts in the Demand Response Information System are receiving e-mail and phone messages. Individual resources are not required to respond. Please have one representative from your organization respond within one hour in accordance with separate email instructions. If any questions arise concerning this communications test please contact NYISO Customer Relations at 518-356-6060.

## Pre-requisites to view a Communication Test

- The MP representative performing the task is logged in to DRIS (see section 1.3, "Accessing the System").
- A Communication Test requiring an acknowledgement exists in DRIS.

### To view a Communication Test

1. From the **Notification** menu, choose **Response Summary**.

The system displays the Notification Responses page with search criteria defaulted to initially display all Event Notifications for the Capability Period.

2. To further narrow or expand the display of Event Notifications, from the corresponding search filters in the uppermost frame on the Notification Responses page (see Figure 274), choose from any combination of Capability Period, Events from Date, Notification Type, Program, Message **Type, Zone,** and/or **Exclude Expired** for which the system should display Event Notifications.

Figure 274: Notification Responses Page Search Filters

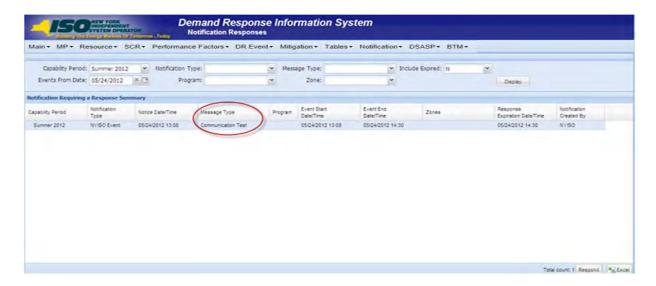


3. Near the top of the Notification Responses page, click the **Display** button.

The system populates the Notification Responses page below the search filters with data for the events or tests meeting the criteria chosen in at step 2 (see Figure 275).

4. A Communication Test can be identified by viewing the Message Type of the Event Notification (see Figure 275). Communication Tests will have no associated program or zone(s) or subload pocket(s).

Figure 275: Notification Responses Page with Communication Test



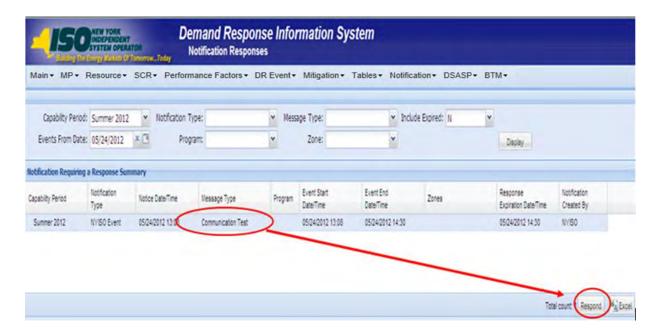
# Pre-requisites to respond to a Communication Test

- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").
- A Communication Test requiring an acknowledgement exists in DRIS.
- The Communication Test the MP is acknowledging has not yet expired.

#### To respond to a Communication Test

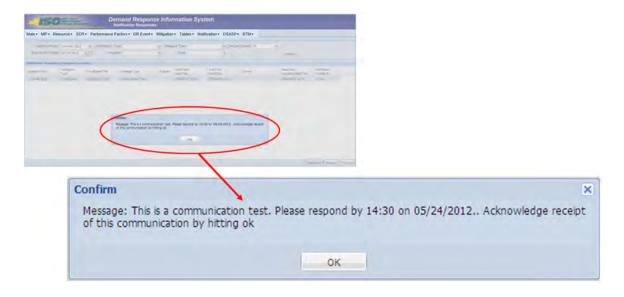
1. From the Notification Responses page, select the row housing the Communication Test notification and click the **Respond** button in the lower-right corner of the frame to initiate the Notification Response window (see Figure 276).

Figure 276: Notification Responses Page with Communication Test Selected for Responding with **Acknowledgement** 



2. A Confirm Message window appears requesting acknowledgement of receipt of the Communication Test (see Figure 277). Click **OK** to acknowledge receipt as a response to the Communication Test.

Figure 277: Communication Test Acknowledgement Confirmation Window



3. DRIS returns to the Notification Responses screen and refreshes to display the Notification Responses frame in the lowermost area of the page with the acknowledgement of the Communication Test displayed with the Response User and Response Date/Time saved (see Figure 278).

> Note: When multiple contacts at an MP organization receive the Communication Test, only one user acknowledgement per MP organization is required in DRIS. If multiple contacts from the same MP organization acknowledge the Communication Test, the confirmation with the most recent submittal date will be saved in DRIS.

Demand Response Information System **Notification Responses** Main \* MP \* Resource \* SCR \* Performance Factors \* DR Event \* Mitigation \* Tables \* Notification \* DSASP \* BTM \* Message Type: ▼ Include Expired: N Capability Period: Summer 2012 Notification Type: Events From Date: 05/24/2012 X 3 Program: Zone: Display Notification Requiring a Response Summary Event Start Event End Notification Notification Notice Date/Time Message Type Capability Period Date/Time Expiration Date/Time Created By NY/S0 Event 05/24/2012 13:08 Summer 2012 Communication Test 05/24/2012 13:08 05/24/2012 14:00 05/24/2012 14:30 Total court: 1 Respond | 4 Excel **Botification Respo** 11P Name Expected KIV Commitment Not Participating Response User Response Eate-Time 05/24/2012 14:24:06 Market Participant User Name Total count 1 1 Excel

Figure 278: Notification Responses Frame Populated with Communication Test Acknowledgement

# 12.6. Viewing Event or Test Details

Once the event or test has taken place, the following details about the event will be made available for viewing in DRIS. These details will be used in ascertaining proper resource response data for import into DRIS.

- Capability Period: Capability Period in which the event or test occurred
- *Event Type:* Designation of the event as NYISO Event, Test, or TDRP Event
- **Program:** SCR or EDRP
- Event Start Date: The Start Date and Time of the event
- Event End Date: The End Date and Time of the event
- Zones: The zones and percentages or subload pockets and percentages called for the event
- First Hour of Payment: The first resource response hour that will be accepted for payment, Hour Beginning
- Last Hour of Payment: The last resource response hour that will be accepted for payment, Hour Beginning

- First Hour of Performance: The first resource response hour that will be accepted for the purpose of performance calculation, Hour Beginning
- Last Hour of Performance: The last resource response hour that will be accepted for the purpose of performance calculation, Hour Beginning
- CBL Start Date: The first date of the date range that may be used as a resource CBL Date when reporting the resource response to the event
- CBL End Date: The last date of the date range that may be used as a resource CBL Date when reporting the resource response to the event
- Response Submittal End Date: The last date when resource responses will be accepted, as an import into DRIS, for the event

Note: A null value displayed in the First Hour of Performance and the Last Hour of Performance indicates an event for which there was no day-ahead notice. The performance of SCR resources in an event for which there was no day-ahead notice will not be used in the calculations of the SCR resource performance factor. However, metered kW values are still required for all event hours on the event response import file when reporting resource data for event payments for an event for which there was no day-ahead notice.

#### To view event or test details

- From the **DR Event** menu, choose **DR Event Summary**. 1. The system displays the Summary of Demand Response Events page.
- From the corresponding search filters in the uppermost frame on the Summary of Demand 2. Response Events page (see Figure 279), choose from any combination of **Capability Period**, Month, Event Type, Program and/or Zone for which the system should display events or tests.

Figure 279: Summary of Demand Response Events Page Search Filters



3. Near the top of the Summary of Demand Response Events page, click the **Display** button. The system populates the DR Summary page below the search filters with data for the events or tests meeting the criteria chosen at step 2 (see Figure 280).

Figure 280: Summary of Demand Response Events Page Populated with Data



# 12.7. Managing Resource Responses to an Event or Test

Resource responses to an event or test must be imported into DRIS within a pre-established time frame. This limited response acceptance period occurs up to and including seventy five days from the event or test date as specified on the DRIS Event Calendar (refer to Section 2.1).

It is the responsibility of the MP to perform the following:

- 1. Create a correctly structured, formatted, and populated event response file
- 2. Import the event response file to DRIS
- 3. Review and manage as necessary the results of the import process

Task 3 immediately preceding may require the MP take an additional action in the form of, for example, correcting exceptions (i.e., data errors, changes, or omissions) that prevent import of some or all data.

> **Note:** Reporting resource event response data through the event response import file in DRIS is the only means by which response data will be accepted by the NYISO. The imported data will be used for both the determination of future performance calculations and for the processing of payment for the event or test.

#### 12.7.1. Creating an Event Response File

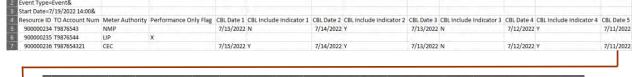
Resource response to an event or test for the purposes of payment processing and/or for future performance calculations is initiated via MP import of the 'Event Response Import Template' File to DRIS. The 'Event Response Import Template' file can be accessed at www.nyiso.com >demand-response >SCR

Forms & Template> DRIS SCR Event Response Import Template.xlsx. Responses from multiple resources may be submitted at one time, provided that the responses are for the same event or test as specified by DRIS.

As illustrated by the sample event response file in Figure 281, the .xlsx file header must identify the event type, DR program, and event start date and time. The file must also contain data for each resource that responded to the event or test, and must contain column headings.

rogram=SCR& Event Type=Event& Start Date=7/19/2022 14:008 Resource ID TO Account Num Meter Authority 900000234 T9876543 7/15/2022 N 7/14/2022 Y 7/13/2022 N

Figure 281: Sample Event Response File in Excel

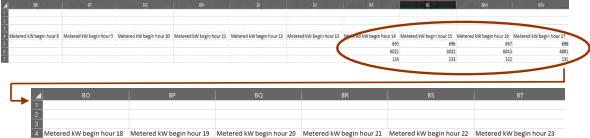




BLkW begin hour 1 CBLkW begin hour 2 CBLkW begin hour 3 CBLkW begin hour 4 CBLkW begin hour 5 CBLkW begin hour 6 CBLkW begin hour 7 CBLkW begin hour 8 CBLkW begin hour 9 CBLkW begin hour 10 CBLkW begin hour







In order for an event response file to be successfully processed by DRIS, the header data must meet predefined rules. Figure 282 details these rules along with the error messages the system will generate should the file violate any of the rules. Likewise, in order for resource event response data to be imported to the

system, the data must meet pre-defined rules related to formatting and value, based on the DR program rules. Figure 283 details the rules specific to the resource event response data.

After creating a properly structured, formatted, and populated event response file, the MP must import the file to DRIS as the next step in reporting resource responses to an event or test.

Figure 282: Rules for Successful Processing of Event Response Import File

Attribute	Rule	Error Message
Event Type	The event type in the header must match that corresponding to the event chosen via the system interface.	Event Type <event type=""> in the Import File header does not match Event Type corresponding to the event selected for Import.</event>
Program	The program in the header must match that corresponding to the event chosen via the system interface.	Program <program> in the Import File header does not match Program corresponding to the event selected for Import.</program>
Start Date	The start date and time in the header must match that corresponding to the event chosen via the system interface.  Must be in the following format:  MM/DD/YYYY HH:MM	Start Date <start date=""> in the Import File header does not match Start Date corresponding to the event selected for Import.</start>

Figure 283: Rules Specific to Resource Data in Event Response File

Event Response Field Name	Column in Import File	Field Format	Description and Rule(s)
Resource ID	Α	Numeric	The Resource ID assigned by the NYISO.
TO Account Number	В	Text Up to 30 characters	The account number that is associated with the resource in DRIS.
Performance Only Flag	С	Text 1 character	If Resource response is to be used for Performance calculations only, enter an X into the Performance Only Flag field and the CBL Date, CBL Include Indicator, and CBL kW fields remain blank.  If Resource response is to be used for both Payment and Performance calculations, leave the Performance Only field blank.
Meter Authority	D	Text Up to 3 characters	The Transmission Owner or Meter Services Entity that is providing the meter data used for the Top 40 ACL values for the resource being enrolled. The Meter Authority will be the 3 character abbreviation for the Meter Authority being used for the resource. The list of abbreviated

Event Response Field Name	Column in Import File	Field Format	Description and Rule(s)
			Meter Authority names can be found on the NYISO: Approved Meter Services Entities
CBL Date 1	D	Date MM/DD/YYYY	Customer Baseline calculation date 1.
CBL Include Indicator 1	E	Text 1 character	If CBL Date 1 is included in the CBL calculation, enter a Y into the CBL Indicator 1 field.  If CBL Date 1 is not included in the CBL calculation, enter an N into the CBL Indicator 1 field.
CBL Date 2	F	Date MM/DD/YYYY	Customer Baseline calculation date 2.
CBL Include Indicator 2	G	Text 1 character	If CBL Date 2 is included in the CBL calculation, enter a Y into the CBL Indicator 2 field.  If CBL Date 2 is not included in the CBL calculation, enter an 'N' into the CBL Indicator 2 field.
CBL Date 3	Н	Date MM/DD/YYYY	Customer Baseline calculation date 3.
CBL Include Indicator 3	1	Text 1 character	If CBL Date 3 is included in the CBL calculation, enter a Y into the CBL Indicator 3 field.  If CBL Date 3 is not included in the CBL calculation, enter an N into the CBL Indicator 3 field.
CBL Date 4	J	Date MM/DD/YYYY	Customer Baseline calculation date 4.
CBL Include Indicator 4	К	Text 1 character	If CBL Date 4 is included in the CBL calculation, enter a Y into the CBL Indicator 4 field.  If CBL Date 4 is not included in the CBL calculation, enter an N into the CBL Indicator 4 field.
CBL Date 5	L	Date MM/DD/YYYY	Customer Baseline calculation date 5.
CBL Include Indicator 5	М	Text 1 character	If CBL Date 5 is included in the CBL calculation, enter a Y into the CBL Indicator 5 field.  If CBL Date 5 is not included in the CBL calculation, enter an N into the CBL Indicator 5 field.
CBL Date 6	N	Date MM/DD/YYYY	Customer Baseline calculation date 6.

Event Response Field Name	Column in Import File	Field Format	Description and Rule(s)
CBL Include Indicator 6	0	Text 1 character	If CBL Date 6 is included in the CBL calculation, enter a Y into the CBL Indicator 6 field.  If CBL Date 6 is not included in the CBL calculation, enter an N into the CBL Indicator 6 field.
CBL Date 7	Р	Date MM/DD/YYYY	Customer Baseline calculation date 7.
CBL Include Indicator 7	Q	Text 1 character	If CBL Date 7 is included in the CBL calculation, enter a Y into the CBL Indicator 7 field.  If CBL Date 7 is not included in the CBL calculation, enter an N into the CBL Indicator 7 field.
CBL Date 8	R	Date MM/DD/YYYY	Customer Baseline calculation date 8.
CBL Include Indicator 8	S	Text 1 character	If CBL Date 8 is included in the CBL calculation, enter a 'Y' into the CBL Indicator 8 field.  If CBL Date 8 is not included in the CBL calculation, enter an 'N' into the CBL Indicator 8 field.
CBL Date 9	Т	Date MM/DD/YYYY	Customer Baseline calculation date 9.
CBL Include Indicator 9	U	Text 1 character	If CBL Date 9 is included in the CBL calculation, enter a Y into the CBL Indicator 9 field.  If CBL Date 9 is not included in the CBL calculation, enter an N into the CBL Indicator 9 field.
CBL Date 10	V	Date MM/DD/YYYY	Customer Baseline calculation date 10.
CBL Include Indicator 10	W	Text 1 character	If CBL Date 10 is included in the CBL calculation, enter a <i>Y</i> into the CBL Indicator 10 field.  If CBL Date 10 is not included in the CBL calculation, enter an <i>N</i> into the CBL Indicator 10 field.
CBL kW Begin Hour 0 through CBL kW Begin Hour 23	X through AU	Numeric Up to 6 digits before decimal and 1 digit after decimal	Resource hourly CBL calculation for each event hour.
Metered kW Begin Hour 0 through	AV through	Numeric	Resource hourly metered load for each event hour.

Event Response Field Name	Column in Import File	Field Format	Description and Rule(s)
Metered kW Begin Hour 23	BS	Up to 6 digits before decimal and 1 digit after decimal	

Note: The Event Response Import template is available for download from the NYISO Website. The template accounts for a 24- or 23-hour day and has 24 hours for the CBL kW and Metered KW hour fields. In case of 25-hour day for the CBL kW and Metered kW hours fields, "CBL kW begin hour 2" and "Metered kW begin hour 2" should be used twice in the template.

### 12.7.2. Importing the Event Response File

After creating a properly structured, formatted, and populated event response file, the MP must import the file to DRIS as the next step in the process to report resource responses to an event or test.

## Pre-requisites

- The MP organization was registered in MIS on the date that the event or test occurred.
- The MP organization was enrolled in DRIS in the DR program and Capability Period for which the event or test occurred.
- The DRIS Event Calendar indicates that the event or test for which the MP intends to import resource responses is open for performing this task (refer to Section 2.1).
- The MP has created a properly structured, formatted, and populated .csv or .xlsx or .xlsx file for upload of resource event response data to the system, as outlined under Section 12.7.1.
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

#### To import an event response file

1. From the **Main** menu, choose **Imports/Exports**.

The system displays the Imports/Exports page (see Figure 284).

Figure 284: Import/Export Page as Initially Displayed



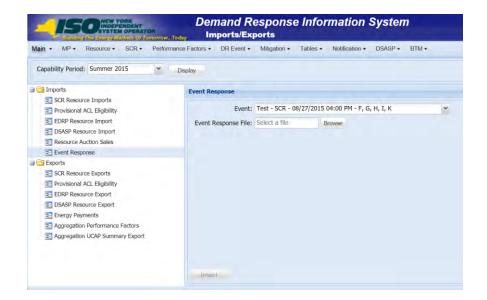
- 2. From the corresponding filter near the top of the page, choose the **Capability Period** in which the event occurred.
- 3. Beside the Capability Period filter, click the **Display** button.

The system activates the middle frame and populates the lowermost frame with a list of import events for the Capability Period chosen at step 2.

4. On the left side of the middle frame and under the **Imports** heading, click **Event Response**.

The area to the right refreshes to display input components specific to the event for which responses are being imported (see Figure 285).





- Choose the applicable **Event** from the corresponding drop-down filter on the right side of the middle frame.
- 6. On the right side of the middle frame, click the **Browse** button.

The system displays a File Upload dialog box.

7. Via the File Upload dialog box, navigate to and choose the file containing the data for the event, then click the **Open** button.

The File Upload dialog box closes, and the system populates the Event Response File field in the right pane of the middle frame with the name of the chosen file.

8. Click the **Import** button, located in the lower-left corner of the right side of the middle frame.

The system displays a dialog box summarizing the results of the import process (see Figure 286).

9. Review the import results and proceed accordingly, as outlined under Section 12.7.3.

Note: Records Payment indicates the number of resource responses to an event or test accepted into DRIS for possible energy payment. Any resource responses indicated as Performance Only in the event response import file will not be included in the Records Payment count.

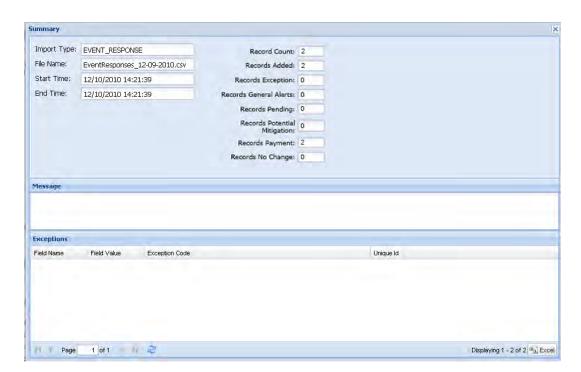


Figure 286: Sample Import Summary Dialog Box for Resource Event Responses

#### 12.7.3. Rectifying Resource Response Exceptions

Once the MP initiates import of the event response file, DRIS evaluates the file and displays a Summary dialog box detailing a number of statistics (see Figure 286). Relevant to the results of the event response import are the count of total records in the file and the count of records in the file reported for payment processing. The difference in the two counts is the resulting number of records in the file reported for Performance Only.

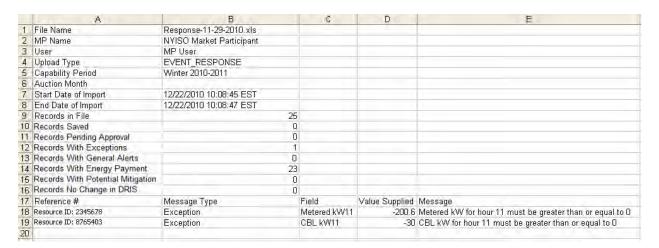
If the displayed dialog box indicates that one or more rows have been designated as having exceptions, the MP must take further action to determine the reason(s) for the exceptions(s) and take corrective action in order to proceed with reporting the resource responses.

Note: If instead of similar information to that illustrated in Figure 286, the Message pane in the Summary dialog box displayed by the system indicates that the import failed, no resource response data will be imported. In order to proceed with the event response import process in this case, the MP must rectify the errors in the file header, as outlined in the Exceptions pane of the dialog box, and report the revised file containing data for all resources. Section 12.7.1, provides guidance on creating a properly structured and formatted event response file

If the data for one or more resources in the event response file contain exceptions (i.e., data errors, changes, or omissions) that prevent one or more responses from being imported to the system, the import results report details each exception on a separate line and identifies for each exception the resource ID of the record containing the exception, the specific field containing the exception, the value supplied in the field containing the exception, and a message specifying the nature of the exception (see Figure 287). The MP must review the report for purposes of creating and reporting a file containing correct data for the resource responses in question, along with correct header data, prior to the deadline for importing resource responses as specified on the DRIS Event Calendar (refer to Section 2.1).

**Note:** The MP may access the import report directly from the Summary dialog box displayed immediately following import by clicking the Excel button in the lower right-hand corner of the dialog box then taking the requisite steps to either open or save the corresponding file.

Figure 287: Sample Import Results Report for an Event Response File Import



### Pre-requisite

The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

#### To access the import report and manage related errors

Note: If the Summary dialog box displayed after import is open, the import report may instead be accessed by clicking the Excel button in the lower right corner of the dialog box then taking the requisite steps to either open or save the corresponding file.

1. From the **Main** menu, choose **Imports/Exports**.

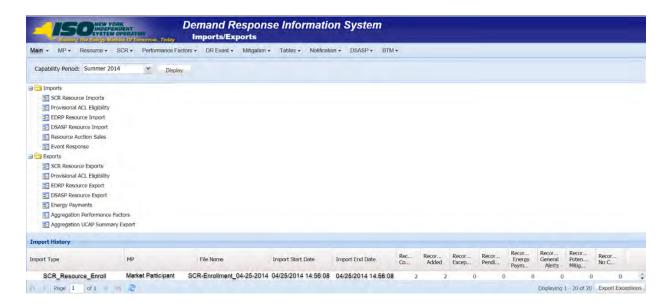
The system displays the Imports/Exports page (see Figure 288).

Figure 288: Imports/Exports Page



- From the corresponding filter near the top of the page, choose the Capability Period for the 2. previously reported event response file that generated the exception(s).
- 3. Beside the Capability Period filter, click the **Display** button. The Import History frame at the bottom of the page refreshes to display a grid listing each import event for the chosen Capability Period (see Figure 289).

Figure 289: Populated Import History Grid on Imports/Exports Page



- 4. In the **Import History** grid, select the entry for the import event that generated the exception(s).
- 5. In the lower-right corner of page, click the **Export Exceptions** button. The system displays a dialog box via which the import report can be saved or opened.
- 6. Take the requisite steps to either save or open the import report. The report is either saved to the designated location or displayed on screen.
- 7. Review the report, correct all exceptions in the resource enrollment file, then import the updated file to DRIS.

## 12.7.4. Viewing Resource Responses to an Event or Test

Once the MP has successfully imported resource responses to an event or test, the response data can be viewed at varying levels of detail. In addition, MPs can monitor when a resource response that was reported for payment has been processed, billed, and invoiced. Finally, DRIS provides for downloading event payment details for viewing payment data by a specific event or test.

Resource responses can be viewed at varying levels of detail in DRIS. The MP can view resource responses by:

summary,

- hourly detail, or
- event or test.

## 12.7.4.1. Viewing a Summary of Resource Responses

Viewing resource responses at a summary level provides the MP with a snapshot of the response to a specific event or test.

When viewing resource responses at the summary level, the MP must, at a minimum, specify a Capability Period and an event or test, or select a specific resource for which to view event or test data.

The MP can further narrow the data the system displays by any of the following additional parameters:

- Zone
- Aggregation
- Response status

Regardless of viewing scope, the system initially displays the following data for each resource response:

- Event, which includes Event Type, Program, Start Date and Time, Zones, and Zonal percentages
- Resource ID
- Resource name
- Program
- Aggregation ID
- Proxy Test indicator
- Provisional ACL indicator
- Incremental ACL indicator
- Response status
- Reason for under review
- Status comments
- Submittal date
- Reported by
- Performance only indicator
- Prepared for settlements indicator
- Invoiced indicator

Small customer aggregation indicator

# Pre-requisites

- The MP has imported resource responses to an event or test.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".
  - To view a summary of resource responses
  - 1. From the **DR Event** menu, choose **Event Response Details**. The system displays the Event Response Details page.
  - 2. From the corresponding search filter(s) in the uppermost frame on the Event Response Details page (see Figure 290), choose the **Capability Period** and **Event** and/or the **Resource ID** for which the system should display resource responses.

Figure 290: Event Response Details Page Search Filters



- Optionally, further limit the scope of resource responses to be displayed by the system to 3. only a specific **Zone**, **Aggregation** and/or **Status** by choosing the applicable option(s) from the corresponding search filter(s) near the top of the page.
- Near the top of the Event Response Details page, click the **Display** button.

The system populates the Resource Responses to Events grid below the search filters with an entry for each resource response meeting the criteria chosen at steps 2 and 3 (see Figure 291).

Tip: If the number of responses exceeds the space available in the grid, the program breaks the data set across separate pages, as reflected on the left side of the status bar. To navigate among multiple pages of resource enrollments, click the applicable button to either move forward one page ( ), move back one page ( ), move to the beginning of the data set ( !!). or move to the end of the data set ( 11).

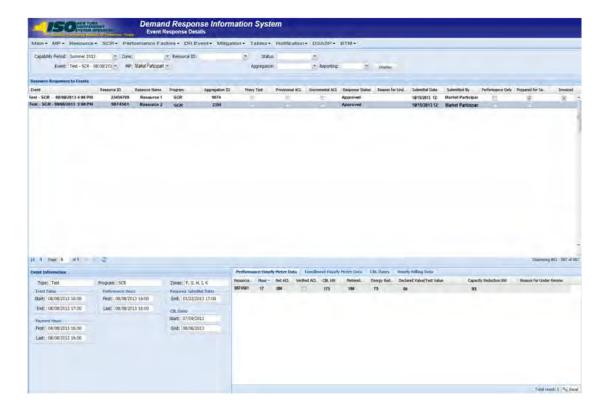
Figure 291: Event Response Details Page Populated with Data



5. Optionally, view further details for a specific resource response by clicking the corresponding row in the Resource Responses to Events grid.

The system expands a two-pane frame at the bottom of the page, where additional event or test and response data in the form of Event Information are displayed on the left and Hourly Meter Data, CBL Dates, and Hourly Billing Data are displayed on the right (see Figure 292).

Figure 292: Event Response Details Page with Additional Details Visible



## 12.7.4.2. Viewing Hourly Resource Response Details

In viewing resource responses by detail, the MP can see comprehensive response data, including details pertaining to the specific event or test, broken down by resource for each hour of the event or test.

This data is visible in a two-pane frame at the bottom of the Event Response Details page, in the form of Event Information displayed on the left and Hourly Meter Data, CBL Dates, and Hourly Billing Data displayed on the right (see Figure 292).

The system displays the following Event Information for the selected event or test:

- Event type
- Program
- Zones including zonal percentages
- Event start date and time
- Event end date and time
- First hour of performance
- Last hour of performance
- First hour of payment
- Last hour of payment
- CBL date start date
- CBL date end date
- Response submittal end date

Note: A null value displayed in the First Hour of Performance and the Last Hour of Performance indicates an event for which there was no day-ahead notice. The performance of SCR resources in an event for which there was no day-ahead notice will not be used in the calculations of the SCR resource performance factor. However, metered kW values are still required for all event hours on the event response import file when reporting resource data for event payments for an event for which there was no day-ahead notice.

Additionally, the system displays event- and resource-specific response data in tabular format. Beginning with the Summer 2011 Capability Period, SCR resource response data will include Average Coincident Load (ACL) for the resource as a result of the program change from the Average Peak Monthly Demand (APMD) baseline methodology to the ACL baseline methodology. SCR resource response date which uses APMD data will continue to be viewable to the MP for Capability Periods prior to Summer 2011.

- Performance Hourly meter data
  - · Resource ID
  - Hour beginning of the event
  - Net APMD, which is the result of APMD less any Shutdown kW value (prior to Summer 2011)

- Net ACL, which is the result of ACL including any Shutdown kW value (Summer 2011 and greater) and Incremental ACL kW value (Summer 2014 and greater) or the Verified ACL kW for resources enrolled with a Provisional ACL or Incremental ACL for the period of the event selected
- Verified ACL indicator
- CBL kW value
- Metered kW
- · Energy reduction kW
- Declared value
- Capacity Reduction kW
- · Reason for under review
- Enrollment Hourly meter data
  - Resource ID
  - Hour beginning of the event
  - Net APMD, which is the result of APMD less any Shutdown kW value (prior to Summer 2011)
  - Net ACL, which is the result of ACL including any Shutdown kW value (Summer 2011 and greater) and Incremental ACL kW value (Summer 2014 and greater)
  - CBL kW value
  - · Metered kW
  - Energy reduction kW
  - Declared value
  - Reason for under review
- CBL dates
  - Date
  - Included indicator
- Hourly billing data
  - Settlement kW
  - Zonal LBMP
  - Net energy payment

- Adjusted for program overlap indicator
- Con invoice version

The Enrollment Hourly Meter Data tab will represent the primary view of event response data for the user until the window for importing Verified ACL data opens for the Capability Period of the event type selected. At this point, the Performance Hourly Meter Data tab representing updated meter data will become the primary view. For resources enrolled with a Provisional ACL or Incremental ACL for the month of the event selected, the value displayed in the Net ACL field will represent the Verified ACL of the resource and all capacity reduction calculations will be updated and based off of this value.

### Pre-requisites

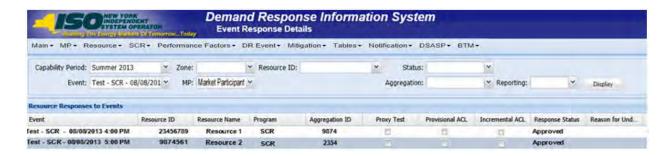
- The MP has imported resource responses to an event or test.
- The MP has logged in to DRIS, as outlined under section 1.3, "Accessing the System".
  - To view hourly resource response details by event
  - 1. From the **DR Event** menu, choose **Event Response Details**. The system displays the Event Response Details page.
  - 2. From the corresponding search filter(s) in the uppermost frame on the Event Response Details page (see Figure 293), choose, at a minimum, the **Capability Period** and **Event** and/or the **Resource ID** for which the system should display resource responses.

Figure 293: Event Response Details Page Search Filters



- Near the top of the Event Response Details page, click the **Display** button. 3.
  - The system populates the Resource Responses to Events grid below the search filters with an entry for each resource response meeting the criteria chosen at step 2 (see Figure 294).

Figure 294: Event Response Details Page Populated with Data

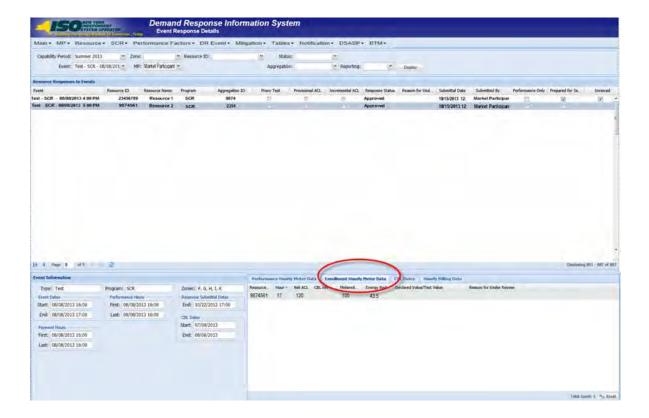


Note: Upon initial import of the resources responses to events or tests file, DRIS will calculate the resource response data in the file which pass all validations. After performance factors are calculated for the following equivalent Capability Period resources which did not have event or test responses imported into DRIS may be identified, by utilizing the "Reporting" feature in the search criteria. Two options can be found in this filter, "Failure to Report" and "Failure to Report for 2<sup>nd</sup> Test".

4. View further details for a specific resource response by clicking the corresponding row in the Resource Responses to Events grid.

The system expands a two-pane frame at the bottom of the page, where additional event or test and response data in the form of *Event Information* are displayed on the left and Performance Hourly Meter Data, Enrollment Hourly Meter Data, CBL Dates, and Hourly Billing *Data* are displayed on the right (see Figure 295).

Figure 295: Event Response Details Page with Enrollment Hourly Meter Data Tab Enabled



To view additional tabular data provided by the system, click the *Performance Hourly Meter Data, CBL* Dates or Hourly Billing Data tab (see Figure 296 or Figure 297).

Figure 296: Event Response Details Page with Performance Hourly Meter Data Tab Enabled

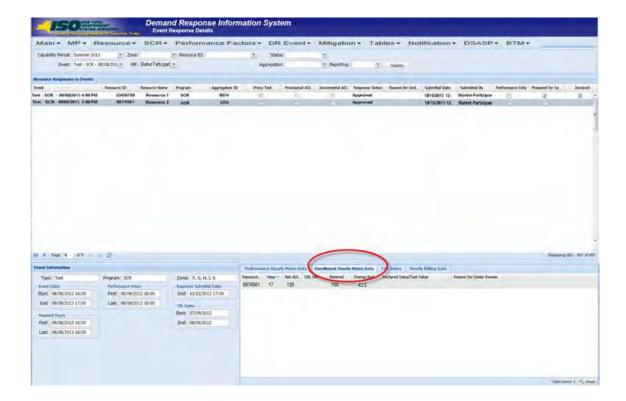
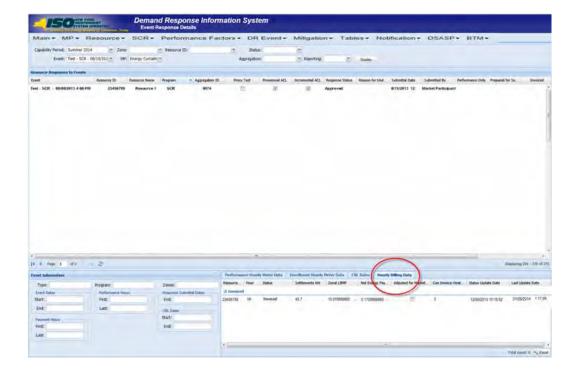


Figure 297: Event Response Details Page with Hourly Billing Data Tab Enabled before the Verification

## Window Opens and the Performance Hourly Meter Data Tab is Available



## 12.7.5. Monitoring Results of the Event Response Import

Upon completion of the event response import, each resource response receiving no exceptions on import will receive one of the following Response Statuses:

- Approved
- **Under Review**

The NYISO may also assign one of the following Response Statuses to an imported response record:

- Denied
- Approved
- **Under Review**

Responses with an Approved status reported for payment have completed all requirements for payment processing and require no further action by the MP. Responses with an Approved status reported for performance only have also completed all requirements for processing and require no further action by the MP.

Responses with an Under Review status, regardless of reporting for payment, performance, or both, require that further action be taken by the NYISO in evaluating the reported resource data. The reason(s) a specific resource response was placed under review can be found on the Event Response Details page (see Figure 298 and Figure 299).

Reasons for Under Review are shown at the response summary level, when applicable to the resource response as a whole, and at the hourly level, when applicable to only a specific hour(s) of the event response. Regardless of a record being placed under review for the entire resource response or only a specific hour(s), the resource response will not be processed for payment or performance until the response receives an Approved status by the NYISO.

Additionally, a resource response may receive a Denied status by the NYISO, which prevents the response from being processed for payment or performance.

### **Pre-requisites**

- The MP has imported resource responses to an event or test.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".
  - To view resource event response status
  - 1. From the **DR Event** menu, choose **Event Response Details**. The system displays the Event Response Details page.
  - 2. From the corresponding search filter(s) in the uppermost frame on the Event Response Details page (see Figure 298), choose, at a minimum, the Capability Period and Event and/or the **Resource ID** for which the system should display resource responses.

Figure 298: Event Response Details Page Search Filters



Near the top of the Event Response Details page, click the **Display** button. 3.

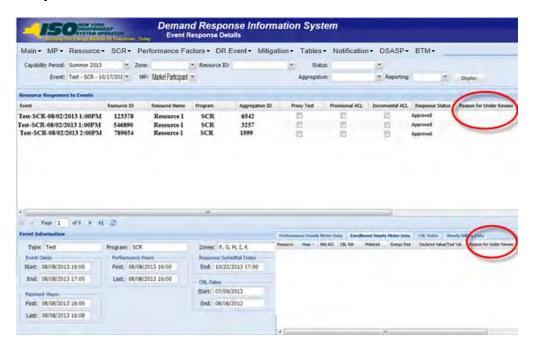
The system populates the Resource Responses to Events grid below the search filters with an entry for each resource response meeting the criteria chosen at step 2 (see Figure 299).

Figure 299: Event Response Details Page Highlighting Response Status and Reason for Under Review



- View the Response Status and summary level Reason for Under Review for a specific resource 4. response in the Resource Responses to Events grid (see Figure 299).
- 5. View the hourly level Reason for Under Review by clicking the corresponding row in the Resource Responses to Events grid and viewing the displayed Hourly Meter Data tab (see Figure 300).

Figure 300: Event Response Details Page Highlighting Reason for Under Review at the Hourly Level on the **Hourly Meter Data Tab** 



### 12.7.6. Monitoring Results of Event Responses Reported for Payment

Resource responses to an event or test reported for purposes of payment may be monitored at the summary or payment detail levels. The Resource Responses to Events summary view provides knowledge as to when a specific resource response record has been Prepared for Settlements by the NYISO and when the same record has been Invoiced by the NYISO Consolidated Invoice system.

The Hourly Billing Data view provides specific Payment Statuses as the resource response moves through the NYISO payment process. Payment Statuses that can be assigned to a resource response include the following:

- Prepared for Settlements: The event or test for which the resource response has been reported has been processed for payment by the NYISO and is waiting to be billed.
- Billed: The resource response has been processed by the NYISO settlement system, payment data is visible on the Billing Details tab in DRIS, and the response is waiting to be invoiced.
- *Invoiced:* The resource response has been processed by the NYISO Consolidated Invoice system, received an invoice number, and has completed the payment process.
- Resettlement Copy: A copy of the resource response has been made, post invoicing, for use in the event that the date of the event or test requires re-spinning by the NYISO payment process.
- *Pulled:* An updated resource response record for the resource, event, and MP has been Prepared for Settlements, causing an existing Prepared for Settlements, Billed, or Resettlement Copy to be pulled from the invoicing process and replaced with the newest version.
- Canceled: The resource response record has not yet reached the Billed stage of the payment process and has been removed from the payment process by the NYISO.

## Pre-requisites

- The MP has imported resource responses to an event or test for payment.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System."
  - To view resource event response payment status
  - From the **DR Event** menu, choose **Event Response Details**. 1.
    - The system displays the Event Response Details page.

2. From the corresponding search filter(s) in the uppermost frame on the Event Response Details page (see Figure 301), choose, at a minimum, the Capability Period and Event and/or the **Resource ID** for which the system should display resource responses.

Figure 301: Event Response Details Page Search Filters



3. Near the top of the Event Response Details page, click the **Display** button. The system populates the Resource Responses to Events grid below the search filters with an entry for each resource response meeting the criteria chosen at step 2 (see Figure 302).

Figure 302: Event Response Details Page Highlighting Response Status Indicators



Note the summary level Prepared for Settlements indicator and Invoiced indicator for a 4. specific resource response in the Resource Responses to Events grid (see Figure 302). View the Payment Status on the Hourly Billing data tab by clicking the corresponding row in the Resource Responses to Events grid and then clicking the displayed Hourly Billing Data tab (see Figure 303).

Demand Response Information System **Event Response Details** MP \* Resource \* SCR \* Performance Factors \* DR Event \* Mitigation \* Tables \* Notification \* DSASP \* BTM \* 244 Capability Period: Summer 2013 \* Zone: \* Resource ID: Event: Test - SCR - 19/17/201 - HP: Blake Patiopat -Aggregation: Appropries ID Test-SCR-08/02/2013 1:00PM 123378 Resource I SCR 6542 Test-SCR-08/02/2013 1:00PM SCR. 3257 Test-SCR-08/02/2013 2:00PM it is Propo 1 and P P. P. 27 Start: 06/06/2013 16:00 First: 06/06/2013 16:00 End: 10/22/2013 17:00 End: 08/08/2013 17:00 Start: 07/09/2013 First: 08/08/2013 16:00 End: 06/06/2013

Figure 303: Event Response Details Page Highlighting Response Status on the Hourly Billing Data Tab

### 12.7.7. Downloading Energy Payment Details

Energy payment details are viewable via a download initiated from the DRIS Imports/Exports page. Payment details, based on reported and processed resource responses to an event or test, can be exported by selecting a specific event or test. Resource responses must have a Payment Status of Invoiced to appear on the energy payment export. The following data is provided for each resource on the energy payment export:

- Resource ID
- Resource name

LME: 06/08/2013 16:00

- TO account number
- Aggregation ID
- Strike price
- Zone
- CBL MW for each event hour
- Load MW for each event hour
- Performance MW for each hour
- LBMP for each event hour

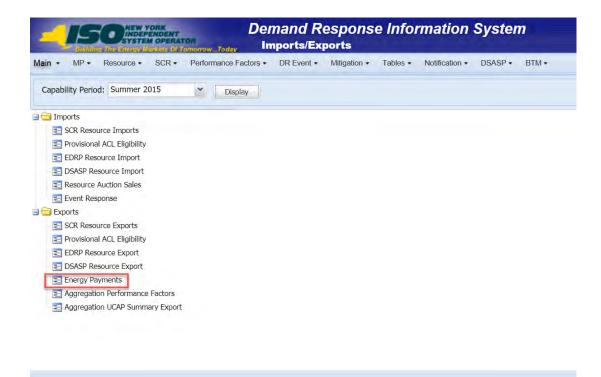
- LBMP payment for each event hour
- Total LBMP payment for the resource for the event
- Total BPCG payment for the resource for the event
- Total payment for the resource for the event

## **Pre-requisites**

- The MP has imported resource responses to an event or test for payment.
- The resource responses for the event selected have been processed for payment and the responses have received a payment status of Invoiced.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".
  - To download Energy Payment details
  - 1. From the Main menu, choose Imports/Exports.

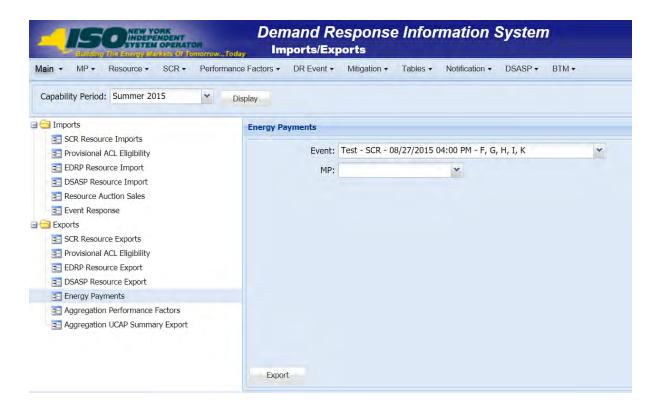
The system displays the Imports/Exports page (see Figure 304).

Figure 304: Import/Export Page Showing Energy Payment Export Option



- 2. From the corresponding filter in the uppermost frame on the Imports/Exports page, choose the **Capability Period** encompassing the event or test for which Energy Payment values are to be downloaded.
- Beside the Capability Period filter, click the **Display** button. 3. The system makes available the middle frame.
- Under the Exports heading in the left pane of the middle frame, choose **Energy Payments**. 4. The system refreshes the right pane of the middle frame to display additional filters along with a button to initiate download of the file (see Figure 305).

Figure 305: Filters for Downloading an Energy Payment File



- From the corresponding filter in the right pane of the middle frame, choose the applicable 5. **Event or Test.**
- Click the **Export** button, located in the lower-left corner of the right pane in the middle frame. 6. The system displays a dialog box via which the energy payment file can either be saved or opened.
- 7. Take the requisite steps to either save or open the energy payment file. The energy payment file for the chosen event or test is either saved to the designated location or displayed on screen.

**Note:** If the energy payment file is saved, it is named according to the convention EventPayments\_[mm-dd-yyyy].csv, where bracketed content is replaced with actual values to result in a file name such as EventPayments\_05-19-2010.csv

# 13. Viewing Behind-the-Meter Net Generation Resource related Information

A BTM:NG Resource's Average Coincident Host Load (ACHL) and all related data will reside in DRIS and is able to be viewed by Market Participants who register BTM:NG Resources. For BTM:NG Resources that are participating in the NYISO Capacity market, once a Resource's ACHL has been calculated for a Capability Year by DRIS, the NYISO's ICAP Automated Market System (AMS) will use the ACHL to calculate the Average Host Load (AHL) used to determine the Resource's Net-ICAP.

BTM:NG Resource viewing screens show:

- BTM:NG Resource peak Load hours once they have been imported into DRIS, and
- the Resource's ACHL on the Enrollment screen

Note: For the purposes of the DRIS screens "BTM" refers specifically to "BTM:NG" Resources.

### 13.1. Viewing BTM:NG Resource Peak Load Hours

The NYISO will provide the BTM:NG Resource peak Load hours for each Capability Year. The BTM:NG Resource peak Load hours are the top forty (40) NYCA peak Load hours that occurred in the prior Summer Capability Period and the Winter Capability Period immediately prior to that.

The Peak Load Hours screen displays the BTM:NG Resource peak Load hours imported into DRIS by the NYISO for each Capability Year. The data displayed includes:

- Date Hour: This is the Date and Hour Beginning of each of the top 40 NYCA peak Load hours, and
- NYCA Rank: the rank (from 1 to 40) of each of the top 40 NYCA peak Load hours

## Pre-requisites

The Market Participant performing the task is logged in to DRIS (see section 1.3, "Accessing the System").

### To view the BTM:NG Resource peak Load hours

- 1. From the menu, choose "Peak Load Hours" (see Figure 306).
- 2. The system displays the BTM Peak Load Hours page.

Figure 306: Dropdown options from Home Page - Peak Load Hours



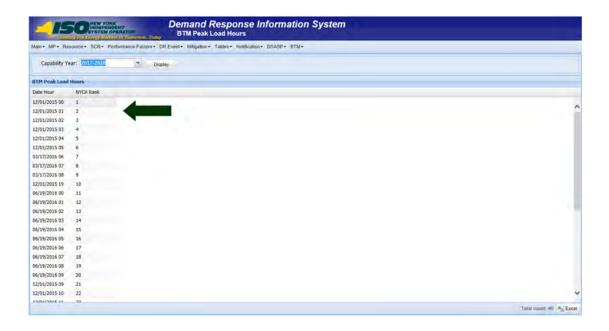
3. Select "Capability Year" from the dropdown and click "Display" button (see Figure 307).

Figure 307: Capability Year Search Filter



- The system displays the BTM Peak Load Hours page with the BTM:NG Resource peak Load hours for the Capability Year selected at step 12 (see Figure 308).
- 5. The hours displayed are by NYCA rank ascending.

Figure 308: BTM Peak Load Hours



Note: The MP may export the report directly from the BTM Peak Load Hours page by clicking the Excel button in the lower right-hand corner of the dialog box then taking the requisite steps to either open or save the corresponding file.

## 13.2. Viewing BTM:NG Resource Enrollment

The BTM Enrollment screen is composed of three inter-related grids: BTM Enrollment Summary, BTM Enrollment History and ACHL Hourly Details.

The BTM Enrollment Summary grid allows the Market Participant to view the ACHL for a BTM:NG Resource for each month of enrollment in the NYISO's markets.

The BTM Enrollment History grid shows the MP all prior ACHL values (if any) for the month selected in the BTM Enrollment Summary grid.

The ACHL Hourly Details grid shows the hourly Host Load data that has been used to calculate the selected ACHL record in the BTM Enrollment History grid.

### Pre-requisites

The Market Participant performing the task is logged in to DRIS (see section 1.3, "Accessing the System").

#### To view BTM:NG Resource Enrollment

1. From the BTM menu, choose "Enrollment"

Figure 309: Resource Enrollment Dropdown options from Home Page



- 2. From the BTM Enrollment screen, the following search criteria will be displayed:
  - Capability Year: Required field. Users can select from a list of all available Capability Years, sorted by Capability Year Descending
  - Resource: Users can enter the Generator Point Identifier (PTID), the Generator Name or the Transmission Owner Account Number of the BTM:NG Resource
  - Zone: Users can enter the NYISO Load zone in which the resource is physically located
  - ACHL Type: How the ACHL information was received: by Telemetry, Import, or Override
    - "Telemetry" indicates that the BTM:NG Resource's hourly Host Load data for the peak Load hours was received by the NYISO via telemetry
    - "Import" indicates that the BTM:NG Resource's hourly Host Load data for the peak Load hours was imported by the NYISO into DRIS using data provided by the Market Participant via the form posted on the NYISO website
    - "Override" indicates that the BTM:NG Resource does not have verifiable or sufficient hourly Host Load data and a forecasted ACHL is being used to establish the ACHL
  - Auction Month: Individual Months and Year associated with the selected Capability Year, sorted by Auction Month ascending
  - MP
  - Status = Published

Note: Status of "Published" indicates that the ACHL has been published from DRIS to ICAP AMS for the month to be used to calculate Average Host Load.

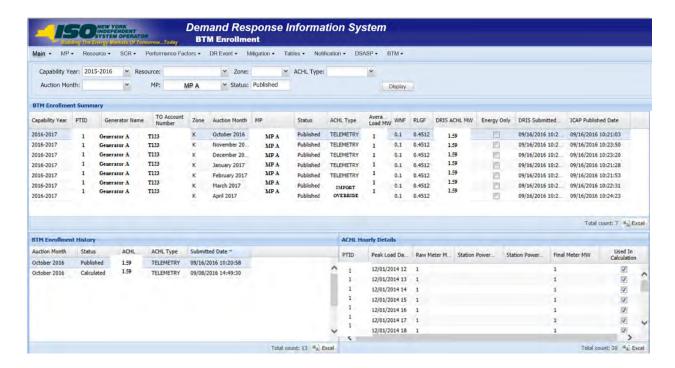
3. Optionally, view details of the Monthly Enrollment by specific search criteria listed above by selecting from the drop down lists and click Display.

Figure 310: BTM Enrollment Search Filter



- 4. The following results display on the BTM Enrollment Summary grid based on search criteria selected:
  - Capability Year
  - PTID
  - Generator Name
  - TO Account Number of the BTM:NG Resource
  - Zone: Load Zone
  - Auction Month
  - MP (Market Participant representing the BTM:NG Resource)
  - Status of the ACHL
  - ACHL Type
  - Average Load MW: Peak Proxy Load Value (i.e., Average of the Resource's top 20 hourly Host Loads coincident with the BTM:NG Resource peak Load hours)
  - WNF: Weather Normalization Factor applicable to the BTM:NG Resource
  - RLGF: Regional Load Growth Factor applicable to the BTM:NG Resource
  - DRIS ACHL MW
  - Energy Only: Flag indicating whether a resource is participating only in the energy market
  - DRIS Submitted Date: Date and time DRIS submitted data to ICAP AMS
  - ICAP Published Date: Date and time ICAP AMS received the data from DRIS

Figure 311: BTM Enrollment screen populated with Summary, History, and ACHL Hourly Details Data



- 5. The Market Participant selects a month to view the history and hourly host Load data.
- 6. Based on the selection in the Summary grid, historical ACHL data for the month selected will be displayed (if any) in the History grid.

Note: A status of "Calculated" indicates that DRIS has calculated the ACHL for the BTM:NG Resource for the month, but has not been published to ICAP AMS.

- 7. The DRIS auto-selects the row with the most recent submitted date in the History Grid and displays the corresponding hourly Host Load data in the ACHL Hourly Details grid.
- 8. The ACHL Hourly Details grid displays the following:
  - PTID
  - Peak Load Date HB: Date and Hour Beginning of the Peak Load value displayed
  - Raw Meter MW: This is the hourly Host Load meter data of the Resource
  - Station Power MW: This is the hourly Station Power Load data (if applicable)
  - Station Power Operation: "Add" or "Subtract"

Note: "Add" indicates that the Station Power MW will be added to the Raw Meter MW. This is typically done when Raw Meter MW does not already include Station Power MW.

Note: "Subtract" indicates that the Station Power MW will be subtracted from the Raw Meter MW. This is typically done when (i) a Resource elects to perform a DMNC test instead of a DMGC test and (ii) the Raw Meter MW includes Station Power MW.

- Final Meter MW: The BTM:NG Resource's top forty metered hourly Host Load values.
- Used in Calculation: Flag indicating whether the specific hourly Host Load was included in the top 20 hourly values used in calculating the Resource's ACHL. This data is auto populated by DRIS.

**Note:** The MP may export the report directly from the BTM Monthly Enrollment page by clicking the Excel button in the lower right-hand corner of the dialog box then taking the requisite steps to either open or save the corresponding file.