New York ISO
Independent System Operator

UG 11

Demand Response Information System User's Guide

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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 ➢ Updated to summarize new functionality delivered in the September 14, 2010, deployment. 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

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		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

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		➢ 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

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		➢ 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.

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		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.

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1.6	06/14/2012	Global ➢ 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.

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		➢ 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

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		➢ 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

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		➢ 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 0 ➢ 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

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		Section 2.1 ➢ Clarified differences between SCR Capability Period Load Zone Peak Hours and SCR Monthly Load Zone Peak Hours 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 ➢ Updated ➢ Figure 70 for new and updated individual resource field validations in the SCR Enrollment Import file. 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.

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		Section 7.5.3.2 ➢ 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 ➢ Added section for creating the Incremental ACL verification file. 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.

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		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 11.7.4.1 ➢ Updated section to include new fields when viewing resource responses to events and/or tests. Section 11.7.4.2 ➢ 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

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		➢ 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

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		➢ Added Documentation Vault Management in Document Purpose and System Capabilities ➢ Updated NYISO website screen shots for Accessing the System 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 ➢ Updated Figure 40 to reflect new Menu Bar changes Section 4.1 ➢ Updated Figure 42 to reflect new Menu Bar changes

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		Section 5.1 ➢ Updated Figure 47 to reflect new changes to "RIP Portfolio Performance Shortfall Details" section Section 5.2 ➢ Updated Figure 50 to reflect new changes to "RIP Portfolio Performance Shortfall Details" section ➢ Updated Figure 51 to reflect new changes to "RIP Portfolio Performance Shortfall Details" section Section 7.2 ➢ Updated Figure 65 to reflect new look of Import/Export Page ➢ Updated Figure 66 to reflect new look of Import/Export Page Section 7.4 ➢ Updated Figure 76 to reflect new look of Import/Export Page ➢ Updated Figure 77 to reflect new look of Import/Export Page Section 7.5.1 ➢ Updated Figure 80 to reflect new look of Import/Export Page ➢ Updated Figure 81 to reflect new look of Import/Export Page Section 7.5.2 ➢ Updated Figure 83 to reflect new look of Import/Export Page ➢ Updated Figure 84 to reflect new look of Import/Export Page Section 7.5.3 ➢ 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 ➢ Updated Figure 112 to reflect new look of Import/Export Page ➢ Updated Figure 113 to reflect new look of Import/Export Page Section 10.2.1 ➢ Updated Figure 133 to reflect new "Last Update Date" column ➢ Updated Figure 134 to reflect new "Last Update Date" column Section 10.2.1.1

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		➢ 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 ➢ Updated Figure 152 to reflect new look of Import/Export Page ➢ Updated Figure 153 to reflect new look of Import/Export Page 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.

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		➢ 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. ➢ Inserted language describing new fields in Figure 156. ➢ 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. Section 10.2.6.1 ➢ Section 10.2.6.1 removed as part of ECE changes. Section 10.3.1 ➢ Updated Figure 165 to reflect new look of Auction Sales Pane Section 10.4.2 ➢ Updated Figure 170 to reflect new look of Import/Export Page ➢ Updated Figure 171 to reflect new look of Import/Export Page Section 10.4.3 ➢ Updated Figure 174 to reflect new look of Import/Export Page ➢ Updated Figure 175 to reflect new look of Import/Export Page Section 10.4.4 ➢ Updated Figure 177 to reflect new look of Auction Sales Pane ➢ Updated Figure 178 to reflect new look of Auction Sales Pane Section 10.6.1 ➢ Updated Figure 183 to reflect new look of Import/Export Page ➢ Updated Figure 184 to reflect new look of Import/Export Page Section 10.6.3 ➢ Updated Figure 189 to reflect new look of Import/Export Page ➢ Updated Figure 190 to reflect new look of Import/Export Page Section 10.6.4 ➢ Updated Figure 193 to reflect new look of Import/Export Page ➢ Updated Figure 194 to reflect new look of Import/Export Page Section 10.7.1 ➢ Updated Figure 201 to reflect new look of Import/Export Page ➢ Updated Figure 202 to reflect new look of Import/Export Page

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		Section 10.7.3 ➢ Updated Figure 207 to reflect new look of Import/Export Page ➢ Updated Figure 208 to reflect new look of Import/Export Page Section 10.7.4 ➢ Updated Figure 211 to reflect new look of Import/Export Page ➢ Updated Figure 212 to reflect new look of Import/Export Page Section 12.7.2 ➢ Updated Figure 286 to reflect new look of Import/Export Page ➢ Updated Figure 287 to reflect new look of Import/Export Page Section 12.7.2 ➢ Updated Figure 290 to reflect new look of Import/Export Page ➢ Updated Figure 291 to reflect new look of Import/Export Page Section 12.7.7 ➢ Updated Figure 306 to reflect new look of Import/Export Page ➢ Updated Figure 307 to reflect new look of Import/Export Page
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 ➢ Updated Figure 155 to reflect new attributes for ICA ➢ Updated Step 4 to include "CARC" and "DAF/CAF" ➢ Updated Figure 156 to reflect new attributes for ICA ➢ Updated Figure 157 to reflect new attributes for ICA ➢ Updated Figure 158 to reflect new attributes for ICA Section 12.7.1 ➢ Inserted language for steps to retrieve Event Response Template from NYISO website.

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		➢ Updated Figure 281 to reflect updated Sample Event Response File in Excel ➢ Updated Figure 283 to include Meter Authority field. ➢ Updated the Note section to account for updated Template for Event Response File
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
7.0	05/01/2025	Table of Contents ➢ Updated Table of Contents with new sections: Section 7.6, Section 7.6.1, Section 7.6.2, and Section 11.7.1.1 Table of Figures ➢ Updated Table of Figures to include four new figures: **Figure 95**, **Figure 96**, **Figure 254**, and **Figure 255** ➢ Updated Figure numbers and references throughout Section 7.5.3 ➢ Updated the first note under Duplicate Enrollment to read that resources with an ACL of less than 10 kW that are found to be duplicate enrollments are not processed manually, and are denied enrollment or separated when identified Section 7.6 ➢ Created new section describing the creating of Small Customer Aggregation (SCA) Enrollment Documentation ➢ Sub-sections include 7.6.1 Creating an SCA Composition File and 7.6.2 SCA Enrollment File Section 11.7.1 ➢ Updated Figure 253 to true up column letters referenced to align with the template being used

Version	Effective Date	Revisions
		Section 11.7.1.1 ➢ Created new section describing the creating of an SCA Event Response Supporting file
8.0	10/14/2026	Recertified Global ➢ Edits to formatting, standardization of acronyms ➢ Removal of references to DSASP/DADRP ➢ Updated Section/Figure numbers and references throughout Table of Figures ➢ Updated Table of Figures to include seven new figures: Figures 270 through 276. Section 1.3 ➢ Updated Figure 2, 3, 4 to reflect updated NYISO website layout Section 1.4.1 ➢ Updated Figure 6 to reflect updated DRIS Menu bar Section 7.2 ➢ Updated Figure 63, 64 to reflect updated Imports/Exports page Section 7.3 ➢ Updated Figure 66 to reflect updated SCR & EDRP enrollment file headers Section 7.4 ➢ Updated Figure 72, 73 to reflect updated Imports/Exports page Section 7.5.1 ➢ Updated Figure 76, 77 to reflect updated Imports/Exports page Section 7.5.2 ➢ Updated Figure 79, 80 to reflect updated Imports/Exports page Section 7.5.3 ➢ Updated Figure 81 to reflect updated Monitored Fields Section 8.1.1 ➢ Added "Municipality Question" as a field initially displayed by DRIS for each resource enrollment Section 8.5 ➢ Updated Figure 106, 107 to reflect updated Imports/Exports page Section 10.2.3.2 ➢ Updated Figure 139, 140 to reflect updated Imports/Exports page Section 10.2.3.3 ➢ Updated Figure 146, 147 to reflect updated Imports/Exports page Section 10.4.2 ➢ Updated Figure 162, 163 to reflect updated Imports/Exports page Section 10.4.3 ➢ Updated Figure 166, 167 to reflect updated Imports/Exports page Section 10.6.1 ➢ Updated Figure 175, 176 to reflect updated Imports/Exports page

Version	Effective Date	Revisions
		Section 10.6.3 ➢ Updated Figure 181, 182 to reflect updated Imports/Exports page Section 10.6.4 ➢ Updated Figure 185, 186 to reflect updated Imports/Exports page Section 10.7.1 ➢ Updated Figure 193, 194 to reflect updated Imports/Exports page Section 10.7.3 ➢ Updated Figure 199, 200 to reflect updated Imports/Exports page Section 10.7.4 ➢ Updated Figure 203, 204 to reflect updated Imports/Exports page Section 11.7.2 ➢ Updated Figure 256, 257 to reflect updated Imports/Exports page Section 11.7.3 ➢ Updated Figure 260, 261 to reflect updated Imports/Exports page Section 11.7.4.3 ➢ Creation of Section 11.7.4.3 to describe the process for downloading event response data for resources that responded to a NYISO Event or Performance Test. ➢ Addition of Figure 270, 271 Section 11.7.4.4 ➢ Creation of Section 11.7.4.4 to describe the process for downloading the template to import meter data into DRIS for resources with an event response status of "Under Review." ➢ Addition of Figure 272, 273 Section 11.7.4.5 ➢ Creation of Section 11.7.4.5 to describe the process for importing the file containing meter data for resources with an event response status of "Under Review." ➢ Addition of Figure 274, 275, 276 Section 11.7.7 ➢ Updated Figure 283, 284 to reflect updated Imports/Exports page

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 NYISO Installed Capacity ("ICAP")/Special Case Resources ("SCR") program (hereinafter "SCR program") and the Emergency Demand Response Program ("EDRP").

This document describes how to use DRIS to perform certain tasks required to participate in the NYISO EDRP and ICAP/SCR program. Market Participants should refer to the NYISO *Aggregation Manual* and *Aggregation System User's Guide* for the requirements associated with transitioning to the DER & Aggregation participation model from the EDRP and SCR program.

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 and managing resources in the EDRP and SCR program and performing certain tasks specific to the SCR program. DRIS also provides visibility to Market Participant 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, and Monthly SCR Load Zone Peak Hours 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(s), importing the file(s) to DRIS, and monitoring and managing data changes or omissions that may delay or prevent resource enrollment.
- Section 7.6 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 Unforced Capacity ("UCAP"), viewing the results of the automatic transfer of system-calculated aggregation UCAP values to the ICAP Automated Market System ("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 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 12 outlines tasks specific to viewing Behind-the-Meter Net Generation ("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 NYISO Market Information System ("MIS") username 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:

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

4. 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 EDRP or SCR program.

> ***Note:*** A Responsible Interface Party (RIP) enrolls resources in the SCR program and a Curtailment Service Provider (CSP) enrolls resources in the EDRP. Further information can be found in the NYISO *Installed Capacity Manual* and the NYISO *Emergency Demand Response Manual*. These documents are available from the NYISO Web site at https://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 MIS, via which DRIS use privileges are administered. Otherwise, the MP Administrator's Username 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 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 add-back 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.

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

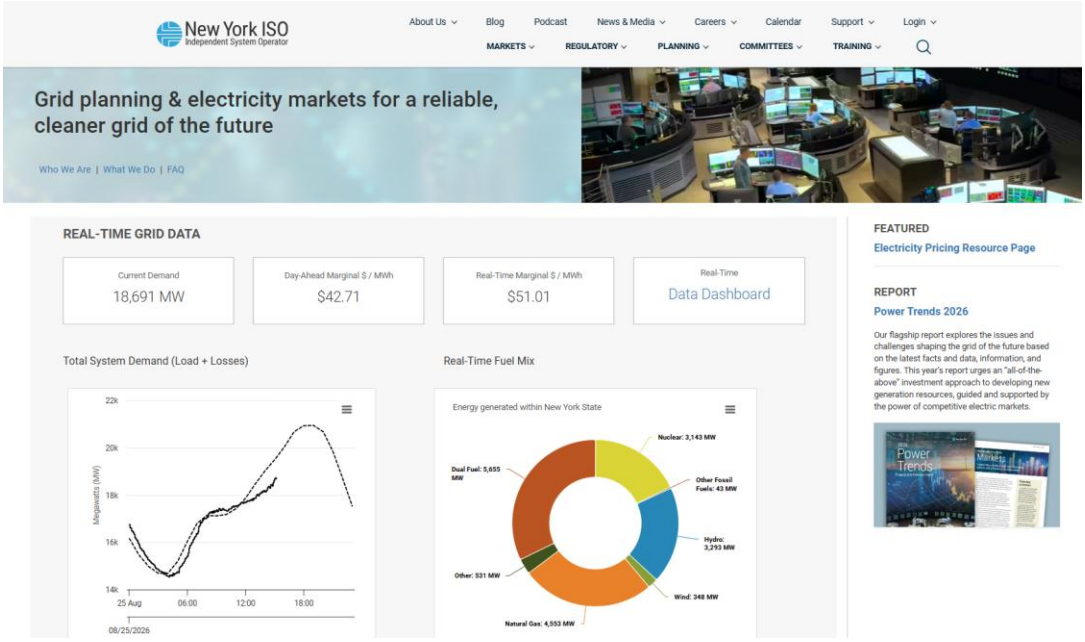
- The MP has completed all pre-requisite tasks for system use, as outlined in Section 1.2.3.

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 section.

1. Point your browser to the NYISO Home page at www.nyiso.com (see Figure 2).

Figure 2: NYISO Home Page

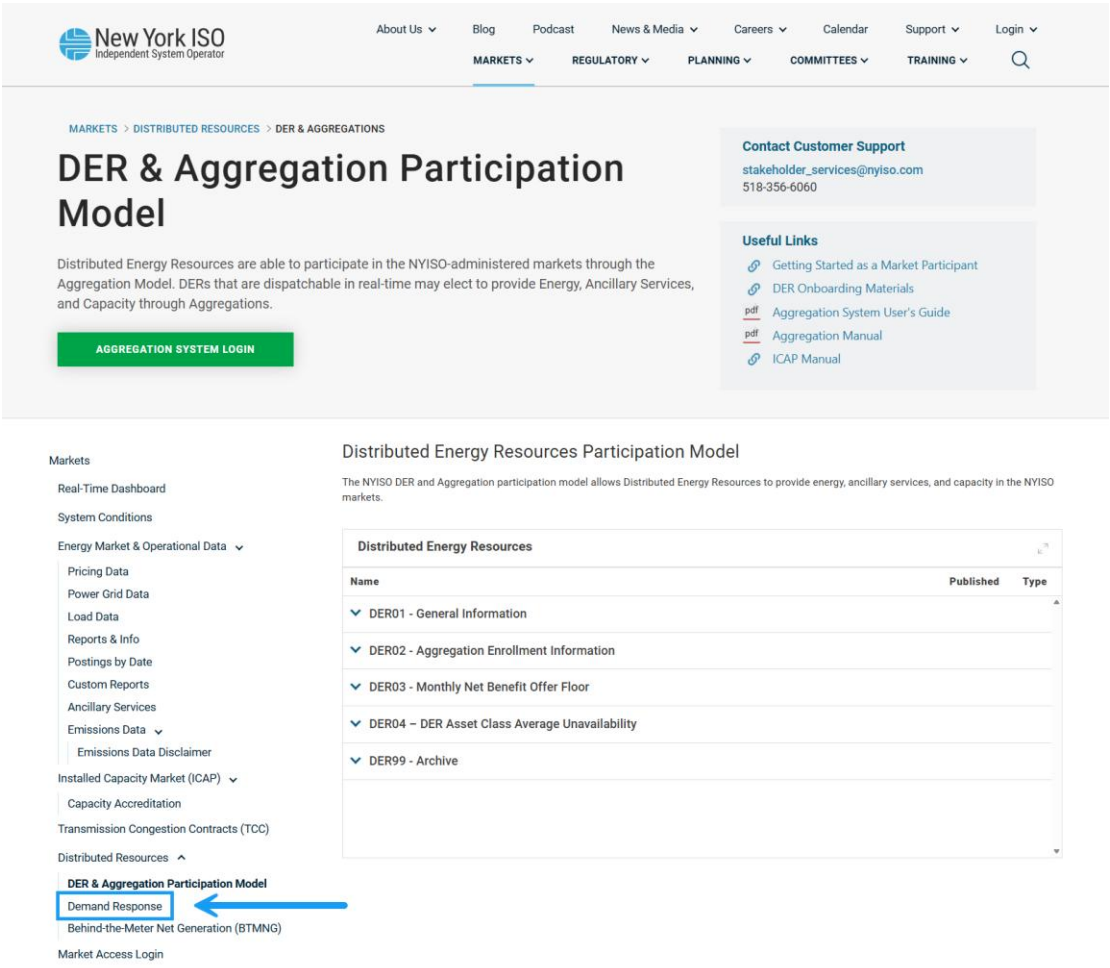


2. On the NYISO Home page, position your mouse pointer over the **Markets** header. The header expands to list of related categories of information.

3. Select Distributed Resources from the expanded list of related categories (see

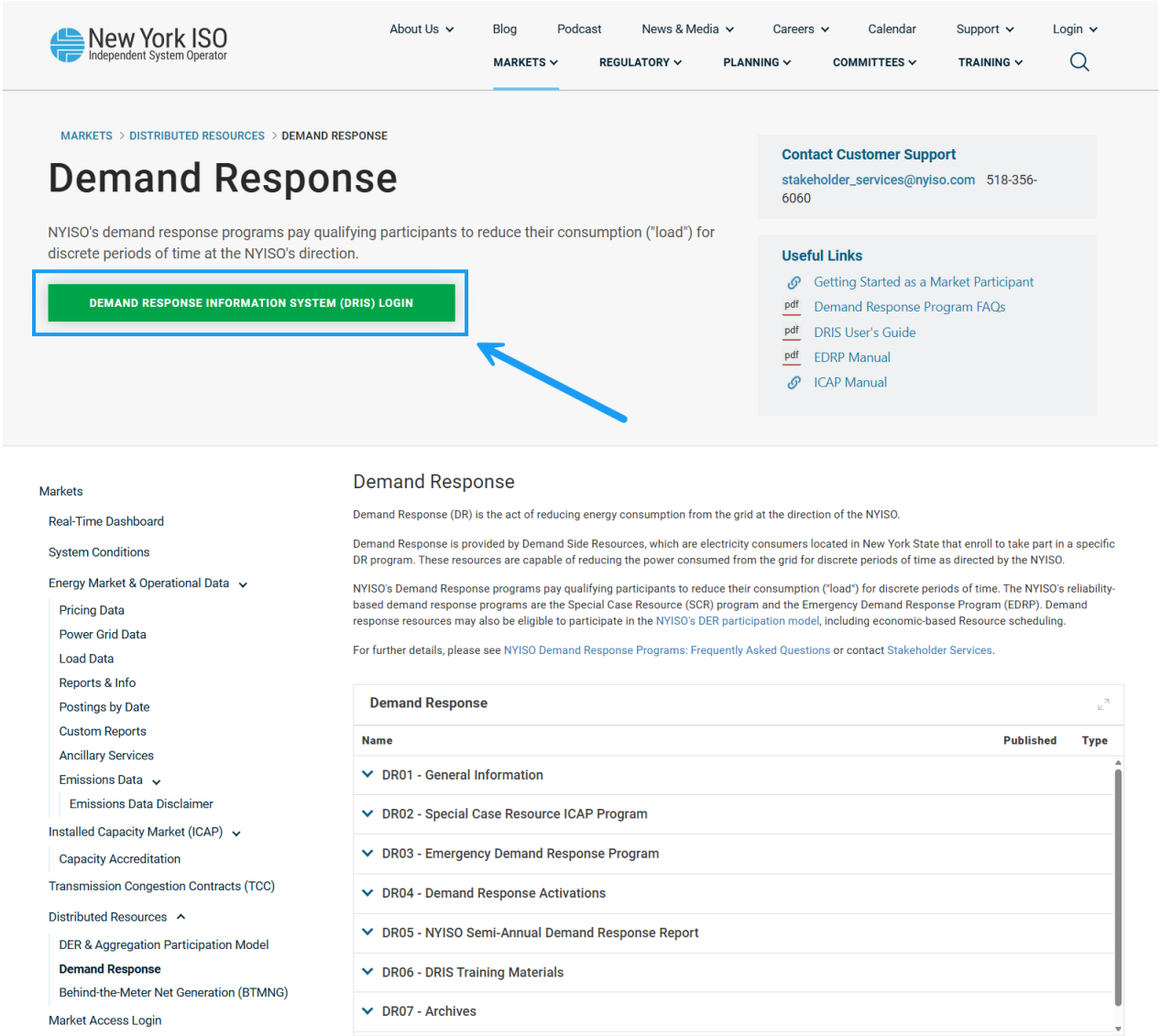
4. Figure 3).

Figure 3: Expanded NYISO Markets Header Highlighting Distributed Resources page and *Demand Response* Link



5. 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)

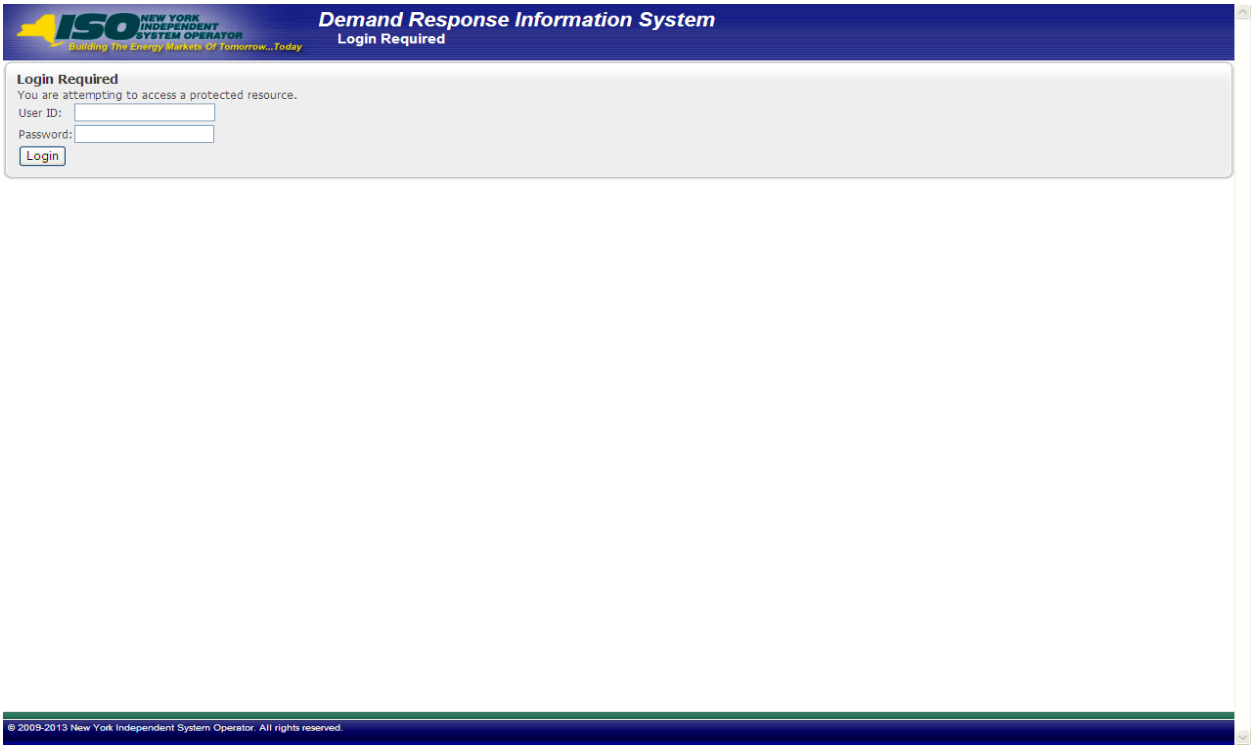


6. Under the **Demand Response Information System** heading, choose **User Login**.

   The Demand Response Information System login page is displayed (as shown in Figure 5 below).

> ***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



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

> ***Note:*** The password is case sensitive.

8. Activate the **Login** button.

   The DRIS system opens to the Welcome 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 onscreen that provide for interaction with a system. Key DRIS interface components include the following:

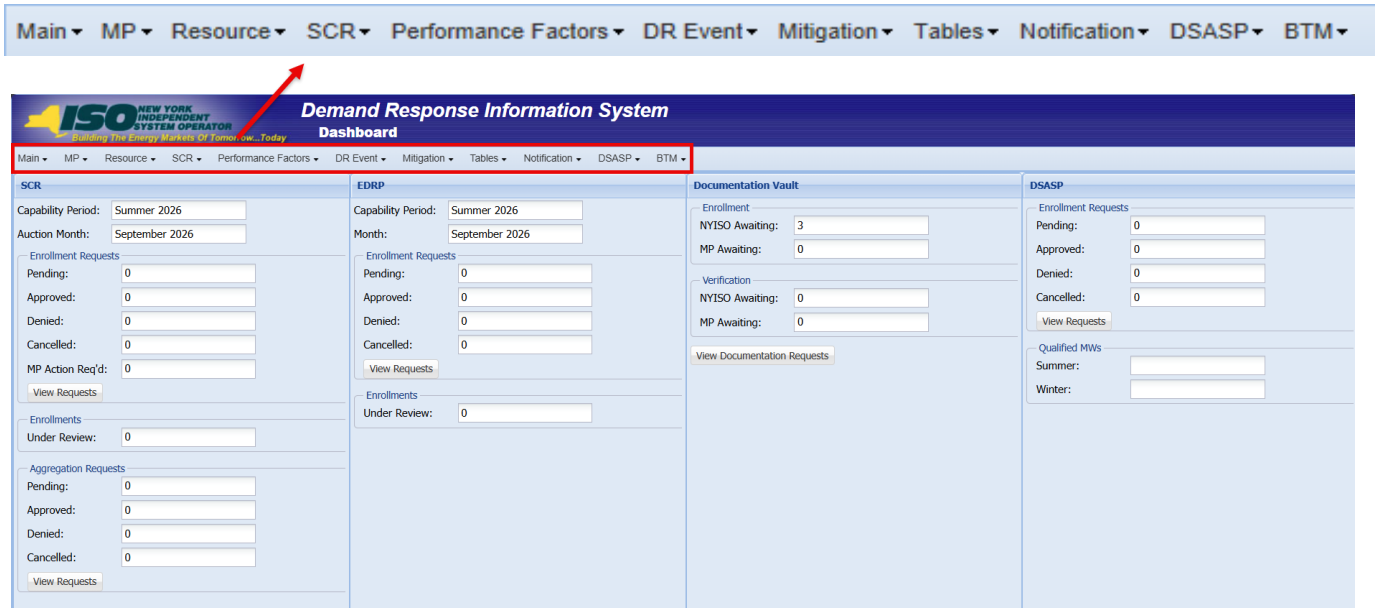
- Menus
- Pages
- Grids
- Status bar
- Filters
- Configuration controls
- Data navigation devices

> ***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



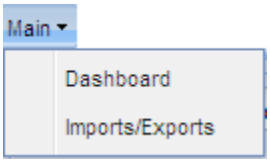
Eleven menus are provided in DRIS, as follows:

- *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);
    - The 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).

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

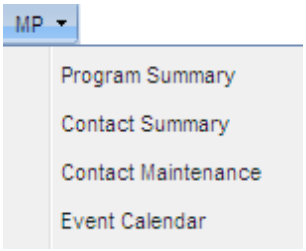
    - Initiate import of resource enrollments (see Section 7.5.1);
    - Generate import files for the purpose of correcting exceptions (i.e., data errors, changes, or omissions) that prevent some or all resources from being imported to the system (see Section 7.5.1);
    - Download resource enrollment data 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 11.7.1); and
    - Download resource hourly response payment details (see Section 11.7.7).

Figure 7: Main Menu Options



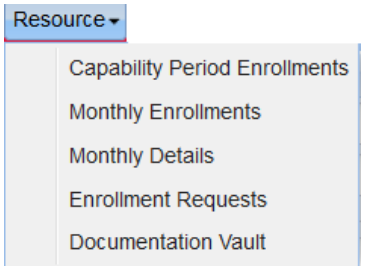
- *MP* – The MP menu (see Figure 8) provides access to the DRIS Event Calendar, where users can monitor deadline-driven DR events by specific date or a date range in order to ensure completion of tasks within required timeframes (see Section 2.1). Also accessed from this menu is the page summarizing 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

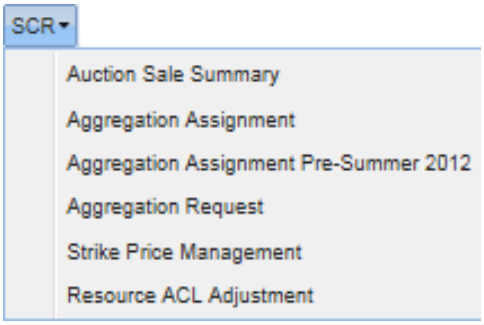


- *SCR* – The SCR menu (see Figure 10) provides access to system pages that facilitate performance of SCR-related tasks, specifically viewing resource Transmission Owner add-backs (see Section 10.1), managing aggregations (see Section 10.2), strike prices (see Section 10.2.2), and allocation of

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



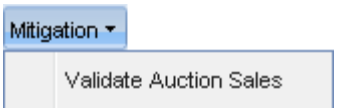
- *DR Event* – The DR Event menu (see Figure 12) provides access to pages from which users can view details of DR events and tests (see Section 11.1). Also accessed from this menu is the page detailing resource responses to events and tests and resource hourly payment information (see Section 11.7.4).

Figure 12: DR Event Menu Options



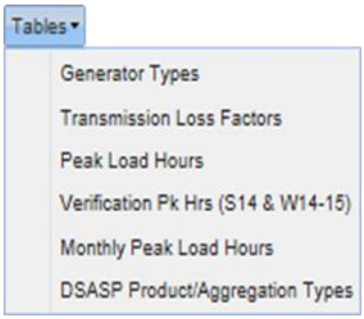
- *Mitigation* – The Mitigation menu (see Figure 13) provides access to viewing the SCR resources that are subject to an Offer Floor, as well as the ability to view the current count of months in which the resource has cleared its Offer Floor in the ICAP auction (see Section 10.5).

Figure 13: Mitigation Menu Options



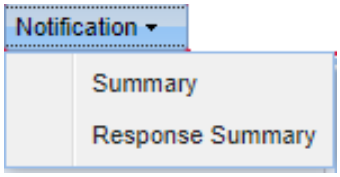
- *Tables* – The Tables menu (see Figure 14) provides access to pages from which users can ascertain which TO abbreviations, voltage level IDs (based on specific transmission loss factors), and generator type IDs should be included among the data provided when enrolling resources (see Section 2.2 and 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).

Figure 14: Table Menu Options



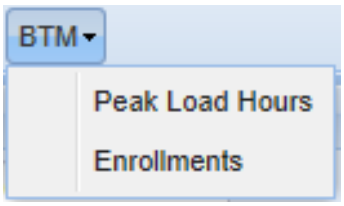
- *Notification* – The Notification menu (see Figure 15) provides access to pages that facilitate viewing event notifications (see Section 11.4), responding to event notifications with expected curtailment values (see Section 11.3), and viewing responses in summary and detail (see Section 0).

Figure 15: Notification Menu Options



- *BTM:NG Resources* – The BTM menu (see Figure 16) provides access to pages that facilitate the management of BTM:NG Resources (see Section 12).
- Also accessed from this menu is the ability to view the BTM:NG Resource peak Load hours (see Section 12.1) and view monthly enrollment details for BTM:NG Resources (see Section 12.2).

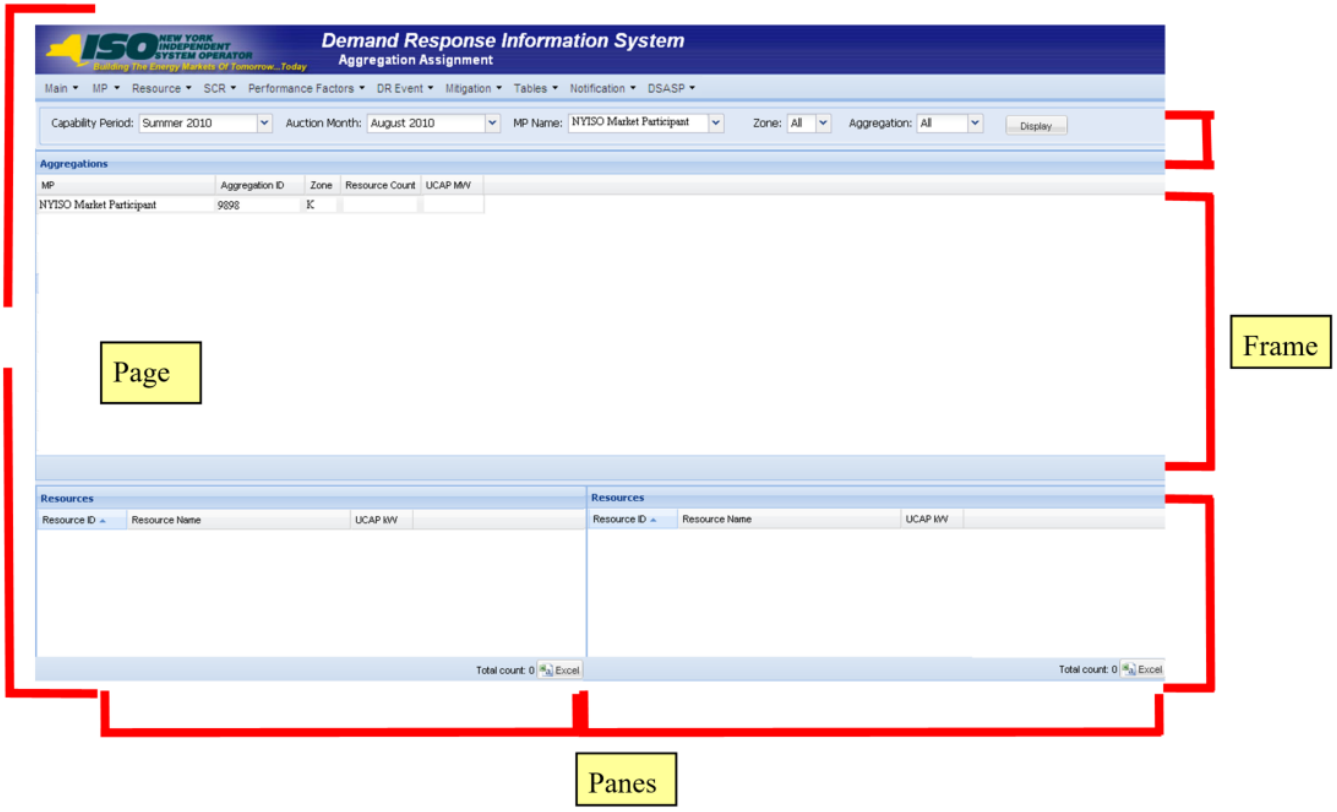
Figure 16: BTM:NG Menu Options



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 17).

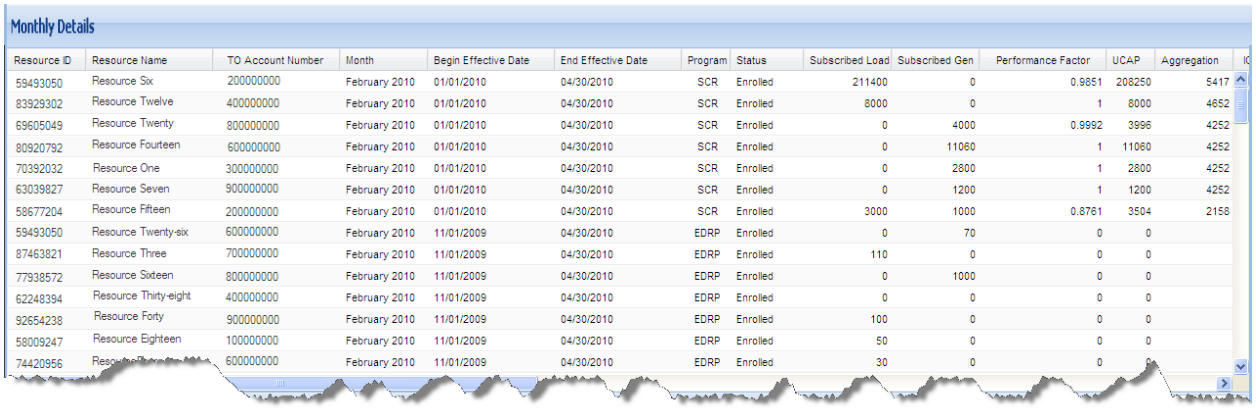
Figure 17: Page Containing Frames and Panes



1.4.3. Grids

Grids (see Figure 18) 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 18: Sample Grid



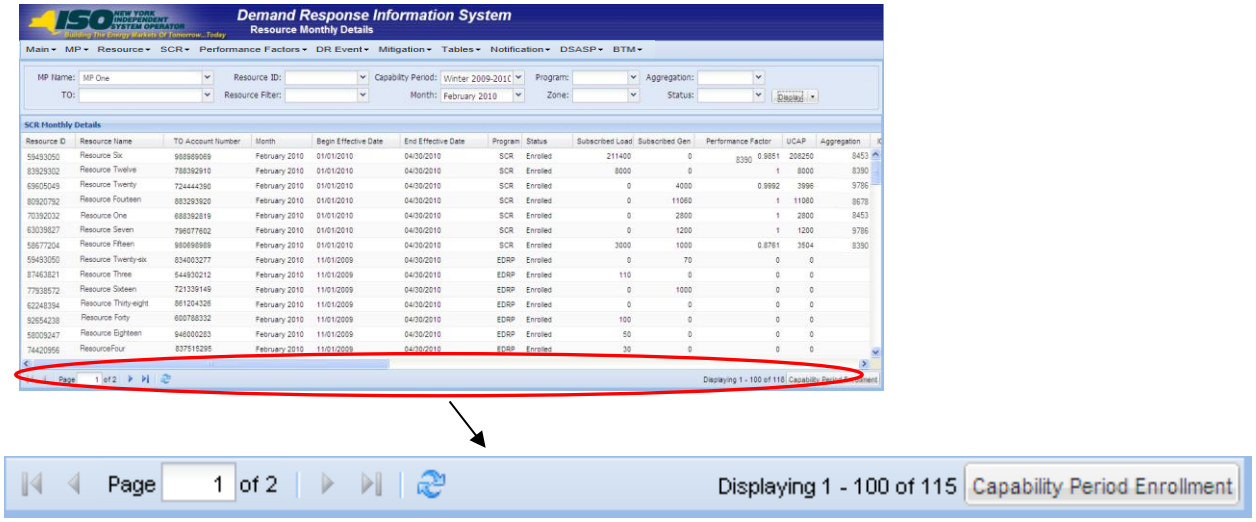
Monthly Details

Resource ID	Resource Name	TO Account Number	Month	Begin Effective Date	End Effective Date	Program	Status	Subscribed Load	Subscribed Gen	Performance Factor	UCAP	Aggregation
59493050	Resource Six	200000000	February 2010	01/01/2010	04/30/2010	SCR	Enrolled	211400	0	0.9851	208250	5417
83929302	Resource Twelve	400000000	February 2010	01/01/2010	04/30/2010	SCR	Enrolled	8000	0	1	8000	4652
69605049	Resource Twenty	800000000	February 2010	01/01/2010	04/30/2010	SCR	Enrolled	0	4000	0.9992	3996	4252
80920792	Resource Fourteen	600000000	February 2010	01/01/2010	04/30/2010	SCR	Enrolled	0	11060	1	11060	4252
70392032	Resource One	300000000	February 2010	01/01/2010	04/30/2010	SCR	Enrolled	0	2800	1	2800	4252
63039827	Resource Seven	900000000	February 2010	01/01/2010	04/30/2010	SCR	Enrolled	0	1200	1	1200	4252
58677204	Resource Fifteen	200000000	February 2010	01/01/2010	04/30/2010	SCR	Enrolled	3000	1000	0.8761	3504	2158
59493050	Resource Twenty-six	600000000	February 2010	11/01/2009	04/30/2010	EDRP	Enrolled	0	70	0	0	
87463821	Resource Three	700000000	February 2010	11/01/2009	04/30/2010	EDRP	Enrolled	110	0	0	0	
77938572	Resource Sixteen	800000000	February 2010	11/01/2009	04/30/2010	EDRP	Enrolled	0	1000	0	0	
62248394	Resource Thirty-eight	400000000	February 2010	11/01/2009	04/30/2010	EDRP	Enrolled	0	0	0	0	
92654238	Resource Forty	900000000	February 2010	11/01/2009	04/30/2010	EDRP	Enrolled	100	0	0	0	
58009247	Resource Eighteen	100000000	February 2010	11/01/2009	04/30/2010	EDRP	Enrolled	50	0	0	0	
74420956	[illegible]	600000000	February 2010	11/01/2009	04/30/2010	EDRP	Enrolled	30	0	0	0	

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 19).

Figure 19: 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 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 20 and Figure 21 illustrate the various types of filters in DRIS.

Figure 20: Drop-Down Filters Employed in DRIS

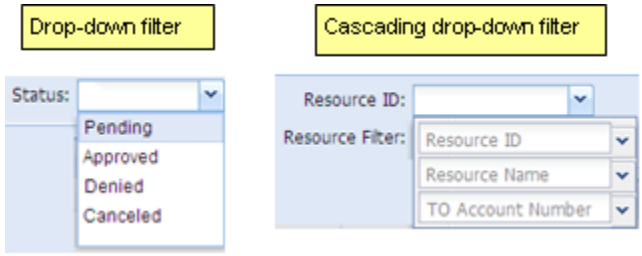
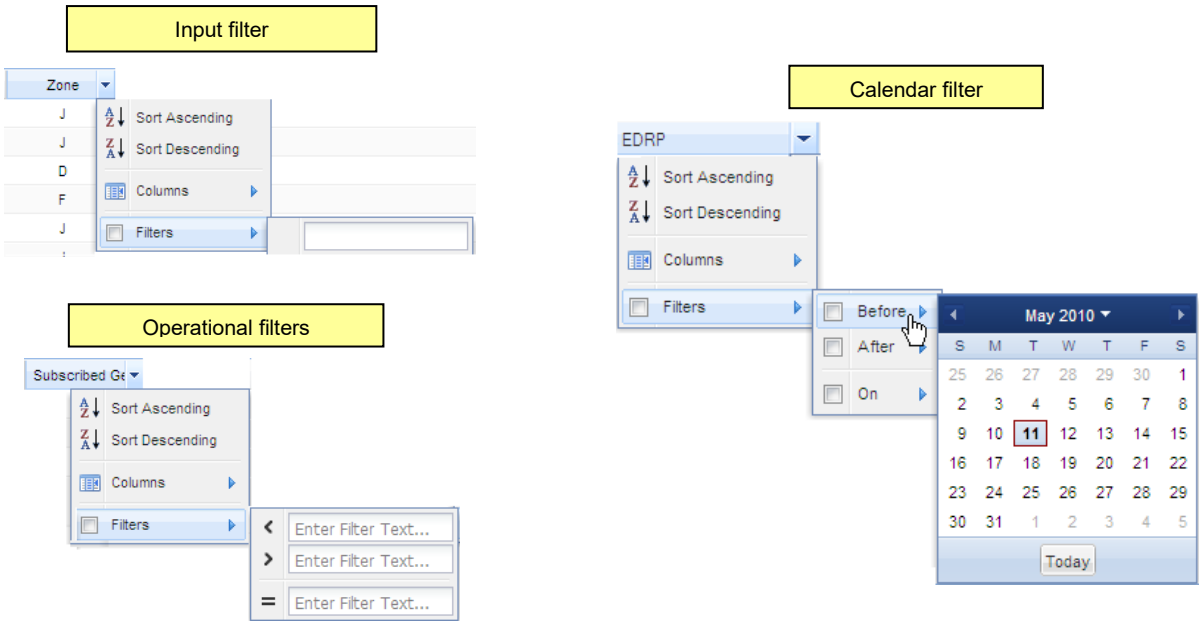


Figure 21: Context-Sensitive Filters Employed in DRIS



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).

2. 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.

2. On the displayed drop-down menu, position the mouse pointer over the **Filter** option.

   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 21).

3. Limit the scope of the data displayed in the grid in one of the following manners, depending 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.

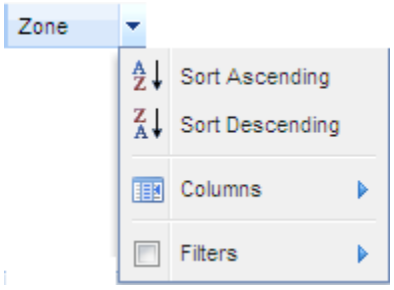


To control which columns are displayed in grids

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 22).

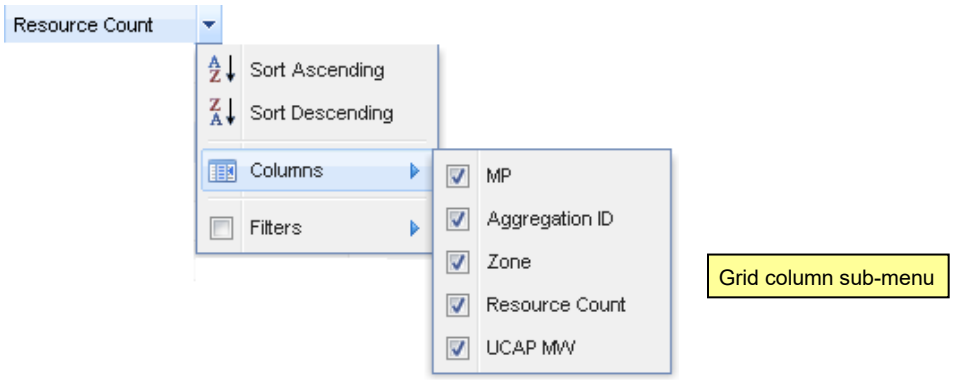
Figure 22: Sample Grid Column Menu



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 23).

Figure 23: 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

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

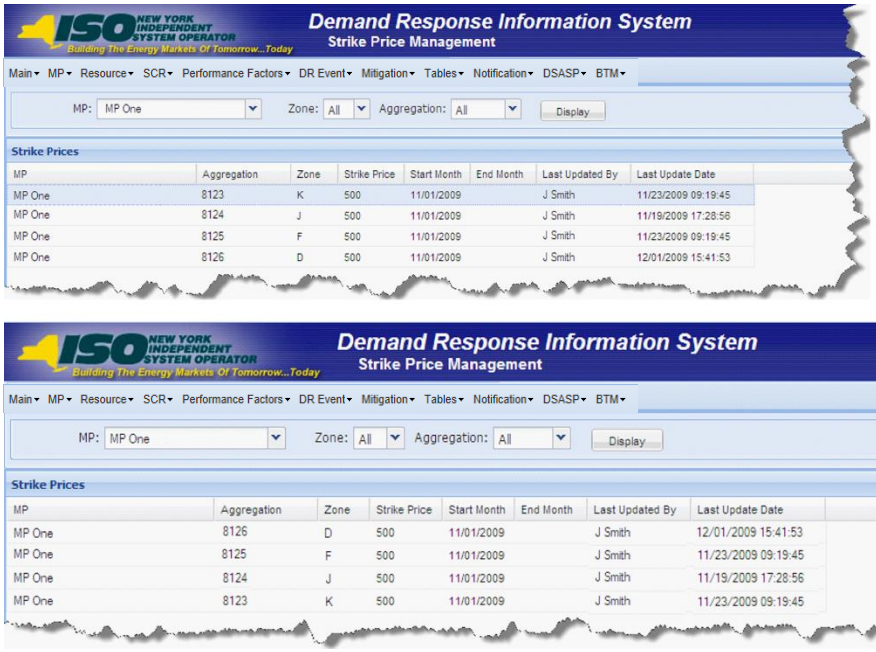
   The system sorts the grid data in ascending order based on the parameter of the column in question, as indicated by the upward pointing arrow ( ) displayed to the right of the column header text (see Figure 24).

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 24: Example of Changing Sort Order



Original grid sort order resulted in the *Zone* data being sorted in the order of K, J, F, D.

Clicking the *Zone* column header once sorts all data in the grid by the *Zone* parameter in ascending order of D, F, J, K, changing the order of data in other columns accordingly as illustrated by the order of the data in the *Aggregation* and *Last Update Date* columns in the image to the left.

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

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

   The mouse pointer changes to a double-headed arrow.

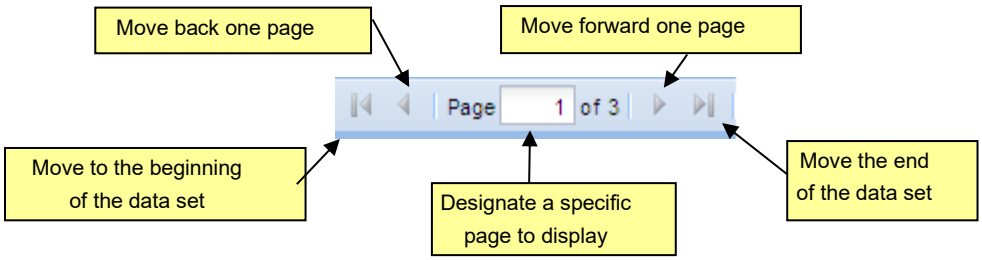
2. Click and hold the primary mouse button then drag the mouse up or down until the frame is resized as desired.

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 25). 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.

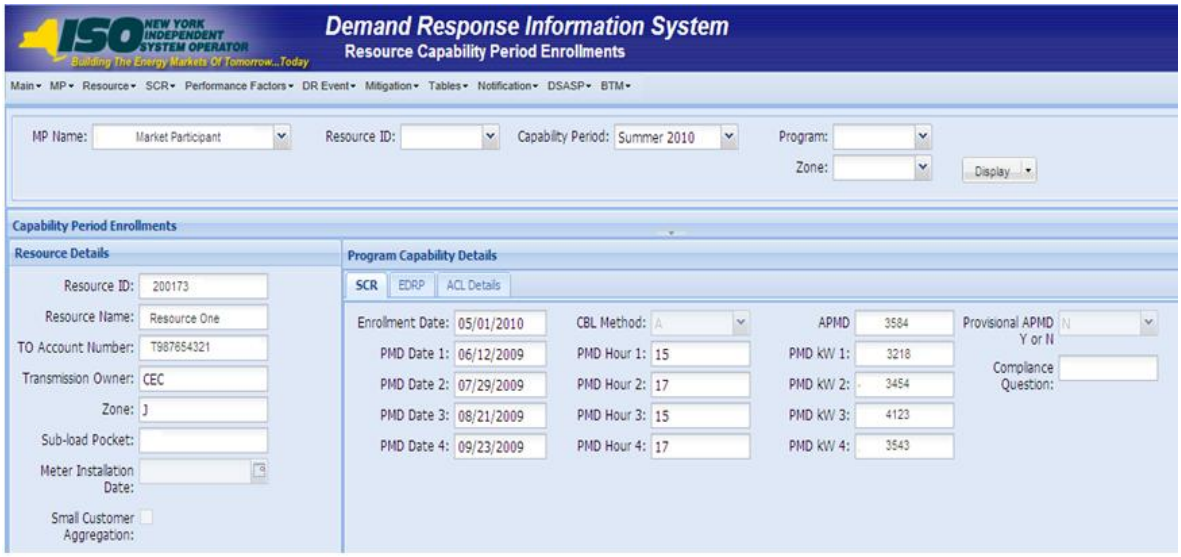
Also located on the status bar, between the forward and backward arrow buttons, is a Page field (see Figure 25), where the user may replace the currently displayed page number with another number within the noted range then press the **ENTER** key to move the view to the newly designated page.

Figure 25: 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 26). 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 26: Tabs on Resource Capability Period Enrollments Page



1.5. Exiting the System

Exiting DRIS is accomplished by logging out of the system.

Pre-requisite

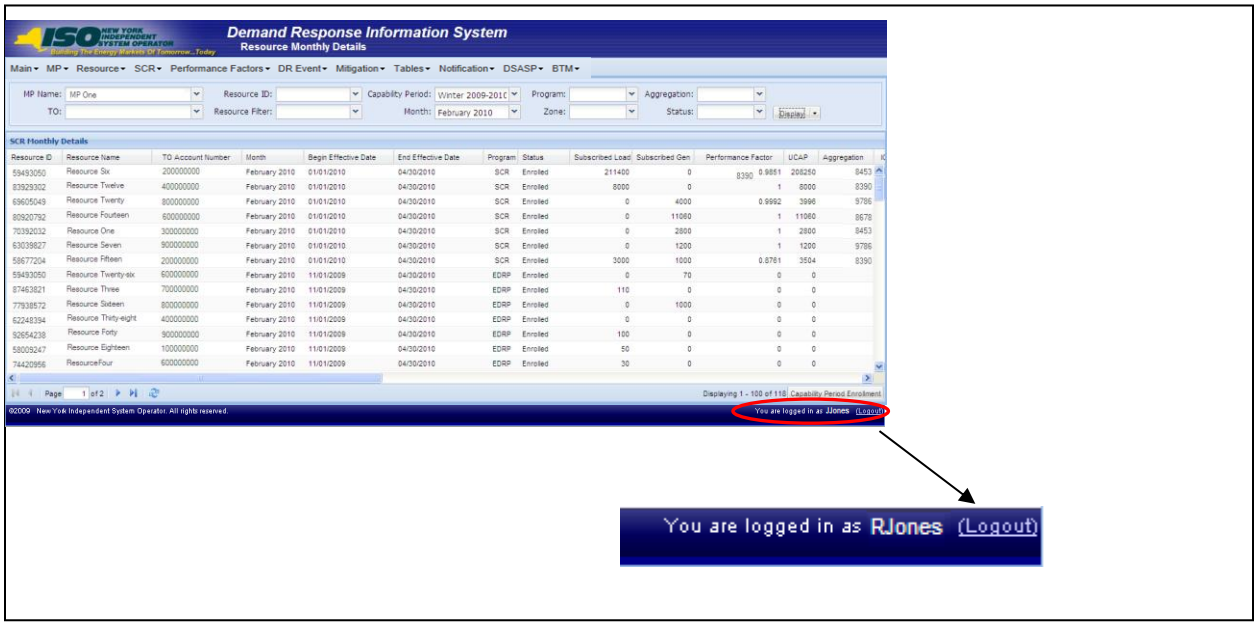
- The MP has accessed the system as described under Section 0.

To exit the system

In the lower-right corner of the active page, click the **Logout** link (see Figure 27).

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

Figure 27: Logout Link



2. Obtaining Key Preliminary Information

In support of enrolling resources and performing certain other activities related to participating in the EDRP and SCR 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, and Monthly SCR Load Zone Peak Hours.

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 0, "

- 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 28).

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.

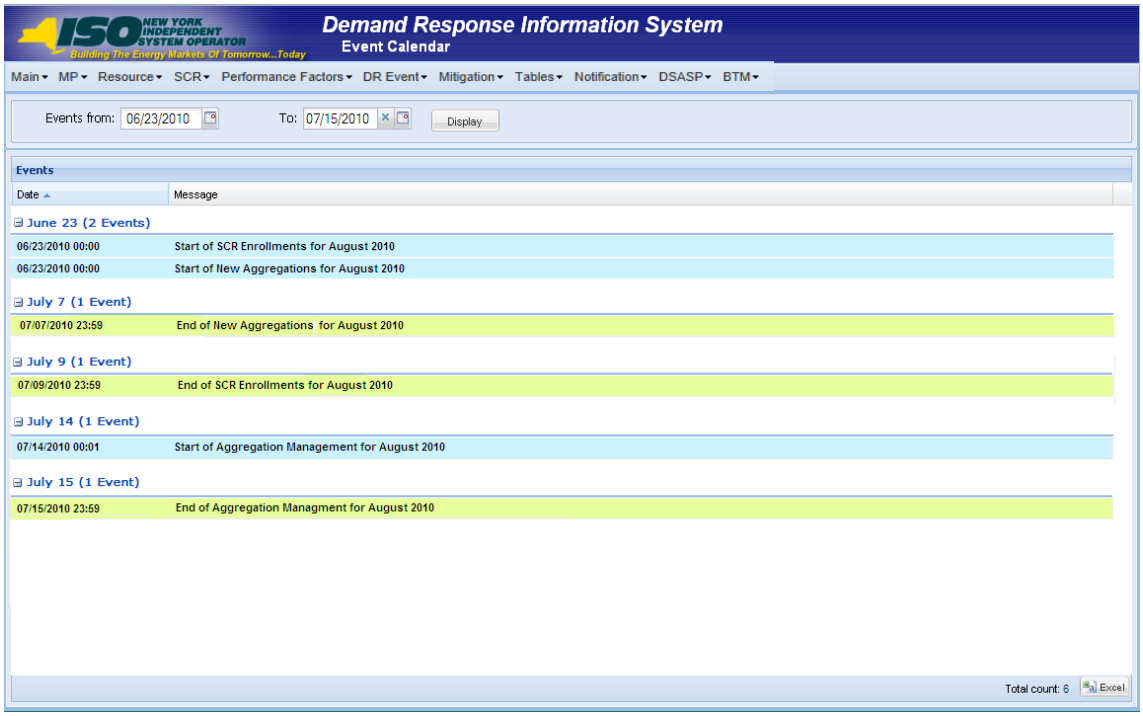
   The lower frame refreshes to display a list of all DR-related events falling within the timeframe designated at step 2 and organized by corresponding date in ascending order (see Figure 28).

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 28: 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 0, "

- 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 29).

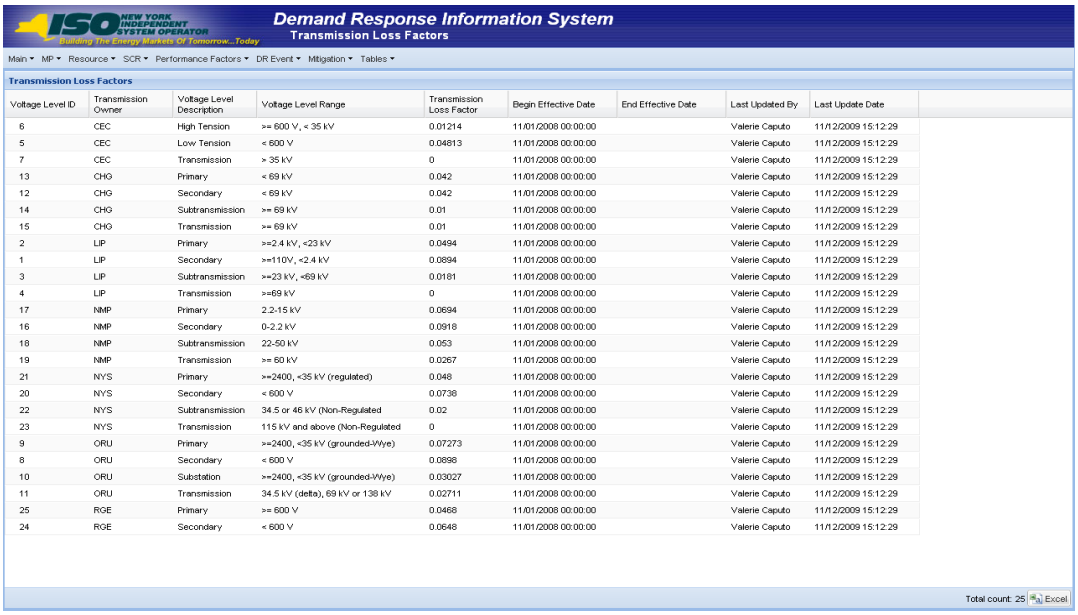
2. Referencing the **Transmission Owner** column, ascertain which abbreviation corresponds to the TO with which the resource is associated:

   - *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

3. In the corresponding column of the displayed table, locate the **Voltage Level Description** 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 29: 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 0, "

- Accessing the System".

To ascertain generator type IDs

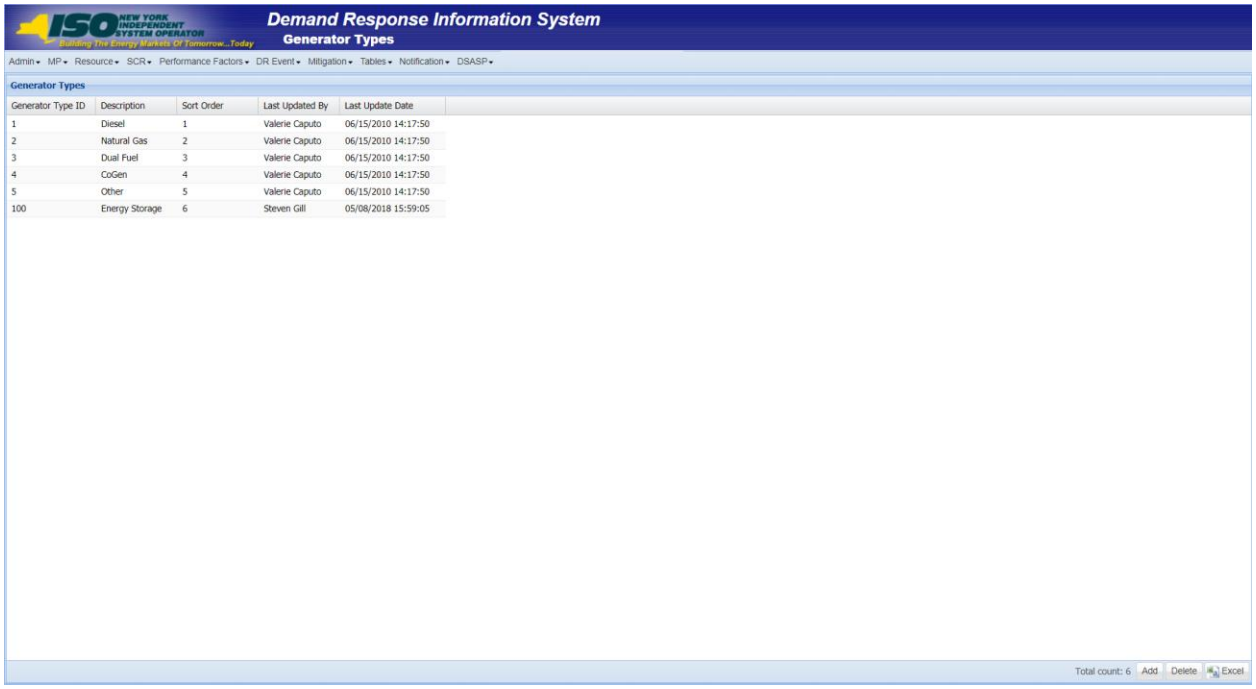
1. From the **Tables** menu, choose **Generator Types**.

   The system displays the Generator Types page (see Figure 30).

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 30: 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 ("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 0, "

- 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 31).

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.

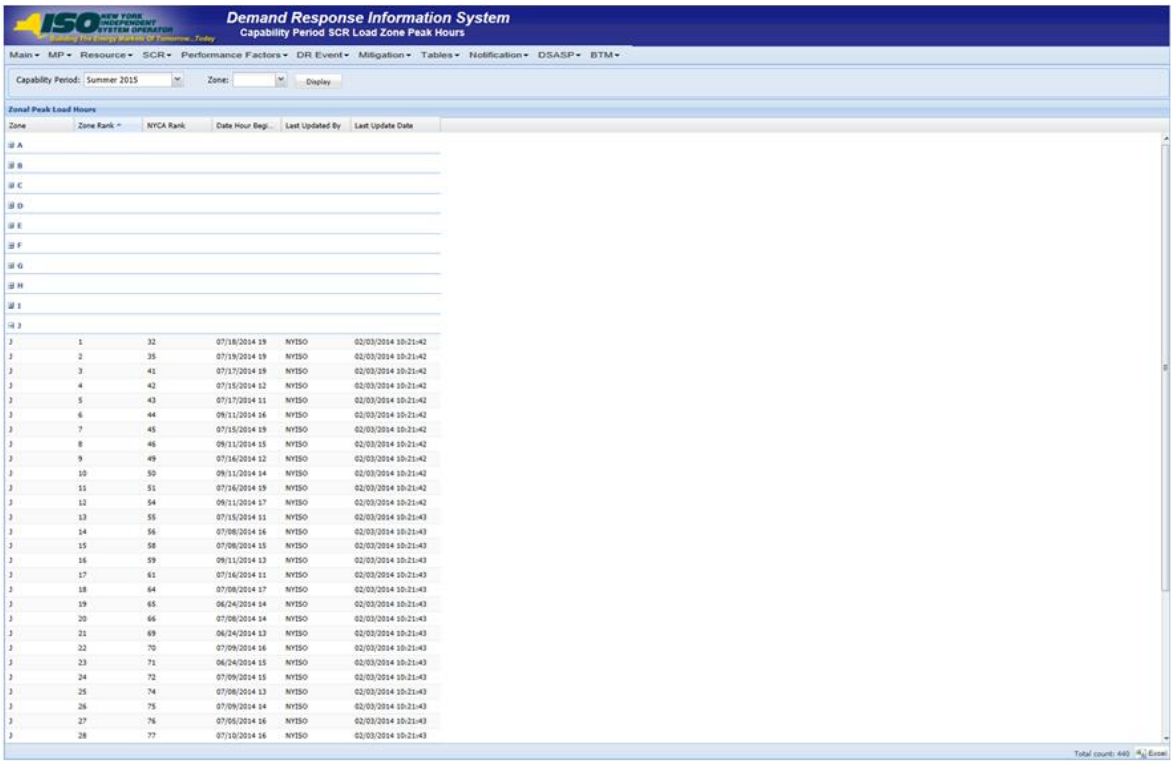
Figure 31: Peak Load Hours Page Search Filters



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 32).

Figure 32: 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 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 0, "

- Accessing the System".

To ascertain SCR Capability Period Load Zone Verification Peak Hours

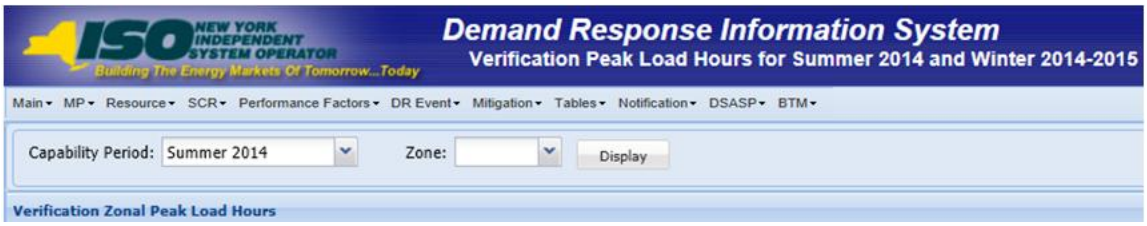
1. From the **Tables** menu, choose **Verification Pk Hrs (S14 & W14-15)**.

   The system displays the Verification Peak Load Hours page (see Figure 33).

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:*** 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.

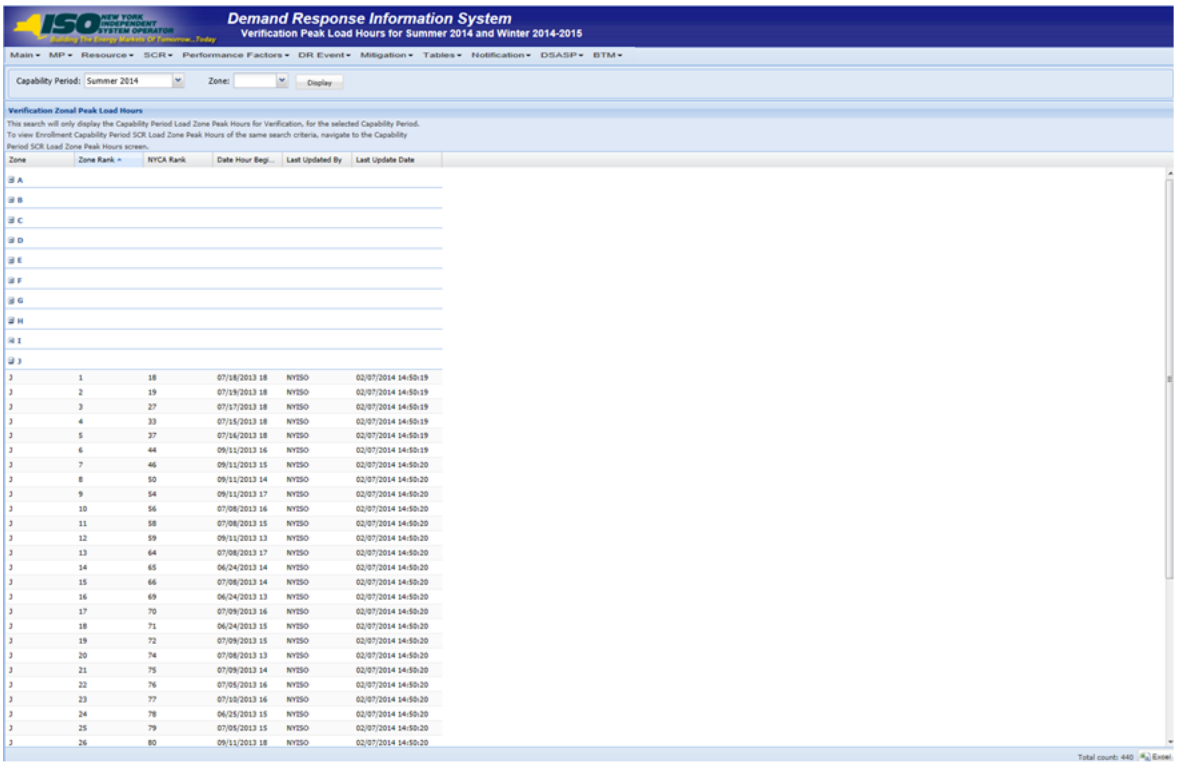
Figure 33: Verification Peak Load Hours Page Search Filters



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 34).

Figure 34: 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 with an Incremental ACL is the 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 0, "

- Accessing the System".

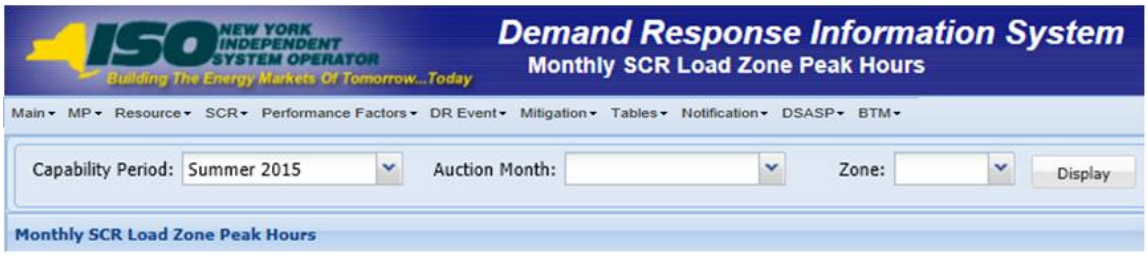
To ascertain Monthly SCR Load Zone Peak Hours

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

   The system displays the Monthly Peak Load Hours page (see Figure 35).

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.

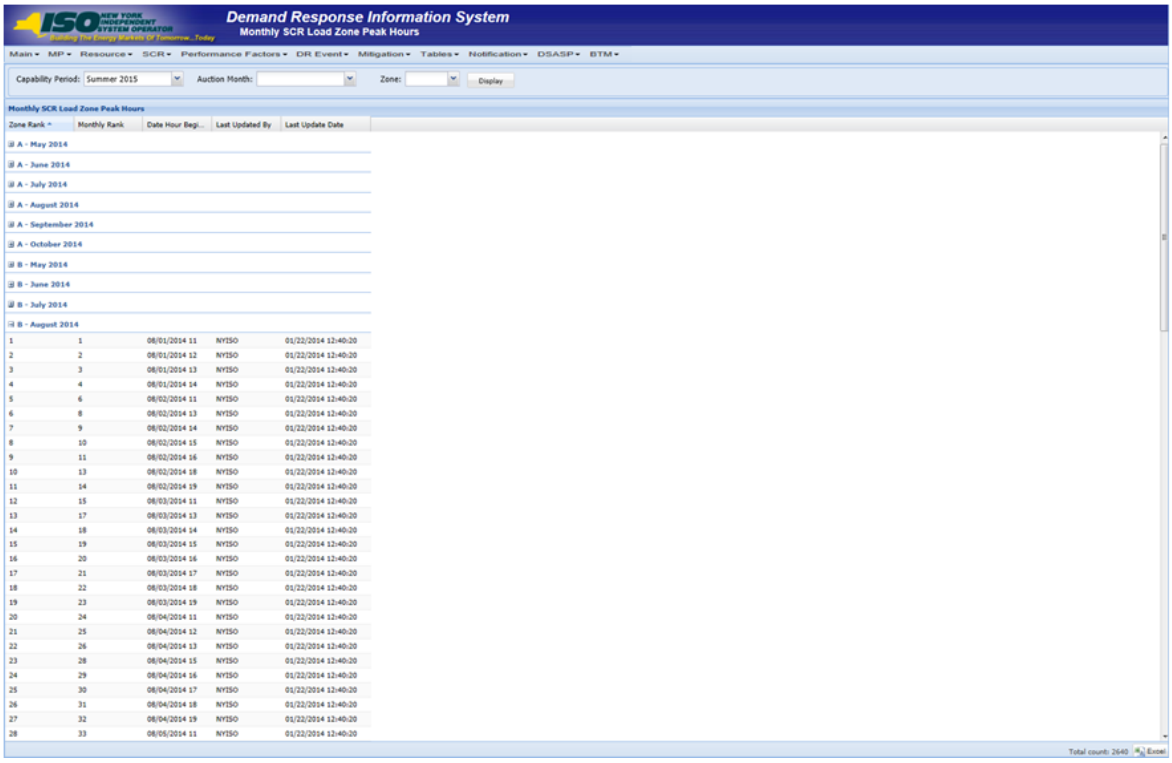
Figure 35: Peak Load Hours Page Search Filters



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 36).

Figure 36: 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.

3. Viewing Market Participant Organization Program Enrollment

Once an MP is registered in the NYISO MIS to participate in the EDRP or SCR 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 EDRP or SCR 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").

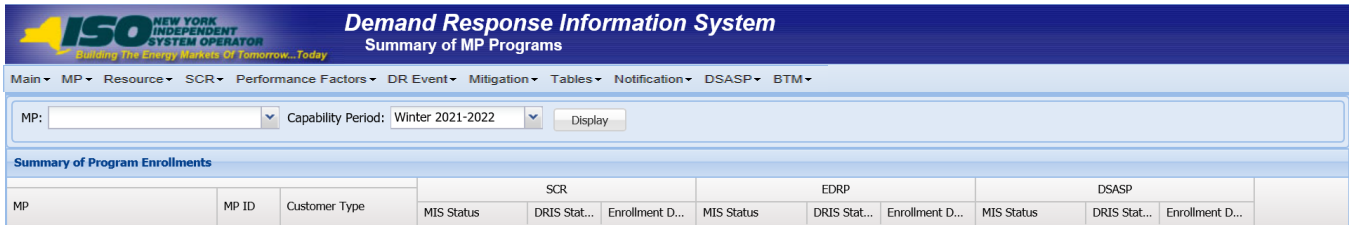
To view summary of DR program enrollments

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

   The system displays the Summary of MP Programs page.

   From the corresponding search filter in the uppermost frame on the Summary of MP Programs page (see Figure 37), choose the **Capability Period** for which the system should display enrollments.

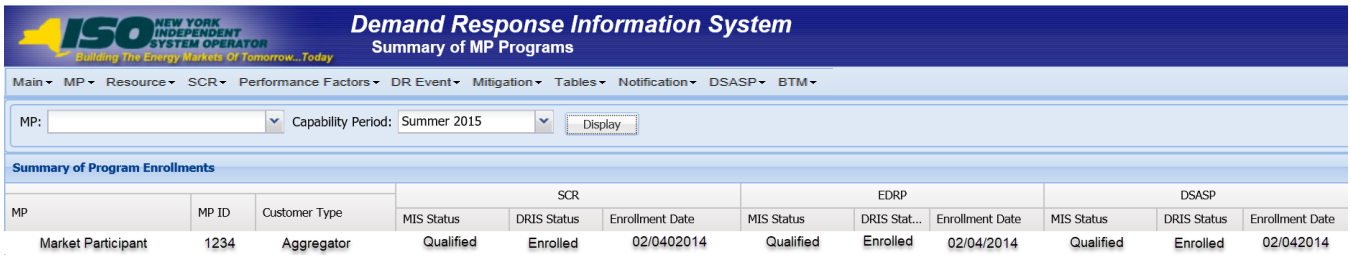
Figure 37: Summary of MP Programs Page Search Filters



2. Near the top of the Summary of MP Programs page, click the **Display** button.

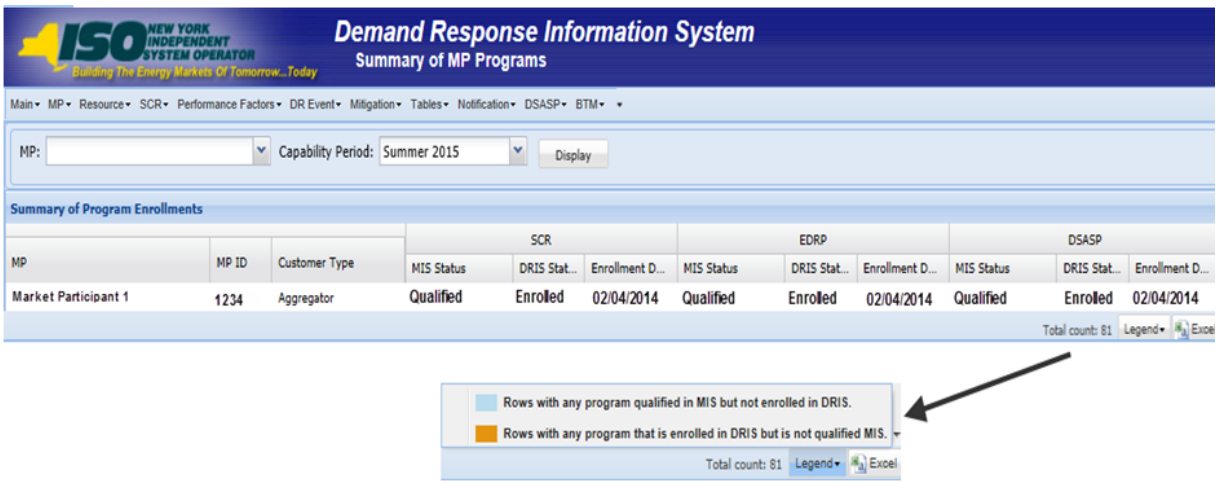
   The system populates the Search Results grid below the search filters with an entry for the programs meeting the criteria chosen at step 0 (see Figure 38).

Figure 38: Summary of MP Programs Page Populated with Data



3. 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 Figure 39).

Figure 39: 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 38) 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.

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 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.

4. Viewing Market Participant Organization SCR Program Performance Factor

The Demand Response Information System provides the means for MP organizations to view performance factors 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. **The NYISO makes (Season YYYY) performance factors available in DRIS on the DRIS Event Calendar** (refer to Section 2.1).

The MP can view performance factors 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
- Zone
- *Max Declared* - Maximum Declared Value for the resource in the previous like Capability Period
- *Raw Performance Factor* – resource Performance Factor before it is adjusted (viewable when the Capability Period selected is greater than or equal to Summer 2012)
- *Performance Factor* – 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.

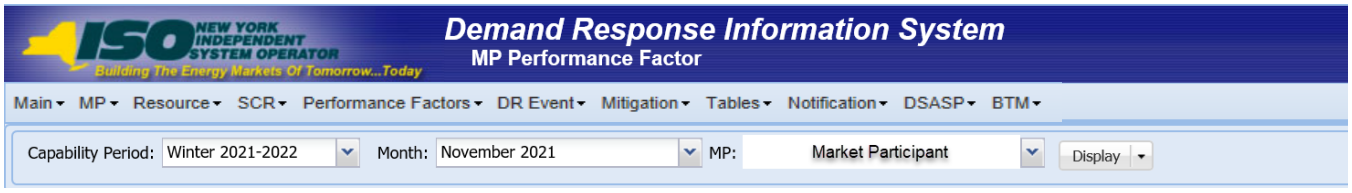
To view MP organization performance factor

1. From the **Performance Factor** menu, choose **MP**.

   The system displays the MP Performance Factor page.

2. From the corresponding search filter(s) in the uppermost frame on the MP Performance Factor page (see Figure 40), choose the **Capability Period** and **Month** for which the system should display the MP performance factor.

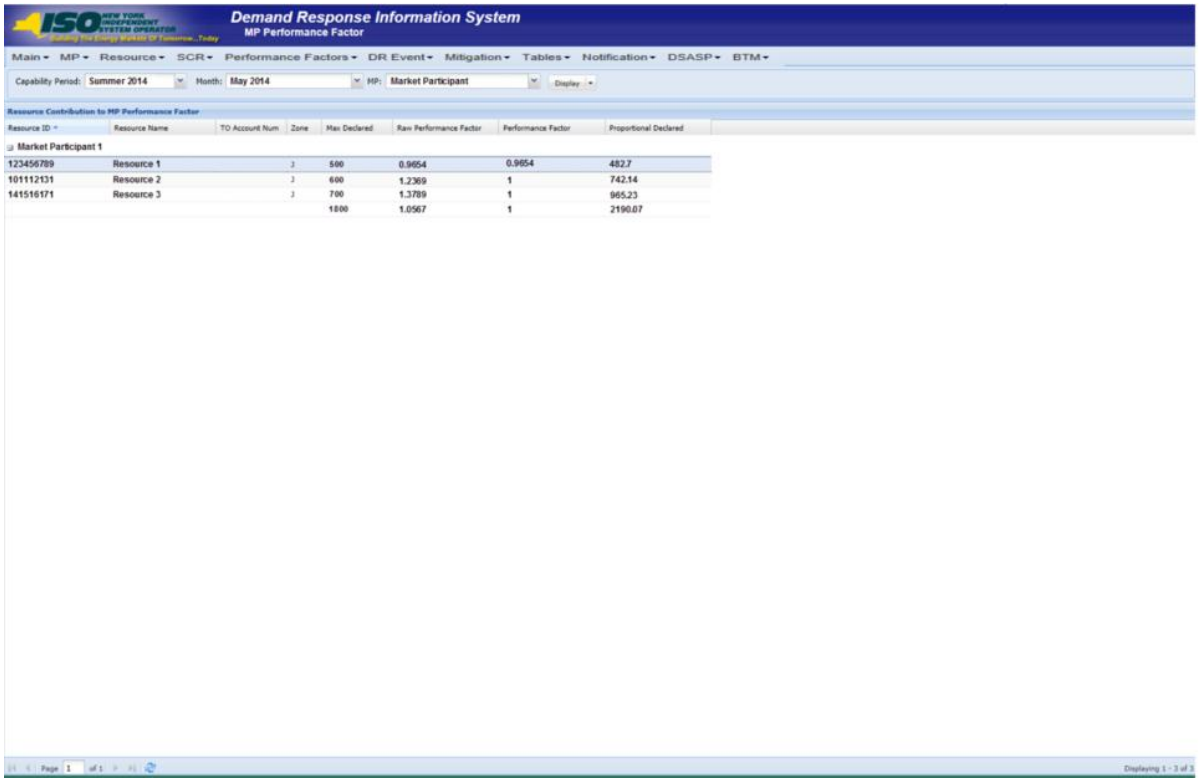
Figure 40: MP Performance Factor Page Search Filters



3. 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 41).

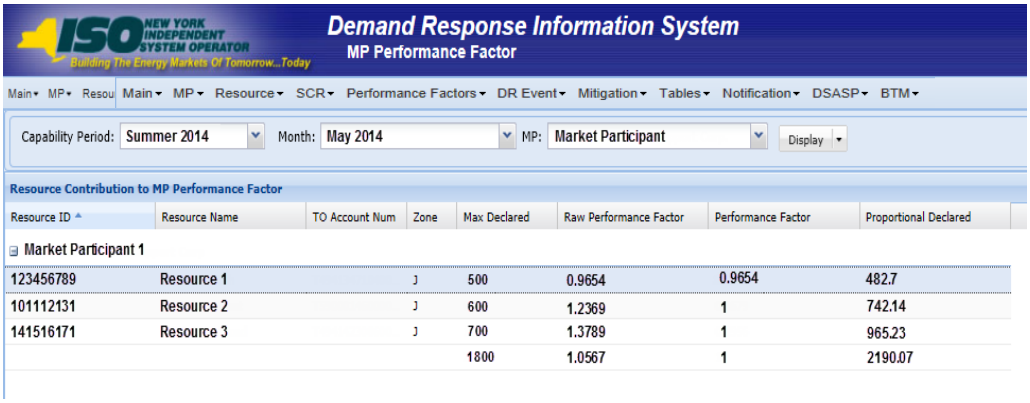
Figure 41: MP Performance Factor Page Populated with MP Performance Factor



4. View further details for the resource components of the MP performance factor by expanding 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 42).

Figure 42: 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 43), 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 43: RIP Portfolio Performance Shortfall Page Search Filters



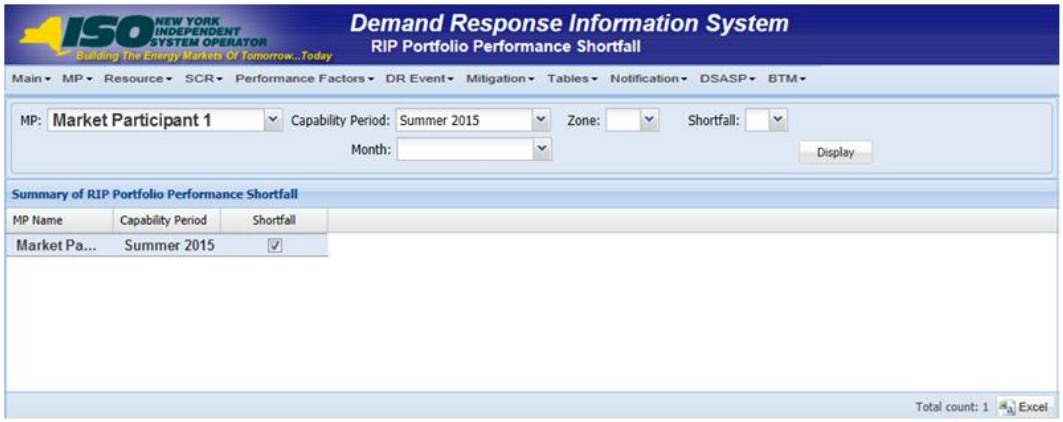
> ***Note:*** RIP Portfolio Performance Shortfall will be viewable in DRIS beginning with the calculation of the RIP Portfolio Performance Shortfall for the Summer 2011 Capability Period. The calculation of the RIP Portfolio Performance Shortfall will occur following the close of the Capability Period 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 44).

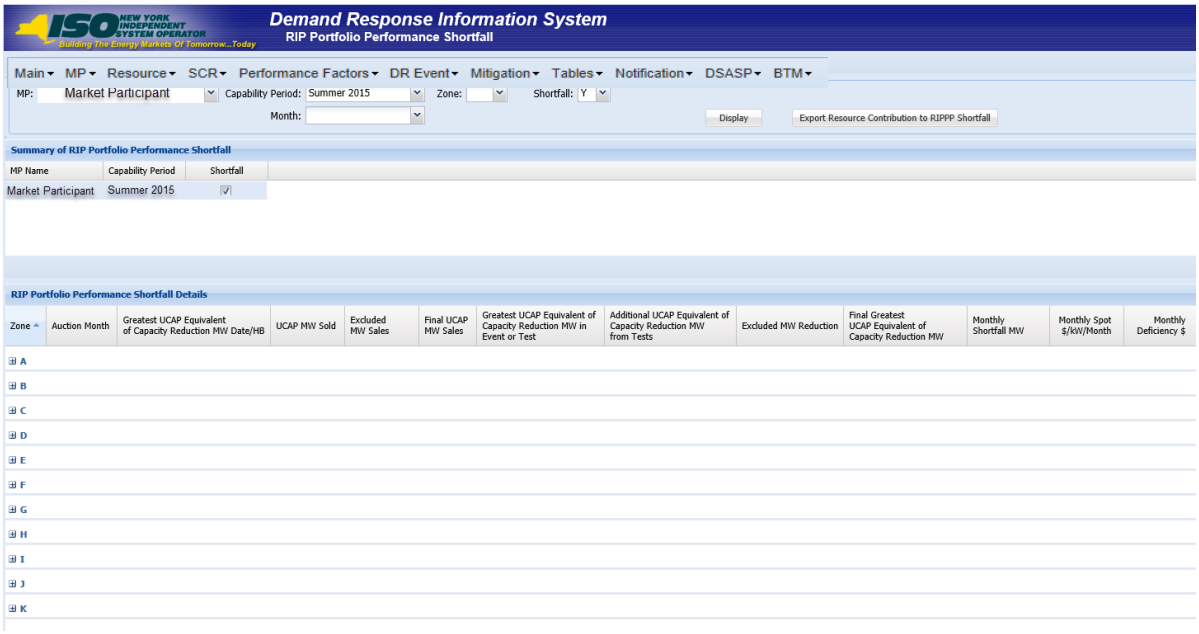
Figure 44: RIP Portfolio Performance Shortfall Page Illustrating Summary Results Based on Selected Search Criteria



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 45).

Figure 45: 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 49).

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 46), 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 46: RIP Portfolio Performance Shortfall Page Search Filters



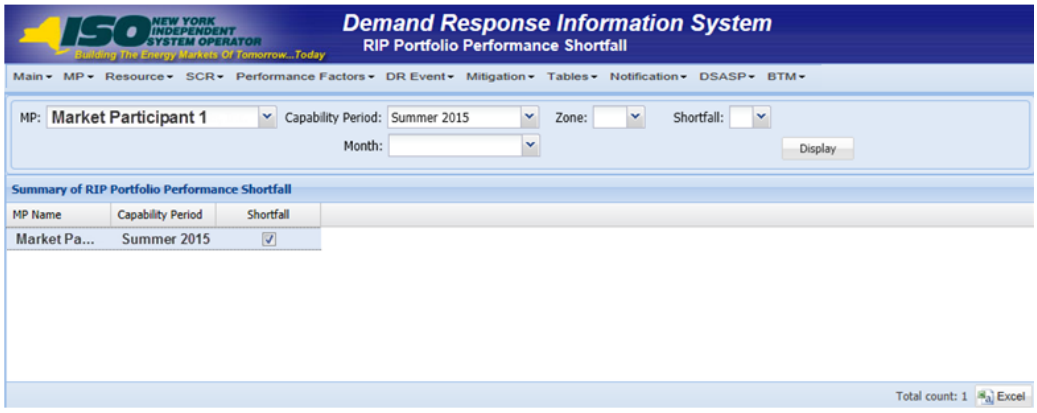
> ***Note:*** RIP Portfolio Performance Shortfall will be viewable in DRIS beginning with the calculation of the RIP Portfolio Performance Shortfall for the Summer 2011 Capability Period. The calculation of RIP Portfolio Performance Shortfall will occur following the close of the Capability Period for 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 47).

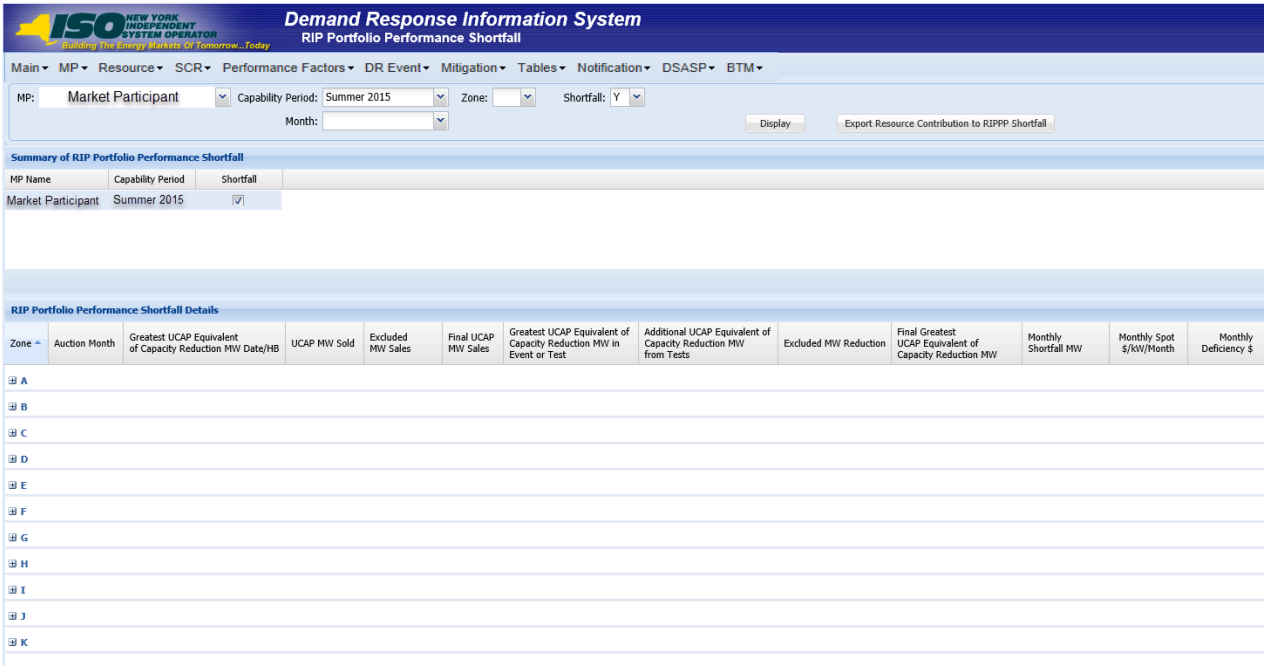
Figure 47: RIP Portfolio Performance Shortfall Page Illustrating Summary Results Based on Selected Search Criteria



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 48).

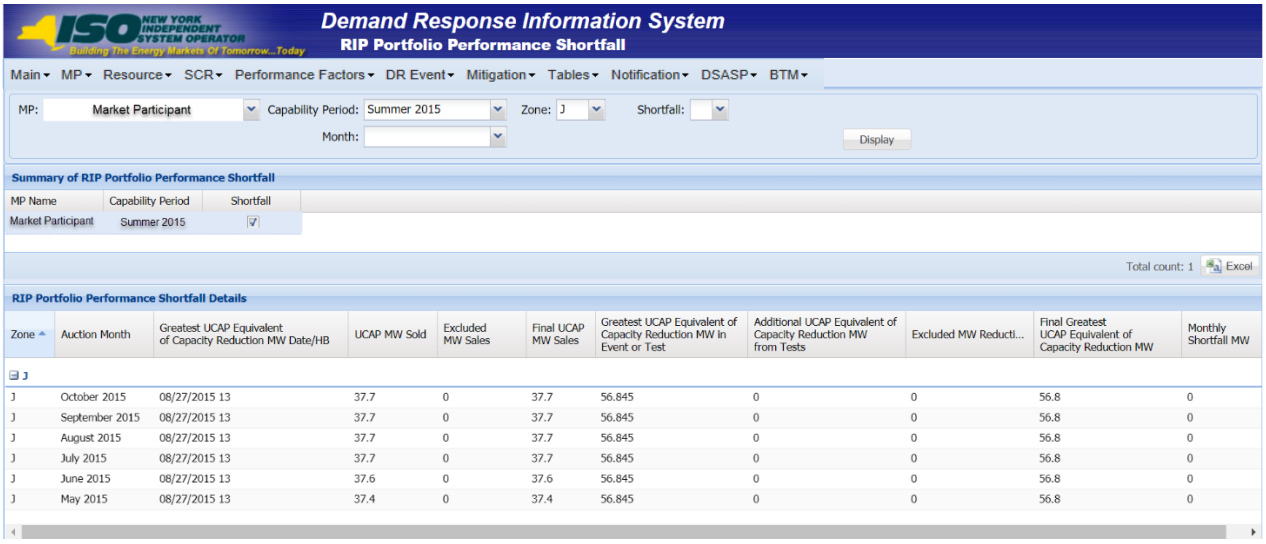
Figure 48: Highlighted Row for which Shortfall Details will be Displayed



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 49).

> ***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 49: RIP Portfolio Performance Shortfall Details Displaying Details for Zone J



Zone	Auction Month	Greatest UCAP Equivalent of Capacity Reduction MW Date/HB	UCAP MW Sold	Excluded MW Sales	Final UCAP MW Sales	Greatest UCAP Equivalent of Capacity Reduction MW in Event or Test	Additional UCAP Equivalent of Capacity Reduction MW from Tests	Excluded MW Reducti...	Final Greatest UCAP Equivalent of Capacity Reduction MW	Monthly Shortfall MW
J										
J	October 2015	08/27/2015 13	37.7	0	37.7	56.845	0	0	56.8	0
J	September 2015	08/27/2015 13	37.7	0	37.7	56.845	0	0	56.8	0
J	August 2015	08/27/2015 13	37.7	0	37.7	56.845	0	0	56.8	0
J	July 2015	08/27/2015 13	37.7	0	37.7	56.845	0	0	56.8	0
J	June 2015	08/27/2015 13	37.6	0	37.6	56.845	0	0	56.8	0
J	May 2015	08/27/2015 13	37.4	0	37.4	56.845	0	0	56.8	0

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 EDRP and SCR 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.

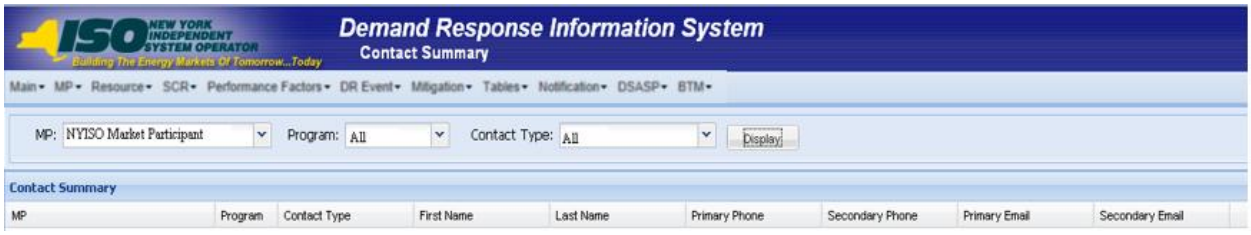
To view summary of MP contacts

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 50), choose the **Program** and/or **Contact Type** for which the system should display contacts.

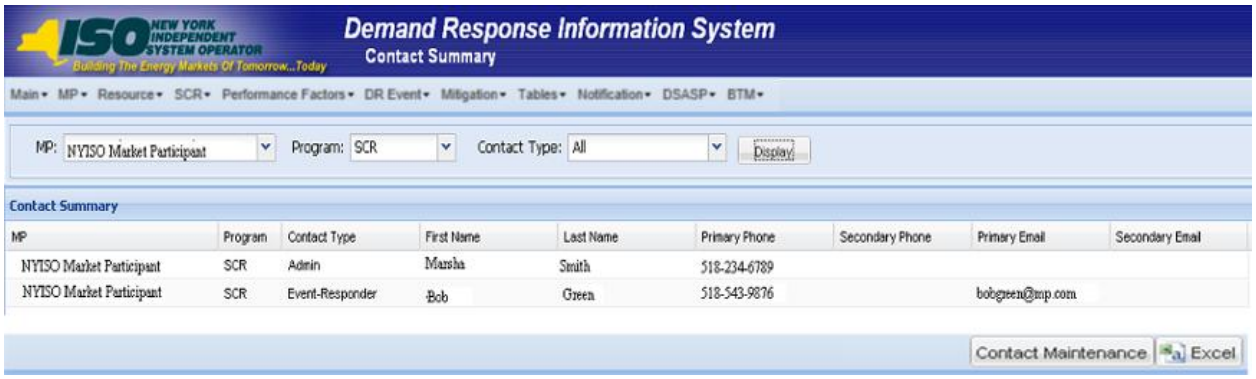
Figure 50: Contact Summary Page Search Filters



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

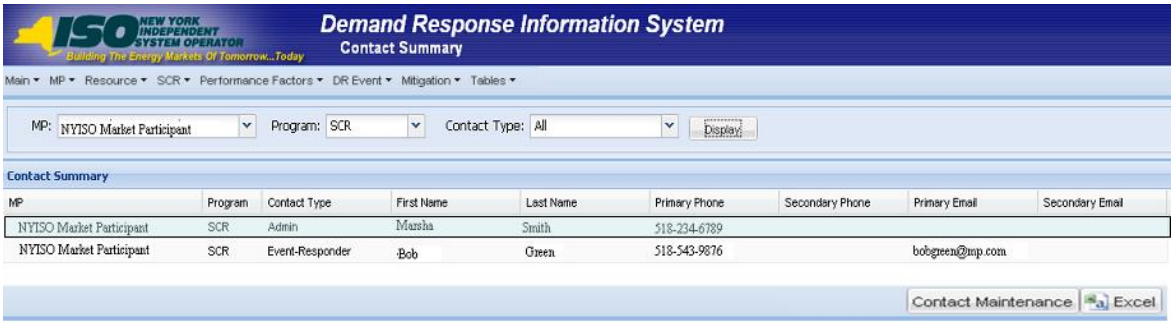
   The system populates the Contact Summary grid below the search filters with an entry for the contacts meeting the criteria chosen at step 2 (see Figure 51.)

Figure 51: 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 52).

Figure 52: Contact Summary Search Results with Options to View and Modify Contact Details via Contact Maintenance



To view details of MP contacts

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 corresponding row in the Contact Summary grid then clicking the **Contact Maintenance** button in the lower-right corner (see Figure 52).

2. From the corresponding search filter in the uppermost frame on the Contact Maintenance page (see Figure 53), choose the **Contact** for which the system should display details.

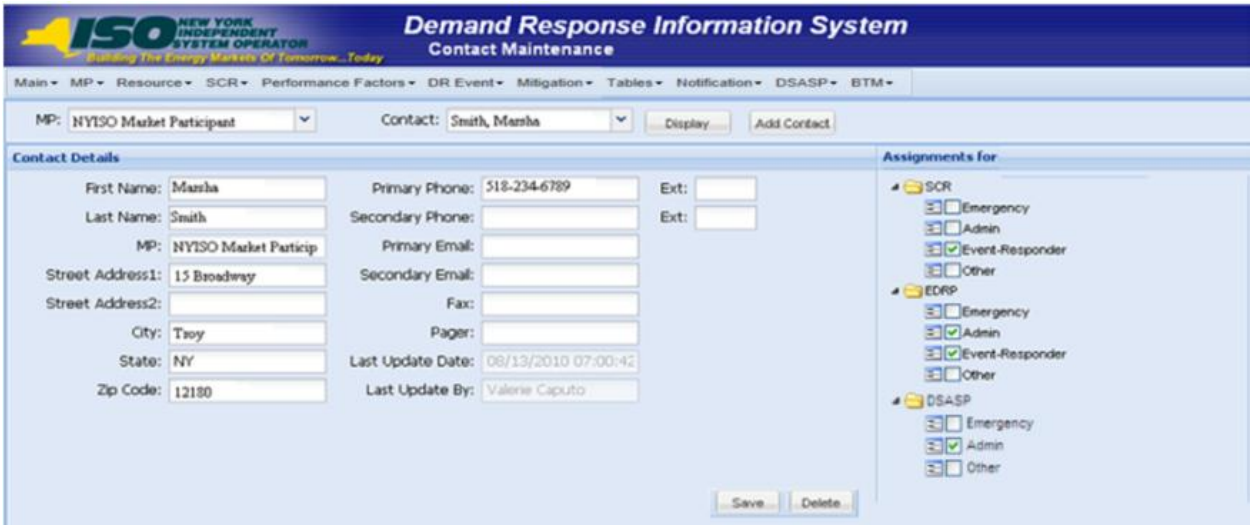
Figure 53: Contact Maintenance Page Search Filters



1. 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 54).

Figure 54: 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.

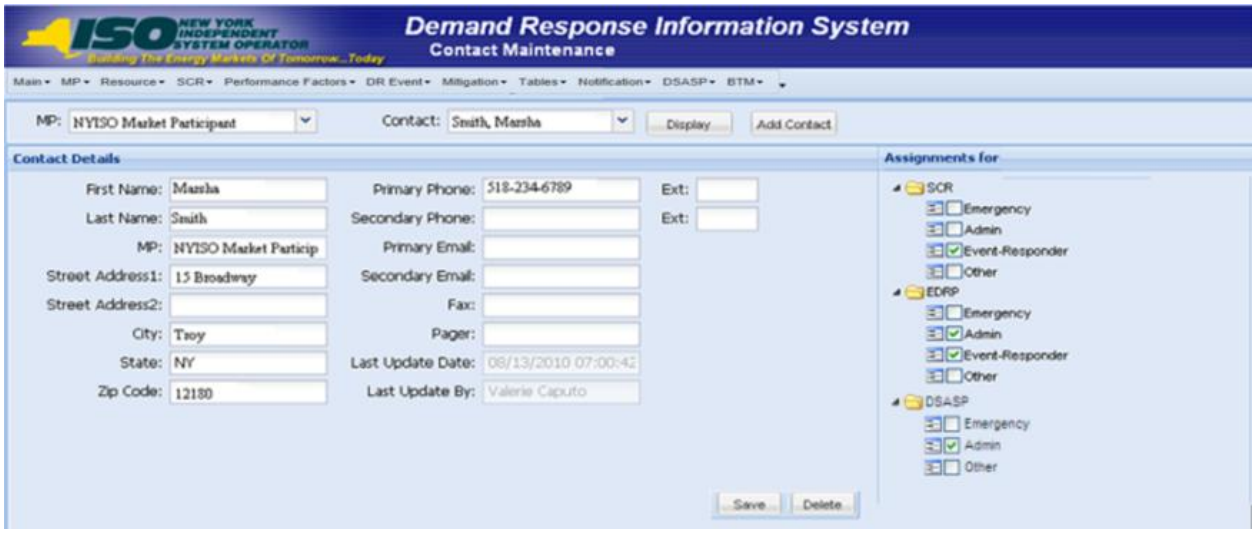
The Contact Maintenance page can also be accessed directly from the Contact Summary page by clicking the **Contact Maintenance** button in the lower-right corner (see Figure 52).

2. From the corresponding search filter in the uppermost frame on the Contact Maintenance page (see Figure 53), 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 55).

Figure 55: Contact Details Displayed on the Contact Maintenance Page



4. In the Contact Details pane, type the desired contact information into the field requiring an 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.

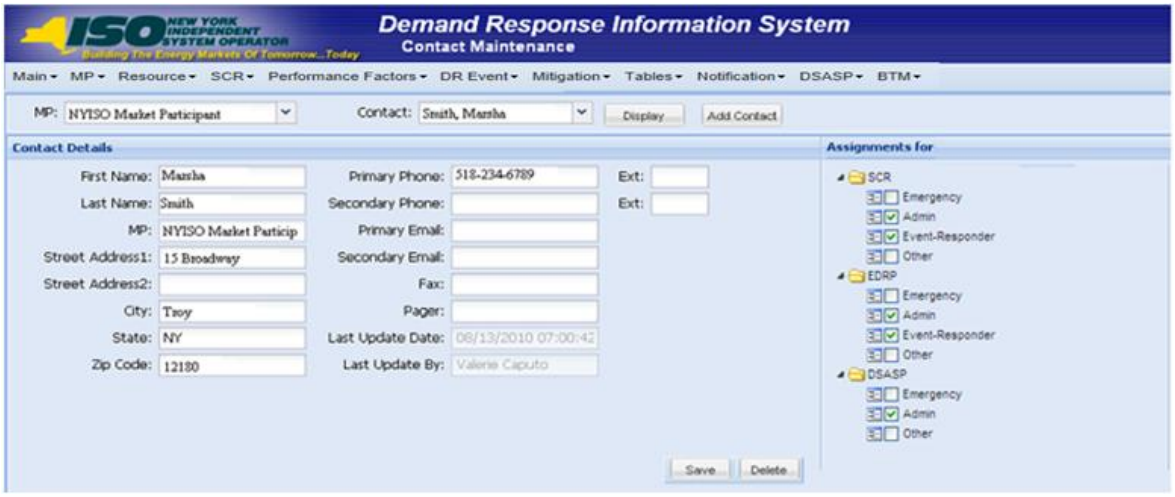
The Contact Maintenance page can also be accessed directly from the Contact Summary page by clicking the **Contact Maintenance** button in the lower-right corner (see Figure 52).

2. From the corresponding search filter in the uppermost frame on the Contact Maintenance page (see Figure 53), 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 56)

Figure 56: Contact Details Displayed on the Contact Maintenance Page

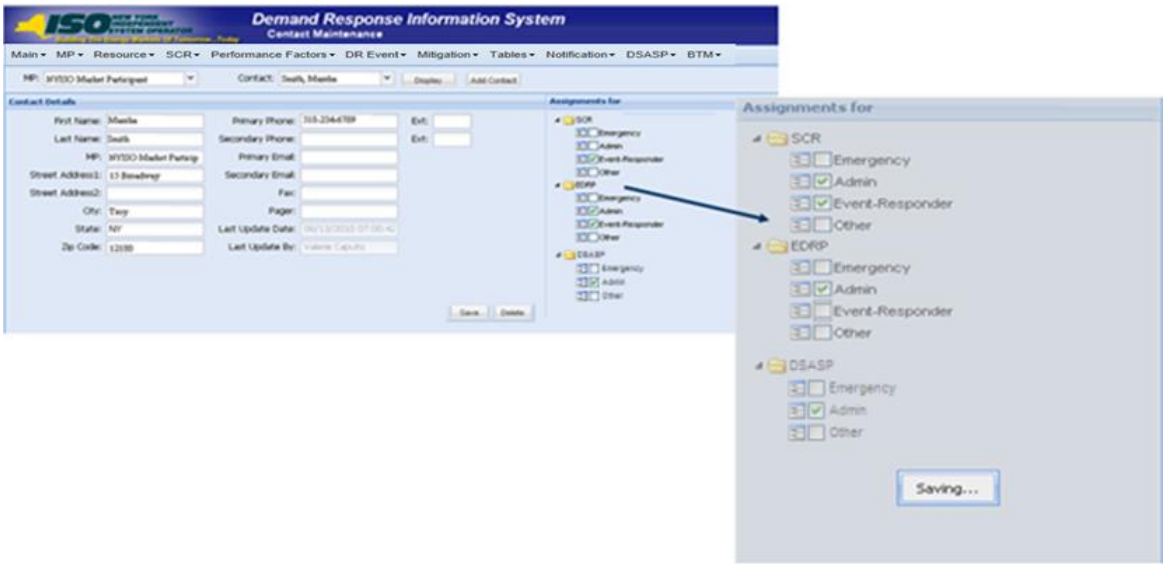


5. In the Assignments For pane on the right of the page, indicate to which program(s) the contact visible in the Contact Details pane should be assigned and to which contact type(s) within each program, clicking the corresponding check box(es) until a checkmark is either displayed (to activate the assignment) 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 makes the Assignments For pane available for further program and type updates for the contact, as applicable (see Figure 57).

Figure 57: Contact Program and Type Assignment Saving in DRIS



To add a new contact

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

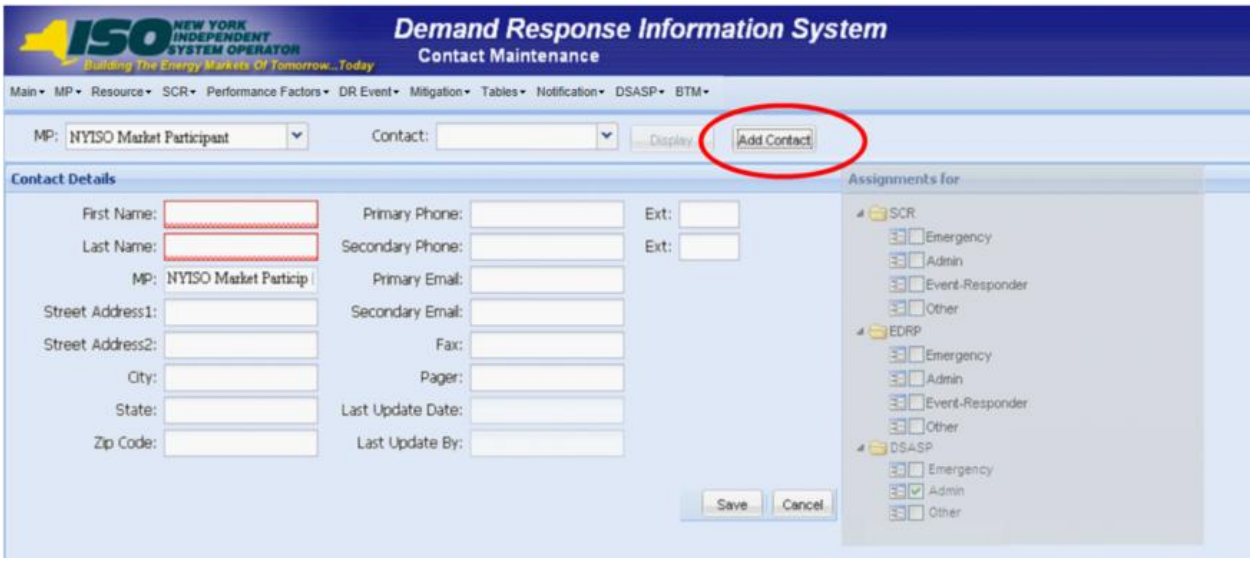
   The system displays the Contact Maintenance page.

   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 52).

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

   The system displays a blank Contact Details pane (see Figure 58).

Figure 58: Blank Contact Details Pane When Adding a New Contact



3. Enter contact information in the Contact Details pane.

4. In the lower right corner of the Contact Details pane, click the **Save** button.

   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 makes the Assignments For pane available for further program and type updates for the contact, as applicable (see Figure 57).

   > ***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.

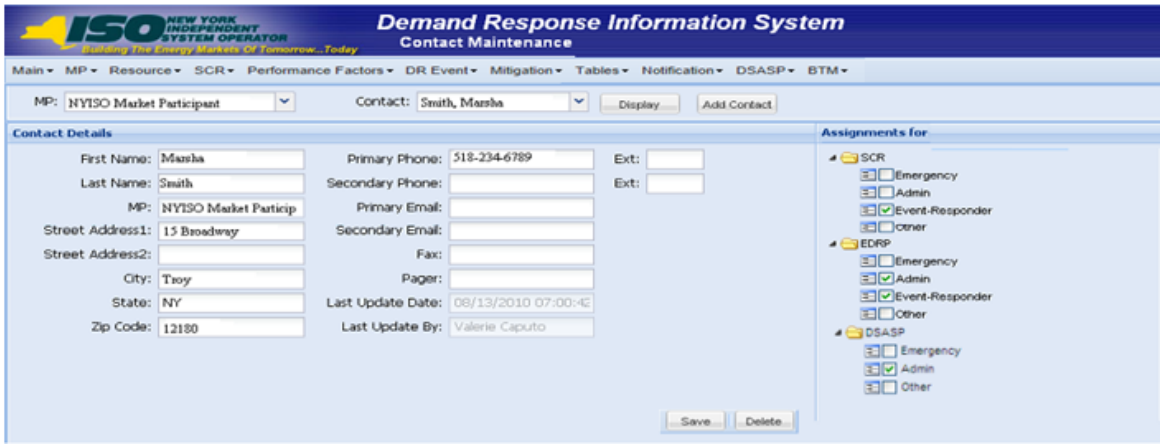
The Contact Maintenance page can also be accessed directly from the Contact Summary page by clicking the **Contact Maintenance** button in the lower-right corner (see Figure 52).

2. From the corresponding search filter in the uppermost frame on the Contact Maintenance page (see Figure 53), 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 59)

Figure 59: Contact Details Displayed on the Contact Maintenance Page



5. 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.

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 .

> ***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
3. Import the resource enrollment file to DRIS
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 to take an additional action in the form of, for example, correcting exceptions (i.e., data errors, changes, or omissions) that prevent the 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) 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 60 and Section 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 60: Sample Provisional ACL Eligibility Import File in Excel

	A	B	C	D	E
1	Effective Date=05/01/2014&				
2	Program=SCR&				
3	Resource ID	Resource Name	TO Account Num	Zone	Transmission Owner
4	123456789	Resource 1	X987123654	J	CEC
5		Resource 2	P687412654	J	CEC
6	321654987	Resource 3	X987111355	J	CEC

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 61 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 62 details the rules specific to SCR resource data.

> ***Note:*** Under certain circumstances, some fields in the enrollment file must be left blank. See Figure 62.

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 61: 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. Day must be the first of the month.	Effective Date <Effective Date> in the Import File header does not match the Month selected. Effective Date <Effective Date> must be the first of the month.
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.

Figure 62: 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	A	Numeric	The Resource ID assigned by the NYISO. If Resource is new to the MP, leave blank.
Resource Name	B	Text Up to 100 characters	The name of the SCR resource.

SCR Resource Provisional ACL Eligibility Field Name	Column in Import File	Field Format	Description and Rule(s)
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 *T* preceding the account number. For example, if the account number is *5436789*, it must be reported on the import file to DRIS as *T5436789*. 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 *R* or an *N*, do not precede the POD ID with the letter *T*. For example, if the POD ID is *R5436789* it must be reported on the import file to DRIS as *R5436789*. Can only be numbers and the preceding *T*, or *R* or *N* 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.
Zone	D	Text 1 character	The letter of the Load Zone where the resource facility is located.

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 Excel (.xlsx) file for the SCR program for the 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 0, "

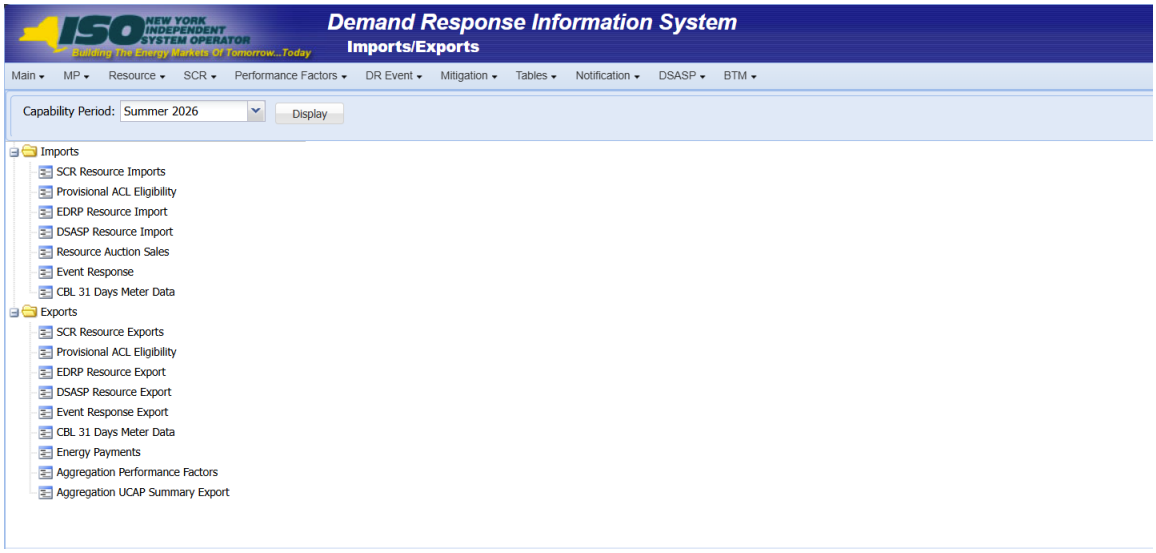
- Accessing the System").

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 63).

Figure 63: 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.

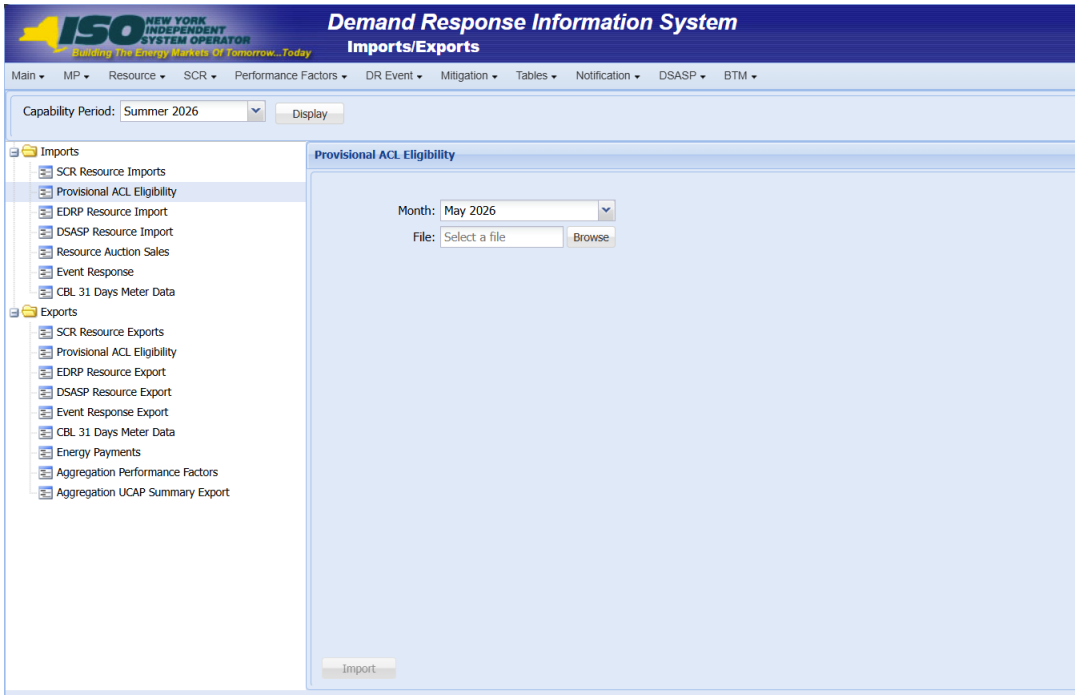
3. Beside the Capability Period filter, click the **Display** button.

   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 64).

Figure 64: Import/Export Page Displaying Input Components Specific to Provisional ACL Eligibility Imports



5. When importing resources, choose **Provisional ACL Eligibility** from the **Import Type** drop-down filter on the right side of the middle frame.

6. When importing the **Provisional ACL Eligibility** file, 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.

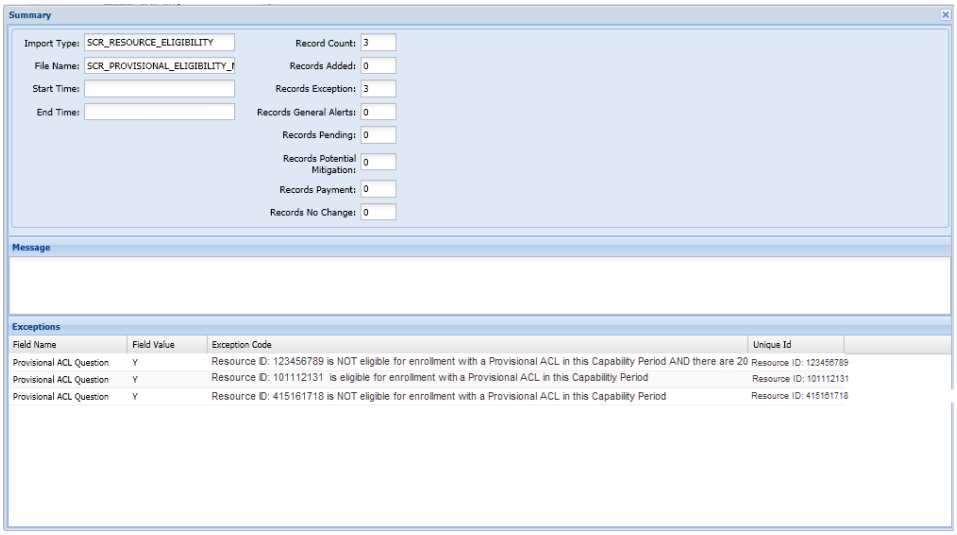
   The File Upload dialog box closes, and the system populates the Resource File field in the right pane of the middle frame with the name of the chosen file.

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 eligibility process (see Figure 65).

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

Figure 65: 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

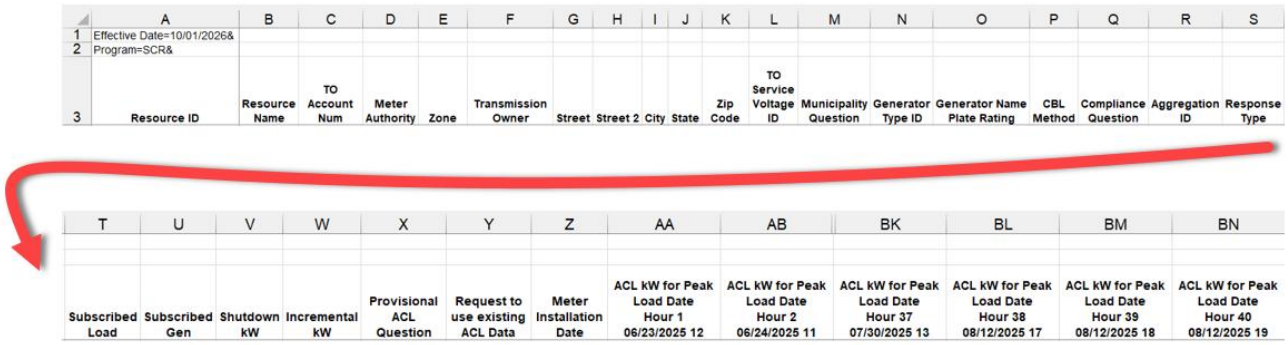
Enrollment of resources in any program is initiated via MP import to DRIS of the NYISO provided comma-separated value (.csv) file for the EDRP or an Excel (.xlsx) file for the EDRP and SCR program. Enrollment of multiple resources in the same DR program is initiated at one time.

> ***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 66 and Figure 68 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 66: Sample SCR & EDRP Enrollment Files in Excel

Sample SCR Enrollment File



	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S
1	Effective Date=10/01/2026&																		
2	Program=SCR&																		
3	Resource ID	Resource Name	TO Account Num	Meter Authority	Zone	Transmission Owner	Street	Street 2	City	State	Zip Code	TO Service Voltage ID	Municipality Question	Generator Type ID	Generator Name Plate Rating	CBL Method	Compliance Question	Aggregation ID	Response Type

T	U	V	W	X	Y	Z	AA	AB	BK	BL	BM	BN
Subscribed Load	Subscribed Gen	Shutdown kW	Incremental kW	Provisional ACL Question	Request to use existing ACL Data	Meter Installation Date	ACL kW for Peak Load Date Hour 1 06/23/2025 12	ACL kW for Peak Load Date Hour 2 06/24/2025 11	ACL kW for Peak Load Date Hour 37 07/30/2025 13	ACL kW for Peak Load Date Hour 38 08/12/2025 17	ACL kW for Peak Load Date Hour 39 08/12/2025 18	ACL kW for Peak Load Date Hour 40 08/12/2025 19

Note: Columns "AA" through "BN" 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

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q
1	Effective Date=05/01/2026&																
2	Program=EDRP&																
3	Resource ID	Resource Name	TO Account Num	Zone	Transmission Owner Abbreviation	Street	Street 2	City	State	Zip Code	Municipality Question	Generator Type ID	Generator Name Plate Rating	CBL Method	Response Type	Subscribed Load	Subscribed Gen

Figure 67: SCR Enrollment File Detail of ACL kW Column Label

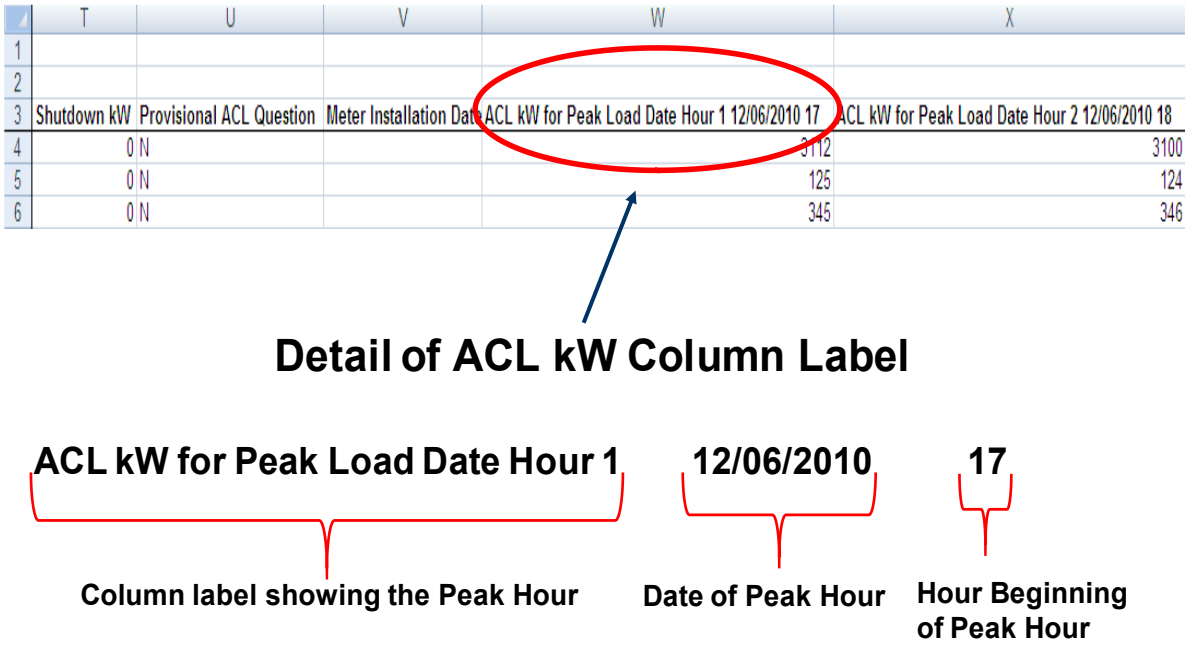
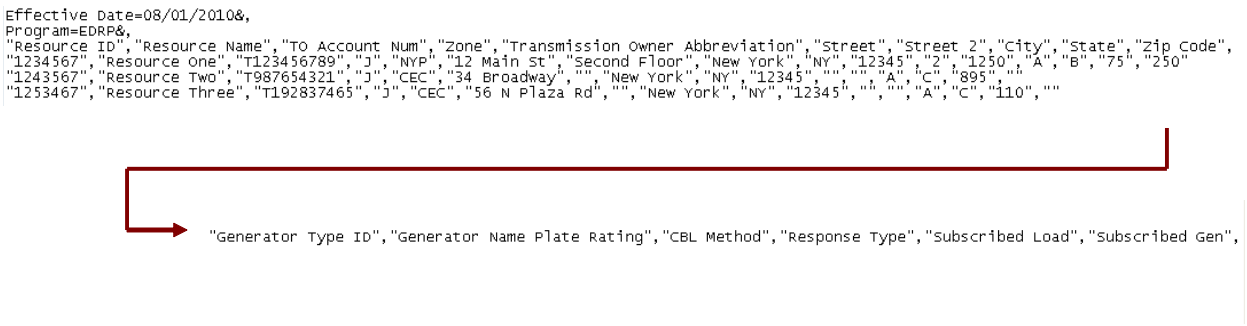


Figure 68: Sample EDRP Enrollment File in .CSV Format



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 69 details the rules specific to EDRP and SCR 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 70 details the rules specific to SCR resource data and Figure 71 details the rules specific to EDRP resource data.

Under certain circumstances, some fields in the enrollment file must be left blank. Figure 70 and

> ***Note:*** Figure 711**Error! Reference source not found.** 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 69: Rules for Successful Processing of SCR and EDRP Resource Enrollment Import Files

Attribute	Rule	Error Message
Effective Date	The month in the header must match that chosen via the system interface. For SCR and EDRP, day must be the first of the month.	Effective Date <Effective Date> in the Import File header does not match the Month selected. Effective Date <Effective Date> must be the first of the month.
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.
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 70: 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
Resource Name	B	Text Up to 100 characters	The name of the SCR resource.	YES	NO

SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
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 *T* preceding the account number. For example, if the account number is *5436789*, it must be reported on the import file to DRIS as *T5436789*. 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 *R* or an *N*, do not precede the POD ID with the letter *T* . For example, if the POD ID is *R5436789* it must be reported on the import file to DRIS as *R5436789*. Can only be numbers and the preceding *T*, or *R* or *N* 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 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 under Meter Services Administration: Approved Meter Services Entities	YES	NO
Zone	E	Text 1 character	The letter of the Load Zone where the resource facility is located.	YES	YES

SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
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	H	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	K	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?
Municipality Question	M	Text 1 character	If the resource is located in a Municipality territory, specify Y If not, specify N	YES	YES
Generator Type ID	N	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	O	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	P	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

SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Compliance Question	Q	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
Aggregation ID	R	Numeric	The aggregation ID to which the resource is assigned. Required in the import file. For resources ***new*** to the MP portfolio, must be an aggregation ID already existing in DRIS for the specific MP. For ***existing*** resources, must match the aggregation ID to which the resource is currently assigned in DRIS. ***Note:*** Aggregation reassignment must be done via the Aggregation Assignment page in DRIS, as outlined under Section 10.2.2. ***Note:*** 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. ***Do not*** use the aggregation IDs previously entered in the SCR Workbook or import exceptions will result.	YES (can be modified via the import file ***ONLY*** in conjunction with a modification to the Zone of the resource)	YES
Response Type	S	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	NO

SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Subscribed Load	T	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, 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.	YES	NO
Subscribed Gen	U	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

SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Shutdown kW	V	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
Incremental kW	W	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

SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Provisional ACL Question	X	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	Y	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	Z	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)
ACL kW for Peak Load Date Hour 1 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, 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)

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 2 MM/DD/YYYY HH	AB	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 separate column for each of the Top 40 Capability Period Load Zone Peak Hours. The ACL kW column labels begin with "AA" and end with "BN".					
ACL kW for Peak Load Date Hour 40 MM/DD/YYYY HH	BN	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 71: 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	B	Text Up to 100 characters	The name of the EDRP resource.	YES	NO
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 *T* preceding the account number. For example, if the account number is *5436789,* it must be reported on the import file to DRIS as *T5436789*. 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 *R* or an *N*, do not precede the POD ID with the letter *T.* For example, if the POD ID is *R5436789* it must be reported on the import file to DRIS as *R5436789*. Can only be numbers and the preceding *T*, or *R* or *N* 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, 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	H	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
Municipality Question	K	Text 1 character	If the resource is located in a Municipality territory, specify Y. If not, specify N.	YES	YES

EDRP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Generator Type ID	L	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	M	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	N	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	O	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	P	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	Q	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

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 EDRP and SCR program 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 or Excel (.xlsx) file for the EDRP or SCR program for the 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 0, "

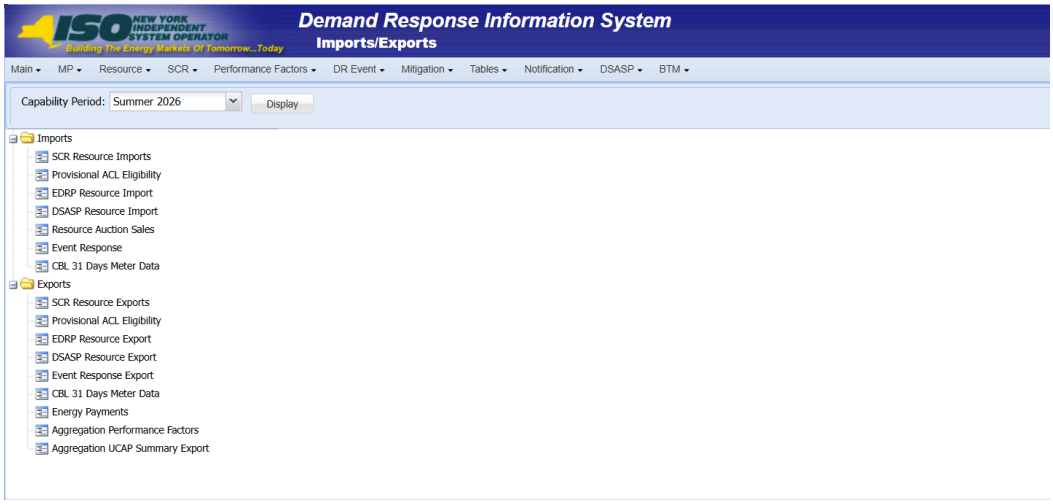
- Accessing the System").
- Each enrollment file is limited to a maximum of 2,500 resources. To enroll more than 2,500 resources, the MP must upload separate files of no more than 2,500 individual resources. Uploads may be submitted sequentially after the prior file has finished uploading. Only one enrollment 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 72).

Figure 72: 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.

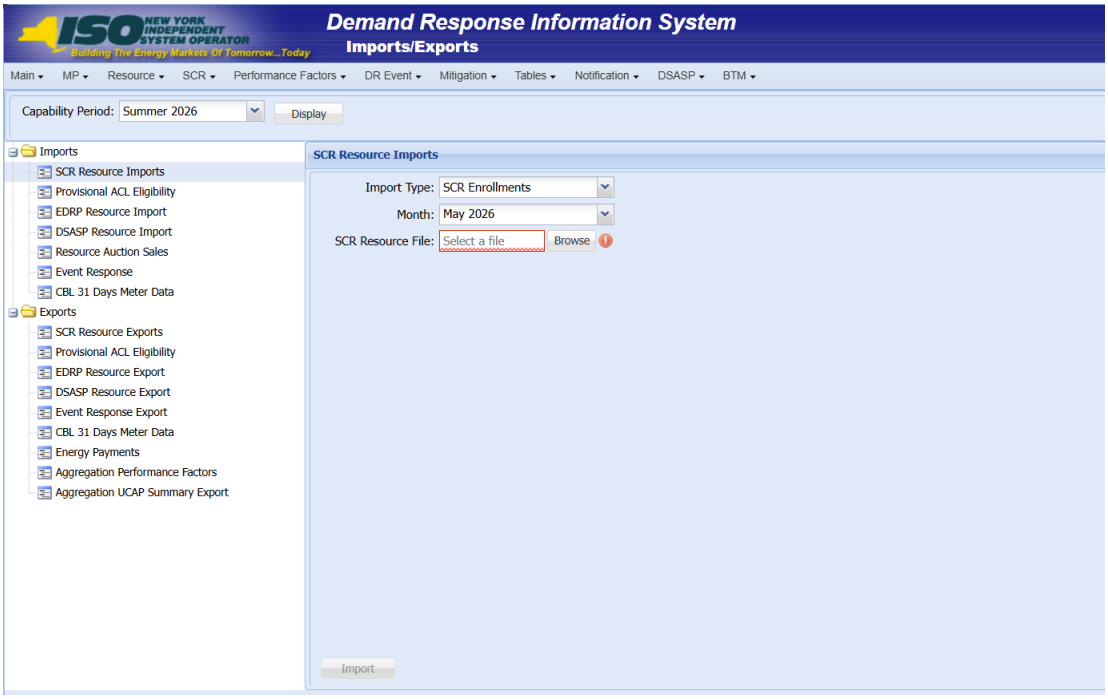
3. Beside the Capability Period filter, click the **Display** button.

   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 either **SCR Resource Imports** or **EDRP 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 73).

Figure 73: 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.

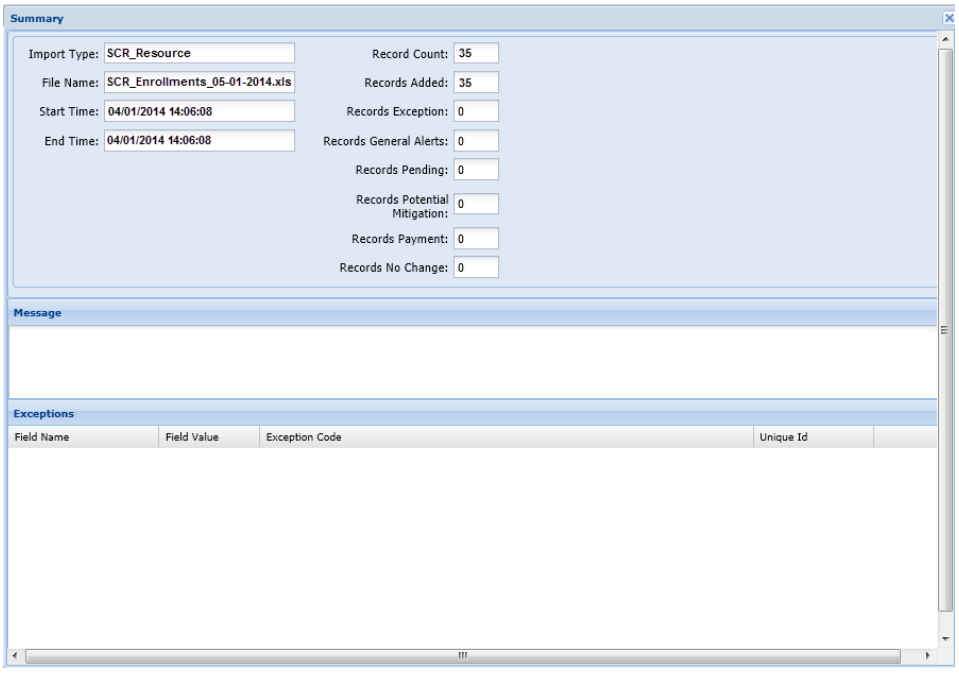
   The File Upload dialog box closes, and the system populates the Resource File field in the right pane of the middle frame with the name of the chosen file.

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 74).

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

Figure 74: 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 11.7.1.1).

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 74, 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 75).

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 EDRP and SCR program.

> ***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 75: Sample Results Report for a Resource Enrollment File Import with Exceptions Highlighted

	A	B	C	D	E
1	File NamescrImportTest2.csv				
2	MP NameNYISO Market Participant				
3	User				
4	Upload Type	SCR_RESOURCE			
5	Capability Period	Winter 2010-2011			
6	Auction Month	Jan-11			
7	Start Date of Import	12/07/2010 12:44:11 EST			
8	End Date of Import	12/07/2010 12:44:25 EST			
9	Records in File	10			
10	Records Saved	6			
11	Records Pending Approval	1			
12	Records With Exceptions	3			
13	Records With Energy Payment	0			
14	Records With Potential InCity	1			
15	Records With No Change in DRIS	0			
16					
17	Reference #	Message Type	Field	Value Supplied	Message
18	Resource ID:200806	Alert	Resource ID	200806	ALERT: Resource 200806 is new to Zone J and may be subject to mitigation. Completed SCR paperwork must be sent to NYISO Market Monitoring.
19					
20					
21	Resource ID: 22998765	Exception	Generation Type ID	100	100 is not a valid Generation Type ID
22	Resource ID: 22998766	Exception	Subscribed Load	null	For Response Type C or B, Subscribed Load value must be greater than or equal to zero
23	Resource ID: 33498767	Exception	Declared Value	11400	The Declared Value 11400 cannot be greater than the calculated APMD 10480
24					
25					
26	Resource ID: 32099890	Pending	Street	300 Oak Ave	Detected Monitored Field Change: Old Value: '300 Elm Street' New Value: '300 Oak Ave'. Creating an Enrollment Request

Pre-requisite

- The MP representative performing the task is logged in to DRIS (see Section 0, "

- Accessing the System").

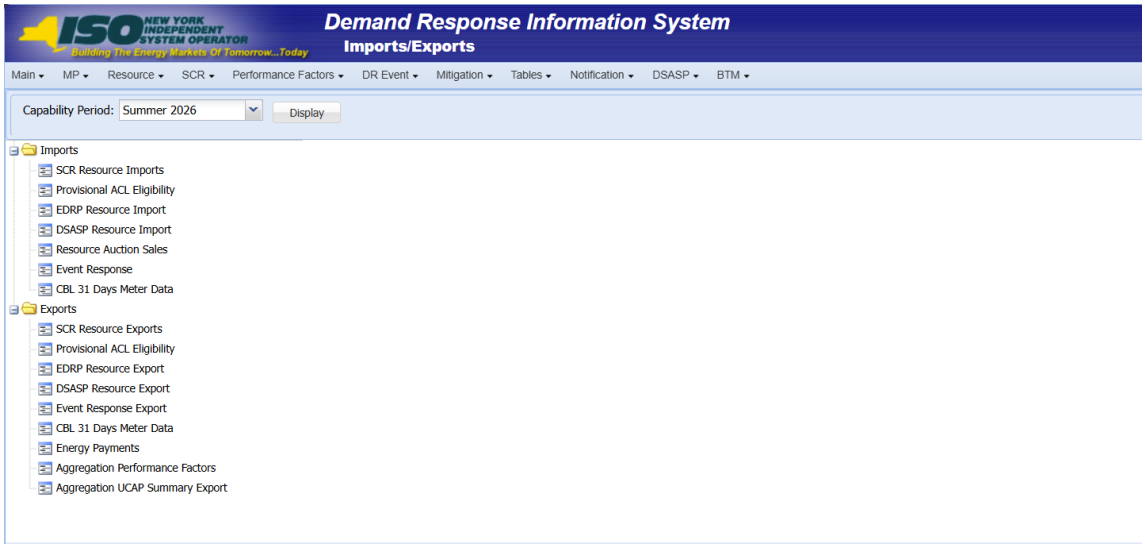
To access the import report and manage related errors

> ***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 76).

Figure 76: Imports/Exports Page

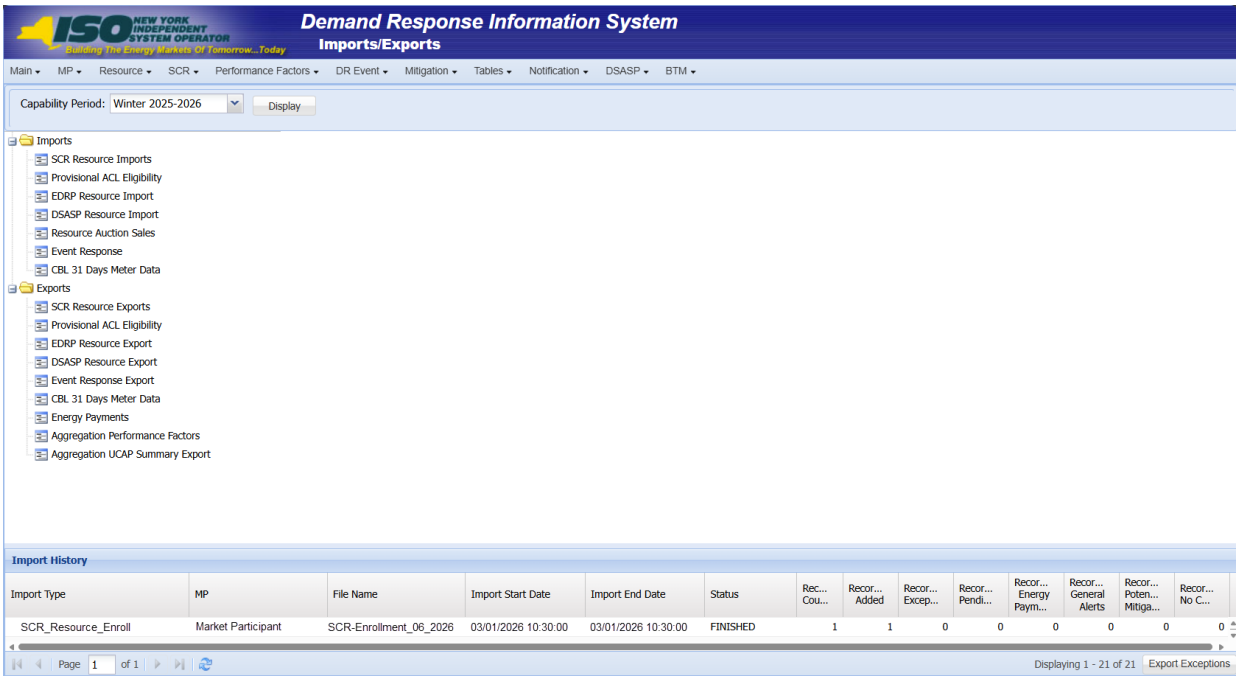


2. From the corresponding filter near the top of the page, choose the **Capability Period** for the previously reported enrollment file that generated the exception(s).

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 77).

Figure 77: 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.

> ***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 78). 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 J 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.

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.

> ***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 78: Sample Results Report for a Resource Enrollment File Import with Alerts Highlighted

	A	B	C	D	E
1	File NamescrImportTest2.csv				
2	MP NameNYISO Market Participant				
3	User				
4	Upload Type	SCR_RESOURCE			
5	Capability Period	Winter 2010-2011			
6	Auction Month	Jan-11			
7	Start Date of Import	12/07/2010 12:44:11 EST			
8	End Date of Import	12/07/2010 12:44:25 EST			
9	Records in File	10			
10	Records Saved	6			
11	Records Pending Approval	1			
12	Records With Exceptions	3			
13	Records With Energy Payment	0			
14	Records With Potential InCity	1			
15	Records With No Change in DRIS	0			
16					
17	Reference #	Message Type	Field	Value Supplied	Message
18	Resource ID:200806	Alert	Resource ID	200806	ALERT: Resource 200806 is new to Zone J and may be subject to mitigation. Completed SCR paperwork must be sent to NYISO Market Monitoring.
19					
20					
21	Resource ID: 22998765	Exception	Generation Type ID	100	100 is not a valid Generation Type ID
22	Resource ID: 22998766	Exception	Subscribed Load	null	For Response Type C or B, Subscribed Load value must be greater than or equal to zero
23	Resource ID: 33498767	Exception	Declared Value	11400	The Declared Value 11400 cannot be greater than the calculated APMD 10480
24					
25					
26	Resource ID: 32099890	Pending	Street	300 Oak Ave	Detected Monitored Field Change: Old Value: '300 Elm Street' New Value: '300 Oak Ave'. Creating an Enrollment Request

Pre-requisite

- The MP representative performing the task is logged in to DRIS (see Section 0, "

- Accessing the System").

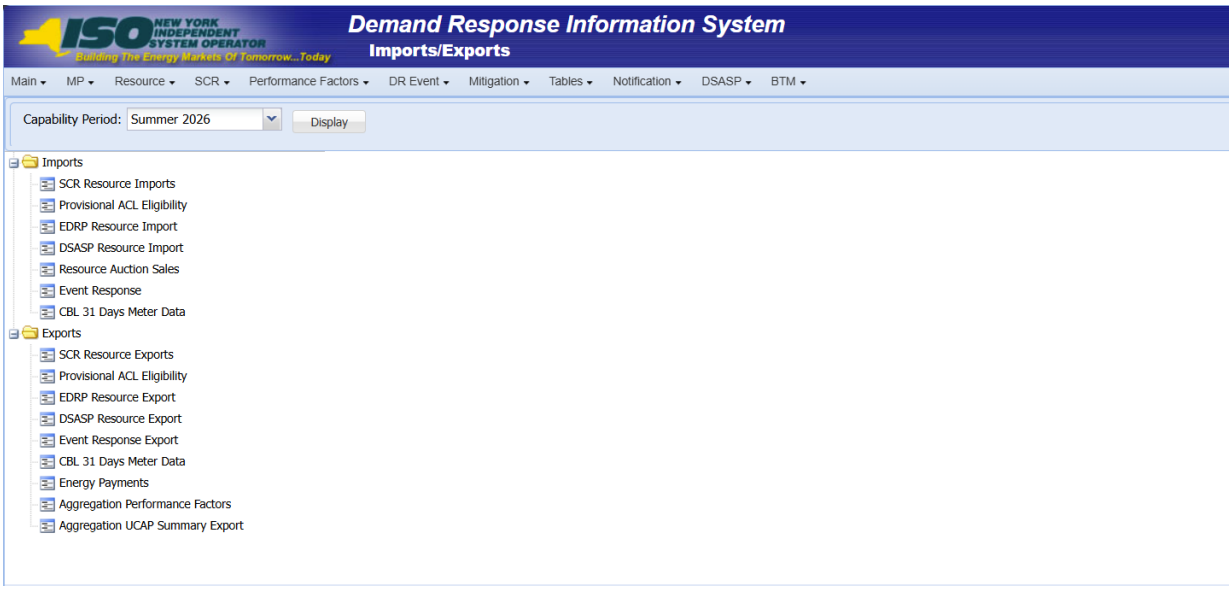
To access the import report and manage related errors

> ***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 79).

Figure 79: Imports/Exports Page

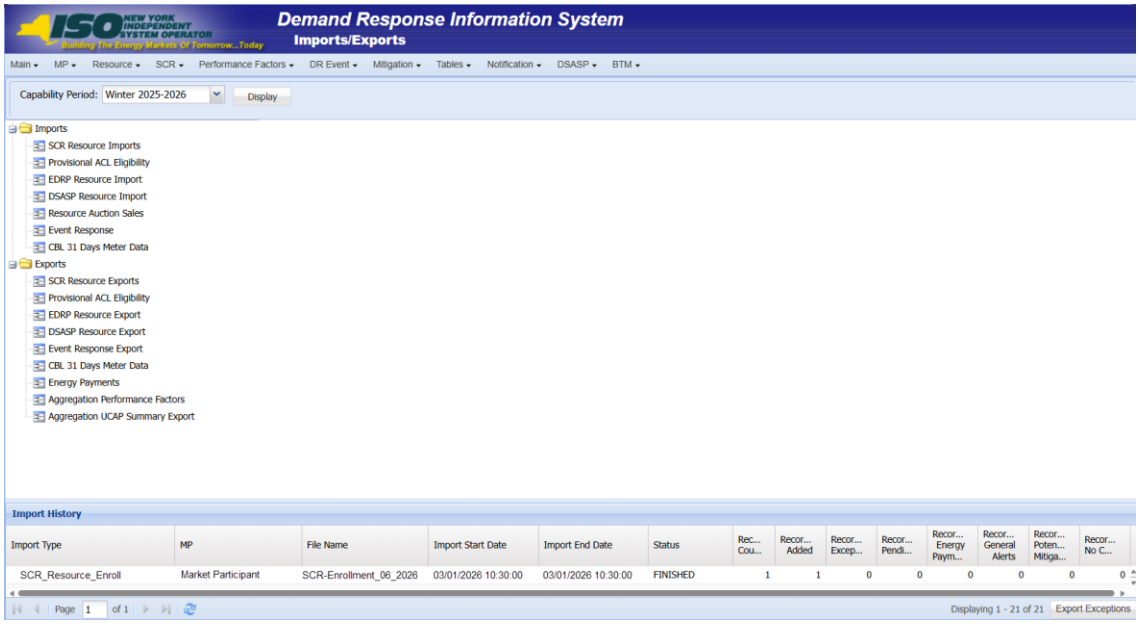


2. From the corresponding filter near the top of the page, choose the **Capability Period** for the previously reported enrollment file that generated the exception(s).

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 80).

Figure 80: 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, for resources with an enrolled ACL of 10 kW or greater, DRIS assigns a *Pending* request status to both the incoming enrollment request and the existing enrollment of that resource. For these resources, 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 is resolved. Accordingly, it is advisable for MPs to monitor pending requests on a regular basis subsequent to enrolling resources. Resources with an enrolled ACL of less than 10 kW that are found to be duplicate enrollments are not processed manually and are denied enrollment or separated when identified.

- 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 81**Error! Reference source not found.** 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 pre-existing 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 system tracks all enrollment requests for MP review and follow-up, as necessary.

Figure 81: 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
Municipality Question
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 enrollment file)

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 0, "

- Accessing the System").

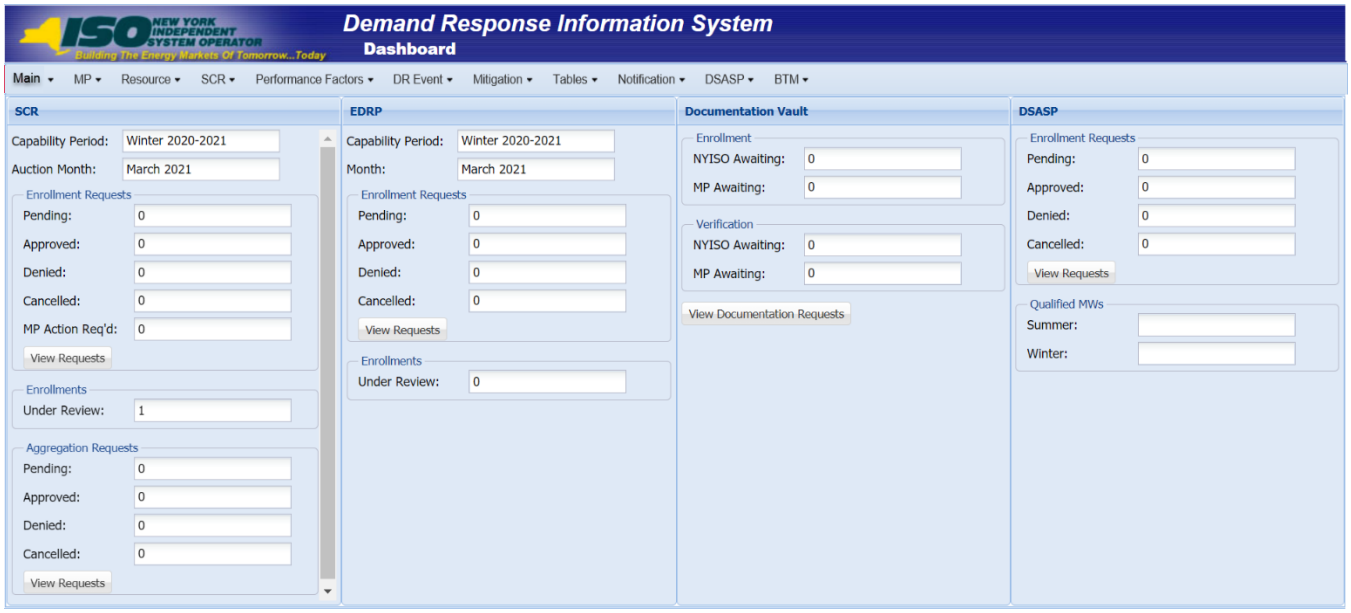
To monitor resource enrollment requests

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

   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, and Documentation Vault (see Figure 82).

> ***Note:*** Status categories displayed for SCR and EDRP Enrollment requests are:
>
> ○*Pending* (for requests earmarked for and awaiting NYISO review),
>
> ○*MP Action Required* (for requests to use existing ACL data by the RIP, for the resource, where no other pending requests exist),
>
> ○*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),
>
> ○*Duplicate* (the resource is already enrolled in either the same program or a mutually exclusive program in the same Capability Period with a different MP),
>
> ○*Canceled* (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.

Figure 82: Dashboard Illustrating Enrollment Requests by Category



2. For Documentation Vault, click the **View Documentation Requests** button. The system displays the Documentation vault page (see Figure 109).

3. For the EDRP and SCR program, 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.

4. For the EDRP and SCR program, from the corresponding filter near the top of the page **Resource Enrollment Requests page**, choose the **Capability Period** encompassing the enrollment requests to be viewed.

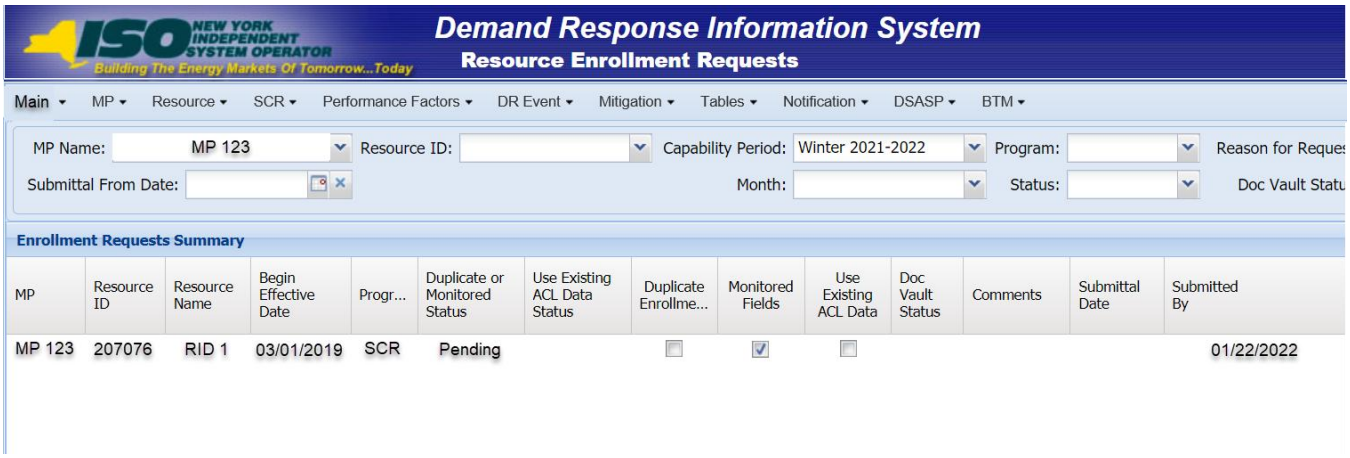
5. Optionally, further limit the scope of the resource enrollment requests to be viewed to a specific **Resource**, **Month**, **Program**, **Reason for Request** (All, Monitored Field, Duplicate Enrollment, Request for ACL Data) **Submittal From Date,** and/or **Status** (i.e., ***Pending***) by choosing the applicable option(s) from the corresponding search filter(s) near the top of the page (see Figure 83).

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 83).

Figure 83: 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 pre-existing 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 84). 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.

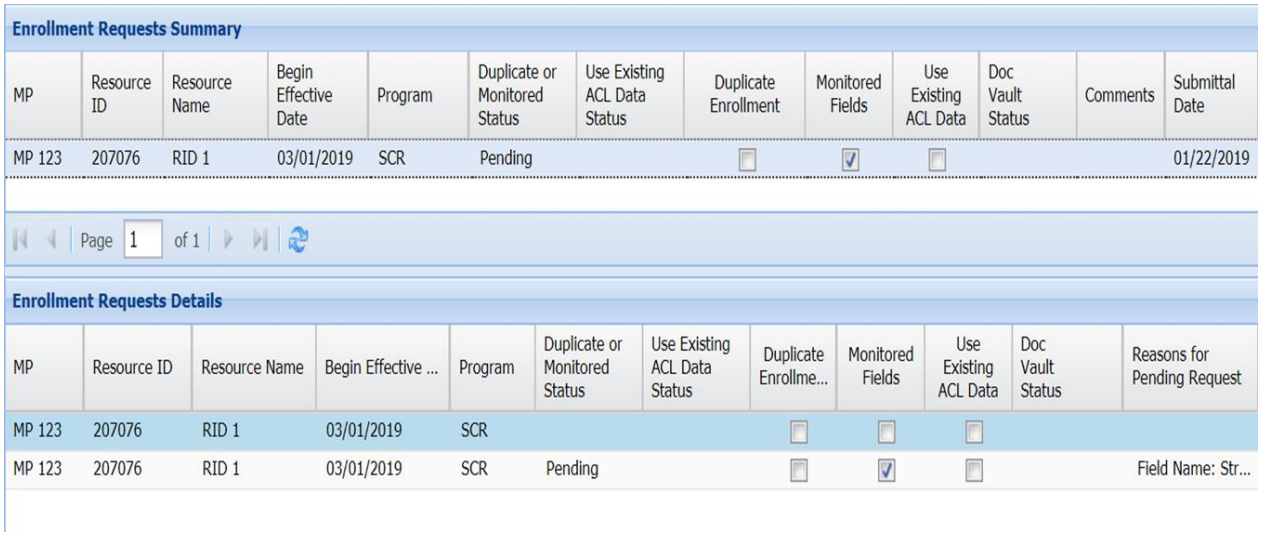
   OR

- *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 84: Resource Enrollment Requests Page Showing Changes to Monitored Fields



Enrollment Requests Summary

MP	Resource ID	Resource Name	Begin Effective Date	Program	Duplicate or Monitored Status	Use Existing ACL Data Status	Duplicate Enrollment	Monitored Fields	Use Existing ACL Data	Doc Vault Status	Comments	Submittal Date
MP 123	207076	RID 1	03/01/2019	SCR	Pending		☐	☑	☐			01/22/2019

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Enrollment Requests Details

MP	Resource ID	Resource Name	Begin Effective ...	Program	Duplicate or Monitored Status	Use Existing ACL Data Status	Duplicate Enrollme...	Monitored Fields	Use Existing ACL Data	Doc Vault Status	Reasons for Pending Request
MP 123	207076	RID 1	03/01/2019	SCR			☐	☐	☐		
MP 123	207076	RID 1	03/01/2019	SCR	Pending		☐	☑	☐		Field Name: Str...

8. 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 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 0, "

- 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.

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 rightmost pane devoted to DSASP requests (refer to Figure 82).

   > ***Note:*** The status categories displayed for SCR and EDRP 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.

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 83).

   > ***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.

4. Optionally, further limit the scope of resource enrollment requests to view:

   - 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 83), 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.

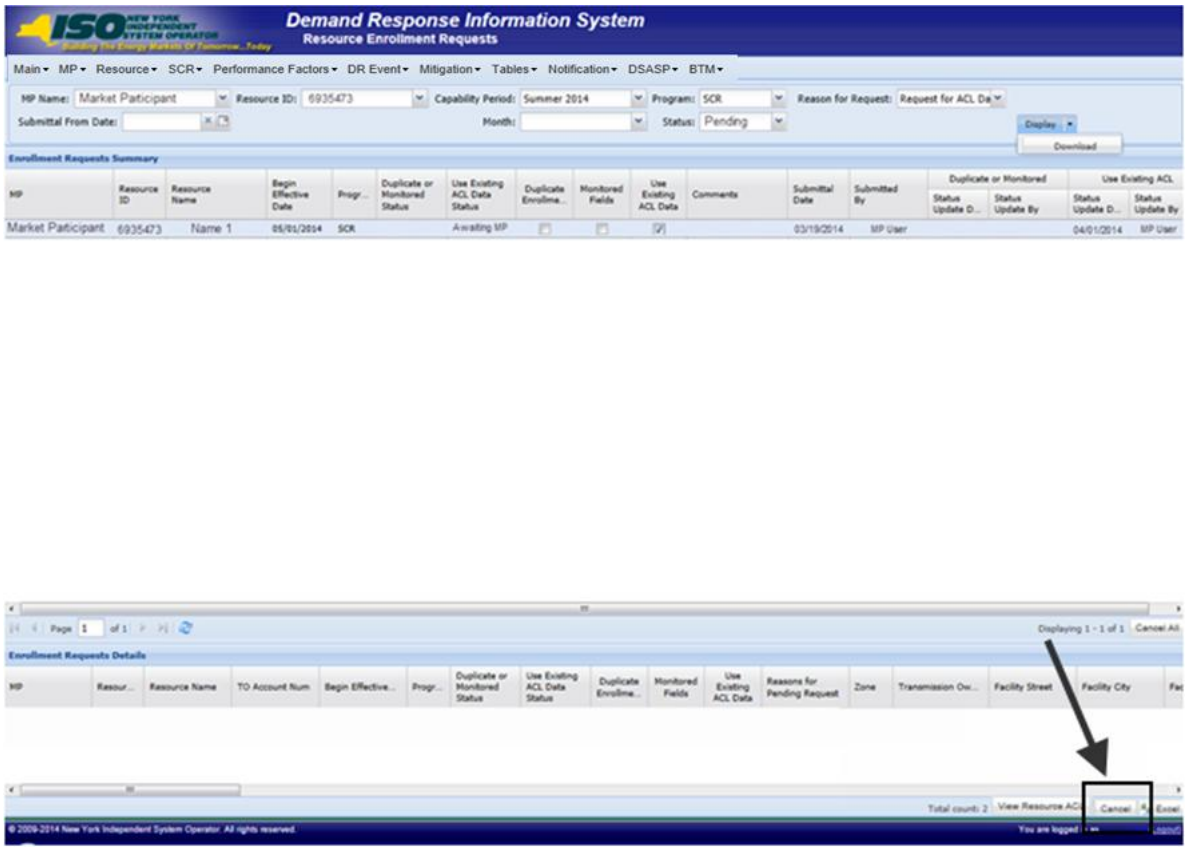
6. In the Enrollment Requests Summary frame, click the entry for the enrollment request that was designated as pending due to a change in a monitored field or a request for ACL data and is now to be canceled.

7. In the Enrollment Request Details frame, click the entry for the enrollment request that was 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.

8. In lower-right corner of the Resource Enrollment Requests page, click the Cancel button (see Figure 85).

   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 85: 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 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 rightmost pane devoted to DSASP requests (refer to Figure 82).

> ***Note:*** The status categories displayed for, SCR and EDRP 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.

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 83).

   > ***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.

4. Optionally, further limit the scope of resource enrollment requests:

   - 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 83), 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 86).

6. In the lower-right of the status bar beneath the Enrollment Requests Summary frame, click the **Cancel All** button (see Figure 86).

The system displays a confirmation prompt via the user must indicate whether to complete the Cancel All action (see Figure 87).

Figure 86: Resource Enrollment Request Page Displaying the Option to Cancel All

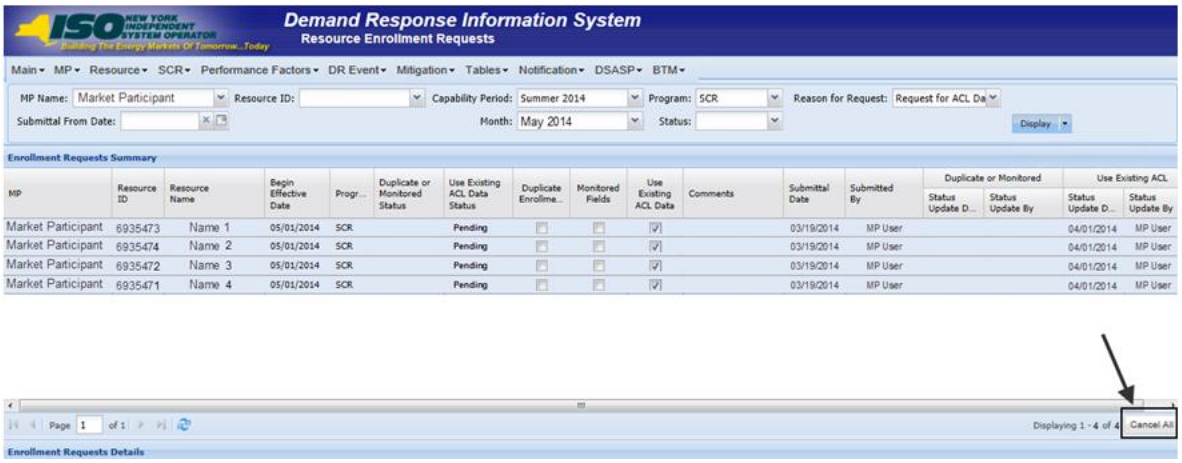
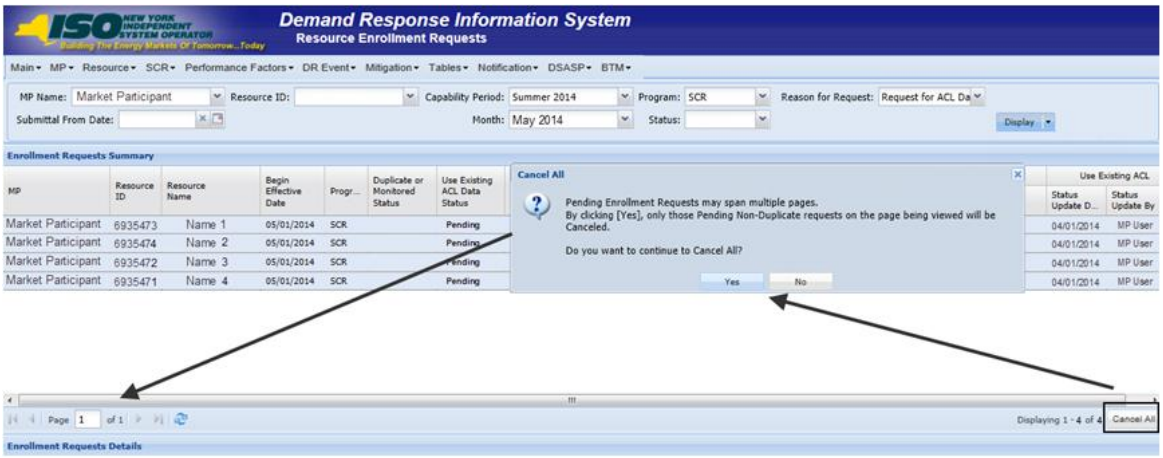


Figure 87: Confirmation Prompt Displayed When Electing to Cancel All



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 0, "

- 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 rightmost pane devoted to DSASP requests (refer to Figure 82).

   > ***Note:*** The status categories displayed for SCR and EDRP 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.

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 83).

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

3. For the SCR program, from the corresponding search filter near the top of the page, choose 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:

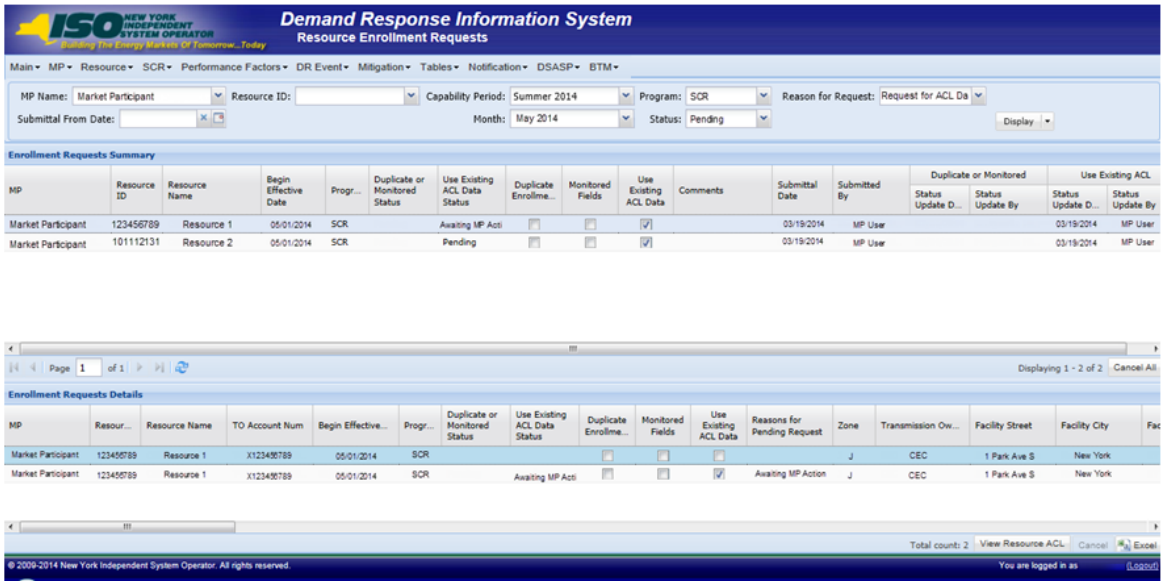
   - To view enrollment requests for only requests for ACL data, choose the search filter criteria specific to the enrollment type, **Month**; month of enrollment request, **Program**; SCR, **Reason for Request**; Request for ACL Data and **Status**; Pending from the corresponding search filter(s) near the top of the page (refer to Figure 88), 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 88: Searching for Resource Enrollment Requests for ACL Data



6. 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 89).

9. The system prompts the user with the View Resource ACL window (see Figure 90).

Figure 89: View Resource Enrollment Request for ACL Data Button

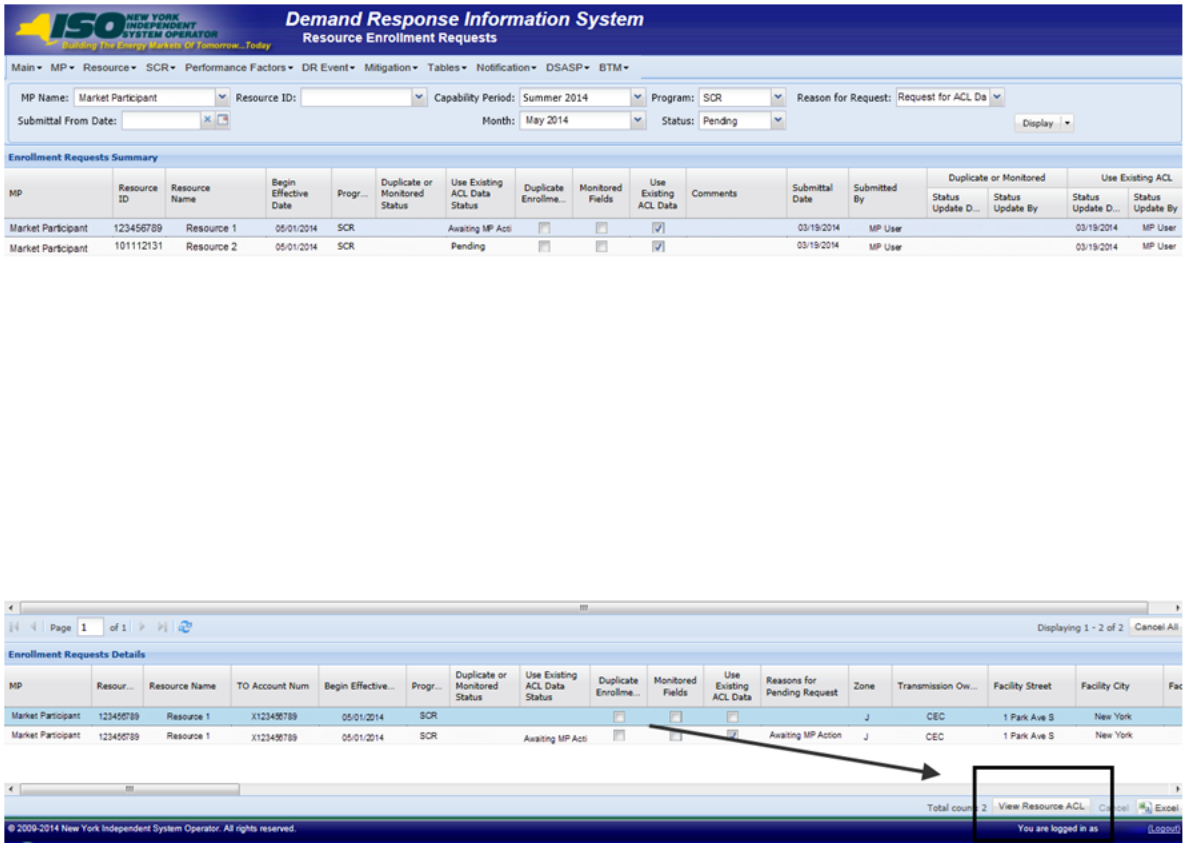
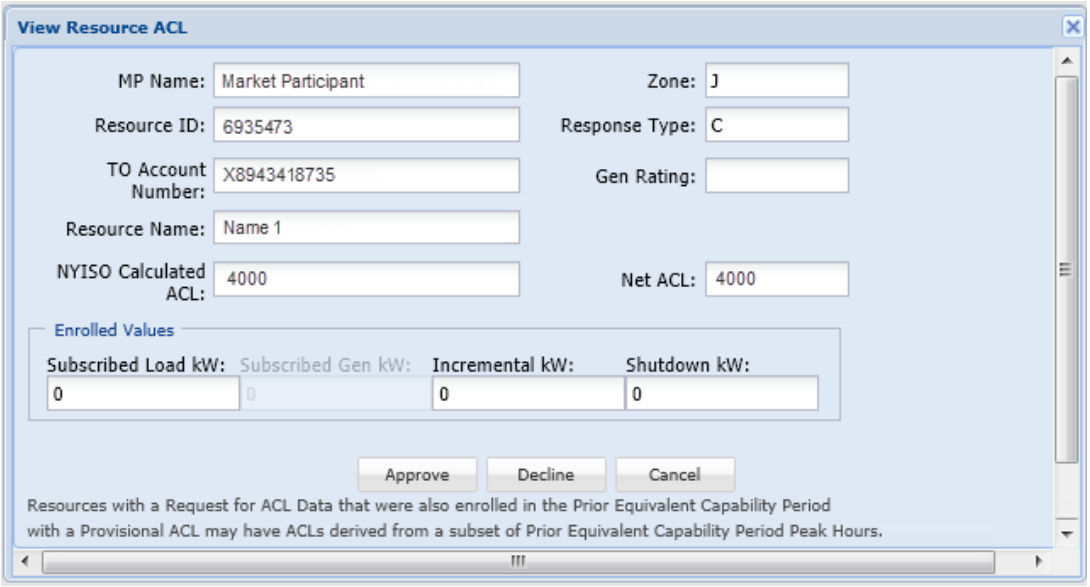


Figure 90: Enrollment Request for ACL Data View Resource ACL Summary Window

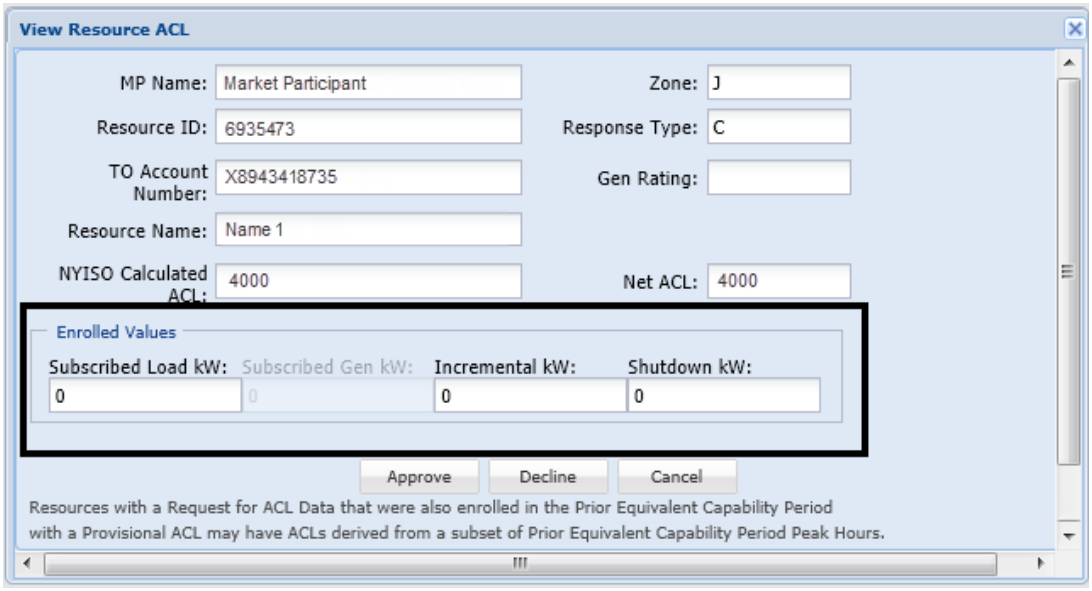


To approve or decline pending resource enrollment requests for ACL data

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 91).

Figure 91: Enrollment Request for ACL Data View Resource ACL Summary Window Editable Fields

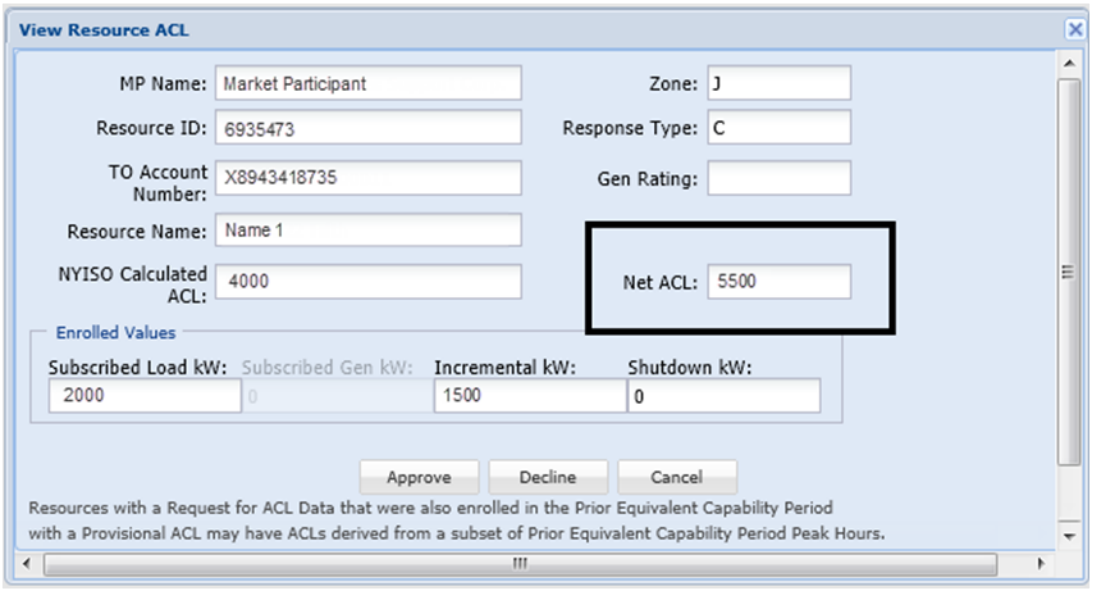


> ***Note:*** The categories displayed for the resource selected to view for a request for ACL data will fall into one of three categories. The first of the categories of values which are displayed for the resource are provided for informational purposes and may not be edited, regardless of response 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 92).

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 92).

> ***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 92: Enrollment Request for ACL Data View Resource ACL Summary Window Updated Net ACL



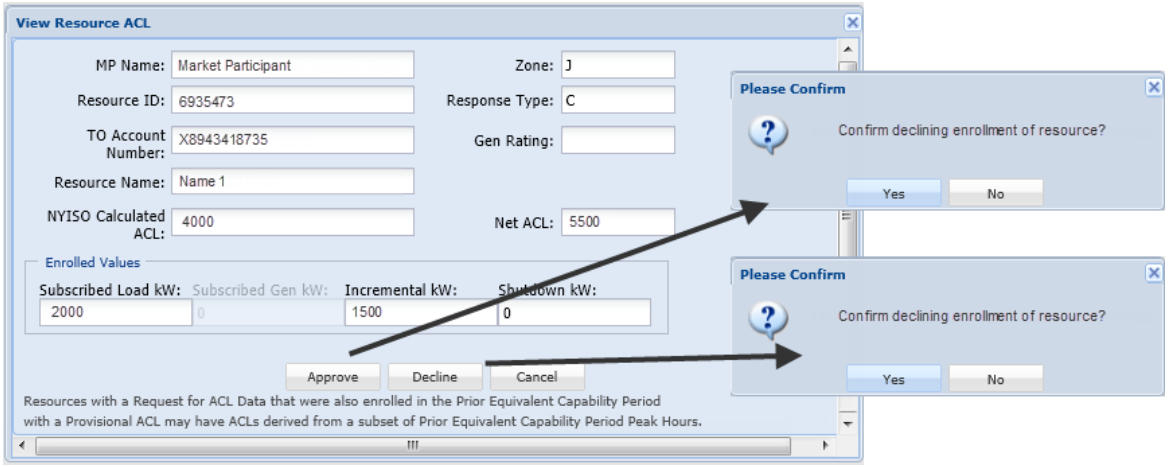
3. When electing the option to approve or decline the resource enrollment request for ACL data, the user will be prompted with a confirmation box, following the selection of one of these two options (see Figure 93).

   When the user chooses to approve the resource, the system will validate and process the resource edited fields, based on response type (see Figure 94).

> ***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 selects 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 93: 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 not to 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 94: 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*.

7.6. Small Customer Aggregation (SCA) Enrollment Documentation

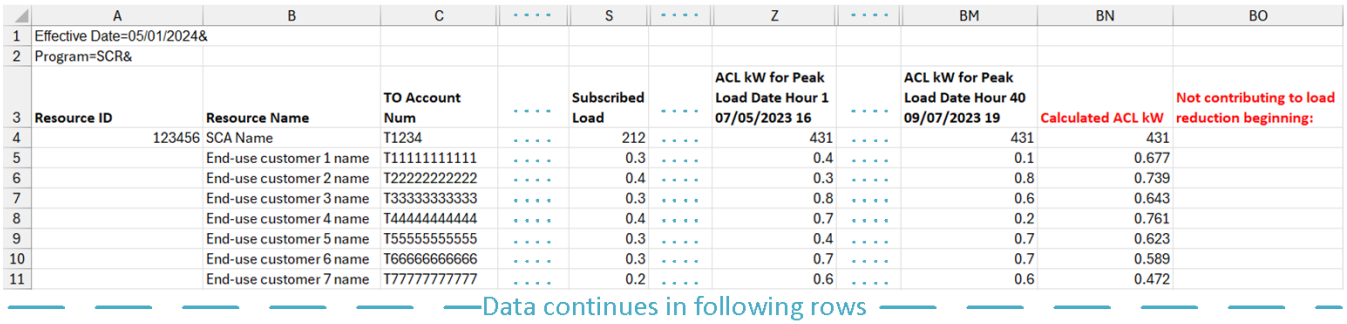
The SCA participation methodology is outlined in Section 2.7 of the EDRP Manual. SCAs are enrolled in DRIS following the same processes as stand-alone SCRs or EDRP Resources. An SCA enrollment is supported by an SCA Composition file. The aggregate data calculated in this file is used to create the SCA's Resource Enrollment file imported in DRIS, as if the SCA were a single SCR/EDRP Resource.

7.6.1. Creating an SCA Composition File

The SCA Composition file must show the enrollment information for the SCA and each individual end-use customer in the SCA. The file is created following the same process outlined in Section 7.3 of this User's Guide, using a Resource Enrollment File template as a base (DRIS User's Guide Section 8.5 describes how to download this template). Figure 70: Rules Specific to Resource Data in SCR Enrollment Files in Section 7.3 of this User's Guide details the rules specific to SCRs and can be used in creating the SCA Composition file. As illustrated by the sample SCA Composition file in Figure 95**: Sample SCA Composition File in Excel**, the first row in the file with data is row 4, and must contain the SCA's composite data, followed by a set of data for each end-use customer in the SCA (beginning with row 5) for each field in Figure 96.

In addition to the enrollment information required for stand-alone SCR/EDRP Resources, the SCA Composition file must also contain additional columns BN and BO, as illustrated by Figure 95**: Sample SCA Composition File in Excel**. Column BN contains each individual end-use customer's Calculated ACL, which the RIP/CSP must calculate outside of DRIS prior to submitting the SCA Composition file. The Calculated ACL for each end-use customer in the SCA is the simple average of the highest twenty metered load values that occur within the Top 40 Capability Period Load Zone Peak Hours (in columns Z through BM). The Calculated ACL value in cell BN4 represents the SCA's total Calculated ACL which is equal to the sum of the Calculated ACL values for all the end-use customers in the SCA. Column BO is left blank at the time of the SCA's enrollment. This column will be used for tracking the date upon which an end-use customer in the SCA is no longer eligible to contribute to the SCA's load reduction for reasons such as voluntary withdrawal from the SCA, the TO account number becoming inactive, the end-use customer being enrolled in the incorrect Load Zone, or if the end-use customer is found to be enrolled in another SCA or as an individual SCR/EDRP Resource.

Figure 95: Sample SCA Composition File in Excel



	A	B	C	S	Z	BM	BN	BO
1	Effective Date=05/01/2024&							
2	Program=SCR&							
3	Resource ID	Resource Name	TO Account Num	Subscribed Load	ACL kW for Peak Load Date Hour 1 07/05/2023 16	ACL kW for Peak Load Date Hour 40 09/07/2023 19	Calculated ACL kW	Not contributing to load reduction beginning:
4	123456	SCA Name	T1234	212	431	431	431	
5		End-use customer 1 name	T11111111111	0.3	0.4	0.1	0.677	
6		End-use customer 2 name	T22222222222	0.4	0.3	0.8	0.739	
7		End-use customer 3 name	T33333333333	0.3	0.8	0.6	0.643	
8		End-use customer 4 name	T44444444444	0.4	0.7	0.2	0.761	
9		End-use customer 5 name	T55555555555	0.3	0.4	0.7	0.623	
10		End-use customer 6 name	T66666666666	0.3	0.7	0.7	0.589	
11		End-use customer 7 name	T77777777777	0.2	0.6	0.6	0.472	

Data continues in following rows

Note: All ACL kW values in cells Z4 through BM4 must show the same Calculated ACL kW value that is in cell BN4.

Figure 96**: Rules Specific to Data in SCA Composition Files** identifies the additional requirements for creating an SCA Composition file that are not otherwise described in Figure 70: Rules Specific to Resource Data in SCR Enrollment Files of this User's Guide.

Figure 96: Rules Specific to Data in SCA Composition Files

SCA Composition file Field Name	Column in Import File	Field Format	Description and Rule(s)
Resource ID	A	Numeric	Only populated for the first row of data (row 4) in the SCA Composition file. See Figure 70: Rules Specific to Resource Data in SCR Enrollment Files.
TO Account Num	C	Text Up to 30 characters	For the first row of data (row 4): Unique SCA identification number assigned by the NYISO (see EDRP Manual Section 2.7). For all other rows of data: The account number assigned by the Transmission Owner. See Figure 70: Rules Specific to Resource Data in SCR Enrollment Files.
Meter Authority	D	Text Up to 3 characters	See Figure 70: Rules Specific to Resource Data in SCR Enrollment Files. Must be the same value for all rows of data.
Zone	E	Text 1 character	See Figure 70: Rules Specific to Resource Data in SCR Enrollment Files. Must be the same value for all rows of data.

SCA Composition file Field Name	Column in Import File	Field Format	Description and Rule(s)
Municipality Question	K	Text 1 character	If the resource is located in a Municipality territory, specify Y. If not, specify N.
Transmission Owner Abbreviation	F	Text 3 characters	See Figure 70: Rules Specific to Resource Data in SCR Enrollment Files. Must be the same value for all rows of data.
Generator Type ID	M	N/A	Blank
Generator Name Plate Rating	N	N/A	Blank
Compliance Question	P	N/A	Blank
Aggregation ID	Q	Numeric	See Figure 70: Rules Specific to Resource Data in SCR Enrollment Files. Must be the same for all rows of data.
Response Type	R	Text	Must be C. See Figure 70: Rules Specific to Resource Data in SCR Enrollment Files.
Subscribed Load	S	Numeric Up to 6 digits No decimals	The Curtailment Declared ICAP value, must be greater than or equal to zero and cannot be greater than the SCA/end-use customer's Calculated ACL, see Figure 70: Rules Specific to Resource Data in SCR Enrollment Files. For the first row of data (row 4): Total Subscribed Load/Declared Value for the whole SCA. For all other rows of data: The Subscribed Load/Declared Value for each individual end-use customer.
Subscribed Gen	T	N/A	Blank
Shutdown kW	U	Numeric	Must be zero.
Incremental kW	V	Numeric	Must be zero.
Provisional ACL Question	W	Text	Must be N.
Request to use existing ACL Data	X	Text	Must be N.
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	Z through BM	Numeric Up to 7 digits before decimal and 1 digit after decimal	For the first row of data (row 4): Must be equal to the value in cell BN4. For all other rows of data: See Figure 70: Rules Specific to Resource Data in SCR Enrollment Files.

SCA Composition file Field Name	Column in Import File	Field Format	Description and Rule(s)
Calculated ACL	BN	Numeric	For the first row of data (row 4): The sum of all values in the following rows of data in column BN, rounded down to contain no decimals. For all other rows of data: The average of the largest 20 of the ACL kW values in columns Z-BN, rounded down to three digits after decimal.
Not contributing to load reduction beginning:	BO	Date MM/DD/YYYY	At the time of enrollment, this column will be left blank

7.6.2. SCA Enrollment File

The SCA Enrollment file must be created in accordance with Section 7.3 of this User's Guide. The SCA data entered in the Enrollment file must match the aggregate SCA enrollment information in row 4 of the data in the SCA Composition file created as described in Section 7.6.1 of this User's Guide. The Calculated ACL in cell BN4 of the Composition file created in Section 7.6.1 of this User's Guide must be entered in each ACL kW field in the SCA's Resource Enrollment file as illustrated in Figure 95**: Sample SCA Composition File in Excel** and Figure 96**: Rules Specific to Data in SCA Composition Files** (columns Z-BN) for DRIS to accurately receive this value.

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 EDRP and SCR program. 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 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 EDRP and SCR program
- Zone
- Sub-load pocket for the EDRP and SCR program
- Enrollment Approval dates by program type for the EDRP and SCR program
- Enrollment dates by program type
- Municipality Question

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 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
- Municipality Question
- 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

- 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 add-back for the date/hour
- 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 add-back kW values 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). For additional views of resource TO add-back kW values, see Section 10.1.

Note: **2 -** A resource which is enrolled using a Provisional ACL will not use any applicable TO add-back 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 0, "

- Accessing the System".

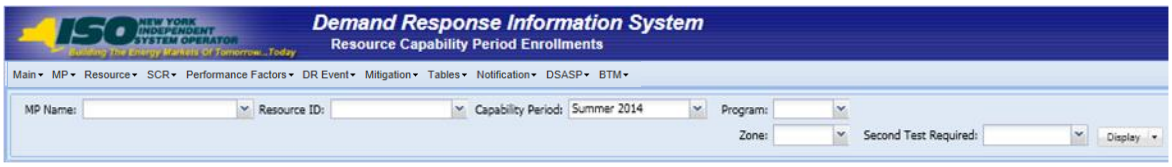
To view resource enrollments by Capability Period

1. From the **Resource** menu, choose **Capability Period Enrollments**.

   The system displays the Resource Capability Period Enrollments page.

2. From the corresponding search filter(s) in the uppermost frame on the Resource Capability Period Enrollments page (see Figure 97), choose the **Capability Period** and/or the **Resource ID** for which the system should display enrollments.

Figure 97: 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.

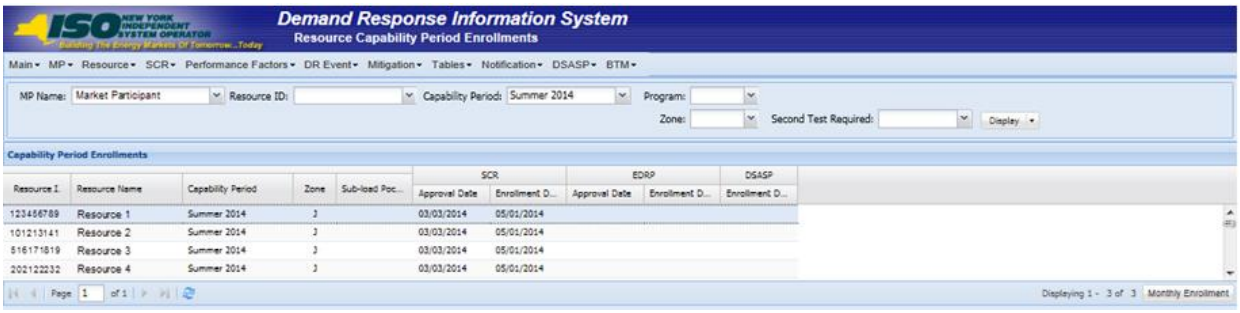
4. Near the top of the Resource Capability Period Enrollments page, click the **Display** button.

   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 98).

> ***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.

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

Figure 98: 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 99).

> **Tip:** To collapse the details frame, click the downward pointing arrow ( ) 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 99: Resource Details Displayed from Capability Period Enrollments Grid on Resource Capability Period Enrollments Page

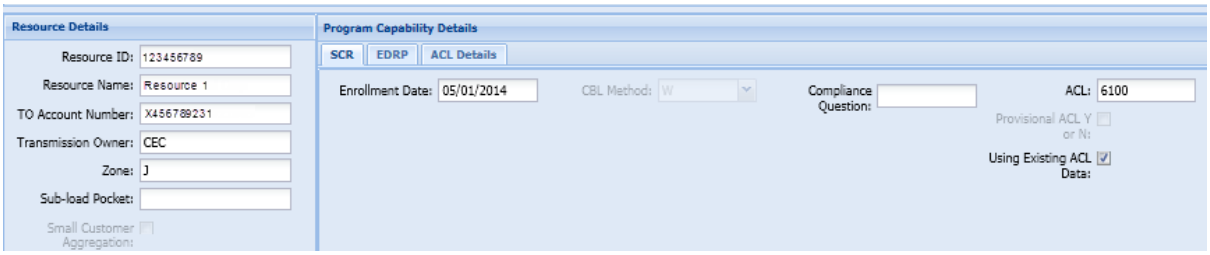
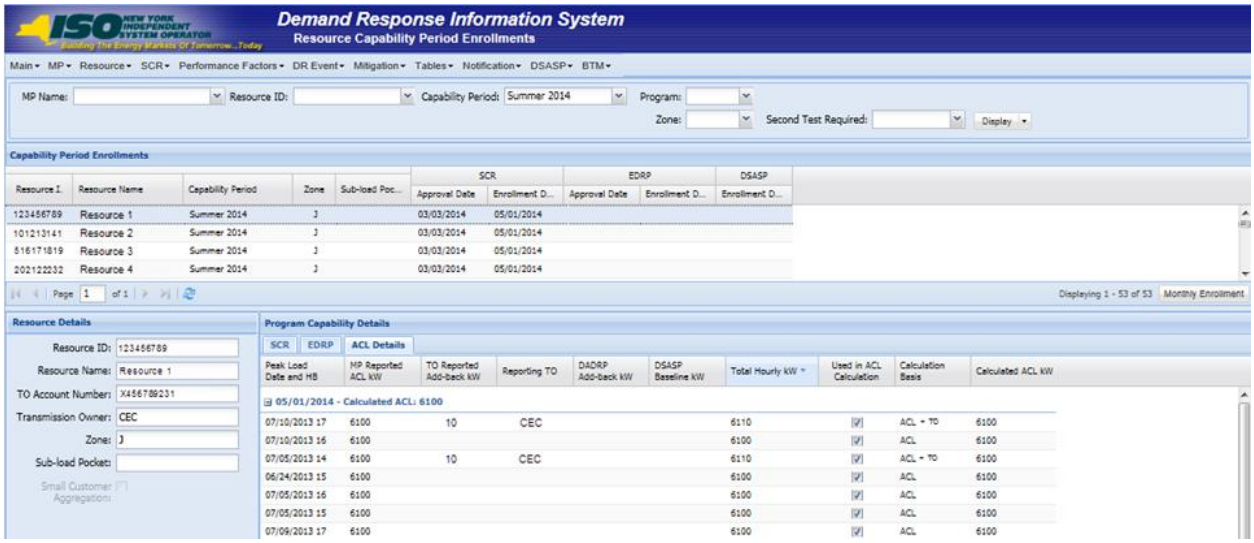


Figure 100: ACL Details Tab Illustrating ACL kW and TO Add-back kW



> ***Note:*** A resource which is enrolled using a Provisional ACL will not use any applicable TO add-back 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

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

Pre-requisites

- The MP has previously enrolled resources.
- The MP has logged in to DRIS, as outlined under Section 0, "

- 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.

2. From the corresponding search filter(s) in the uppermost frame on the Resource Monthly Enrollments page (see Figure 101), choose the **Capability Period** and/or the **Resource ID** for which the system should display enrollments.

Figure 101: 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 102).

> ***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 102). 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 button in the grid status bar.

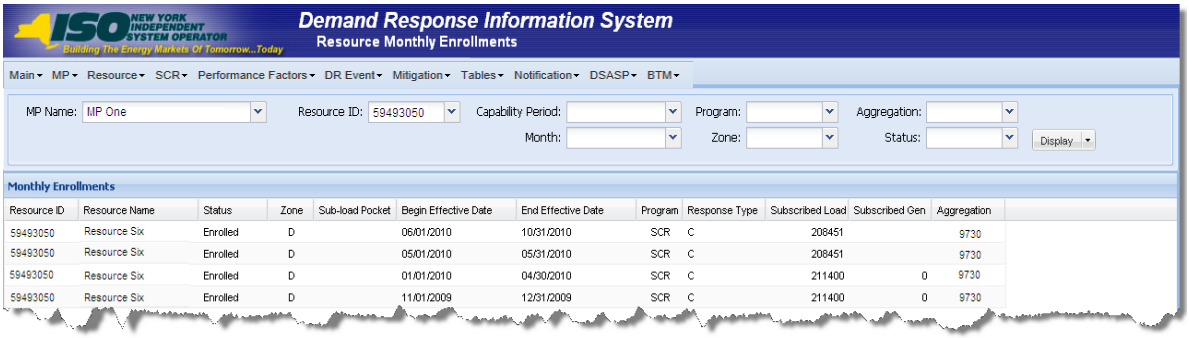
> **Tip:** If the number of enrollments exceeds the space available in the grid, the program breaks the data set across separate pages, as reflected in the lower left of the status bar. To navigate among multiple pages of resource enrollments, click the applicable icons to either move forward one page ( ), 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 102: 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:

- TO
- 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 ACL details for the resource as a result of the program change from the 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)

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**

- 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)
- 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 0, "

- Accessing the System".

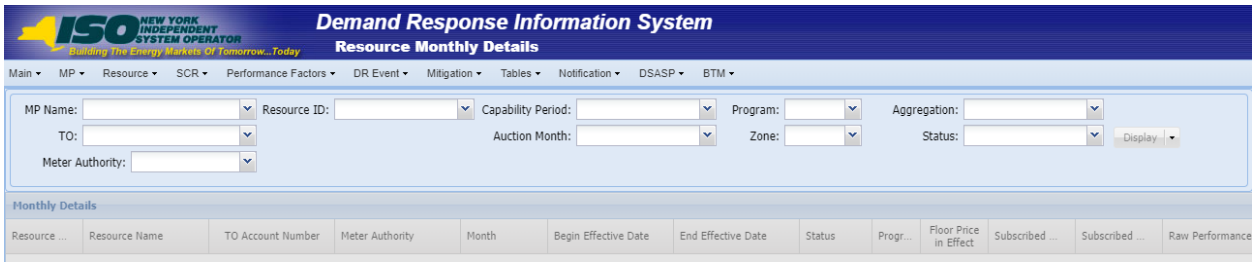
To view resource enrollment data by monthly details

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 103), choose the **Capability Period** and/or the **Resource ID** for which the system should display enrollments.

Figure 103: 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 104).

> ***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.

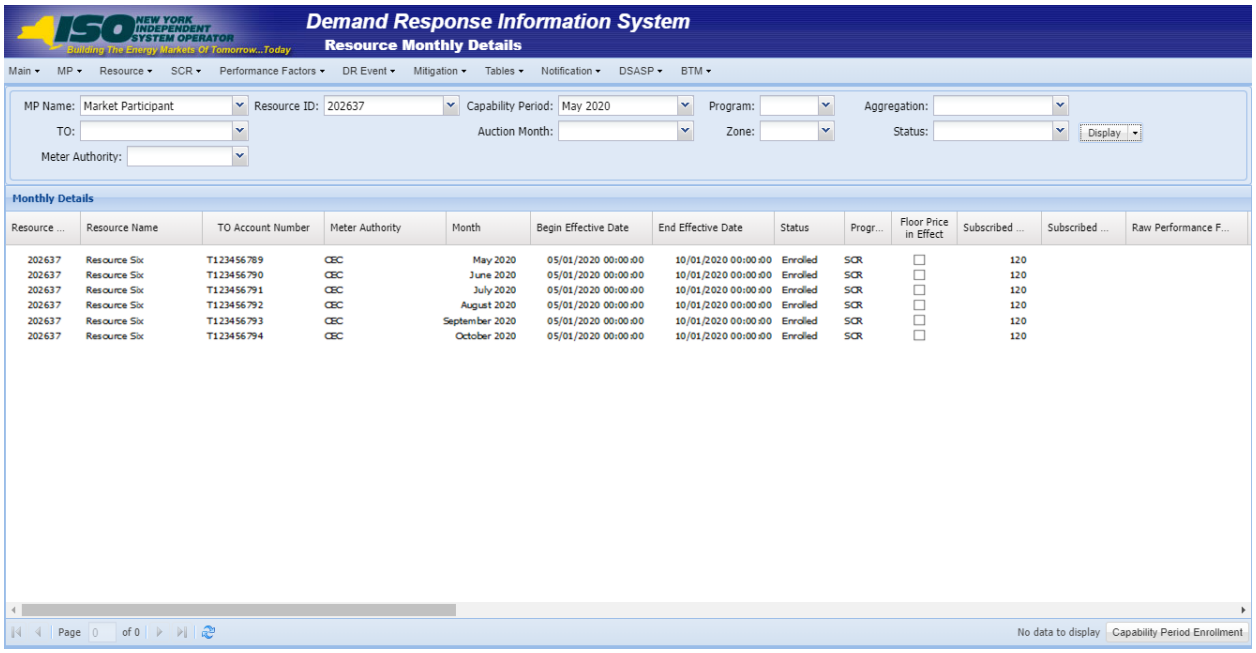
Tip: If the number of enrollments exceeds the space available in the grid, the program breaks the data set across separate pages, as reflected in the lower left of the status bar. To navigate among multiple pages of resource enrollments, click the applicable icons to either move forward one page( ), 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.

5. Optionally, download the monthly detail data by clicking the drop-down arrow beside the **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 104: Resource Enrollment Monthly Details Page Illustrating Multiple Entries for a Single Resource



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.

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 EDRP and SCR program, 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 0, "

- 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 101).

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.

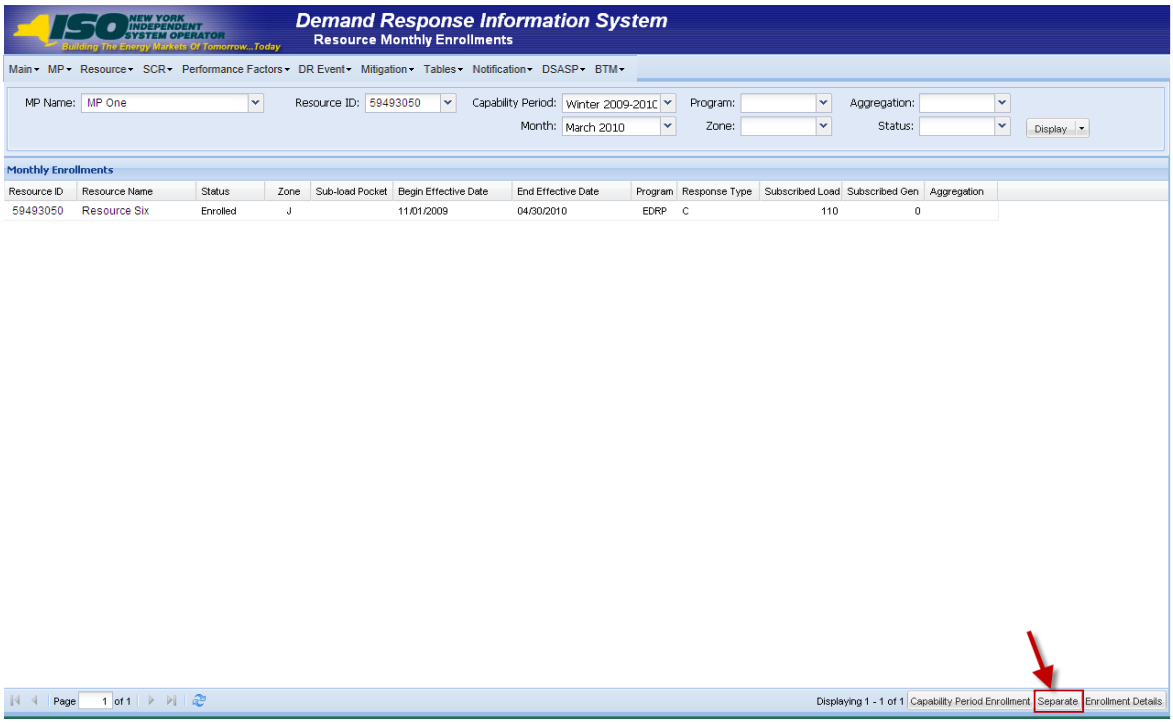
   > ***Note:*** The *Begin Effective Date* of the resource may be the first of the month for the current enrollment month or any past month within the Capability Period. When the *Begin Effective Date* is not equal to the enrollment month for which the separation will begin, a new record will be created 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 105).

   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 105: Resource Monthly Enrollment Page Highlight Separate Button



8.4. Re-enrolling Resources

For the EDRP and SCR programs, any resources that an MP wants to enroll, 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). 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 0, "

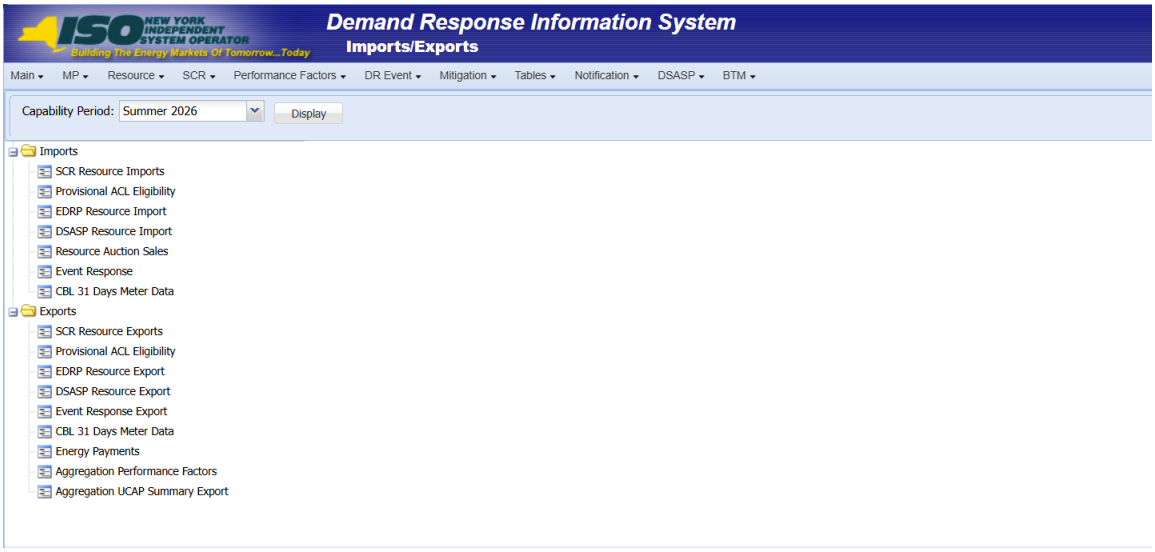
- Accessing the System").

To download a resource enrollment file

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

   The system displays the Imports/Exports page (see Figure 106).

Figure 106: 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.

3. Beside the Capability Period filter, click the **Display** button.

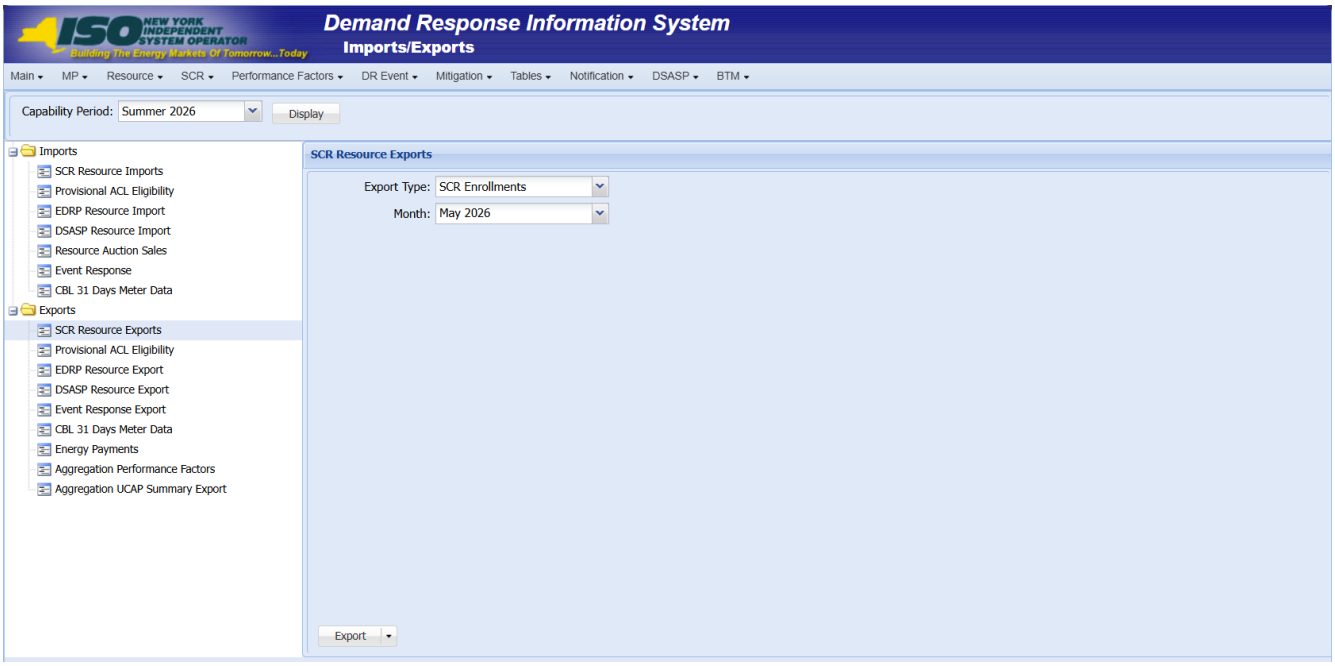
   The system makes available the middle frame.

4. Under the Exports heading in the left pane of the middle frame, choose **SCR Resource Exports** or **EDRP 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 107).

Figure 107: Filters for Downloading an SCR Resource Enrollment File



5. When exporting SCR resources, choose **SCR Enrollments** from the **Export Type** drop-down filter on the right side of the middle frame.

6. When exporting 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. 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 the 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 the Documentation Vault in accordance with the instructions provided by the NYISO.

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
- MP
- 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 81.

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 0, "

- Accessing the System".

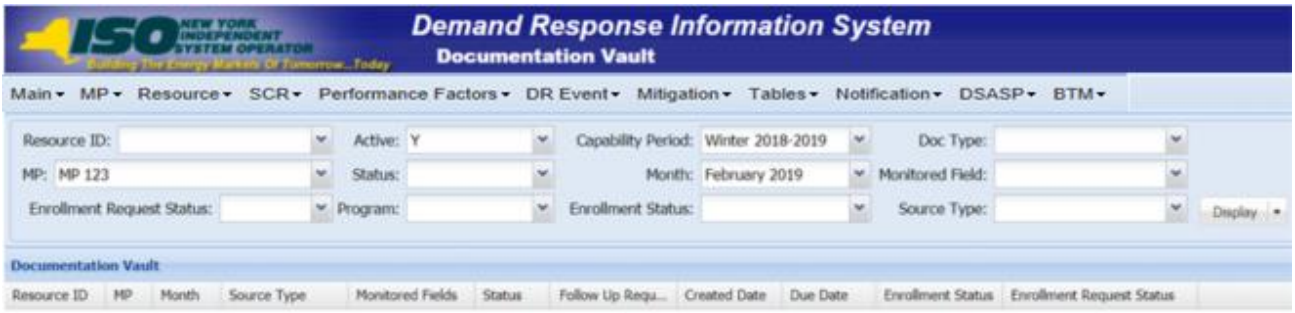
To view documentation requests for resources

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 97), choose the **Capability Period**, **Active**, **Month** and/or the **Resource ID** for which the system should display documentation requests.

Figure 108: Documentation Vault Page Search Filters



3. Optionally, further limit the scope of documentation requests to be displayed by the system 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.

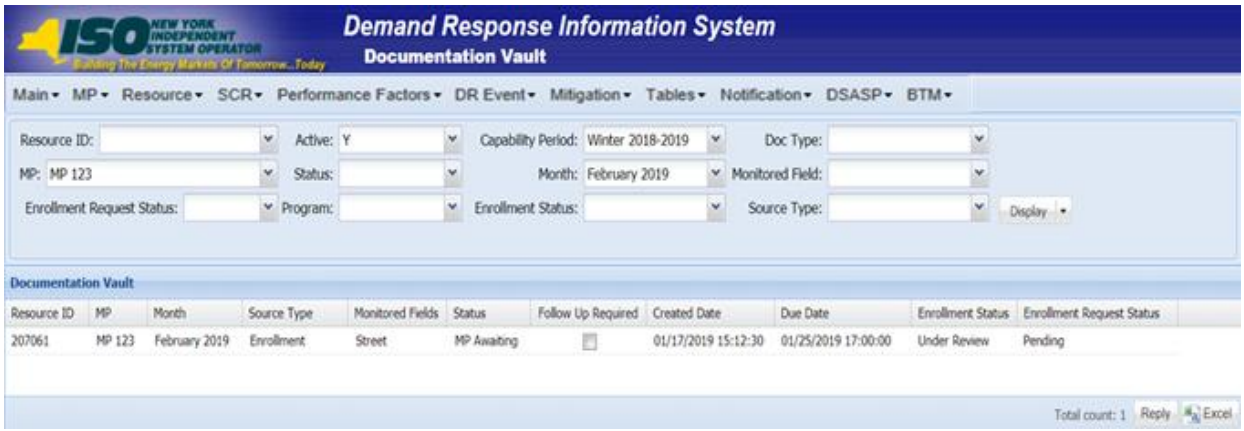
4. Near the top of the Documentation Vault page, click the Display button.

   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 108).

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 109: 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

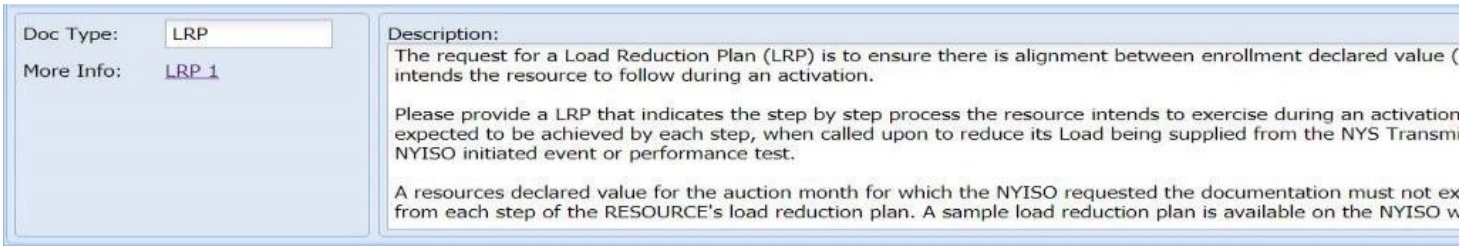
In viewing the Documentation Details grid within the Documentation Vault page, the MP can see specific documentation request records that are required for each Resource. When a single Resource is selected in the summary section, the documentation request is populated below in the Documentation Details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

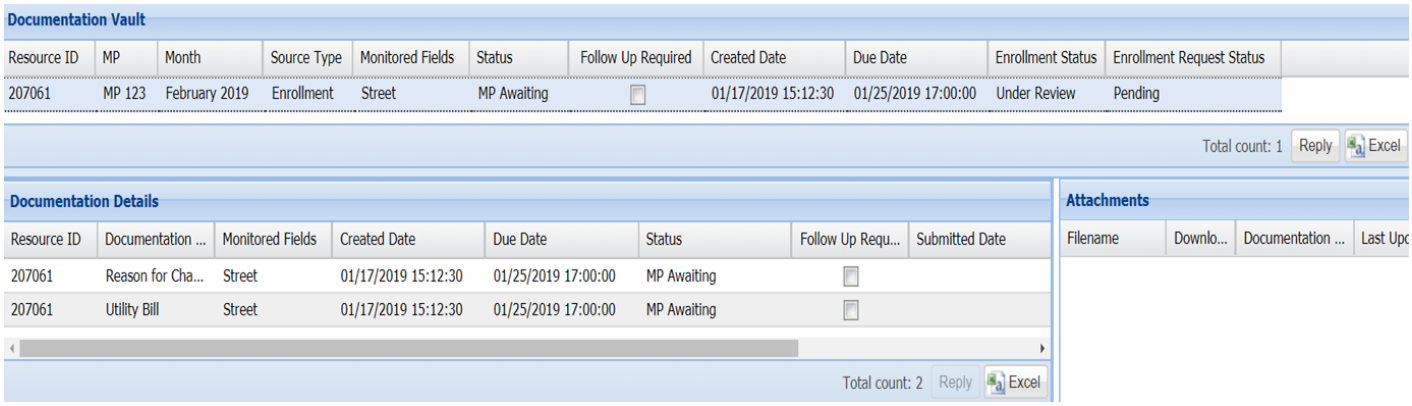
Multiple documentation request records may appear for one Resource. When a single documentation request record is selected, the system provides a detailed description of the Documentation Type at the bottom of the page.

Figure 110: Documentation Description



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

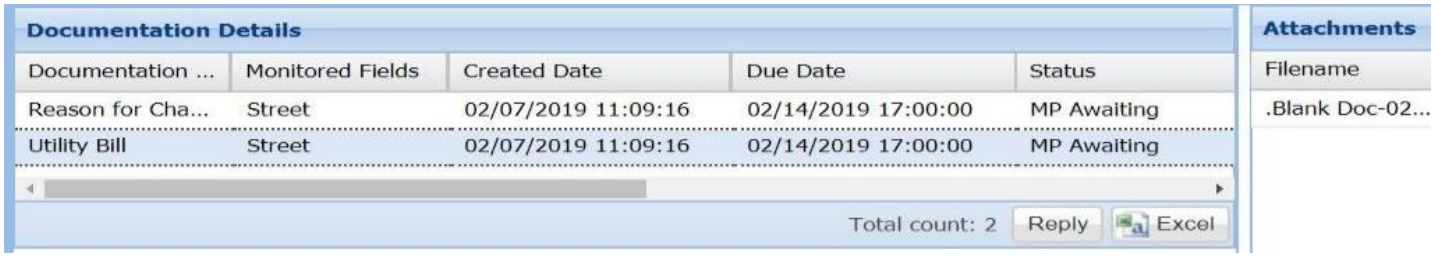
Figure 111: Viewing Documentation Details within the Documentation Vault Page



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 112: Viewing Attachments within the Documentation Vault Page



9.4. Replying to a Documentation Vault Management Request

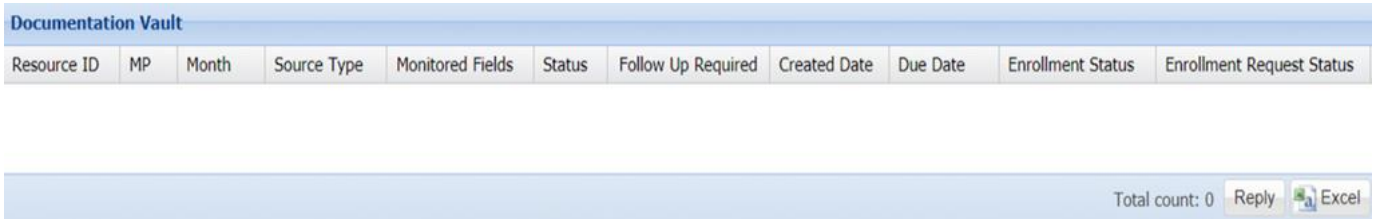
After filtering the Documentation Vault page as desired, the MP can see the documentation requests. The status of each resource will indicate who needs to take an action on a documentation request.

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 113: 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 114: Accessing Reply from Documentation Details

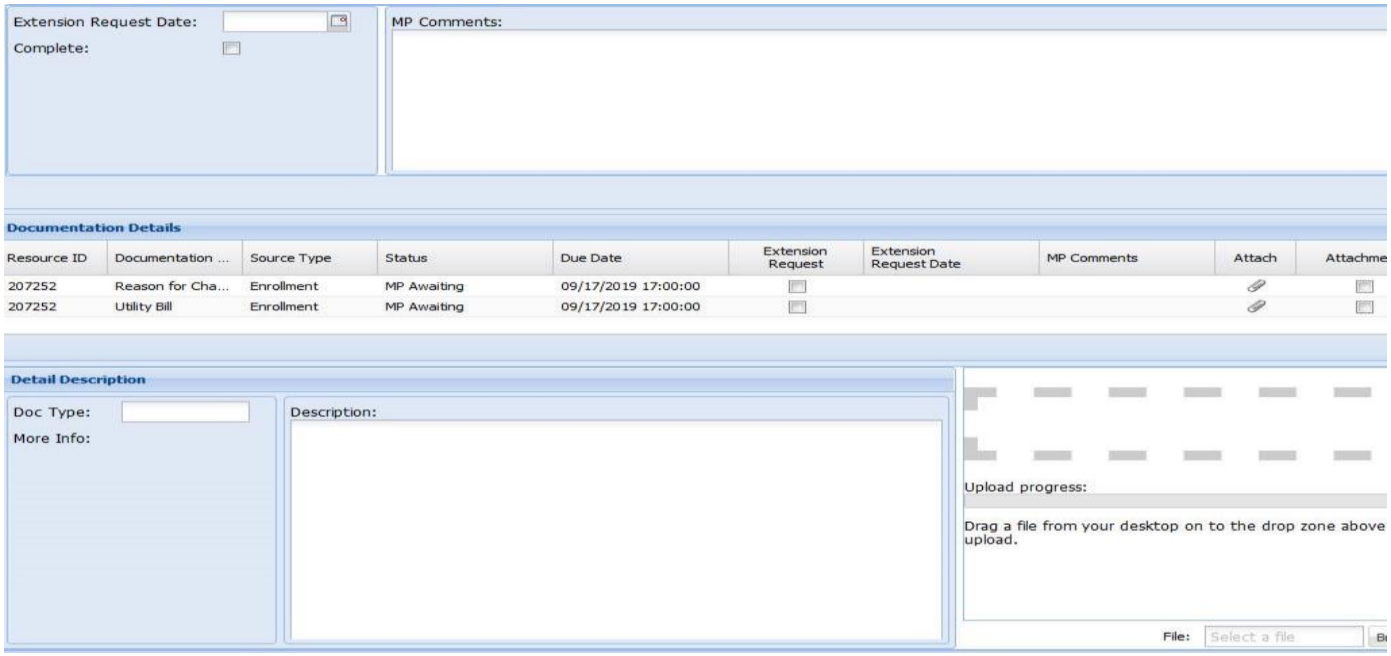


9.4.2. Reply Window Features

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 115: Reply Window

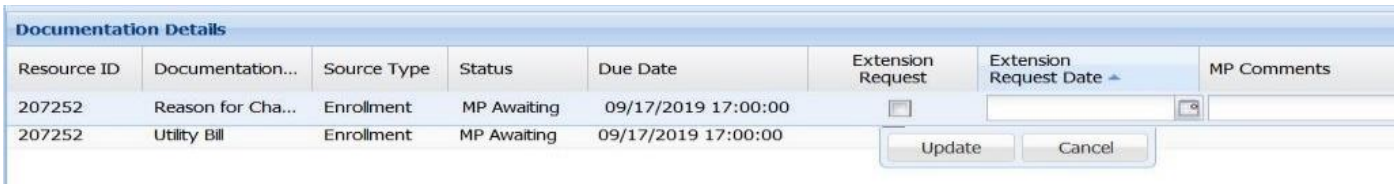


Within the "Reply" window, there is a Documentation Details grid that displays all active documentation request records, which can be sorted by the column header as desired. This grid details each documentation record by Resource and includes the following columns: Resource ID, Documentation Type, Source 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

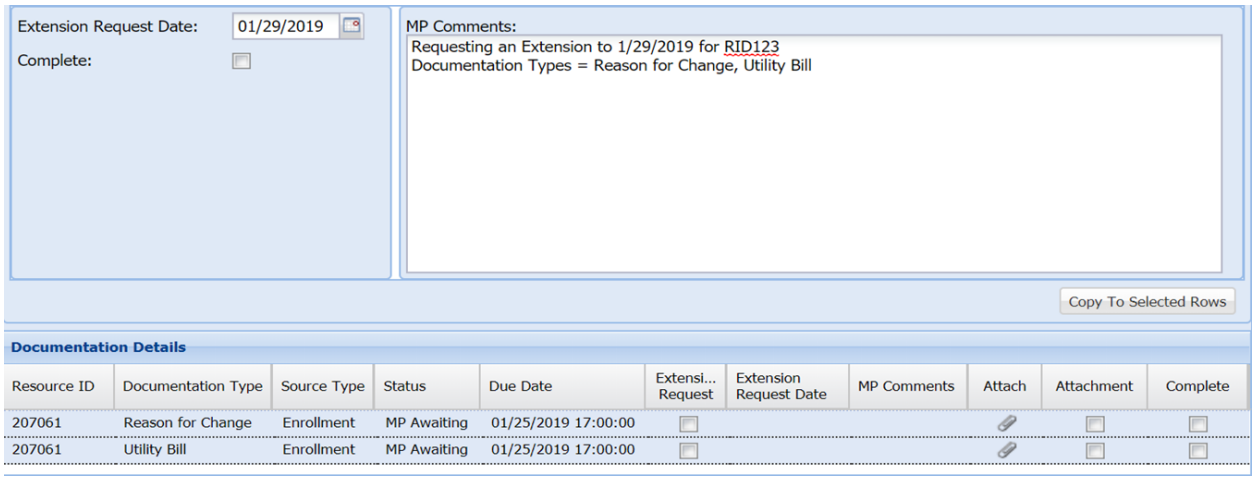
> ***Note:*** Extension Request Date allows the MP to request NYISO more time to respond to a documentation request. Extension requests must be approved by the NYISO. The NYISO will review the request and may grant the extension date requested, specify an alternate due date, or reject MP request and 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 116: 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 117: 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.
3. To save the action of entering a comment, the user must select "Copy to Selected Rows"
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

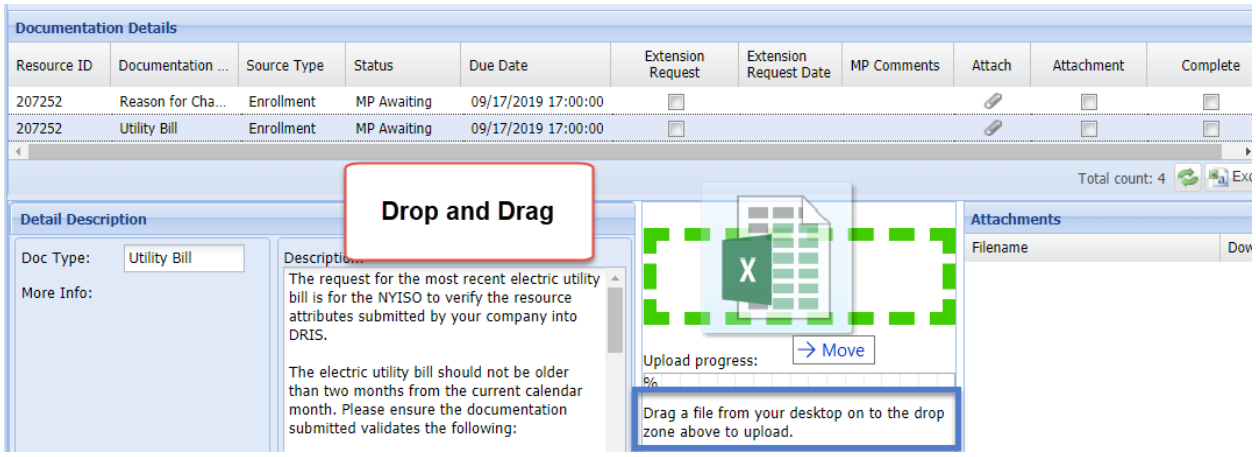
Attaching a file will require an MP to prepare the appropriate documentation in advance. A file can be attached to one record at a time, and the MP can either drag a file or select one utilizing the browse button.

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 118: 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 119: Attaching a File Utilizing Browse Feature

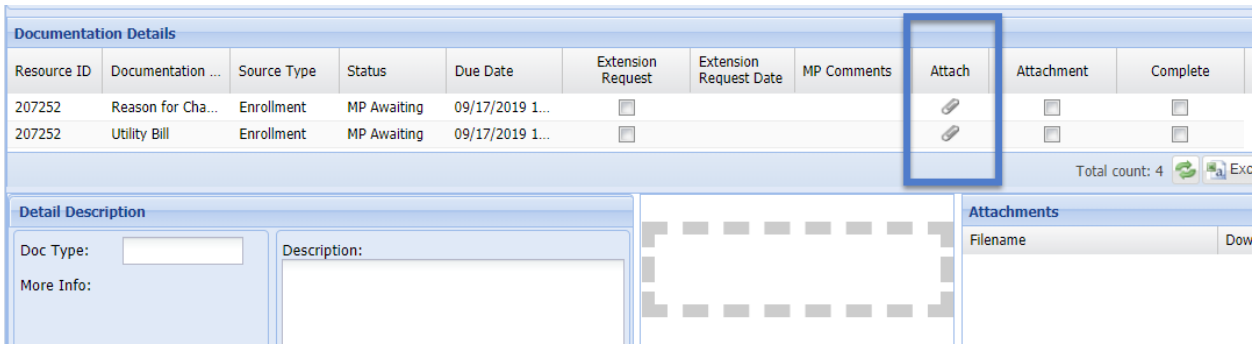
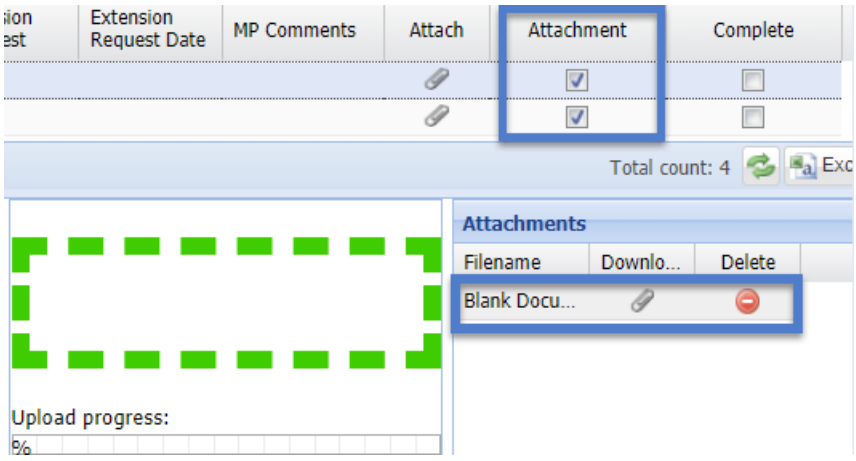


Figure 120: Verify Documentation Attachment



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 add-back 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 Add-back kW Values for a Resource

Transmission Owner add-back kW values for a resource are made visible to the Market Participant for Enrolled resources. An MP may view TO add-back 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. 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). 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 Add-back kW Values

In viewing a summary of the TO add-back kW 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 add-back 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

Pre-requisites

- The MP has previously enrolled resources.
- The MP has logged in to DRIS, as outlined under Section 0, "

- Accessing the System".

To view summary of TO add-back 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 121), choose the **Capability Period, Zone** and/or the **Resource ID** for which the system should display add-back kW values.

Figure 121: Resource ACL Adjustment Page Search Filters

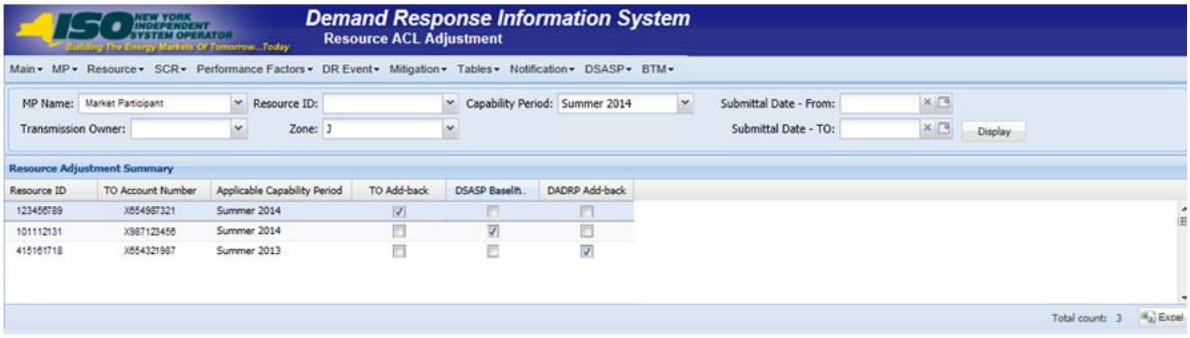


3. Optionally, further limit the scope of resource add-back or baseline values to be displayed by the system to only a specific **Transmission Owner**, **Zone**, **Submittal Date-From**, and/or **Submittal Date-To** by choosing the applicable option(s) form the corresponding search filter(s) near the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

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 122).

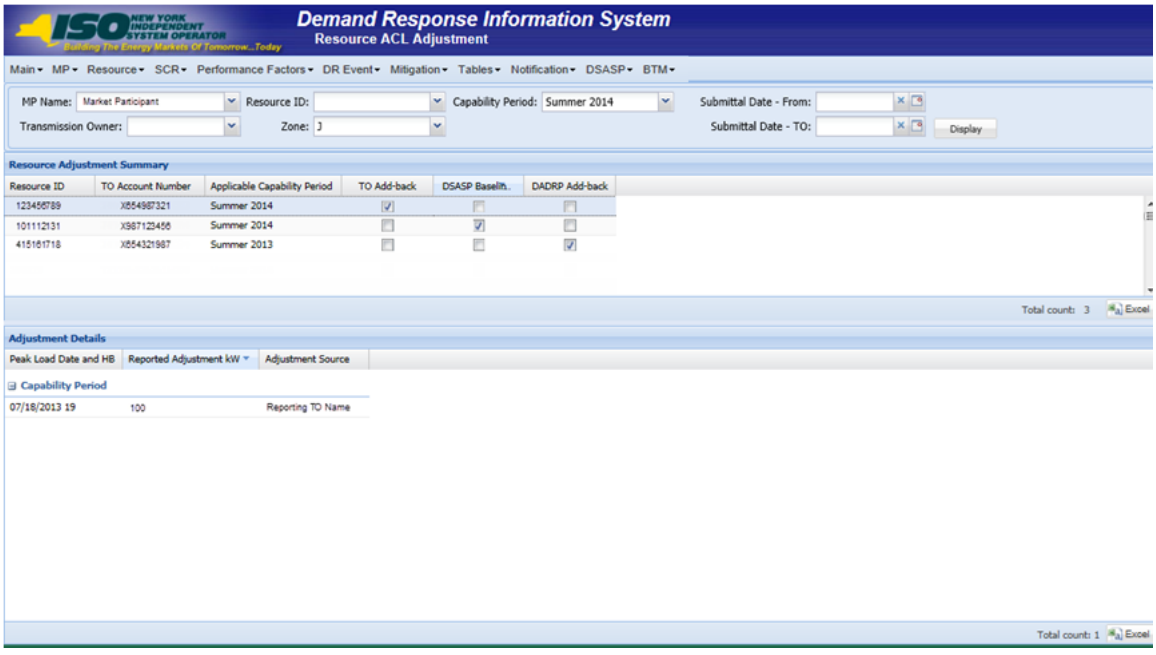
Figure 122: Resources with a TO Add-back Value for the Selected Capability Period



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 123).

Figure 123: 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 TO adjustment kW values 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 123).

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 0, "

- Accessing the System".

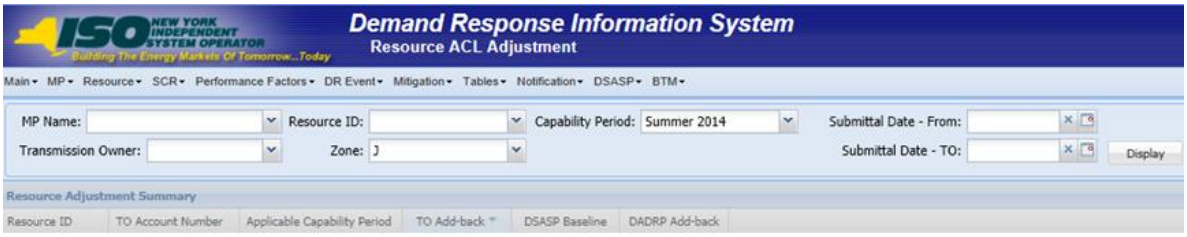
To view details of Resource Adjustment kW values

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 124), choose the **Capability Period and Zone** and/or the **Resource ID** for which the system should display Resource Adjustment kW values.

Figure 124: Resource ACL Adjustment Page Search Filters

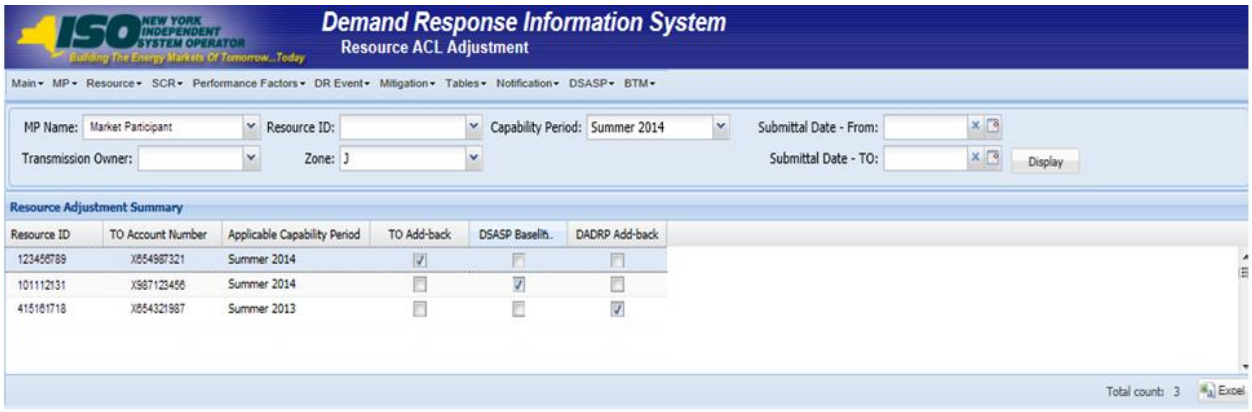


3. Optionally, further limit the scope of resource adjustment values to be displayed by the system to only a specific **Transmission Owner**, **Zone**, **Submittal Date-From**, and/or **Submittal Date-To** by choosing the applicable option(s) form the corresponding search filter(s) near the top of the 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 125).

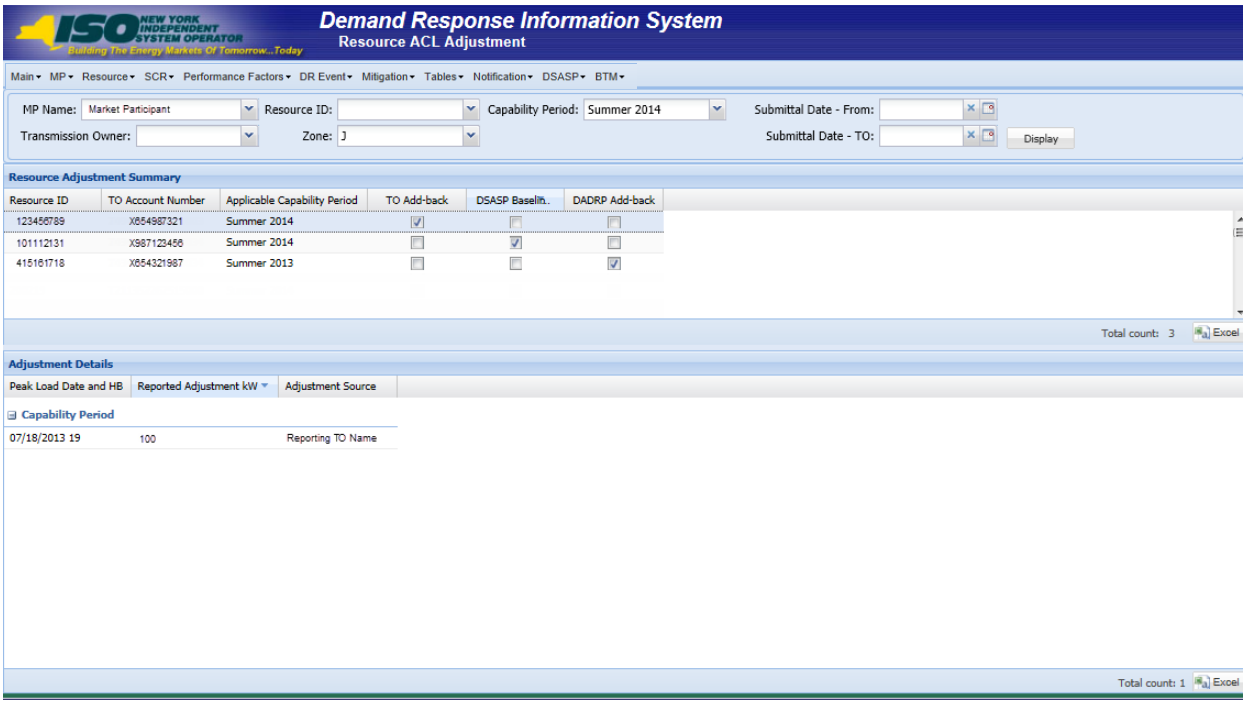
Figure 125: Resources with Adjustment Values for the Selected Capability Period



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 126).

Figure 126: 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 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 0, "

- Accessing the System").

To request a new aggregation ID

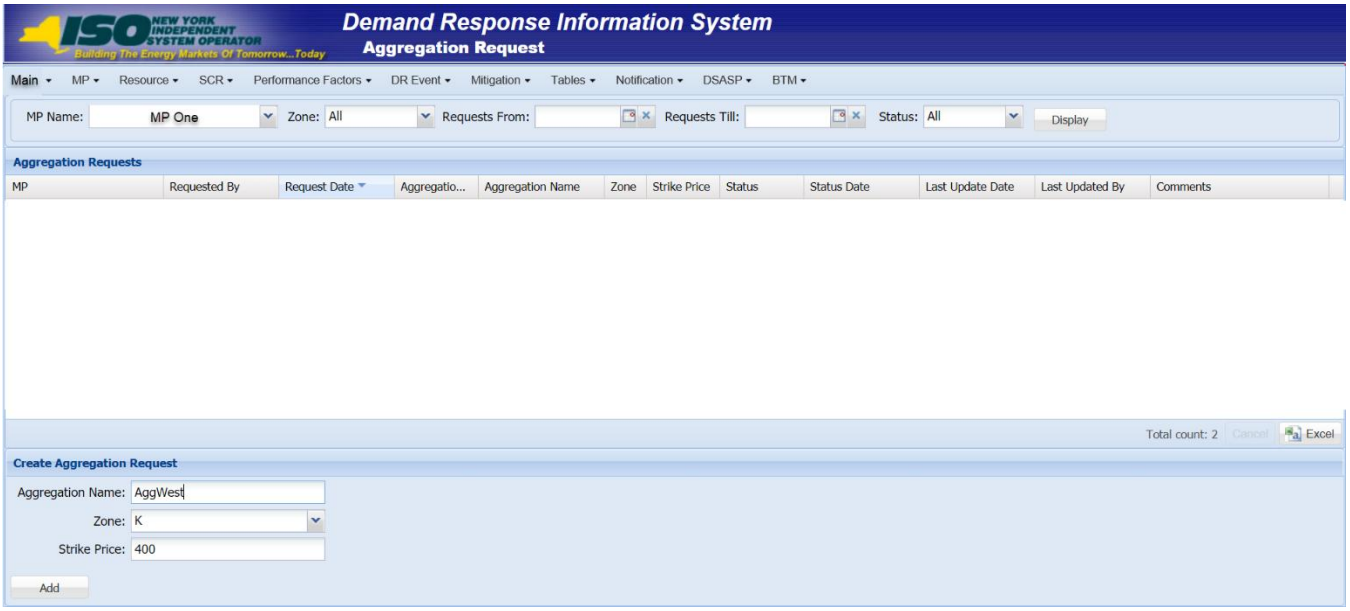
1. From the **SCR** menu, choose **Aggregation Request**.

   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 127).

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

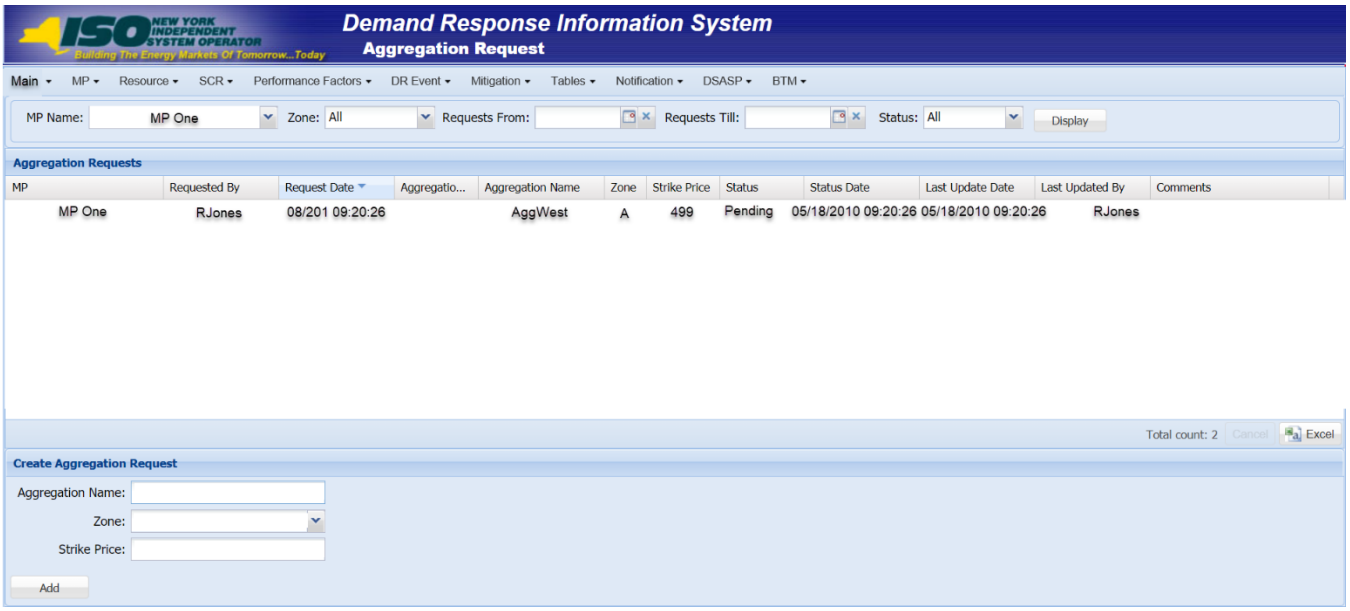
Figure 127: Aggregation Request Page with Required Data Provided



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 128).

Figure 128: 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 0, "

- 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 129).

   > ***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.

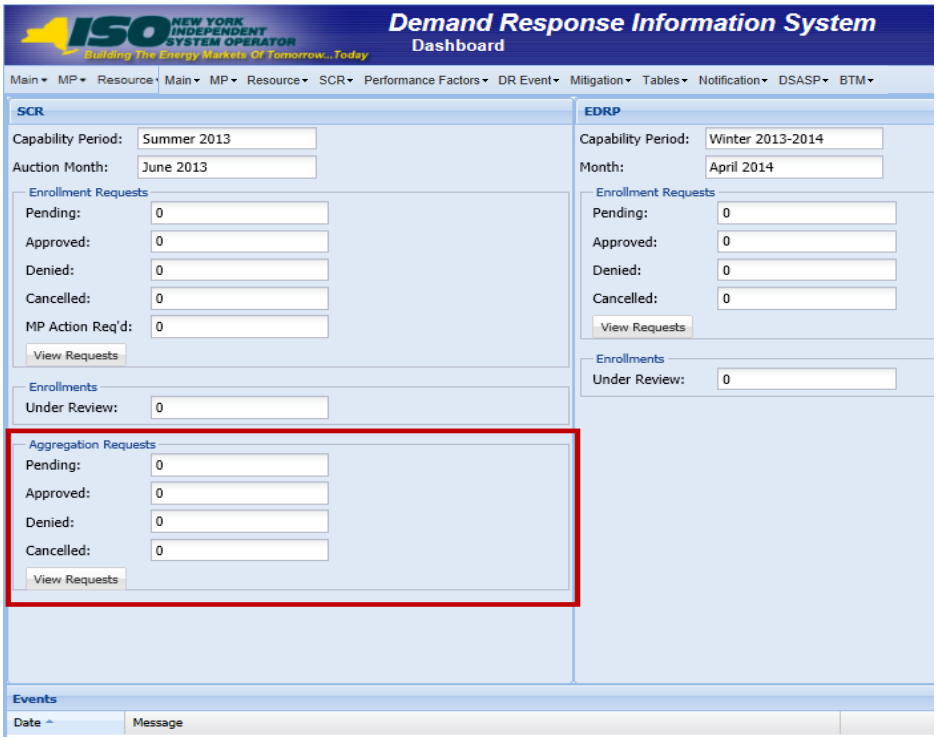
2. Under the **Aggregation Requests** heading in the left uppermost pane, click the **View Requests** button.

   > **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 129: Aggregation Requests Area of Dashboard



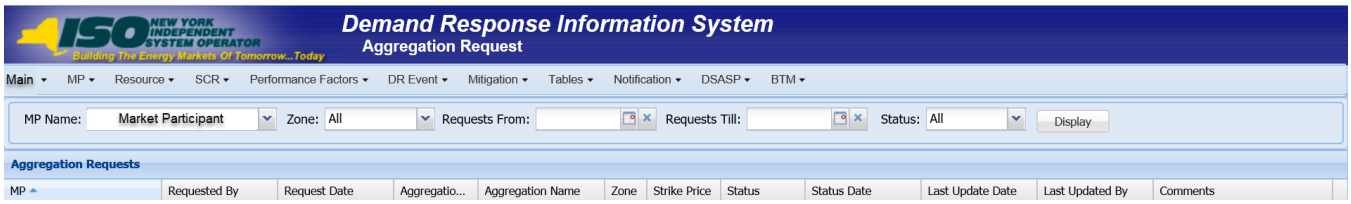
3. Limit the scope of the aggregation ID requests to be viewed:

   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 130), then proceed to step 4.

   OR

   To view all requests, proceed directly to step 4.

Figure 130: Aggregation Request Page Display Filters



4. Near the top of the page, activate the **Display** button.

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 128).

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 0, "

- 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 Request**.

   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 130), 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.

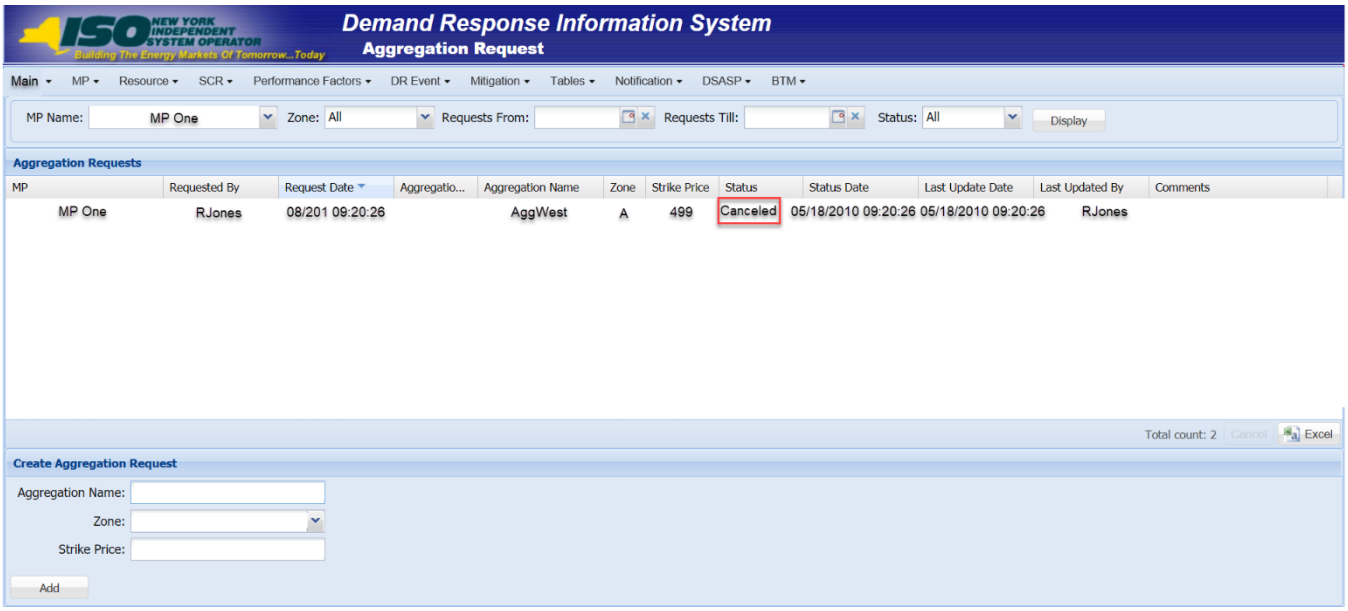
   The system populates the Aggregation Requests grid in the middle frame with all aggregation ID requests meeting the criteria chosen at step 2.

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 131).

   The system nullifies the aggregation ID request and changes the corresponding status from *Pending* to *Canceled* in the Aggregation Requests grid (see Figure 131), while also increasing the number of *Canceled* aggregation requests and decreasing the number of *Pending* aggregation requests by 1 on the DRIS Dashboard.

Figure 131: 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 0, "

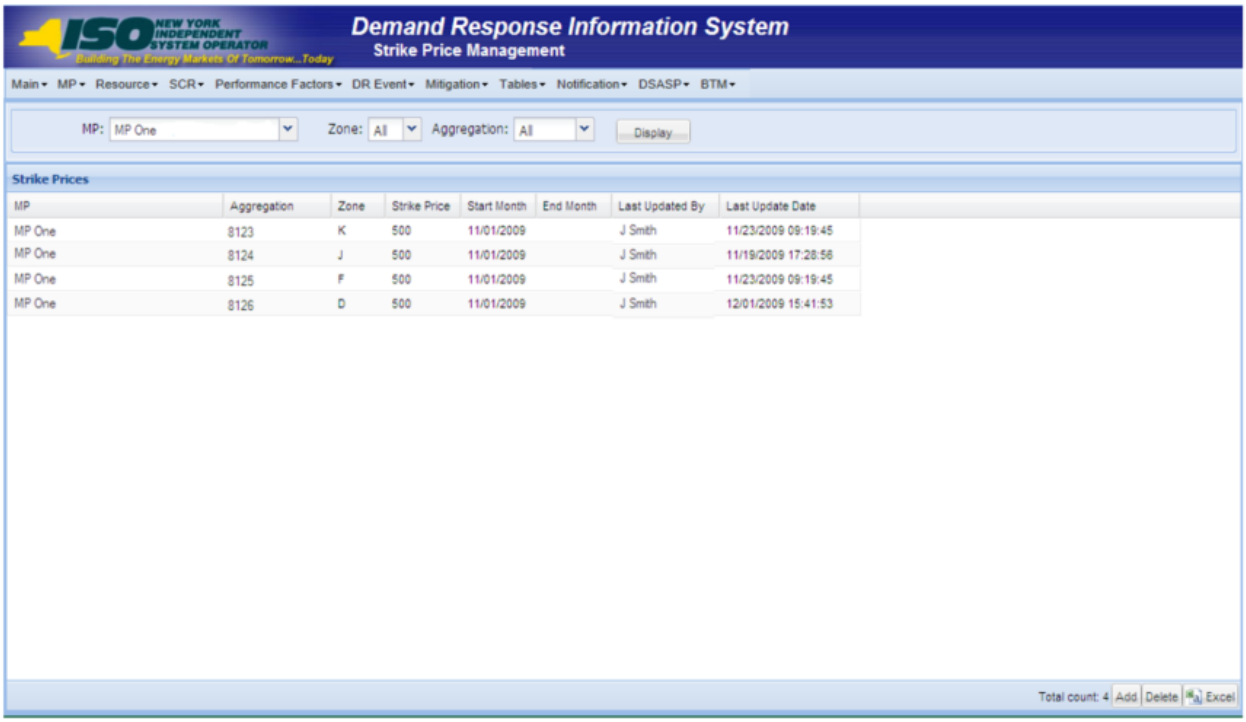
- Accessing the System").

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 132).

Figure 132: 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.

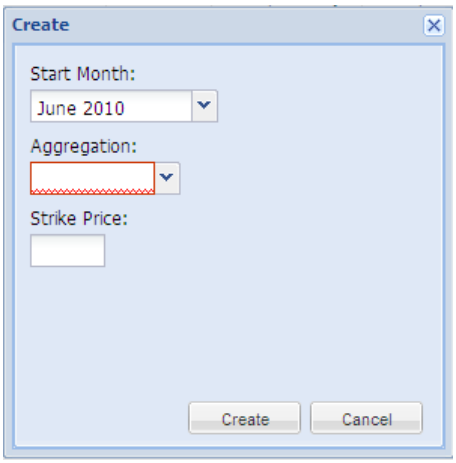
3. Click the **Display** button.

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 133: Dialog Box for Creating a Strike Price



5. In the Create dialog box (see Figure 133), 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.

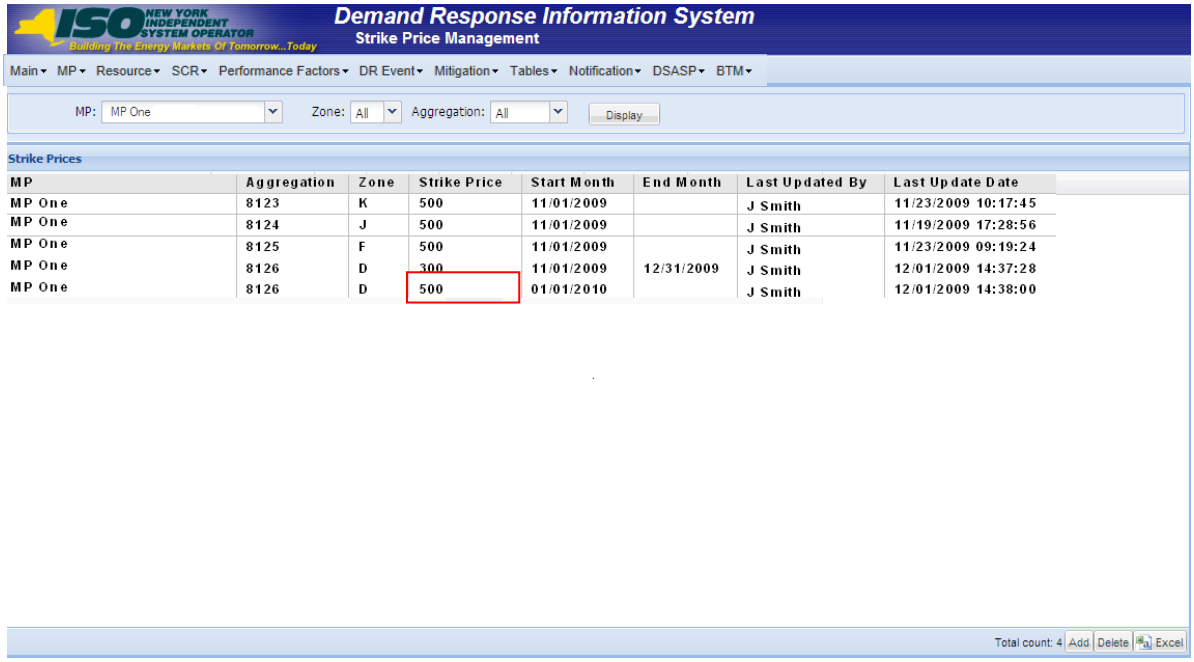
6. Click **OK** in the confirmation box.

   The confirmation box closes, revealing that the system has taken the following actions (as illustrated in Figure 134):

   - 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.

Figure 134: Strike Price Management Page Illustrating Change of an Aggregation Strike Price



10.2.2.2. Updating a Changed Strike Price

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 0, "

- 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.

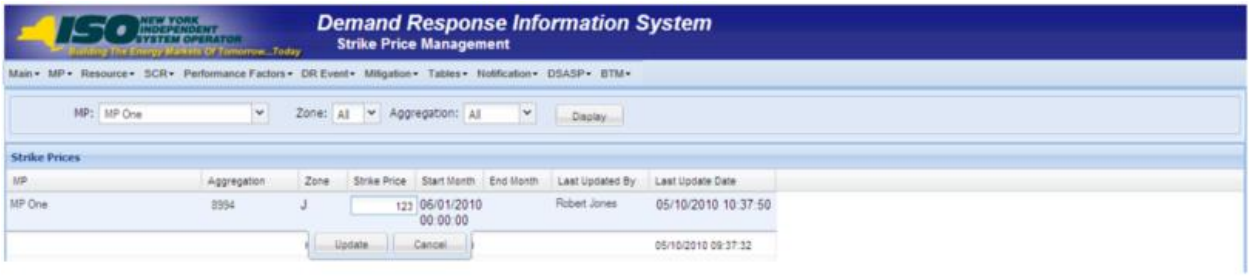
3. Click the **Display** button.

   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*).

4. In the **Strike Prices** grid, double-click the row housing the previously changed strike price to be updated.

   The system opens the row for purposes of editing the strike price (see Figure 135).

Figure 135: 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 0, "

- 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 134).

   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 0 "

- 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.

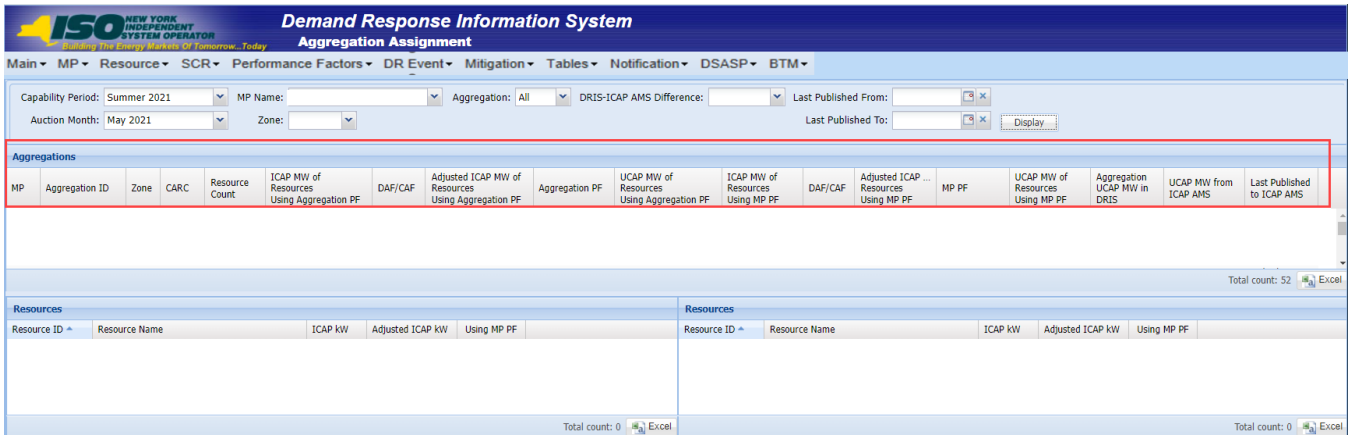
4. Near the top of the page, activate the **Display** button.

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, 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 136).

6. The Aggregations grid displays the DAF/CAF which represents the Duration Adjustment Factor ("DAF") from Summer 2021 to Winter 2023-2024. Beginning Summer 2024, the Capacity Accreditation Factor ("CAF") and the applicable Capacity Accreditation Resource Class ("CARC") are 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 136: Aggregation Assignment Page).

> ***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 136: Aggregation Assignment Page



To view data for resources assigned to the aggregation

1. From the **SCR** menu, choose **Aggregation Assignment**.
2. The system displays the Aggregation Assignment page.
3. 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.
5. 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 136).
7. The Aggregations grid displays the DAF/CAF which represents the Duration Adjustment Factor ("DAF") from Summer 2021 to Winter 2023-2024. Beginning Summer 2024, the Capacity

Accreditation Factor ("CAF") and the applicable Capacity Accreditation Resource Class ("CARC") are 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 136: Aggregation Assignment Page).

> ***Note:*** The DAF/CAF and Adjusted ICAP MW columns will be empty prior to the Summer 2021 Capability Period.

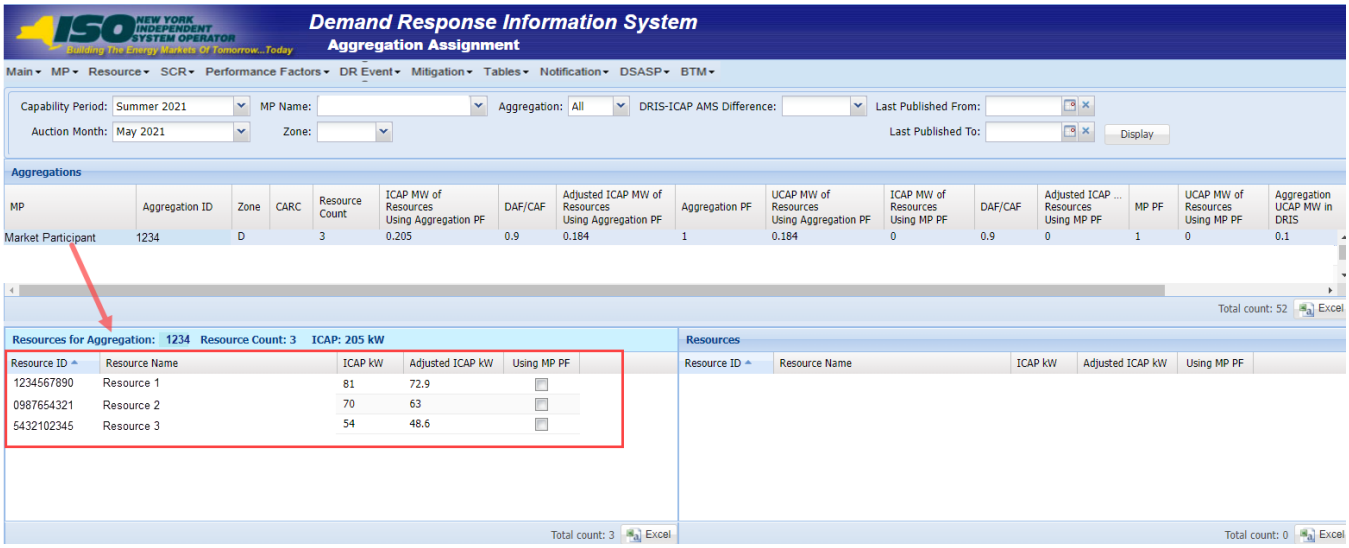
8. From the **Aggregations** grid, click and drag to one of the panes in the lowermost frame the aggregation for which details will be viewed.

   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 137).

   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.

Figure 137: Aggregation Assignment Page Showing Resources for an Aggregation



10.2.3.1. 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).

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 0, "

- Accessing the System").

To view aggregation performance factors and UCAP 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.

4. Near the top of the page, activate the **Display** button.

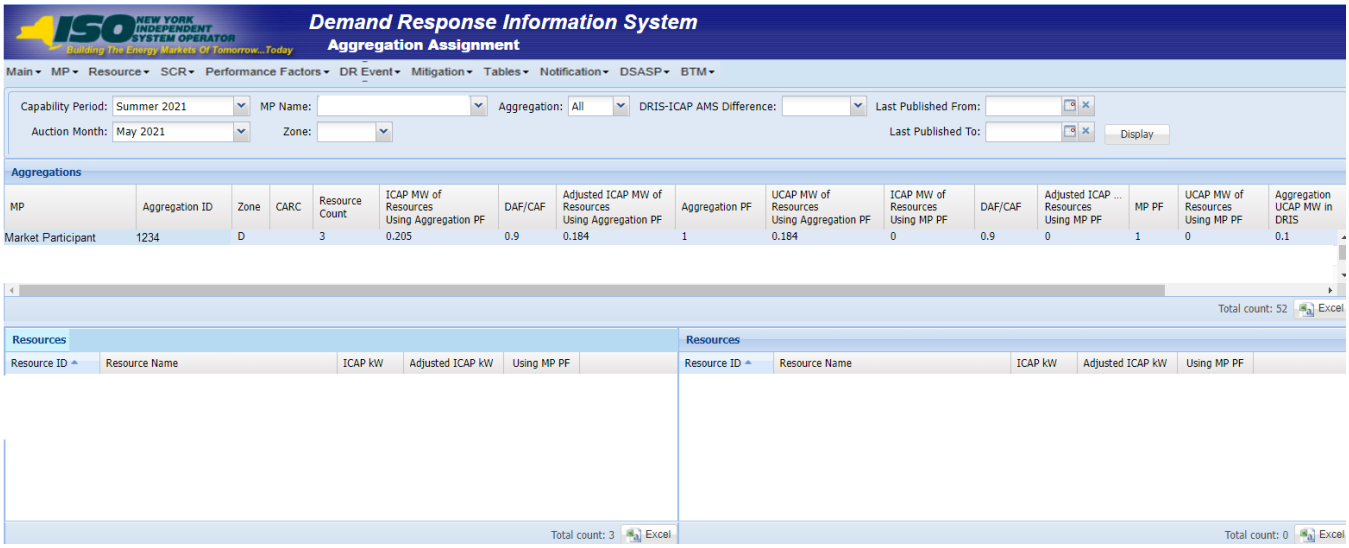
5. The Aggregations grid below the filters refreshes to display data for each aggregation meeting the criteria chosen at steps 2 and 3, including the aggregation ID, Zone, resource count, and the ICAP and Adjusted ICAP MW of resources using the aggregation performance factor in the aggregation UCAP calculation and the MP performance factor in the aggregation UCAP calculation (see Figure 138).

6. The Aggregations grid displays the DAF/CAF which represents the Duration Adjustment Factor ("DAF") from Summer 2021 to Winter 2023-2024. Beginning Summer 2024, the Capacity Accreditation Factor ("CAF") and the applicable Capacity Accreditation Resource Class ("CARC") are 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 138).

7. In addition, the following data is now made viewable: aggregation performance factor and aggregation UCAP MW in DRIS (see Figure 138).

> ***Note:*** The DAF/CAF and Adjusted ICAP MW columns will be empty prior to the Summer 2021 Capability Period.

Figure 138: Aggregation Assignment Screen Showing Aggregation Performance Factor and UCAP Value



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 0, "

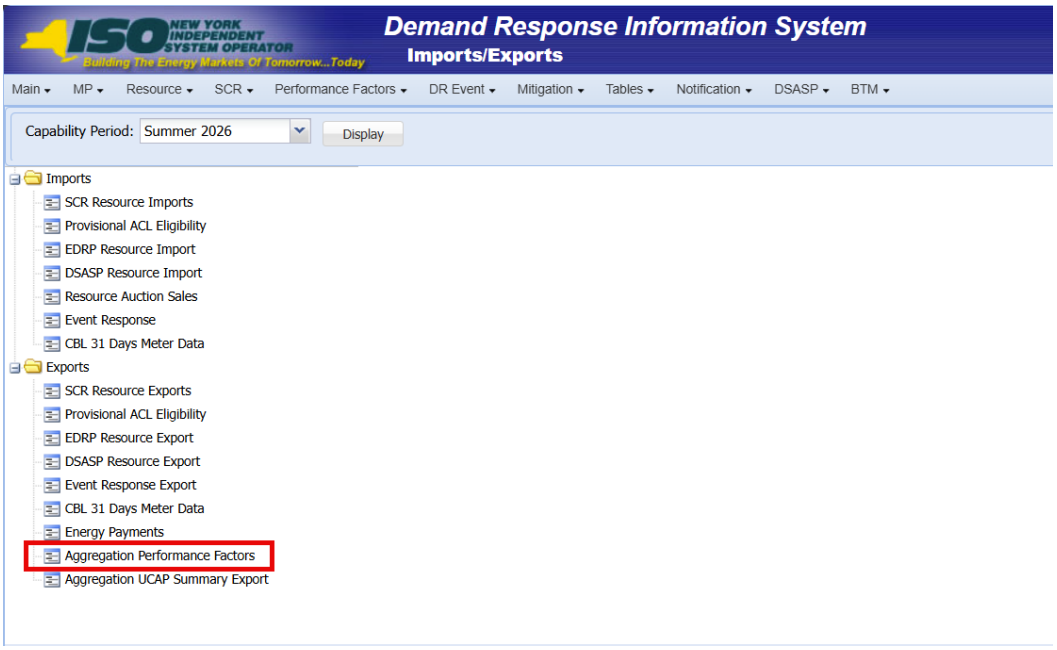
- Accessing the System").

To export aggregation performance factor details

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

   The system displays the Imports/Exports page (see Figure 139).

Figure 139: Import/Export Page Showing Aggregation Performance Factors Export Option



2. 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.

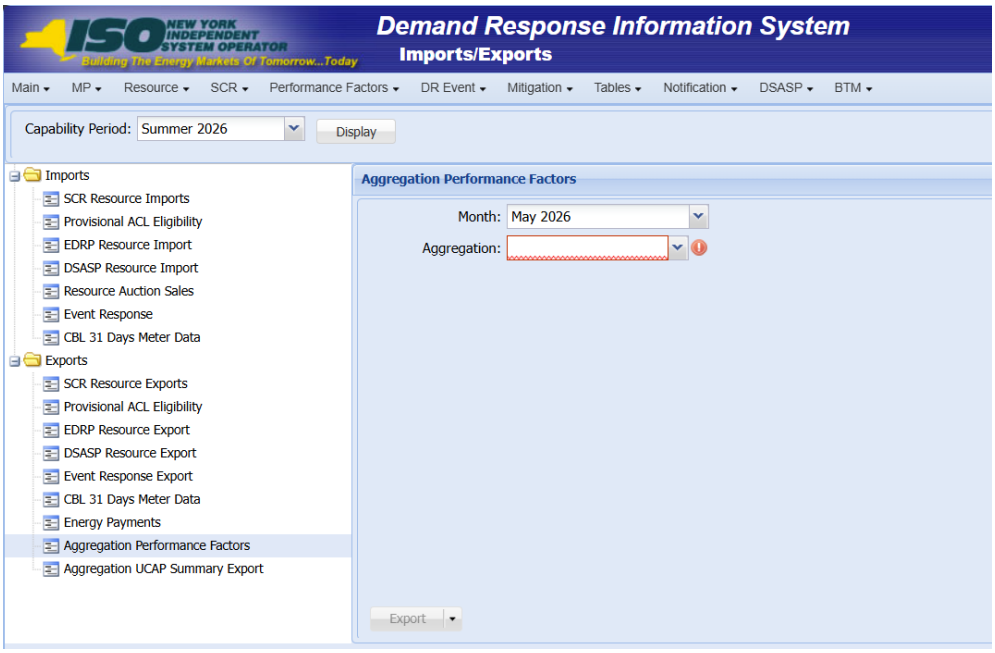
3. Beside the Capability Period filter, click the **Display** button.

   The system makes available the middle frame.

4. Under the Exports heading in the left pane of the middle frame, choose **Aggregation 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 140).

Figure 140: Filters for Exporting an Aggregation Performance Factors File



5. From the corresponding filter in the right pane of the middle frame, choose the applicable **Month and Aggregation**.

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 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 141).

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 141).

Figure 141: Aggregation Performance Factors Export File

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R
1	Summer 2012																	
2	May																	
3	Aggregation 1234																	
4																		
5	Event Type	Event Date/HB	Resource 1	Resource 2	Resource 3	Resource 4	Resource 5	Resource 6	Resource 7	Resource 8	Agg DV MW	Agg Net ACL MW	Agg AMD MW	Agg Capacity Reduction MW	Agg Raw PF	Agg Adjusted PF	Hour	Agg PF
6	Test	02/15/2011 15:00																
7		Resource ID	11111111	2222222	3333333	4444444	5555555	6666666	7777777	8888888	0.8	2.5	0	0	0	0	1	
8		Resource DV	*	264	113	59			80	45								
9		Resource Net ACL	*	290	226	119			936	324								
10		Resource AMD	*															
11		Resource Capacity Reduction	*	0	0	0			0	0								
12																		
13	Test	03/31/2011 11:00																
14		Resource ID	11111111	2222222	3333333	4444444	5555555	6666666	7777777	8888888								
15		Resource DV					*	100										
16		Resource Net ACL					*	106										
17		Resource AMD					*											
18		Resource Capacity Reduction					*	0										
19																		
20	Test	07/19/2011 16:00																
21		Resource ID	11111111	2222222	3333333	4444444	5555555	6666666	7777777	8888888	2.1	3.6	4.5	0.9	0.4366	0.4366	1	
22		Resource DV	13	650	115	60	*	831	415	2								
23		Resource Net ACL	653	0	155	70	*	2206	0	451								
24		Resource AMD	664			64.4	*	1380	1776	577.4								
25		Resource Capacity Reduction	0	0	0	64.4	*	826	0	0								
26																		

3. For each resource within the aggregation, the following enrollment data and event or test hourly response data is displayed (see Figure 142):

   - *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:*
     - Equal to Net ACL – AMD for resources enrolled with a Response Type C or B. When the resource's Capacity Reduction is negative, it is set to zero.

- Equal to AMD for resources enrolled with Response Type G

- *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

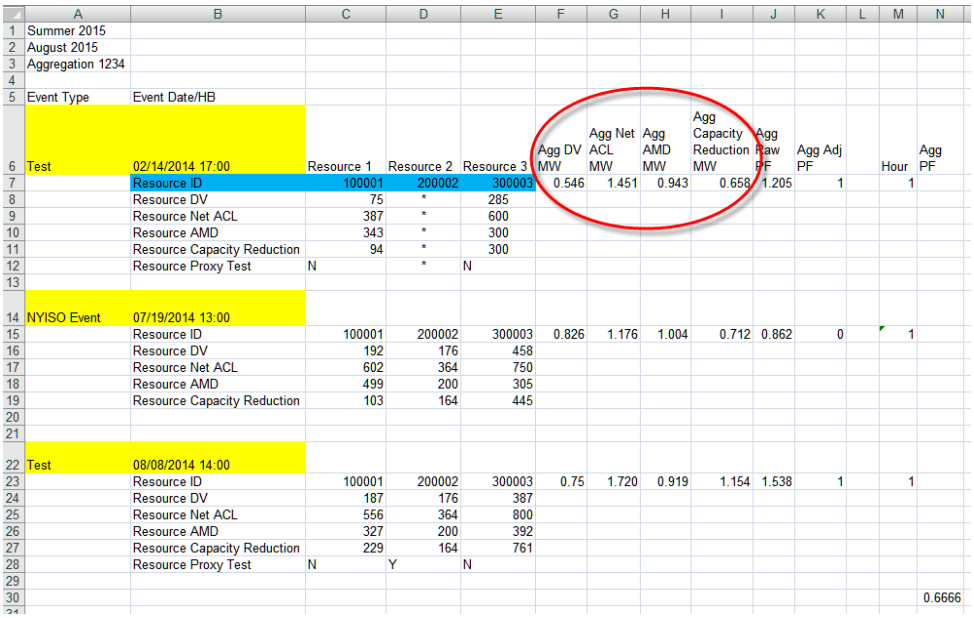
> ***Note:*** On the Aggregation Performance Factor Export, an asterisk is displayed in place of the resource enrollment and response values during periods when the resource was enrolled with another MP. The values masked by the asterisks are included in the Hourly Aggregation values and the final Aggregation Performance Factor calculation.

Figure 142: Aggregation Performance Factors Export File

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	Summer 2015													
2	August 2015													
3	Aggregation 1234													
4														
5	Event Type	Event Date/HB												
6	Test	02/14/2014 17:00	Resource 1	Resource 2	Resource 3	Agg DV MW	Agg Net ACL MW	Agg AMD MW	Agg Capacity Reduction MW	Agg Raw PF	Agg Adj PF		Hour	Agg PF
7		Resource ID	100001	200002	300003	0.546	1.451	0.943	0.658	1.205	1		1	
8		Resource DV	75	*	285									
9		Resource Net ACL	387	*	600									
10		Resource AMD	343	*	300									
11		Resource Capacity Reduction	94	*	300									
12		Resource Proxy Test	N	*	N									
13														
14	NYISO Event	07/19/2014 13:00												
15		Resource ID	100001	200002	300003	0.826	1.176	1.004	0.712	0.862	0		1	
16		Resource DV	192	176	458									
17		Resource Net ACL	602	364	750									
18		Resource AMD	499	200	305									
19		Resource Capacity Reduction	103	164	445									
20														
21														
22	Test	08/08/2014 14:00												
23		Resource ID	100001	200002	300003	0.75	1.720	0.919	1.154	1.538	1		1	
24		Resource DV	187	176	387									
25		Resource Net ACL	556	364	800									
26		Resource AMD	327	200	392									
27		Resource Capacity Reduction	229	164	761									
28		Resource Proxy Test	N	Y	N									
29														
30														0.6666

4. 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 143).

Figure 143: Aggregation Performance Factors Export File

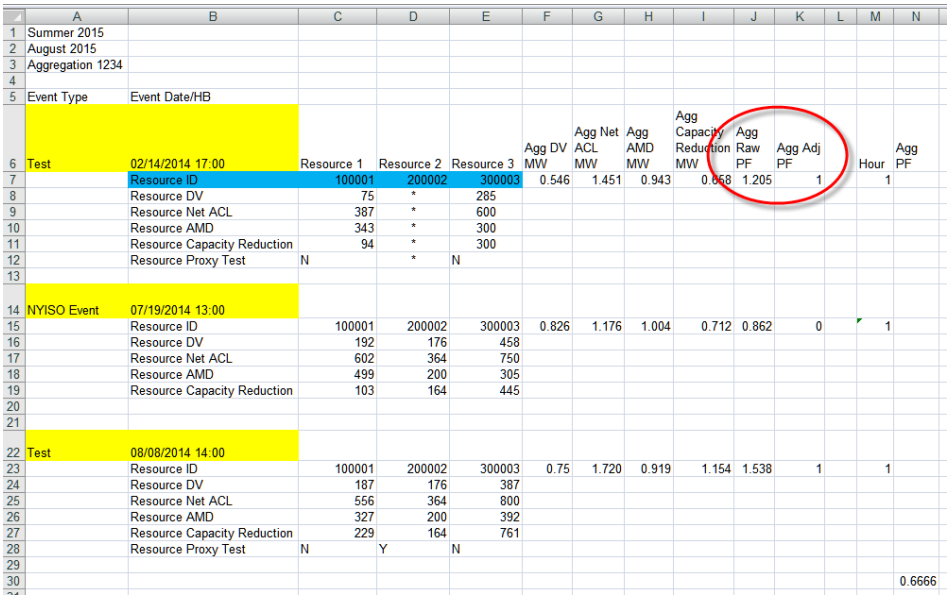


	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	Summer 2015													
2	August 2015													
3	Aggregation 1234													
4														
5	Event Type	Event Date/HB												
6	Test	02/14/2014 17:00	Resource 1	Resource 2	Resource 3	Agg DV MW	Agg Net ACL MW	Agg AMD MW	Agg Capacity Reduction MW	Agg Raw PF	Agg Adj PF		Hour	Agg PF
7		Resource ID	100001	200002	300003	0.546	1.451	0.943	0.658	1.205	1		1	
8		Resource DV	75	*	285									
9		Resource Net ACL	387	*	600									
10		Resource AMD	343	*	300									
11		Resource Capacity Reduction	94	*	300									
12		Resource Proxy Test	N	*	N									
13														
14	NYISO Event	07/19/2014 13:00												
15		Resource ID	100001	200002	300003	0.826	1.176	1.004	0.712	0.862	0		1	
16		Resource DV	192	176	458									
17		Resource Net ACL	602	364	750									
18		Resource AMD	499	200	305									
19		Resource Capacity Reduction	103	164	445									
20														
21														
22	Test	08/08/2014 14:00												
23		Resource ID	100001	200002	300003	0.75	1.720	0.919	1.154	1.538	1		1	
24		Resource DV	187	176	387									
25		Resource Net ACL	556	364	800									
26		Resource AMD	327	200	392									
27		Resource Capacity Reduction	229	164	761									
28		Resource Proxy Test	N	Y	N									
29														
30														0.6666

5. Additional hourly event or test values are displayed for the aggregation which include (see Figure 144):

   - *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 144: Aggregation Performance Factors Export File

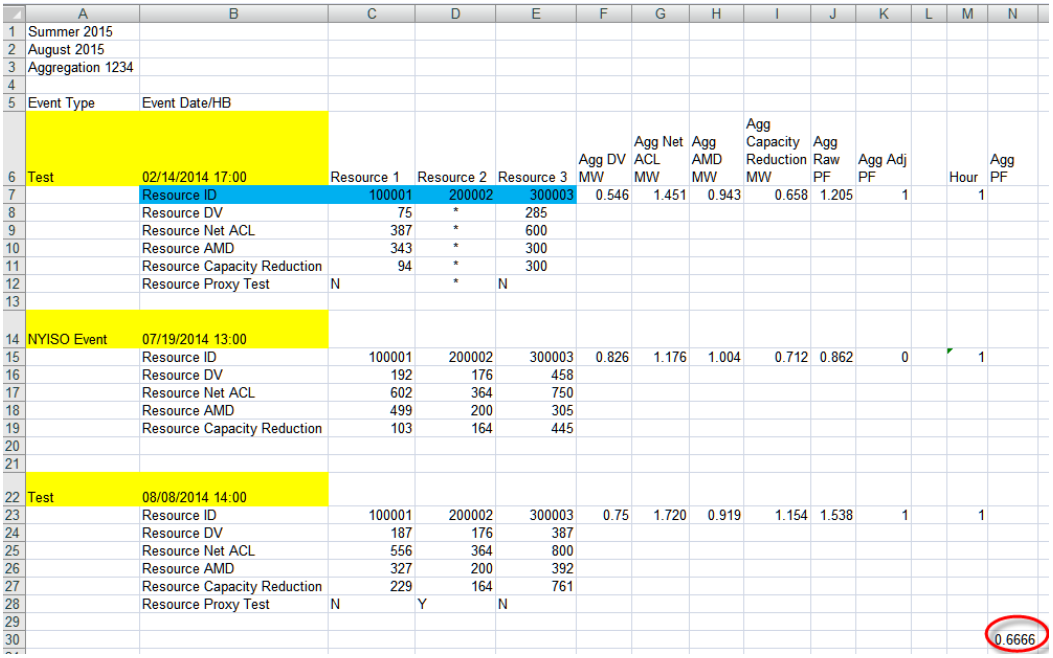


	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	Summer 2015													
2	August 2015													
3	Aggregation 1234													
4														
5	Event Type	Event Date/HB												
6	Test	02/14/2014 17:00	Resource 1	Resource 2	Resource 3	Agg DV MW	Agg Net ACL MW	Agg AMD MW	Agg Capacity Reduction MW	Agg Raw PF	Agg Adj PF		Hour	Agg PF
7		Resource ID	100001	200002	300003	0.546	1.451	0.943	0.658	1.205	1		1	
8		Resource DV	75	*	285									
9		Resource Net ACL	387	*	600									
10		Resource AMD	343	*	300									
11		Resource Capacity Reduction	94	*	300									
12		Resource Proxy Test	N	*	N									
13														
14	NYISO Event	07/19/2014 13:00												
15		Resource ID	100001	200002	300003	0.826	1.176	1.004	0.712	0.862	0		1	
16		Resource DV	192	176	458									
17		Resource Net ACL	602	364	750									
18		Resource AMD	499	200	305									
19		Resource Capacity Reduction	103	164	445									
20														
21														
22	Test	08/08/2014 14:00												
23		Resource ID	100001	200002	300003	0.75	1.720	0.919	1.154	1.538	1		1	
24		Resource DV	187	176	387									
25		Resource Net ACL	556	364	800									
26		Resource AMD	327	200	392									
27		Resource Capacity Reduction	229	164	761									
28		Resource Proxy Test	N	Y	N									
29														
30														0.6666

6. The calculated aggregation performance factor is located in the lower right corner of the export (see Figure 145).

    - *Agg PF* = Sum of the hourly Agg Adjusted PFs which are included (as indicated by a "1" in the **Hour** column) / Sum of **Hours**

Figure 145: Aggregation Performance Factors Export File



	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	Summer 2015													
2	August 2015													
3	Aggregation 1234													
4														
5	Event Type	Event Date/HB												
6	Test	02/14/2014 17:00	Resource 1	Resource 2	Resource 3	Agg DV MW	Agg Net ACL MW	Agg AMD MW	Agg Capacity Reduction MW	Agg Raw PF	Agg Adj PF		Hour	Agg PF
7		Resource ID	100001	200002	300003	0.546	1.451	0.943	0.658	1.205	1		1	
8		Resource DV	75	*	285									
9		Resource Net ACL	387	*	600									
10		Resource AMD	343	*	300									
11		Resource Capacity Reduction	94	*	300									
12		Resource Proxy Test	N	*	N									
13														
14	NYISO Event	07/19/2014 13:00												
15		Resource ID	100001	200002	300003	0.826	1.176	1.004	0.712	0.862	0		1	
16		Resource DV	192	176	458									
17		Resource Net ACL	602	364	750									
18		Resource AMD	499	200	305									
19		Resource Capacity Reduction	103	164	445									
20														
21														
22	Test	08/08/2014 14:00												
23		Resource ID	100001	200002	300003	0.75	1.720	0.919	1.154	1.538	1		1	
24		Resource DV	187	176	387									
25		Resource Net ACL	556	364	800									
26		Resource AMD	327	200	392									
27		Resource Capacity Reduction	229	164	761									
28		Resource Proxy Test	N	Y	N									
29														
30														0.6666

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 0, "

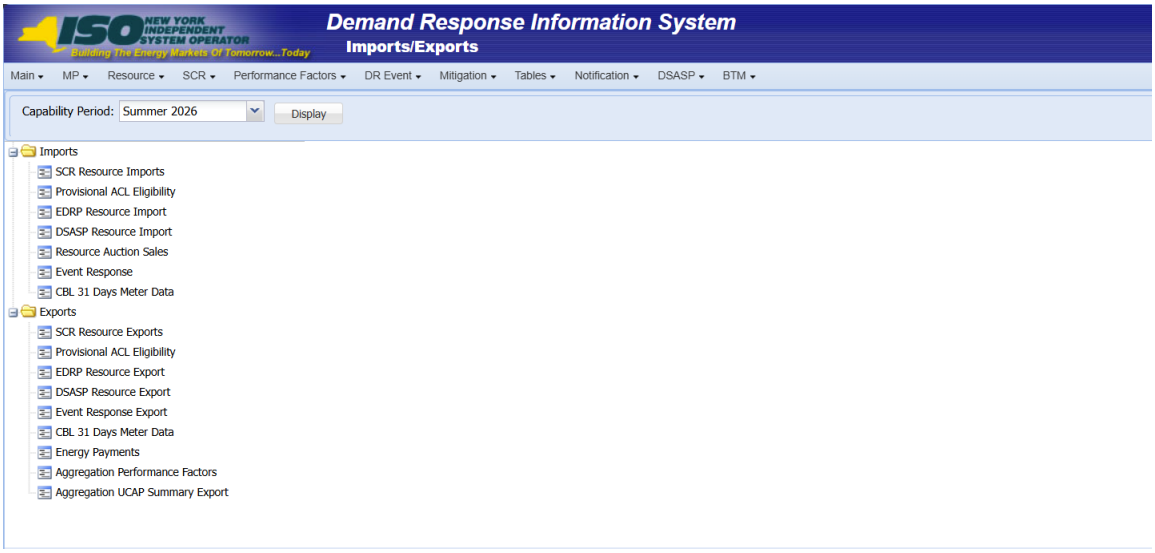
- Accessing the System").

To export summary of aggregation UCAP values

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

   The system displays the Imports/Exports page (see Figure 146).

Figure 146: Import/Export Page as Initially Displayed



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.

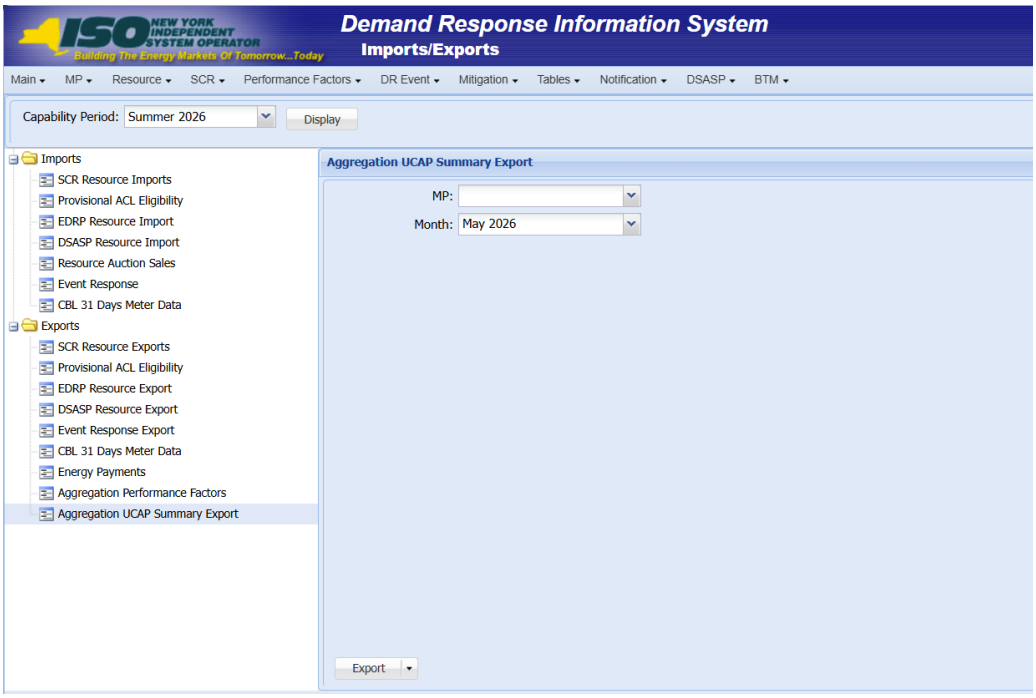
3. Beside the Capability Period filter, click the **Display** button.

   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 147).

Figure 147: 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

1. 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 148).

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 148: Aggregation UCAP Summary Export File

	A	B	C	D	E	F	G	H	I	J
1	Capability Period=Summer 2012&									
2	Auction Month=July 2012&									
3										
4	MP Name	Aggregation ID	May	June	July	August	September	October	UCAP MW Difference	Under Review or Pending Resources
5	Market Participant	1234	7	7	8				1	
6	Market Participant	5678	10	9	12				3	
7	Market Participant	1111	320	320	320				0	
8	Market Participant	2222	45	46	45				-1	
9										
10										
11										
12										
13										

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 0, "

- Accessing the System").

To move resources between aggregations

1. From the **SCR** menu, choose **Aggregation Assignment**.

   The system displays the Aggregation Assignment page.

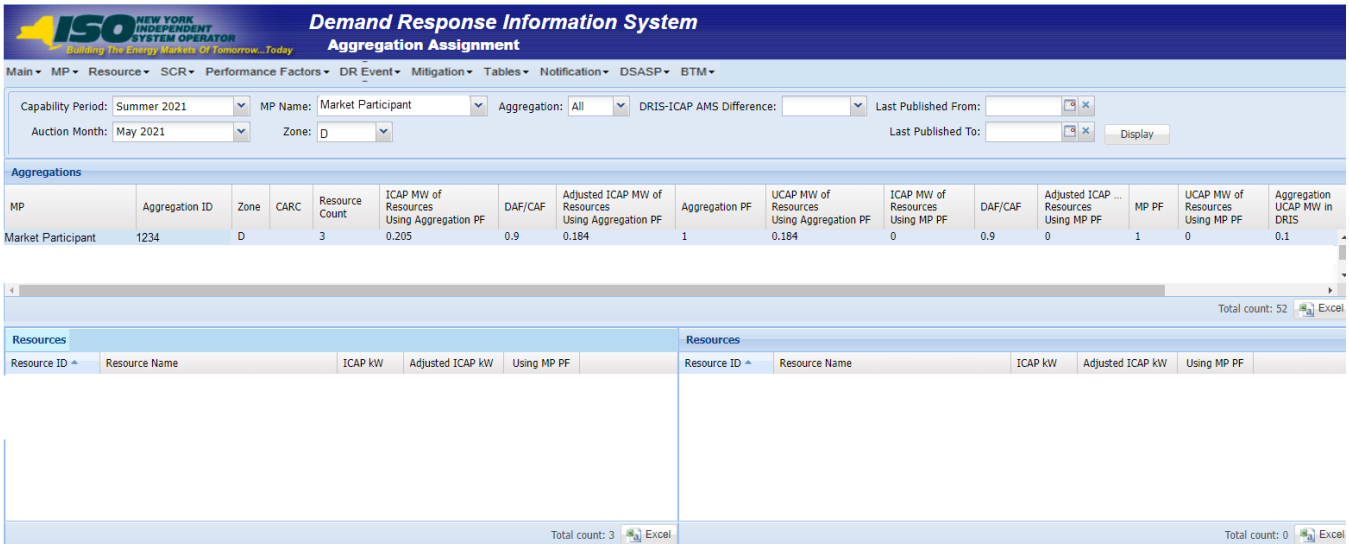
2. From the corresponding search filters near the top of the page, choose the applicable **Capability Period** and **Auction Month** (see Figure 149).

   > ***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).

3. Optionally, further limit the scope of aggregations to be displayed by the system to only the 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.

Figure 149: 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, 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.

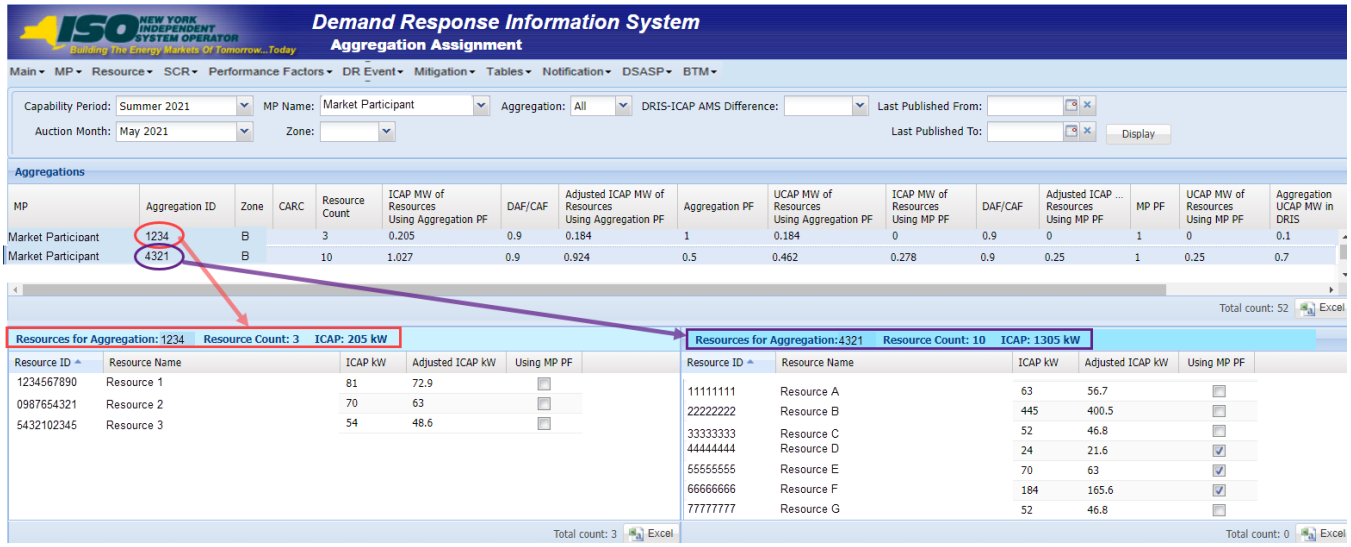
5. From the **Aggregations** grid, click and drag to one of the panes in the lowermost frame the *first* aggregation between which resources are to be moved.

   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 150).

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 150).

Figure 150: Aggregation Assignment Page Post Preparation for Resource Reassignment



7. 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).

8. Move the resource(s) selected at step 7 from the current aggregation to the target 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.

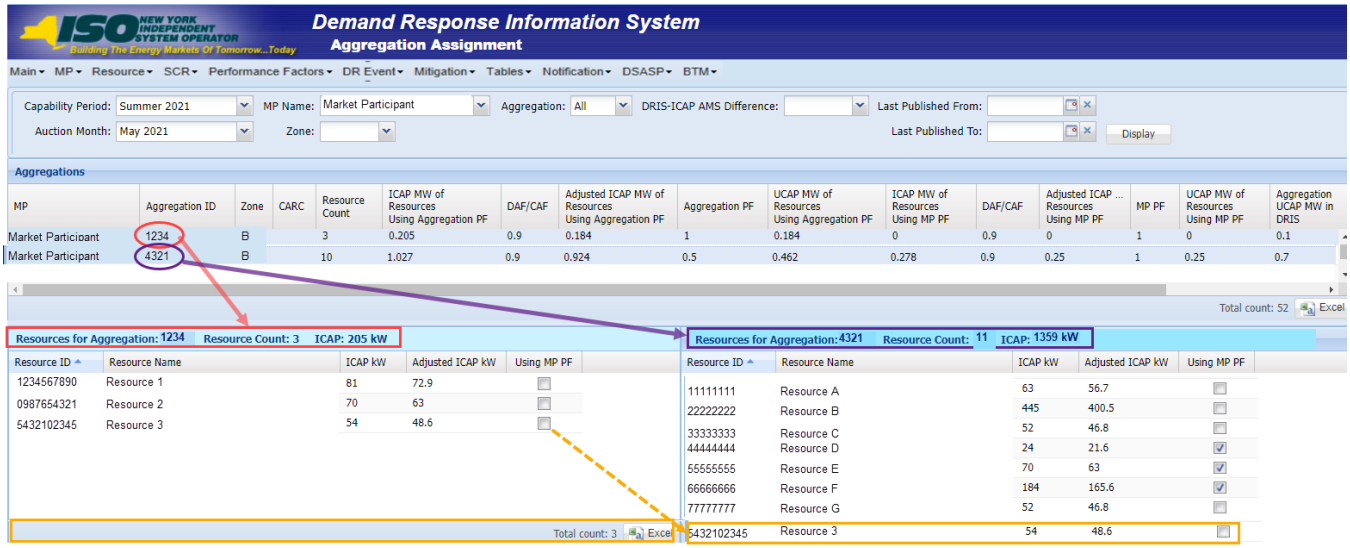
   The system displays listings for the resources at the top of the destination pane and automatically recalculates and displays at the top of both panes the number of resources and total ICAP value for the aggregations between which the resources were moved (see Figure 151).

   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 resources 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.

10. To move resources between aggregations other than those previously selected, repeat steps 5 through 8.

Figure 151: 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 0, "

- 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**.

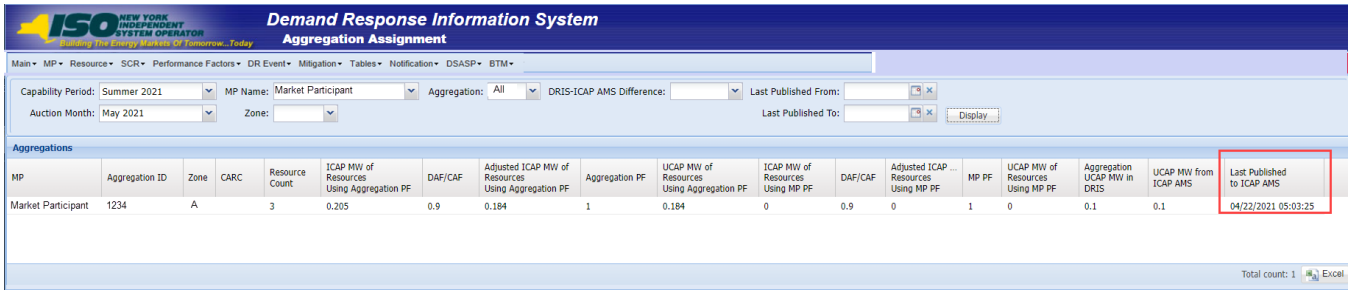
3. Optionally, further limit the scope of aggregation data to be displayed to a specific **Zone** by choosing the applicable option from the corresponding search filter near the top of the page.

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 MW (see Figure 152).

5. The *UCAP MW Values from ICAP AMS* and the *Last Published to ICAP AMS* dates are viewable on the aggregation grid page (see Figure 152).

Figure 152: 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 0, "

- 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.

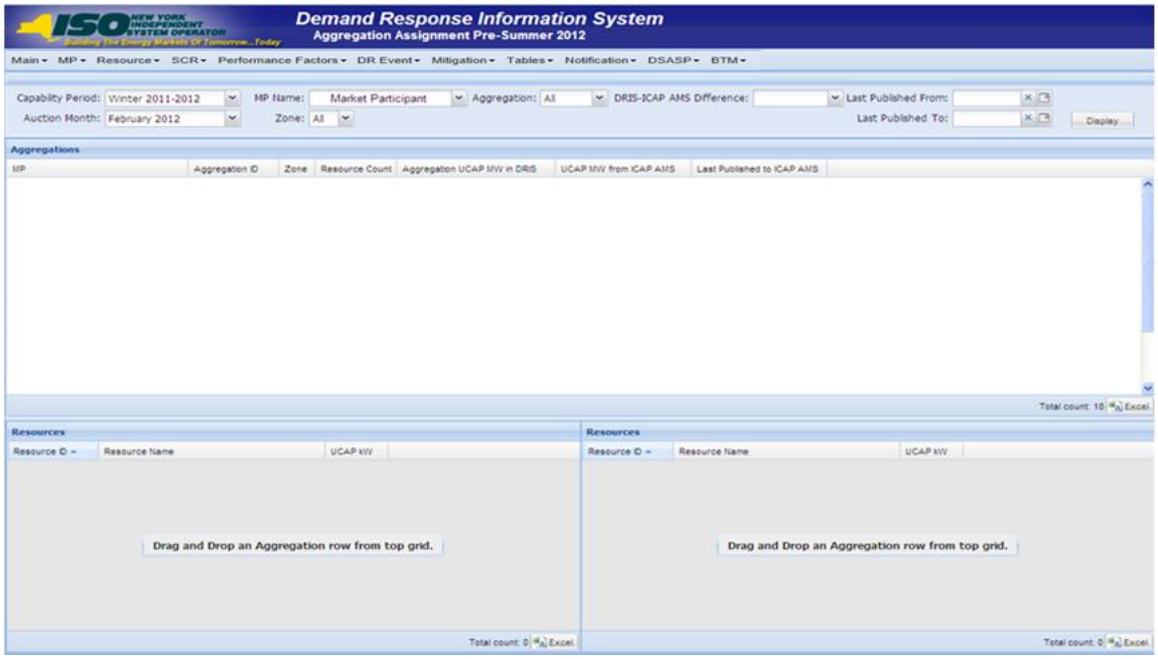
3. Optionally, further limit the scope of aggregation data to be displayed by the system to a specific **Zone** by choosing the applicable option from the corresponding search filter near the top of the page.

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 153).

> ***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 153: Aggregation Assignment Pre-Summer 2012 Page



To view data for resources assigned to the aggregation 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 154).

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.

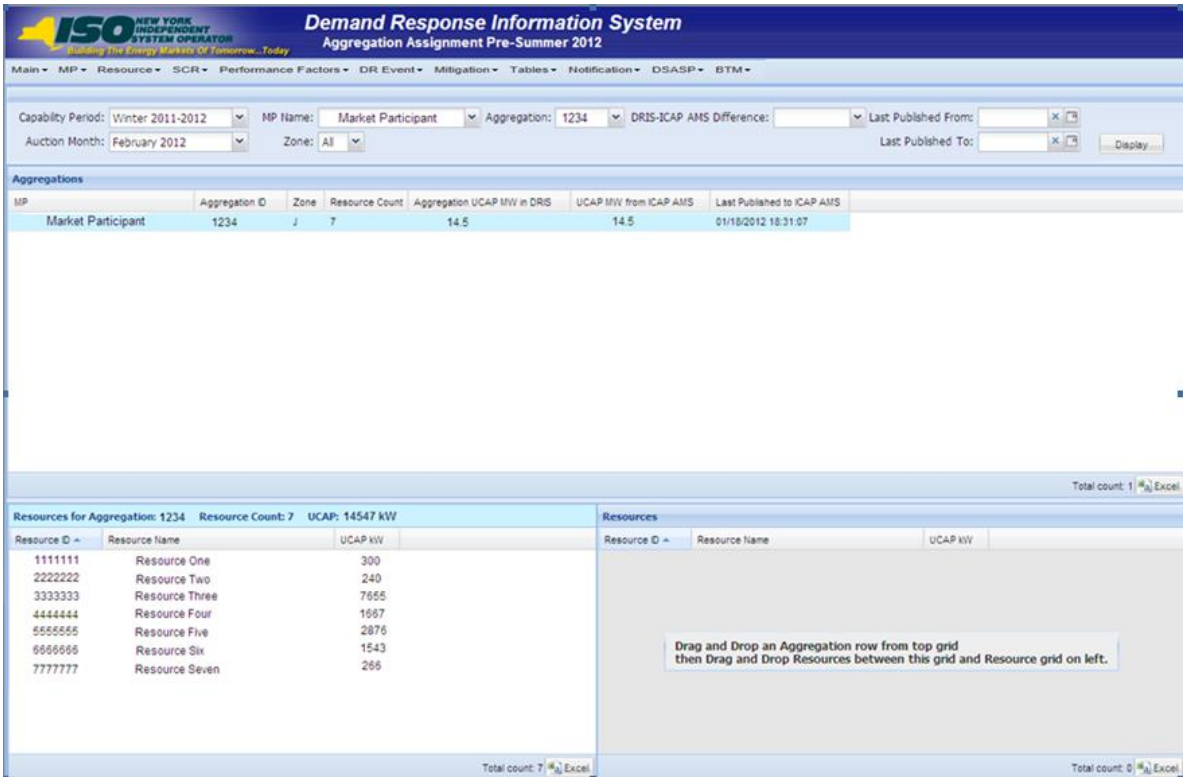
6. The system displays in the target pane all resources assigned to the aggregation and highlights the row in the Aggregations grid the same color as the title bar in the destination pane (see

7. Figure 154).

   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 154: 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 (MW value of UCAP sold for the Aggregation, Capability Period, and Month, posted in DRIS from the ICAP Market System)
- Calculated MW (MW value of UCAP calculated by DRIS for the Aggregation, Capability Period, and Month, as reflected in the UCAP report exportable from DRIS)
- Assigned MW (MW value of the sum of kW 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 MW have been posted in DRIS for the Capability Period and auction month selected.
- The MP has logged in to DRIS, as outlined under Section 0, "

- 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 155).

2. From the corresponding search filter(s) in the uppermost frame on the Summary of Aggregation Auction Sales page (see Figure 155), choose the **Capability Period** and the **Month** for which the system should display aggregation auction sales.

Figure 155: Summary of Aggregation Auction Sales Page Search Filters

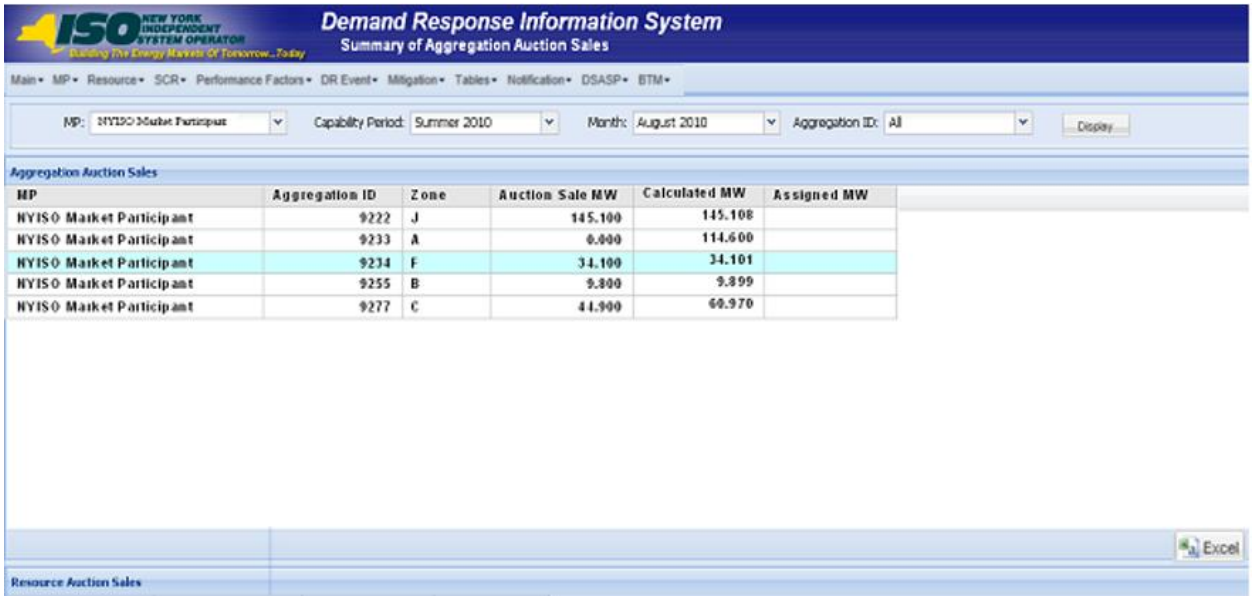


3. Optionally, further limit the scope of aggregation auction sales to be displayed by the system to only a specific **Aggregation ID** by choosing the applicable option from the corresponding search filter near the top of the page.

4. Near the top of the Summary of Aggregation Auction Sales page, click the **Display** button.

   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 156).

Figure 156: 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 156).

To view resource auction sales

1. From the **SCR** menu, choose **Auction Sale Summary.**

   The system displays the Summary of Aggregation Auction Sales page (see Figure 155).

2. From the corresponding search filter(s) in the uppermost frame on the Summary of Aggregation Auction Sales page (see Figure 155), 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.

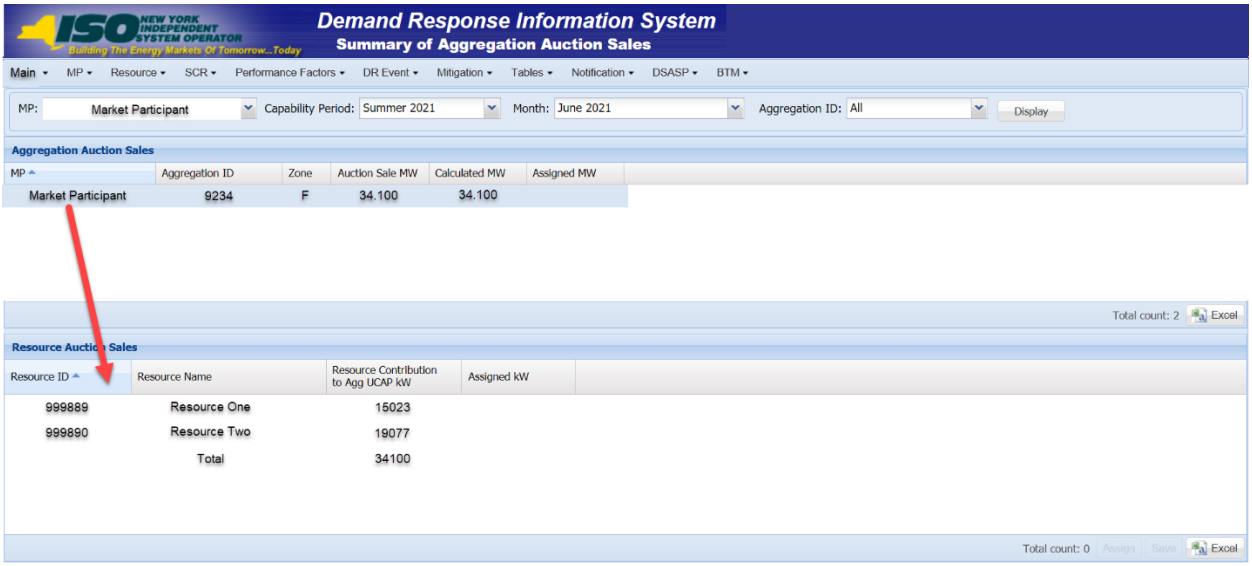
4. Near the top of the Summary of Aggregation Auction Sales page, click the **Display** button.

   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 156).

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 157).

Figure 157: 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 AMS, 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 timeframe, 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 156).

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 0, "

- Accessing the System").

10.4.1. Creating a Resource Auction Sales File

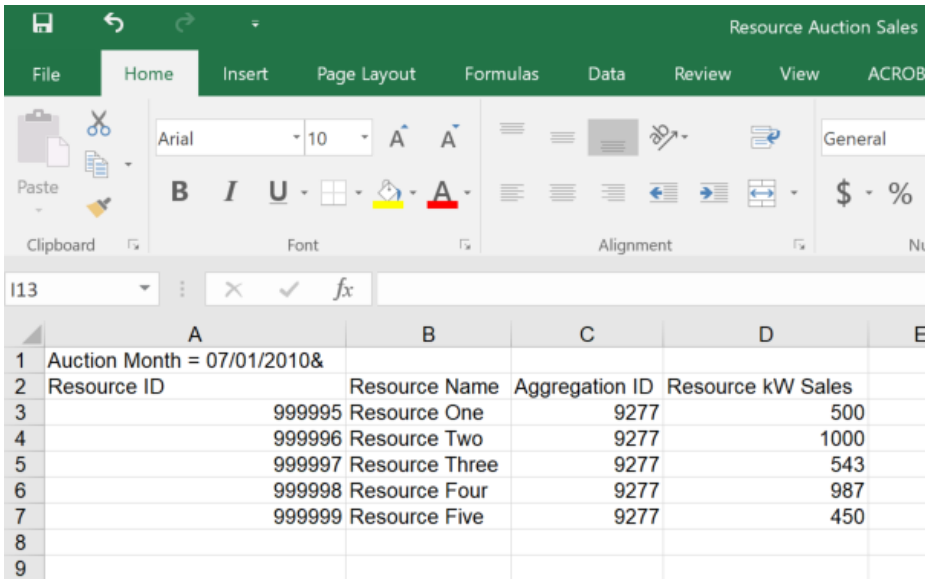
When electing to allocate partial auction sales through an import file, it is the responsibility of the MP to perform the following:

1. 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 to 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.

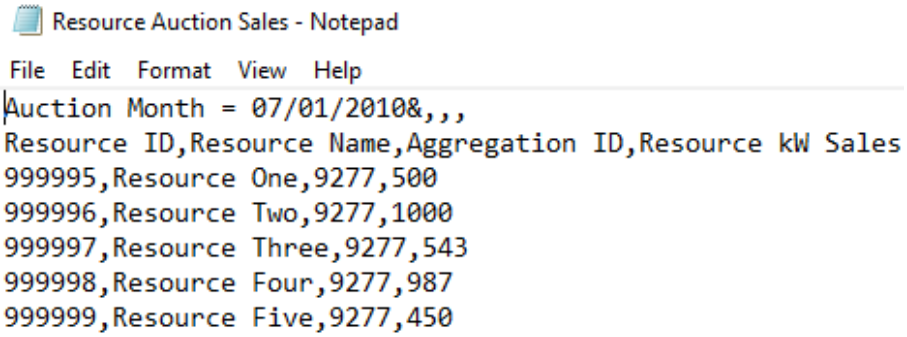
As illustrated by the sample resource auction sales files in Figure 158 and Figure 159, the file must contain header data in the form of the auction month for which the resource partial sales are being reported. The file must also contain a set of data for each resource being reported for the auction month, and may contain column headings.

Figure 158: Sample Resource Auction Sales File in Excel (.XLSX) Format



	A	B	C	D	E
1	Auction Month = 07/01/2010&				
2	Resource ID	Resource Name	Aggregation ID	Resource kW Sales	
3	999995	Resource One	9277	500	
4	999996	Resource Two	9277	1000	
5	999997	Resource Three	9277	543	
6	999998	Resource Four	9277	987	
7	999999	Resource Five	9277	450	
8					
9					

Figure 159: Sample Resource Auction Sales File in .CSV Format



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 160 and Figure 161 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 https://www.nyiso.com/demand-response (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 160: 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.

Figure 161: 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 Name	B	Text Up to 100 characters	The name of the SCR resource.	N/A
Aggregation ID	C	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.
Resource kW Sales	D	Numeric Up to 7 digits No decimals	Must be >= 0 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 greater than or equal to zero. Resource <Resource ID> sales must be less than or equal to the Calculated UCAP value <UCAP Value> for the auction month.

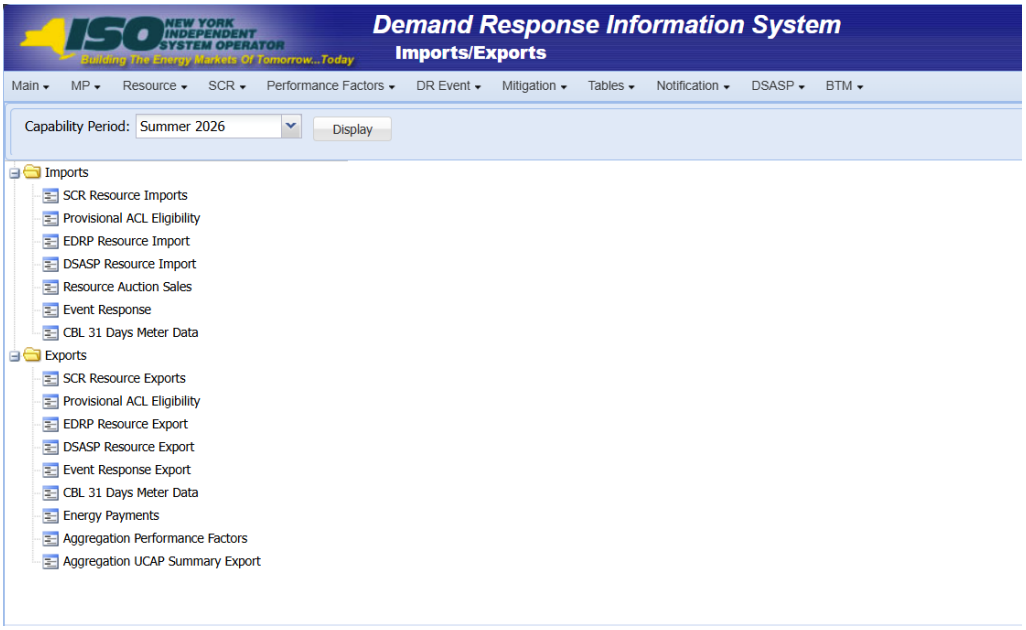
10.4.2. Importing the Resource Auction Sales File

To import a resource auction sales file

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

   The system displays the Imports/Exports page (see Figure 162).

Figure 162: 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.

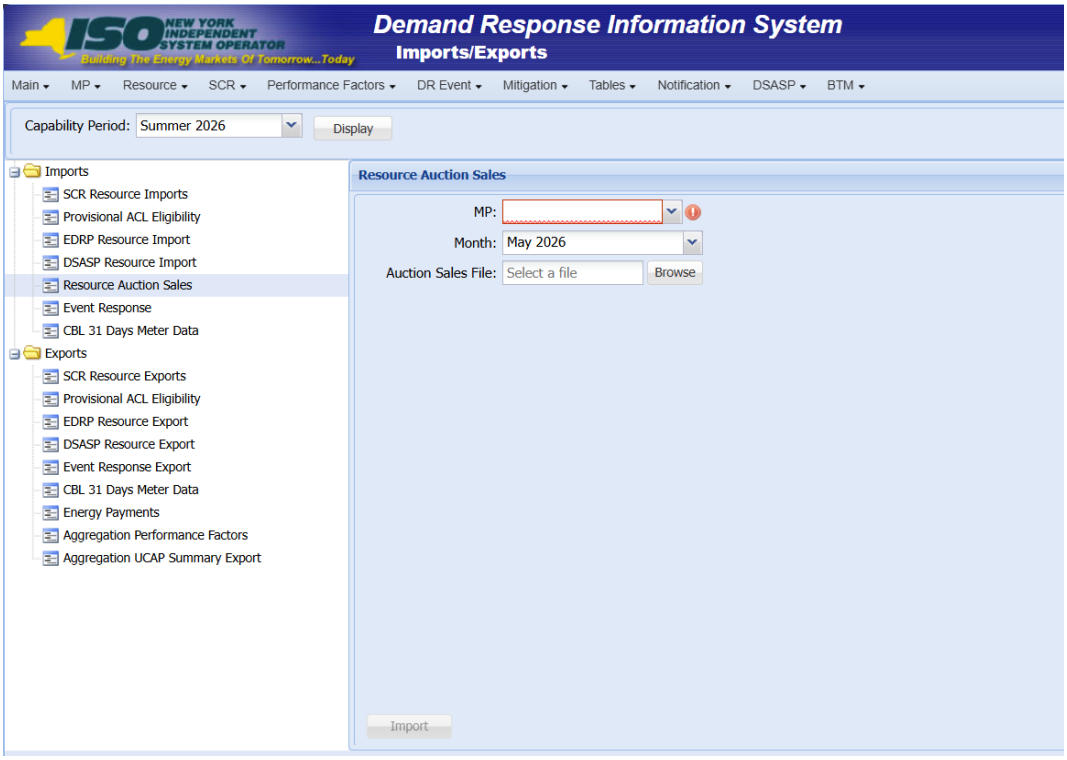
3. Beside the Capability Period filter, click the **Display** button.

   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.

4. On the left side of the middle frame and under the **Imports** heading, click **Resource Auction Sales**.

   The area to the right refreshes to display input components specific to the month for which the import is being performed (see Figure 163).

Figure 163: 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.

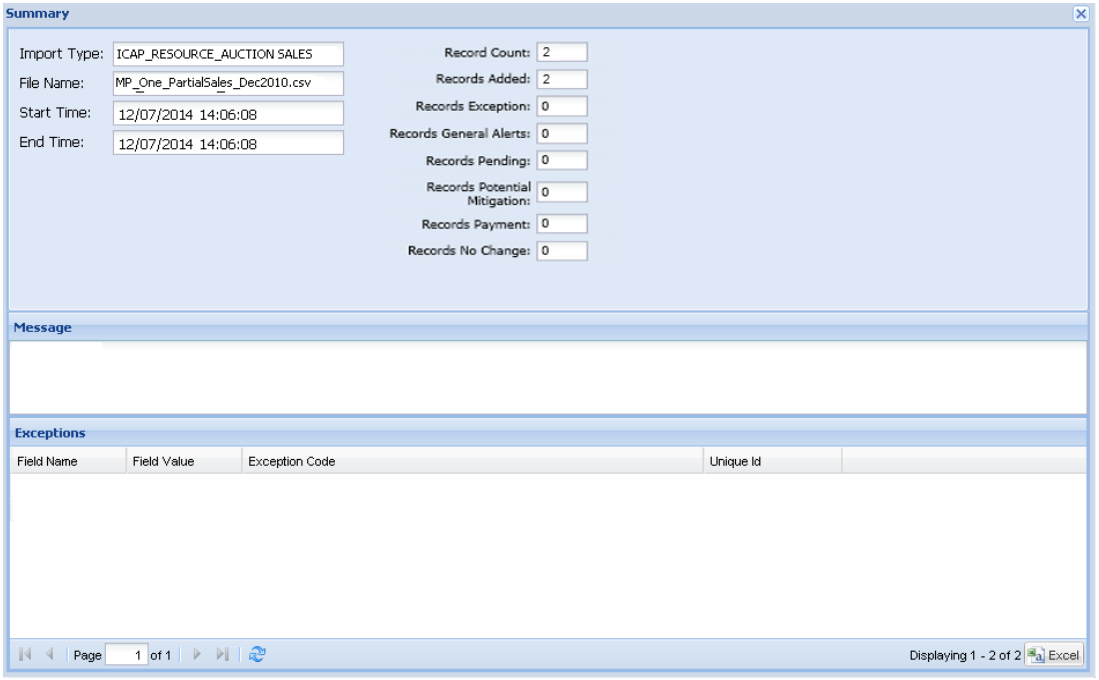
   The File Upload dialog box closes, and the system populates the Auction Sales File field in the right pane of the middle frame with the name of the chosen file.

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 164).

9. Review the import results and proceed accordingly, as outlined in Section 10.4.3.

Figure 164: 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 165).

> ***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 165: Sample Exceptions Report for Resource Auction Sales File Import

	A	B	C	D	E
1	File NameMP_One_PartialSales_Dec2010.csv				
2	MP NameMP_One				
3	User				
4	Upload Type	ICAP_RESOURCE_AUCTION_SALES			
5	Capability Period	Winter 2010-2011			
6	Auction Month	Dec-10			
7	Start Date of Import	12/07/2010 12:44:11 EST			
8	End Date of Import	12/07/2010 12:44:25 EST			
9	Records in File	1			
10	Records Saved	0			
11	Records Pending Approval	0			
12	Records With Exceptions	1			
13	Records With Energy Payment	0			
14	Records With Potential InCity	0			
15	Records With No Change in DRIS	0			
16					
17	Reference #	Message Type	Field	Value Supplied	Message
18	Resource kW Sales	Exception	Resource kW Sales	3200	Resource sales of 3.200 must be equal to or greater than the AGG 9537 sales of 3.500
19	Aggregation ID	Exception	Aggregation ID	9537	Cannot allocate auction sales to aggregation 9537 because the aggregation was not a partial sale
20					

Pre-requisite

- The MP representative performing the task is logged in to DRIS (see Section 0, "

- Accessing the System").

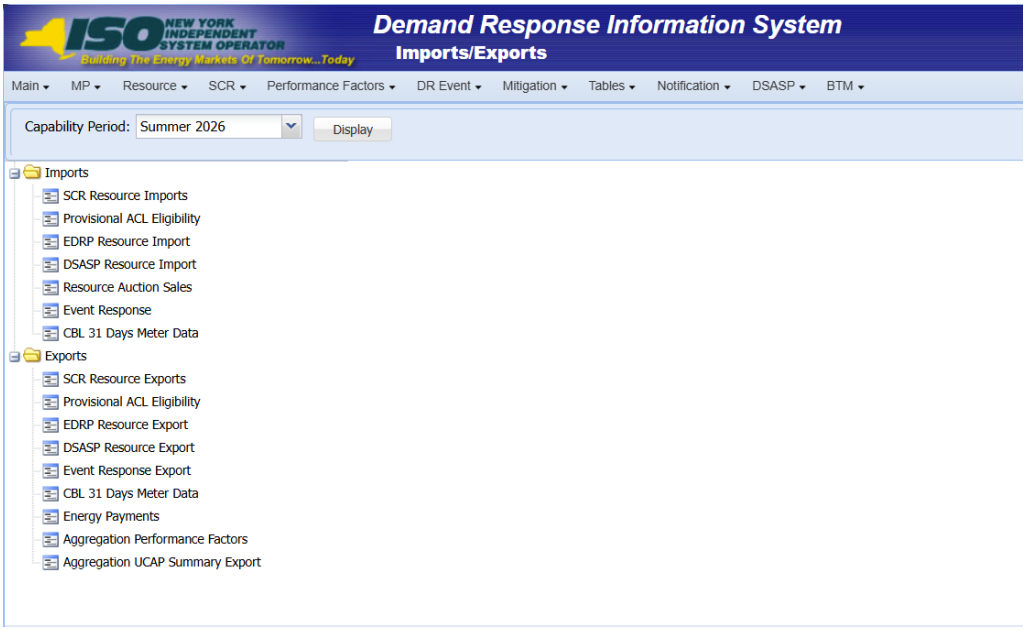
To access the import activity report and manage related errors

> ***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.

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

   The system displays the Imports/Exports page (see Figure 166).

Figure 166: Import/Exports Page as Initially Displayed

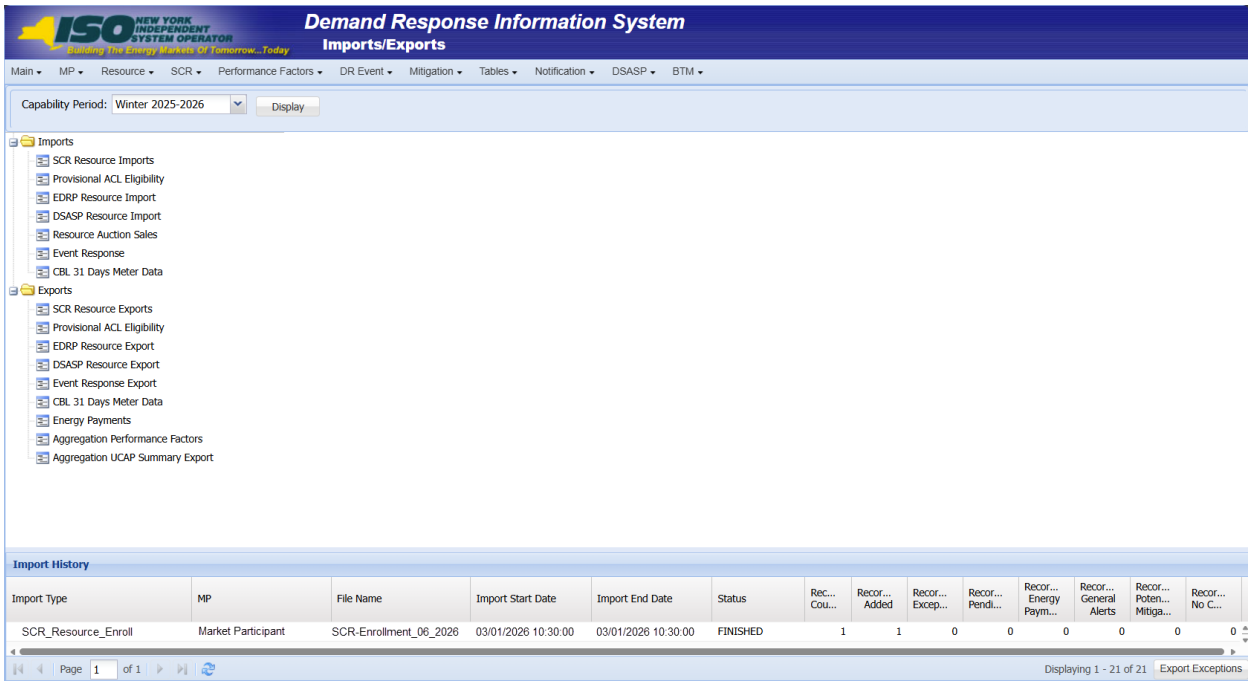


2. From the corresponding filter near the top of the page, choose the **Capability Period** for the previously reported resource auction sales file that generated the exception(s).

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 167).

Figure 167: 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 auction sales file, then import the updated file to DRIS.

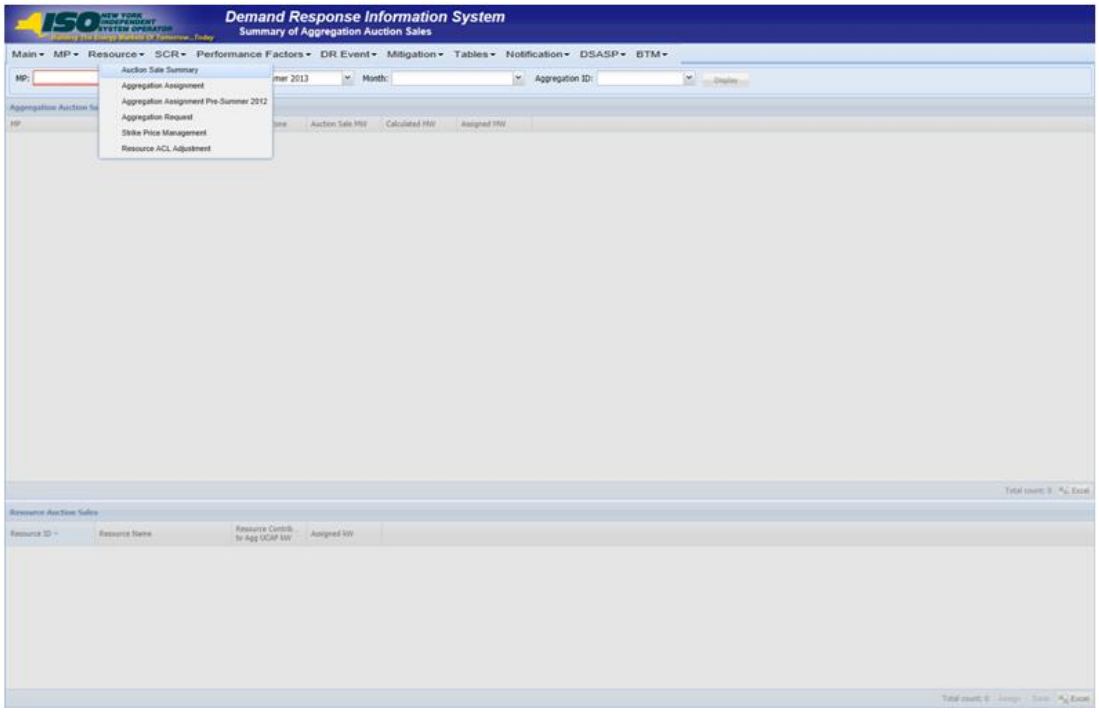
10.4.4. Allocating Resource Auction Sales via the Corresponding System Page

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 168).

Figure 168: 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.

4. Click the **Display** button.

   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.

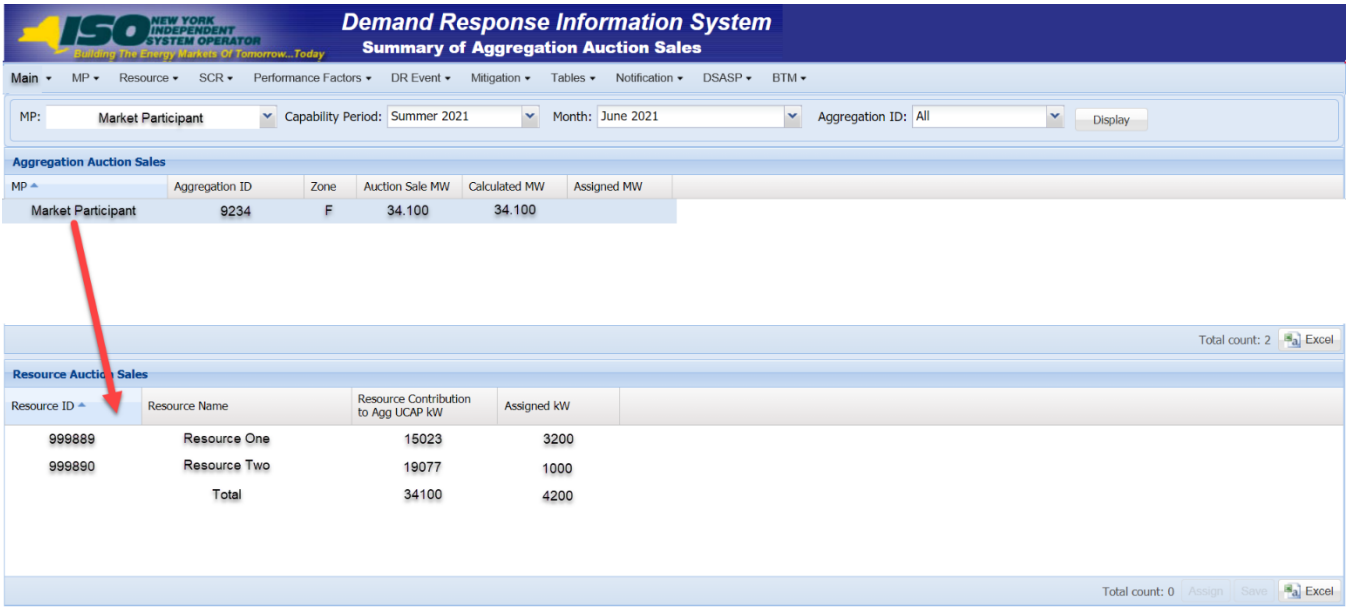
6. On the Resource Auction Sales frame, click the **Assign** button, in the lower right corner, to initially allocate each resource an Assigned kW.

7. 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 169).

9. Type directly in the **Assigned kW** field to update the partial value sold for the resource.

Figure 169: Highlighted Row Housing the Resource for which Partial Sales will be Assigned



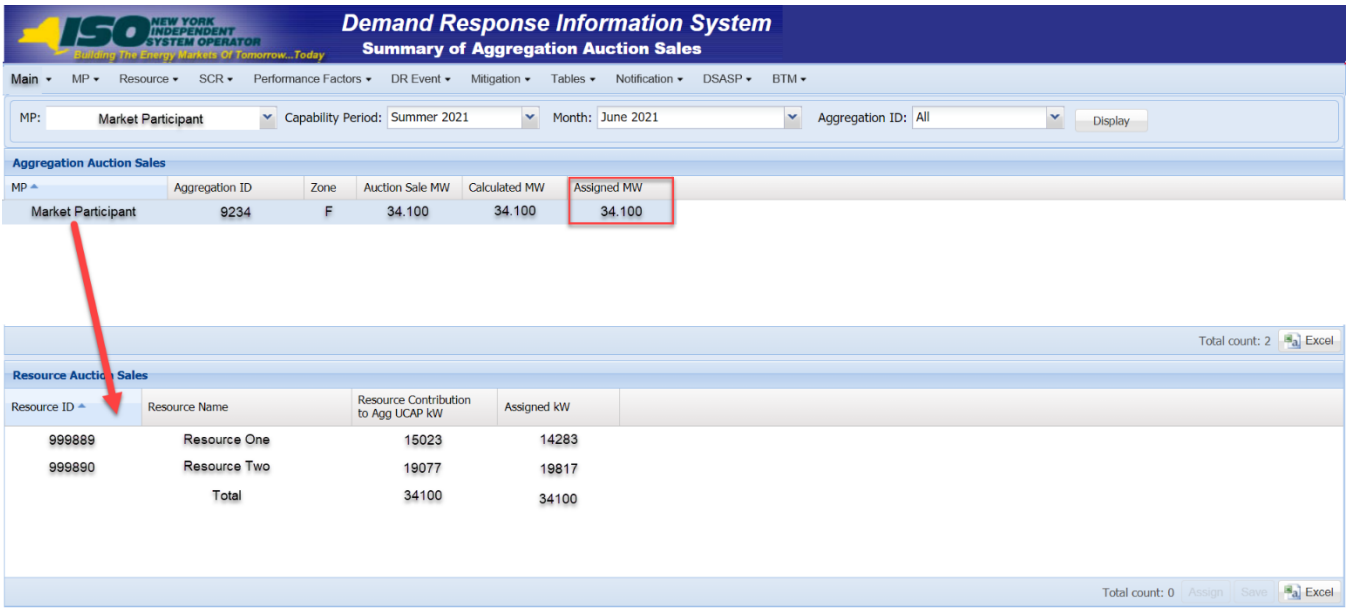
10. Repeat steps 8 and 9 until the partial sales allocation for all resources within the selected aggregation have been assigned.

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 170).

12. To allocate partial sales for aggregations other than the one previously chosen, repeat steps 5 through 11.

Figure 170: 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.

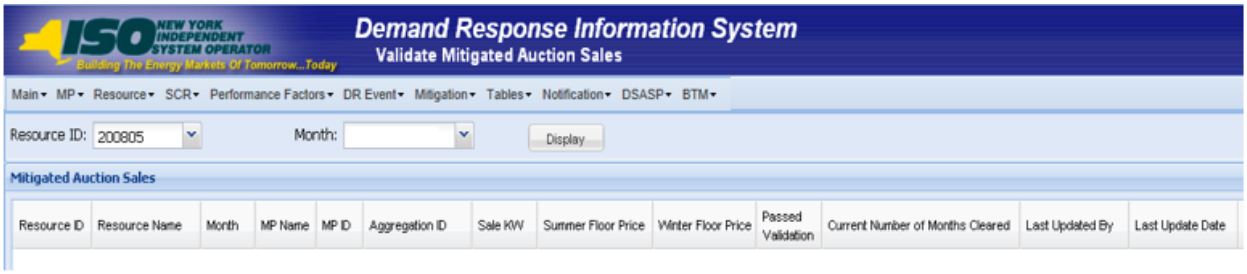
To view resource Offer Floor details

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 171), choose the **Resource ID** and/or **Month** for which the system should display resource validated auction sales details.

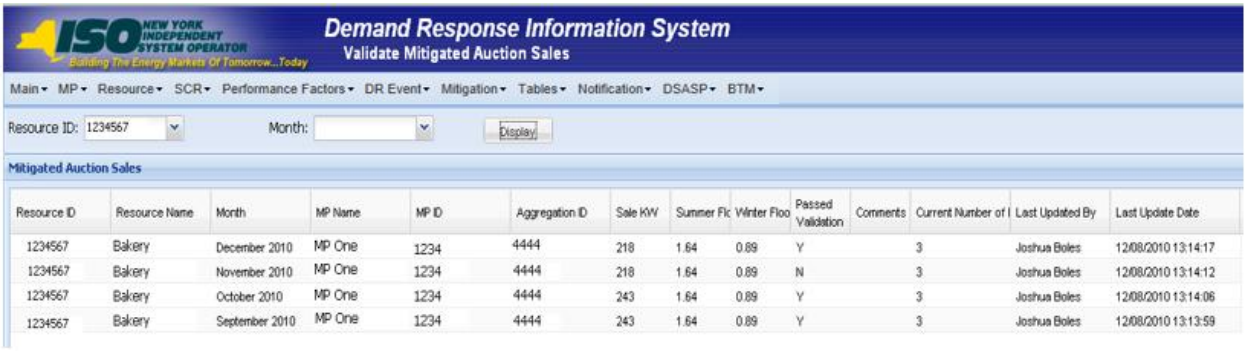
Figure 171: Validate Mitigated Auction Sales Page Search Filters



3. Near the top of the Validate Mitigated Auction Sales page, click the **Display** button.

   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 172).

Figure 172: 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

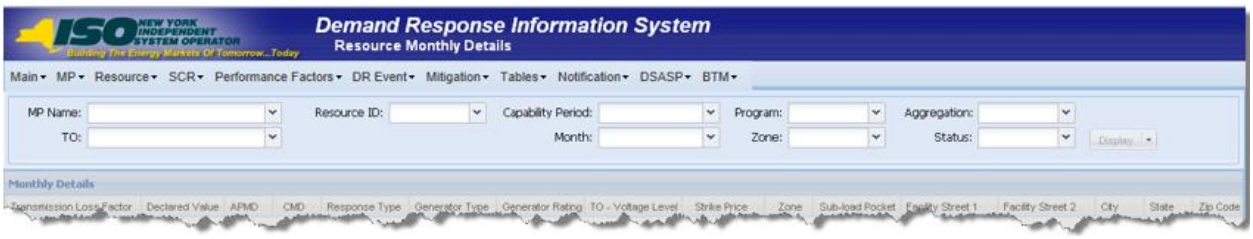
1. From the **Resource** menu, choose **Monthly Details**.

   The system displays the Resource Monthly Details page.

2. From the corresponding search filters in the uppermost frame on the Resource Monthly Details page (see Figure 173), 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 173: 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 174).

> ***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 174: Resource Monthly Details Page Displaying Floor Price in Effect Field



10.6. Managing Provisional ACL Resource Enrollments & Verification Data

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 TO add-back 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:

1. Download and create a correctly structured, formatted, and populated resource Provisional 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 to 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) 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 0, "

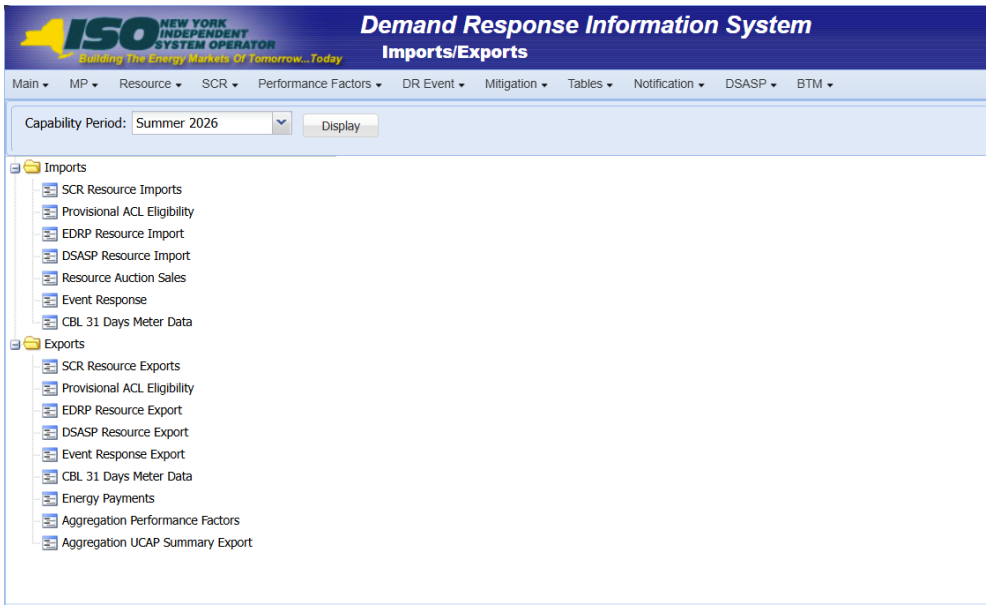
- Accessing the System").

To download the Provisional ACL verification file

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

   The system displays the Imports/Exports page (see Figure 175).

Figure 175: 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.

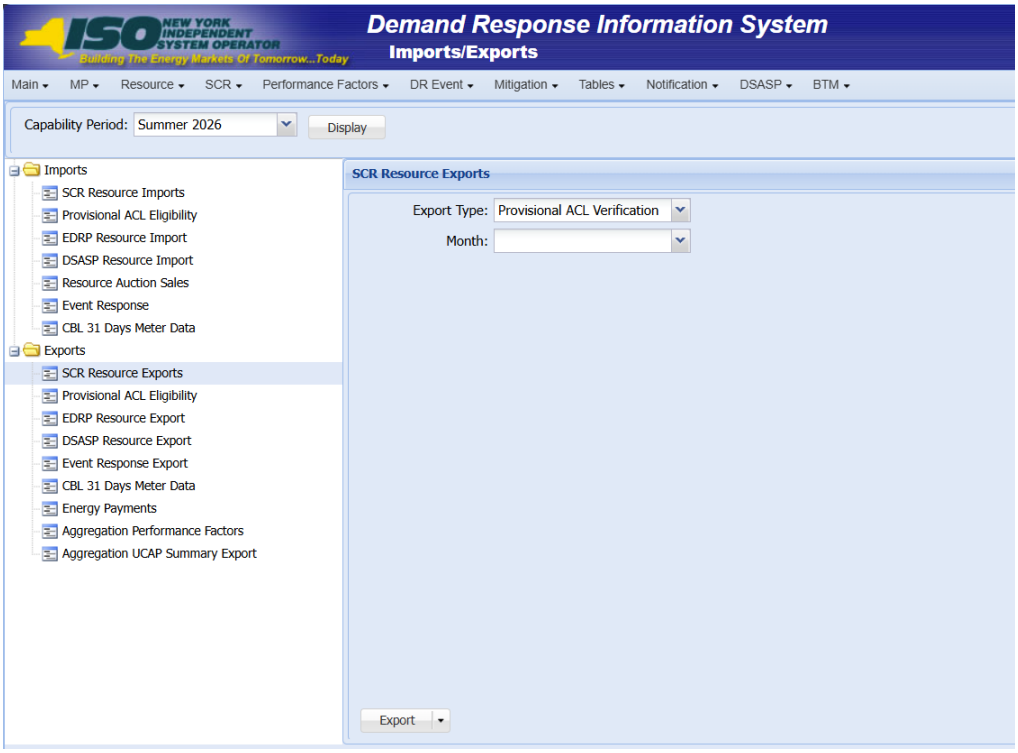
   The system makes available the middle frame.

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 176).

Figure 176: 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***".

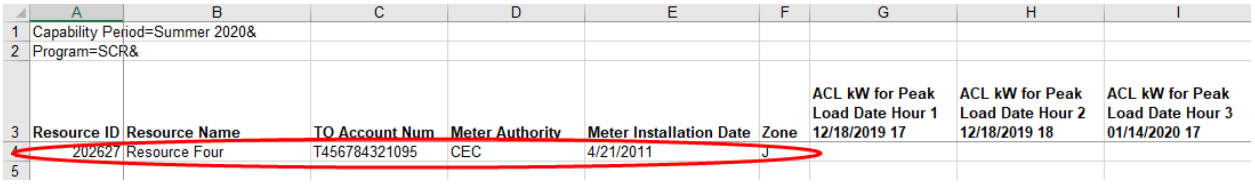
The MP is required to provide the kW value for each resource in the file for all of the specified SCR Load Zone Peak Hours which occur from the individual resource meter installation date through the end of the Capability Period.

> ***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 177, 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) is the only file format accepted into DRIS for the import of the resource Provisional ACL Verification file.

Figure 177: Sample Provisional ACL Verification File in Excel

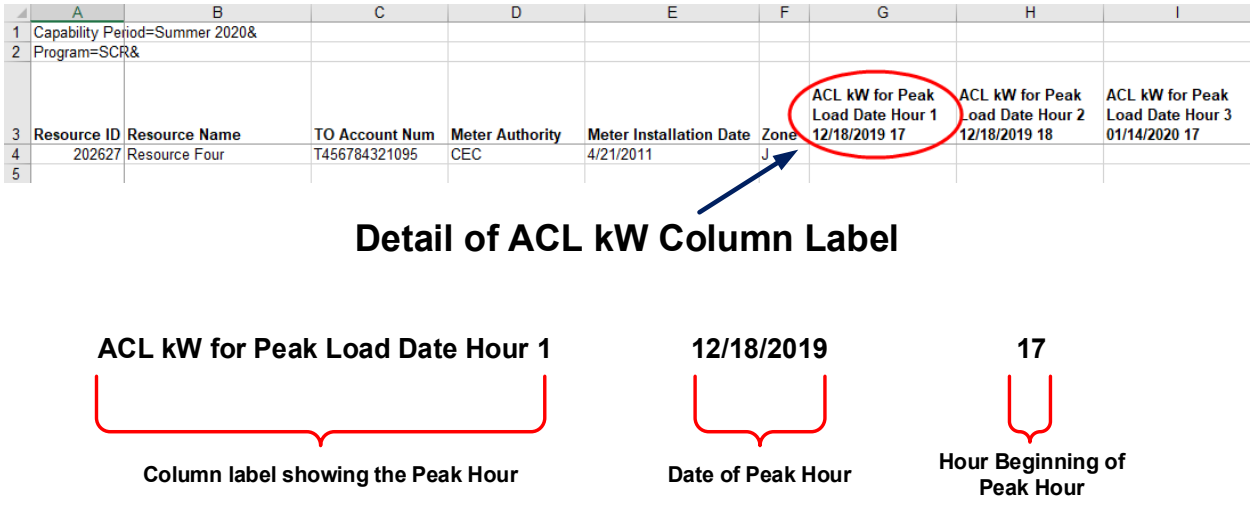


	A	B	C	D	E	F	G	H	I
1	Capability Period=Summer 2020&								
2	Program=SCR&								
3	Resource ID	Resource Name	TO Account Num	Meter Authority	Meter Installation Date	Zone	ACL kW for Peak Load Date Hour 1 12/18/2019 17	ACL kW for Peak Load Date Hour 2 12/18/2019 18	ACL kW for Peak Load Date Hour 3 01/14/2020 17
4	202627	Resource Four	T456784321095	CEC	4/21/2011	J			
5									

- 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 178: Detail of ACL kW Column Label



In order for a Provisional ACL verification file to be successfully processed by DRIS, the header data must meet pre-defined rules. Figure 179 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 180 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 179: 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.
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 180: 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	B	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 *T* preceding the account number. For example, if the account number is *5436789,* it must be reported on the import file to DRIS as *T5436789*. 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 *R* or an *N*, do not precede the POD ID with the letter *T* For example, if the POD ID is *R5436789* it must be reported on the import file to DRIS as *R5436789*. 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 under Meter Services Administration: Approved Meter Services Entities
Meter Installation Date	E	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 separate column for each of the Top 40 Load Zone Peak Hours. The ACL kW column labels begin with "G" and end with "AT".			
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 Excel (.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 0, "

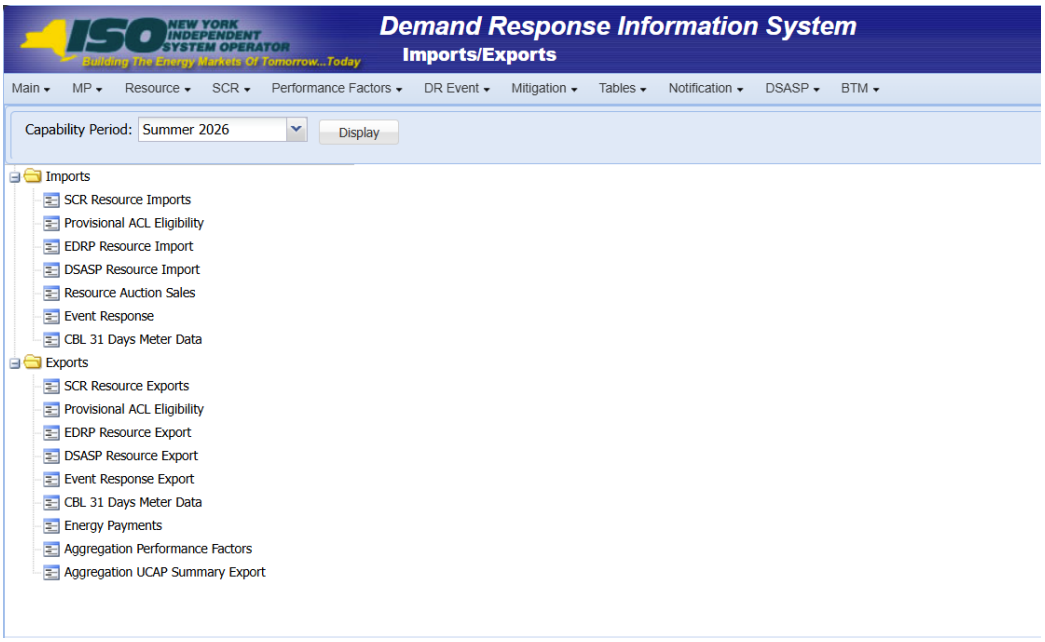
- Accessing the System").

To import the Provisional ACL Verification File

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

   The system displays the Imports/Exports page (see Figure 181).

Figure 181: 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.

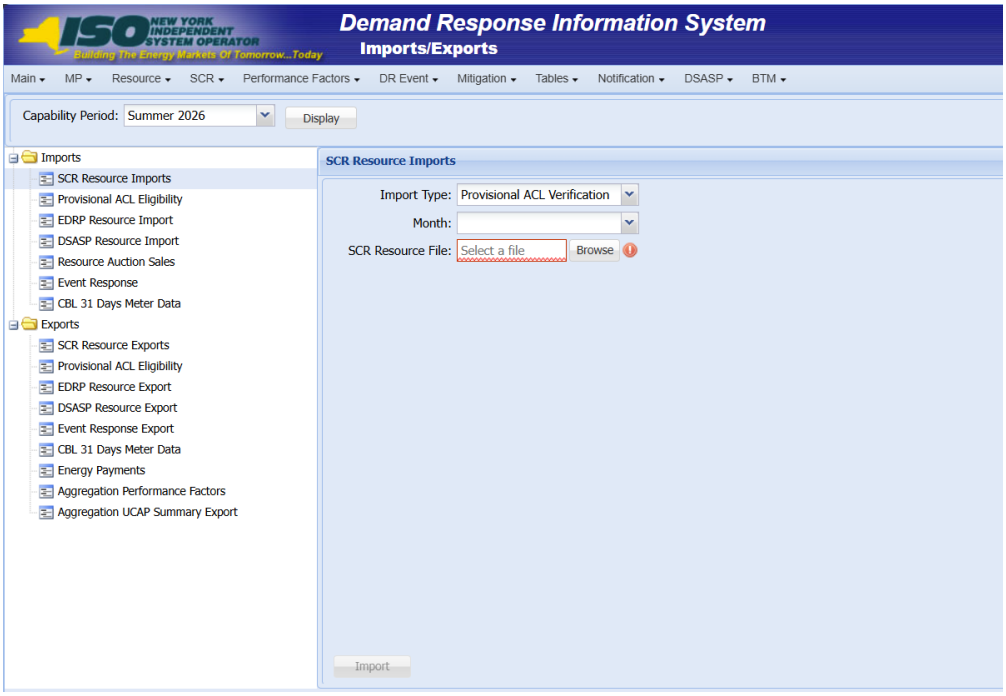
   The system activates the middle frame and populates the lowermost frame with a list of import events for the Capability Period chosen at step 2.

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 182).

Figure 182: 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.

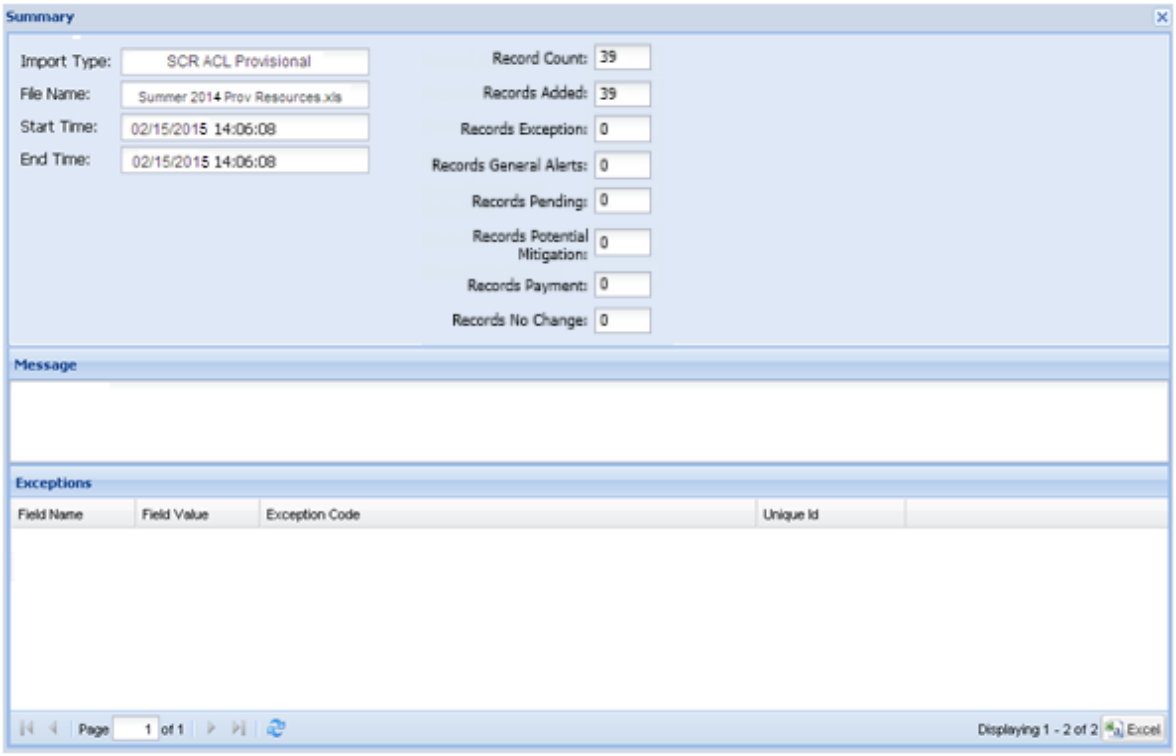
   The File Upload dialog box closes, and the system populates the SCR Resource File field in the right pane of the middle frame with the name of the chosen file.

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 183).

10. Review the import results and proceed accordingly, as outlined under Section 10.6.4.

Figure 183: 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 184).

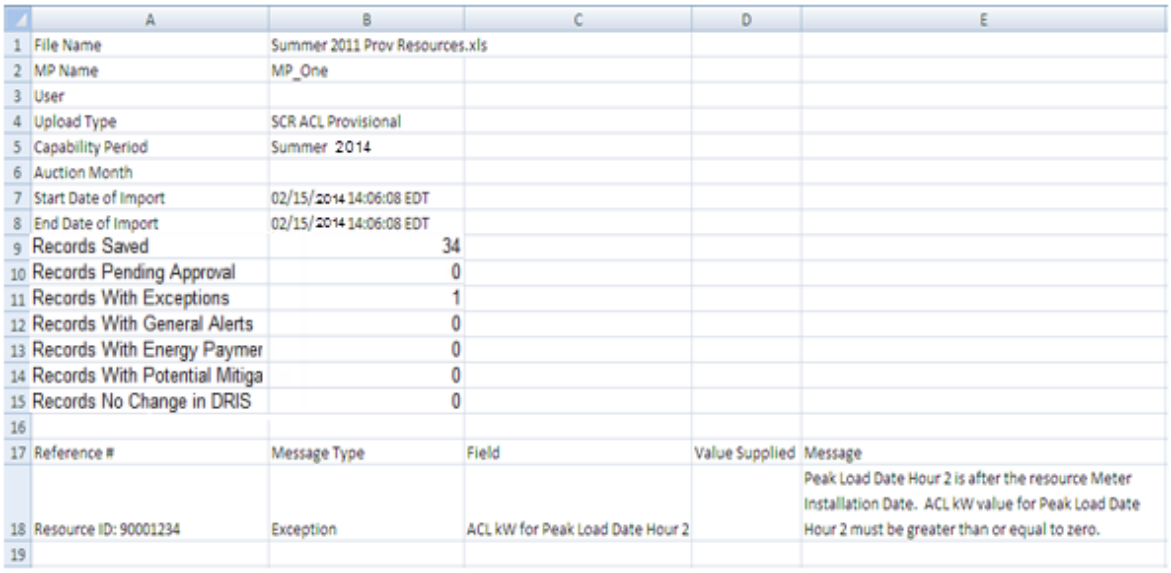
> ***Note:*** If instead of similar information to that illustrated in Figure 183 the *Message* pane in the Summary dialog box displayed by the system indicates that the import failed, no resource data will be imported. In order to proceed with the import process in this case, the MP must rectify the 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 184: Sample Results Report for Provisional ACL Verification File Import



	A	B	C	D	E
1	File Name	Summer 2011 Prov Resources.xls			
2	MP Name	MP_One			
3	User				
4	Upload Type	SCR ACL Provisional			
5	Capability Period	Summer 2014			
6	Auction Month				
7	Start Date of Import	02/15/2014 14:06:08 EDT			
8	End Date of Import	02/15/2014 14:06:08 EDT			
9	Records Saved	34			
10	Records Pending Approval	0			
11	Records With Exceptions	1			
12	Records With General Alerts	0			
13	Records With Energy Paymer	0			
14	Records With Potential Mitiga	0			
15	Records No Change in DRIS	0			
16					
17	Reference #	Message Type	Field	Value Supplied	Message
18	Resource ID: 90001234	Exception	ACL kW for Peak Load Date Hour 2		Peak Load Date Hour 2 is after the resource Meter Installation Date. ACL kW value for Peak Load Date Hour 2 must be greater than or equal to zero.
19					

Pre-requisite

- The MP representative performing the task is logged in to DRIS (see Section 0, "

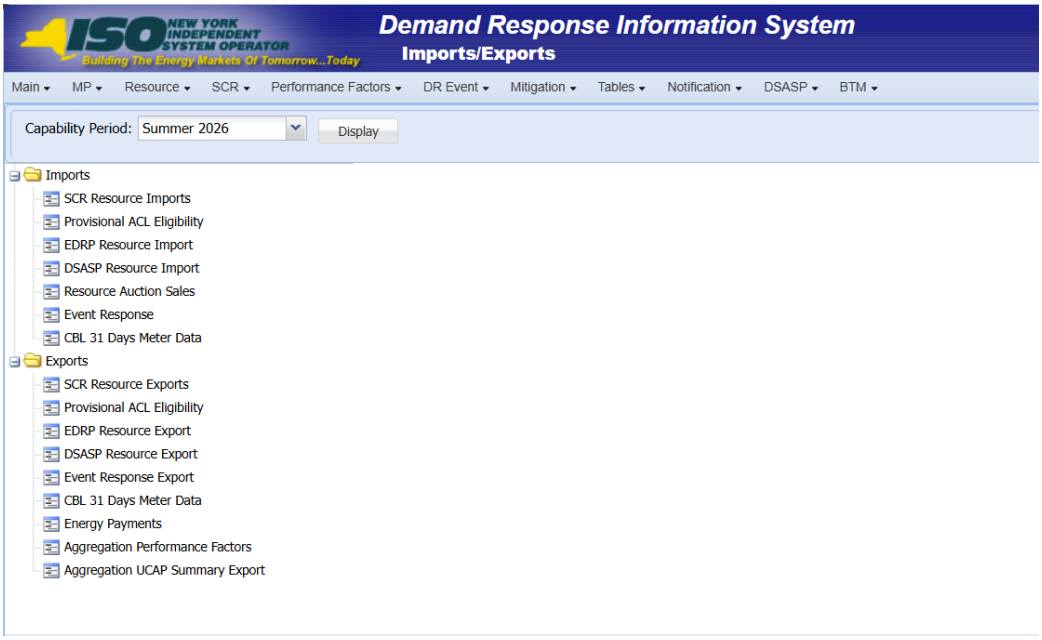
- Accessing the System").

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 185).

Figure 185: Import/Export Page as Initially Displayed

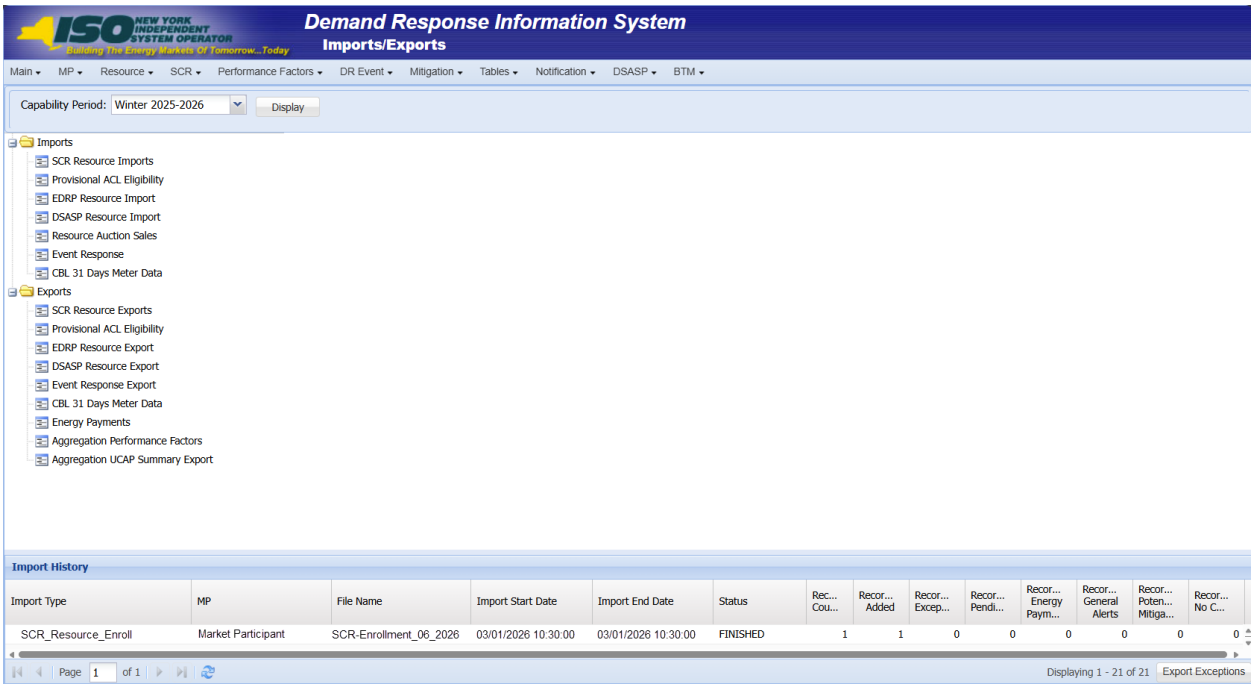


2. From the corresponding filter near the top of the page, choose the **Capability Period** for the previously reported resource Provisional ACL verification file that generated the exception(s).

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 186).

Figure 186: 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 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 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 add-back kW values. (TO add-back kW values do not apply to the calculation of the resource Verified ACL for the Summer 2011 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

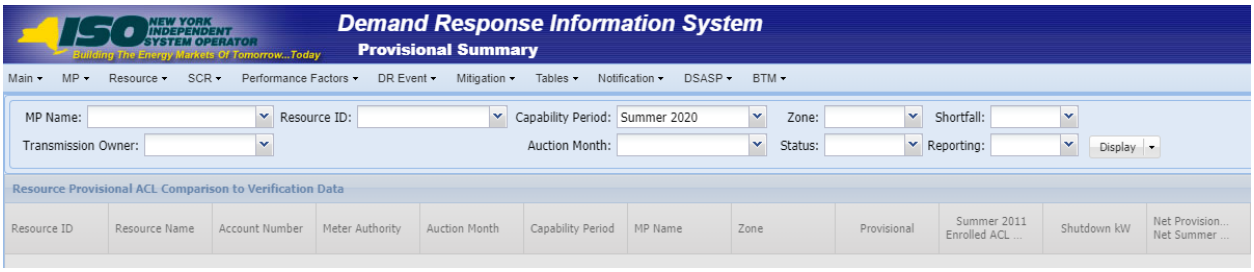
1. From the **Performance Factors** menu, choose **Provisional ACL**.

   The system displays the Provisional ACL page.

2. From the corresponding search filters in the uppermost frame on the Provisional ACL page (see Figure 187), 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.

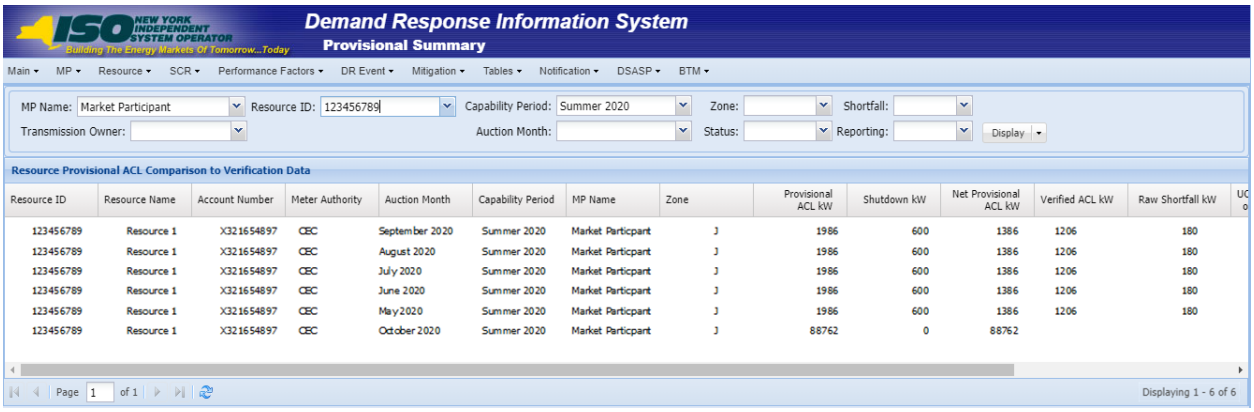
Figure 187: Provisional Summary Page Search Filters



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 188).

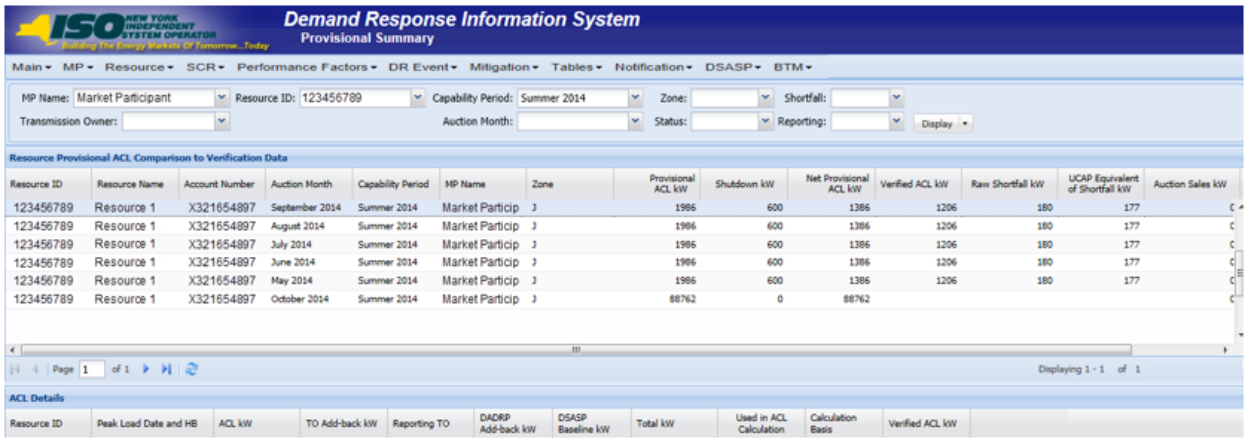
Figure 188: Provisional Summary Page Illustrating Resource Information for Provisional ACL Verification Data



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 189).

Figure 189: 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 values imported by the TO 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
- 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 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

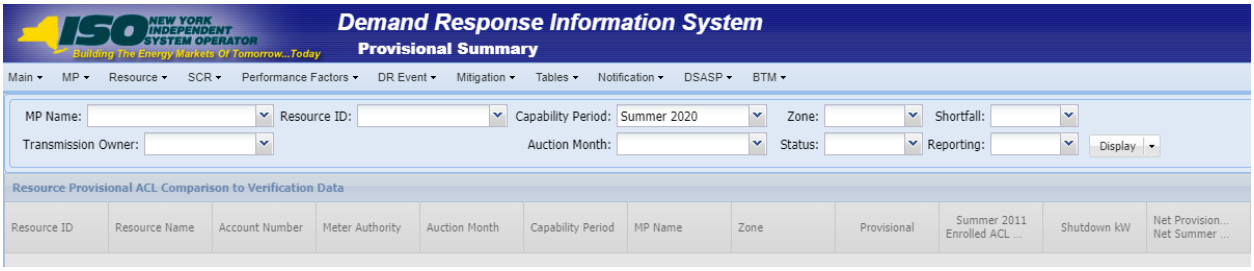
1. From the **Performance Factors** menu, choose **Provisional ACL**.

   The system displays the Provisional ACL page.

2. From the corresponding search filters in the uppermost frame on the Provisional ACL page (see Figure 190), 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 190: Provisional Summary Page Search Filters



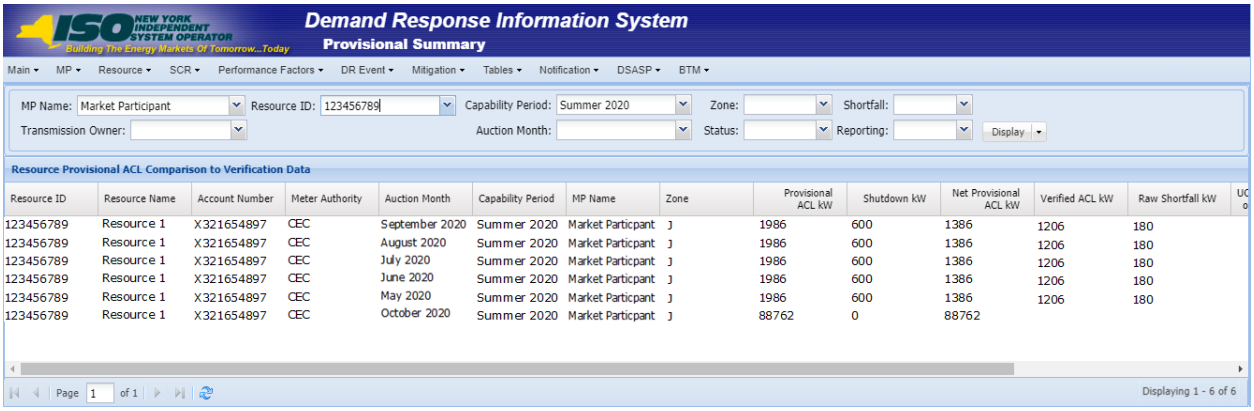
3. Near the top of the Provisional ACL page, click the **Display** button.

   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 191).

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.

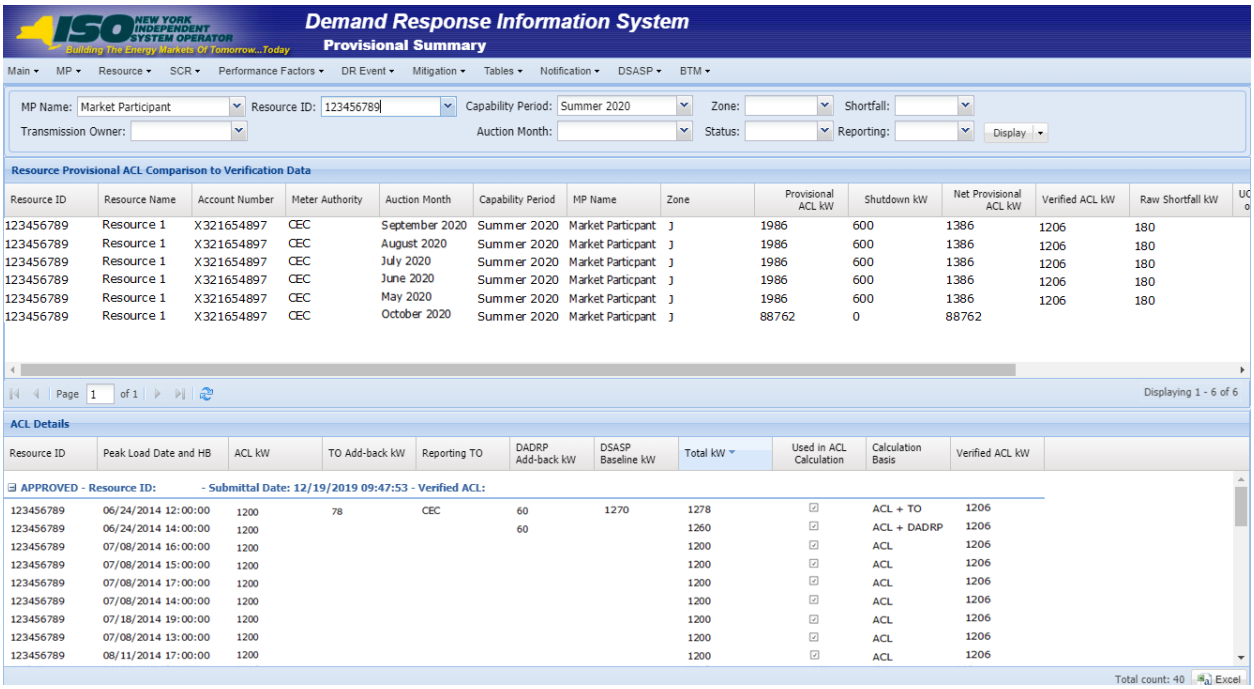
Figure 191: Provisional Summary Page Illustrating Resource Information for Provisional ACL Verification Data



4. 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 192).

Figure 192: 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 TO add-back 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 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:

1. Download and create a correctly structured, formatted, and populated resource Incremental ACL verification file

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 to 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) 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 0, "

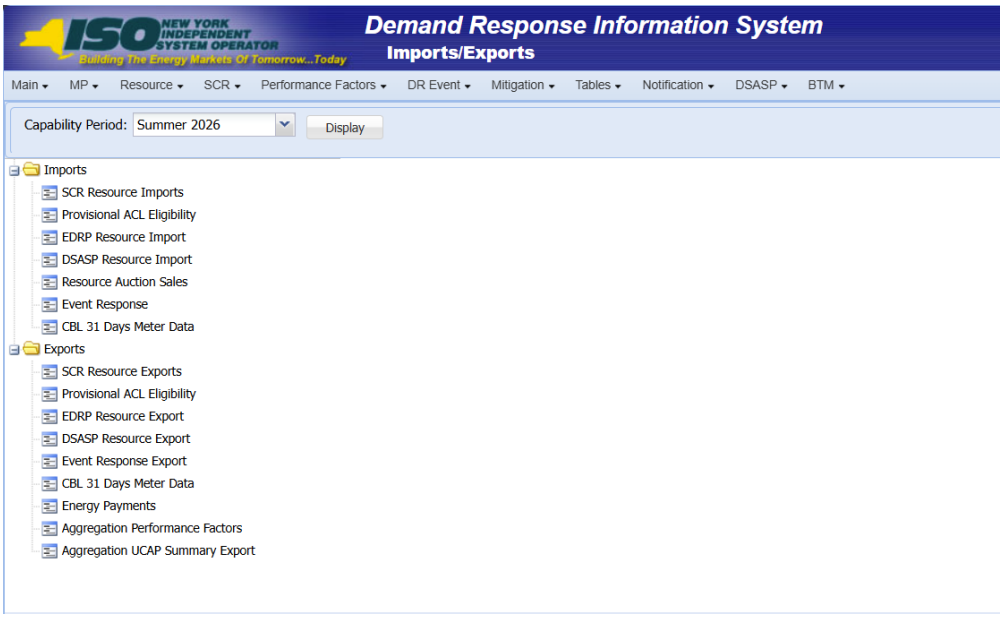
- Accessing the System").

To download the Incremental ACL verification file

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

   The system displays the Imports/Exports page (see Figure 175).

Figure 193: 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.

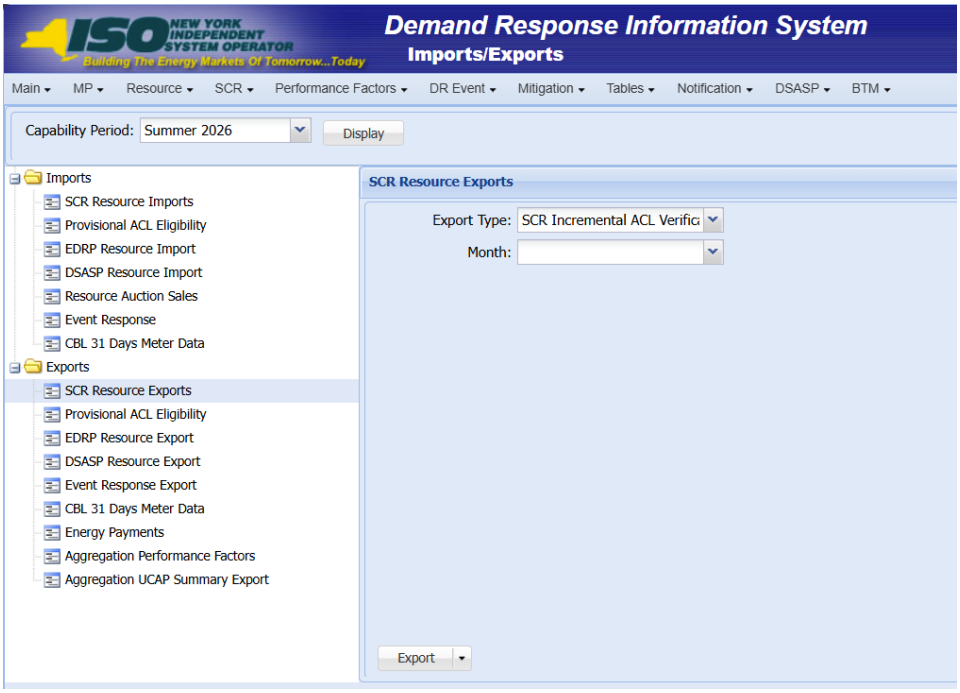
   The system makes available the middle frame.

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 194).

Figure 194: 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 196.

The MP is required to provide the 40 ACL 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 195, the file must contain header data in the form of Capability Period and DR program.

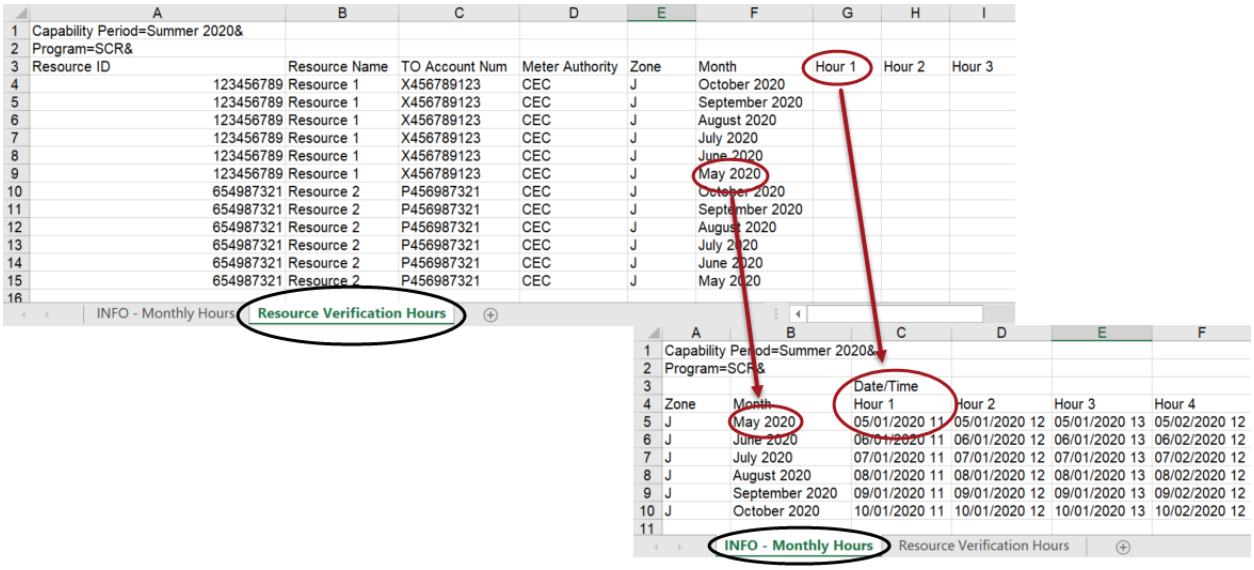
> ***Note:*** Excel (.xlsx) is the only file format accepted into DRIS for the import of the resource Provisional ACL Verification file.

Figure 195: Sample Incremental ACL Verification File in Excel

	A	B	C	D	E	F	G	H	I	J	K	L
1	Capability Period=Summer 2020&											
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	123456789	Resource 1	X456789123	CEC	J	October 2020						
5	123456789	Resource 1	X456789123	CEC	J	September 2020						
6	123456789	Resource 1	X456789123	CEC	J	August 2020						
7	123456789	Resource 1	X456789123	CEC	J	July 2020						
8	123456789	Resource 1	X456789123	CEC	J	June 2020						
9	123456789	Resource 1	X456789123	CEC	J	May 2020						
10	654987321	Resource 2	P456987321	CEC	J	October 2020						
11	654987321	Resource 2	P456987321	CEC	J	September 2020						
12	654987321	Resource 2	P456987321	CEC	J	August 2020						
13	654987321	Resource 2	P456987321	CEC	J	July 2020						
14	654987321	Resource 2	P456987321	CEC	J	June 2020						
15	654987321	Resource 2	P456987321	CEC	J	May 2020						
16												

- The 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 196: 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 197 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 198 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 197: Rules for Successful Processing of Incremental 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.
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 198: 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	B	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 *T* preceding the account number. For example, if the account number is *5436789,* it must be reported on the import file to DRIS as *T5436789*. 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 *R* or an *N*, do not precede the POD ID with the letter *T*. For example, if the POD ID is *R5436789* it must be reported on the import file to DRIS as *R5436789*. 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	Text Up to 3 characters	The Transmission Owner or Meter Services Entity that is providing the meter data used for the Top 40 ACL kW 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 under Meter Services Administration: Approved Meter Services Entities
Zone	E	Text 1 character	The letter of the LBMP Zone where the resource facility is located.
Month and Year	F	Alpha – Numeric MM/YYYY	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	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 before decimal and 1 digit after decimal	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.

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 Excel (.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 0, "

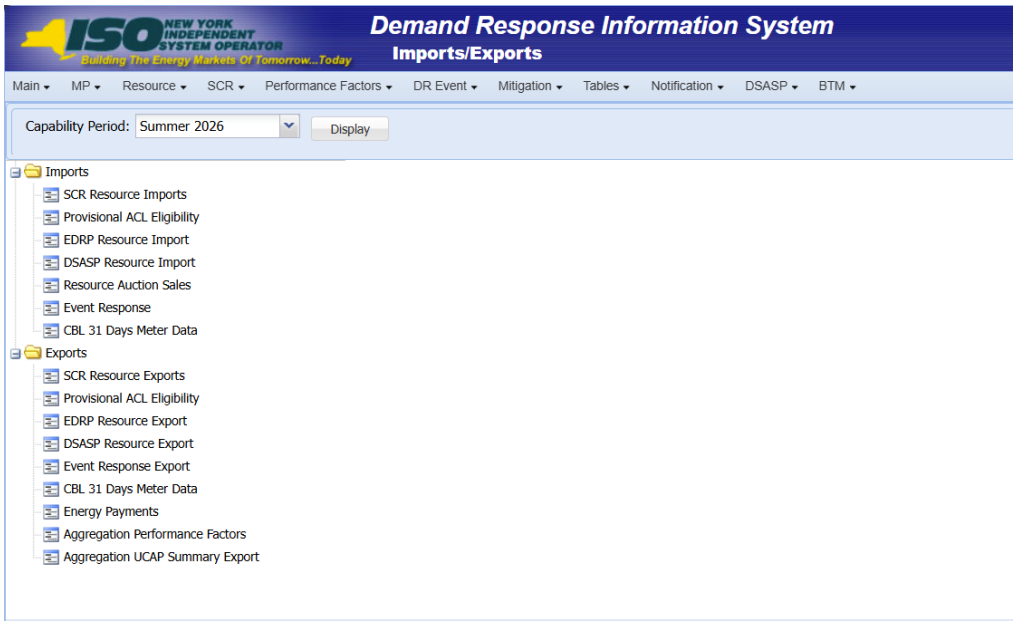
- Accessing the System").

To import the Incremental ACL Verification File

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

   The system displays the Imports/Exports page (see Figure 199).

Figure 199: 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.

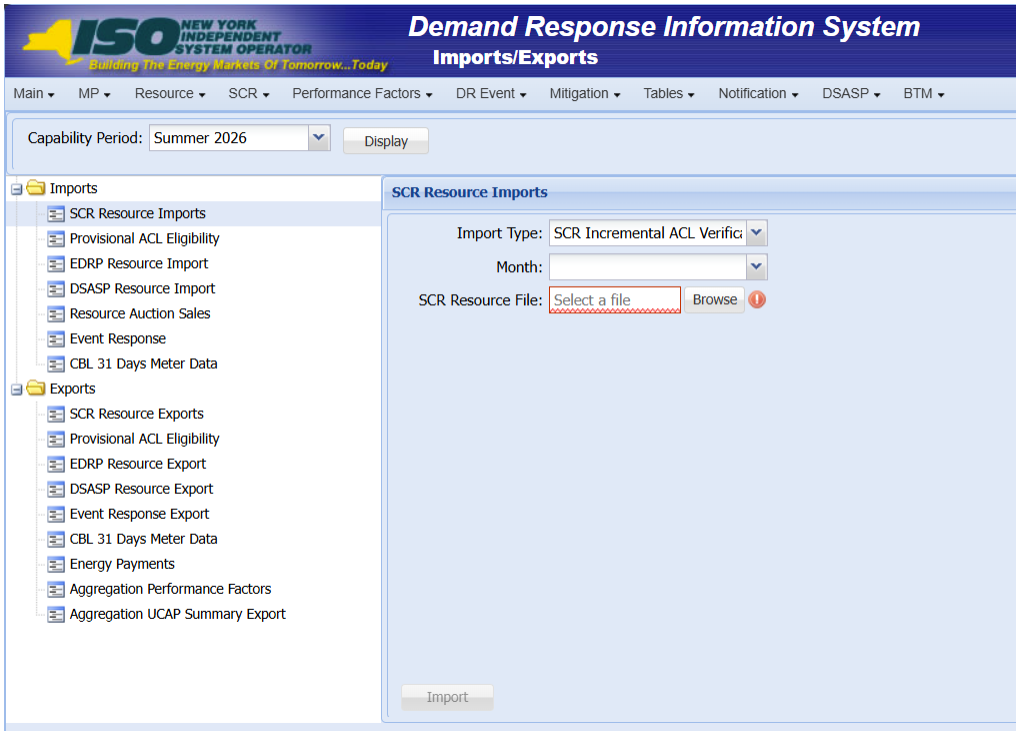
   The system activates the middle frame and populates the lowermost frame with a list of import events for the Capability Period chosen at step 2.

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 182).

Figure 200: 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.

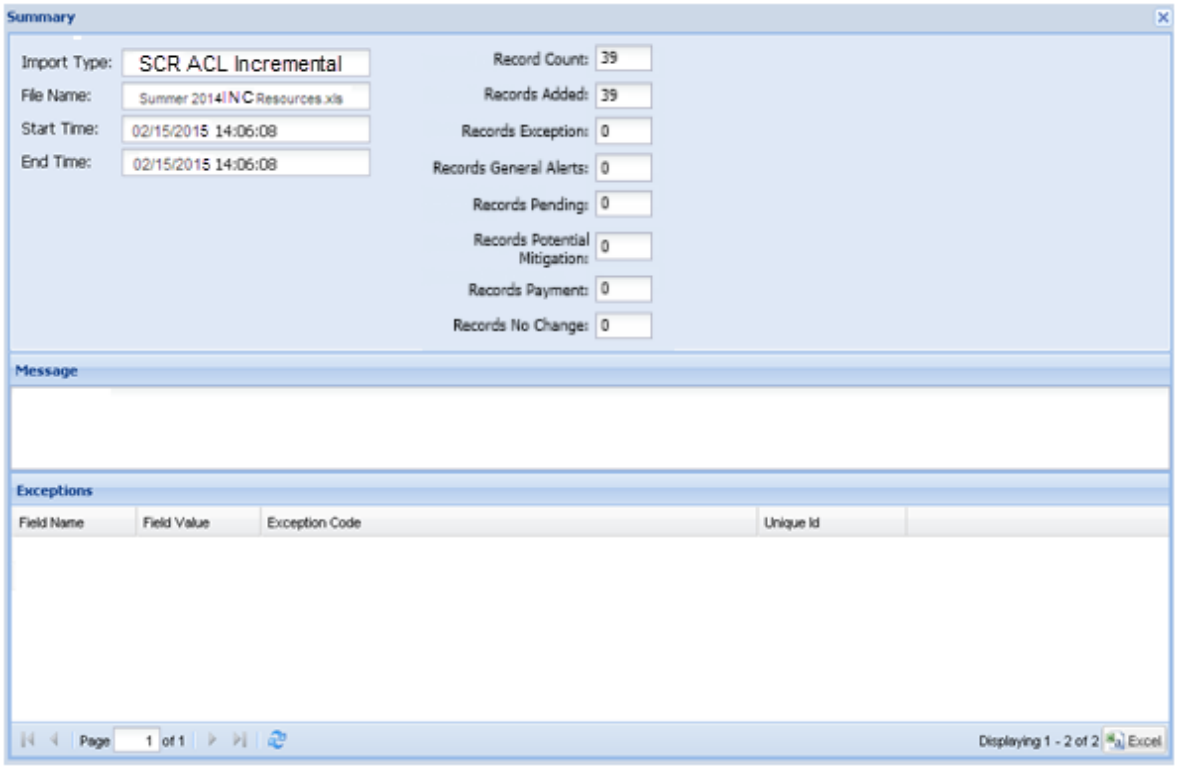
   The File Upload dialog box closes, and the system populates the SCR Resource File field in the right pane of the middle frame with the name of the chosen file.

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 201).

10. Review the import results and proceed accordingly, as outlined under Section 10.7.4.

Figure 201: 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 202).

> ***Note:*** Figure 201 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 202: Sample Results Report for Incremental ACL Verification File Import

	A	B	C	D	E
1	File Name	Summer 2014 Incremental Resources.xls			
2	MP Name	MP_One			
3	User				
4	Upload Type	SCR ACL Incremental			
5	Capability Period	Summer 2014			
6	Auction Month				
7	Start Date of Import	02/15/2014 14:06:08 EDT			
8	End Date of Import	02/15/2014 14:06:08 EDT			
9	Records Saved	34			
10	Records Pending Approval	0			
11	Records With Exceptions	1			
12	Records With General Alerts	0			
13	Records With Energy Paymer	0			
14	Records With Potential Mitiga	0			
15	Records No Change in DRIS	0			
16					
17	Reference #	Message Type	Field	Value Supplied	Message
18	Resource ID: 90001234	Exception	ACL kW for Peak Load Date Hour 2		ACL kW value for Peak Load Date Hour 2 must be greater than or equal to zero.
19					

Pre-requisite

- The MP representative performing the task is logged in to DRIS (see Section 0, "

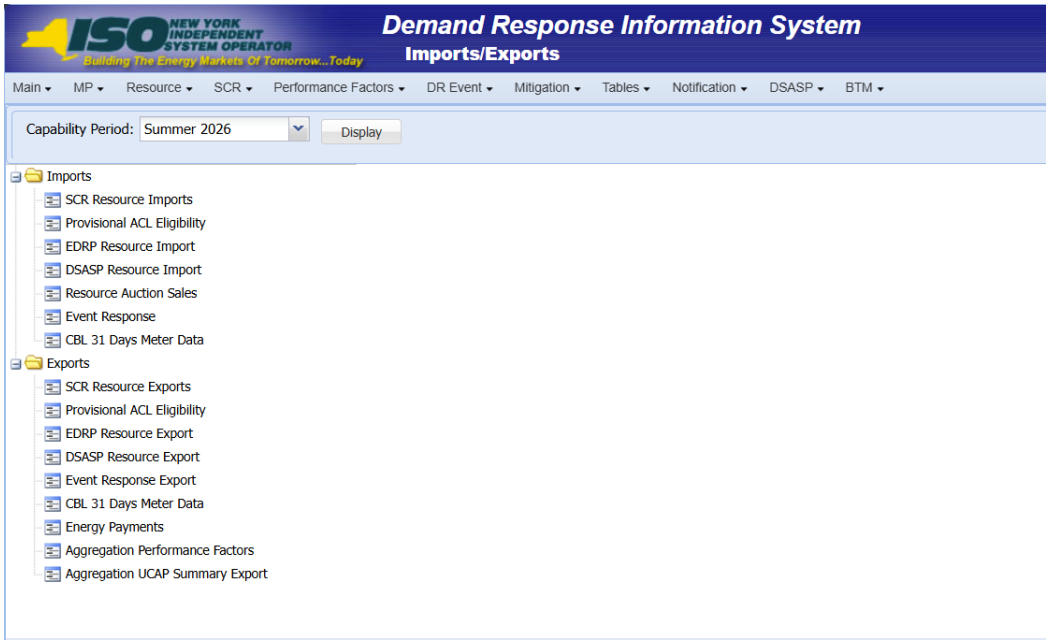
- Accessing the System").

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 203).

Figure 203: Import/Export Page as Initially Displayed

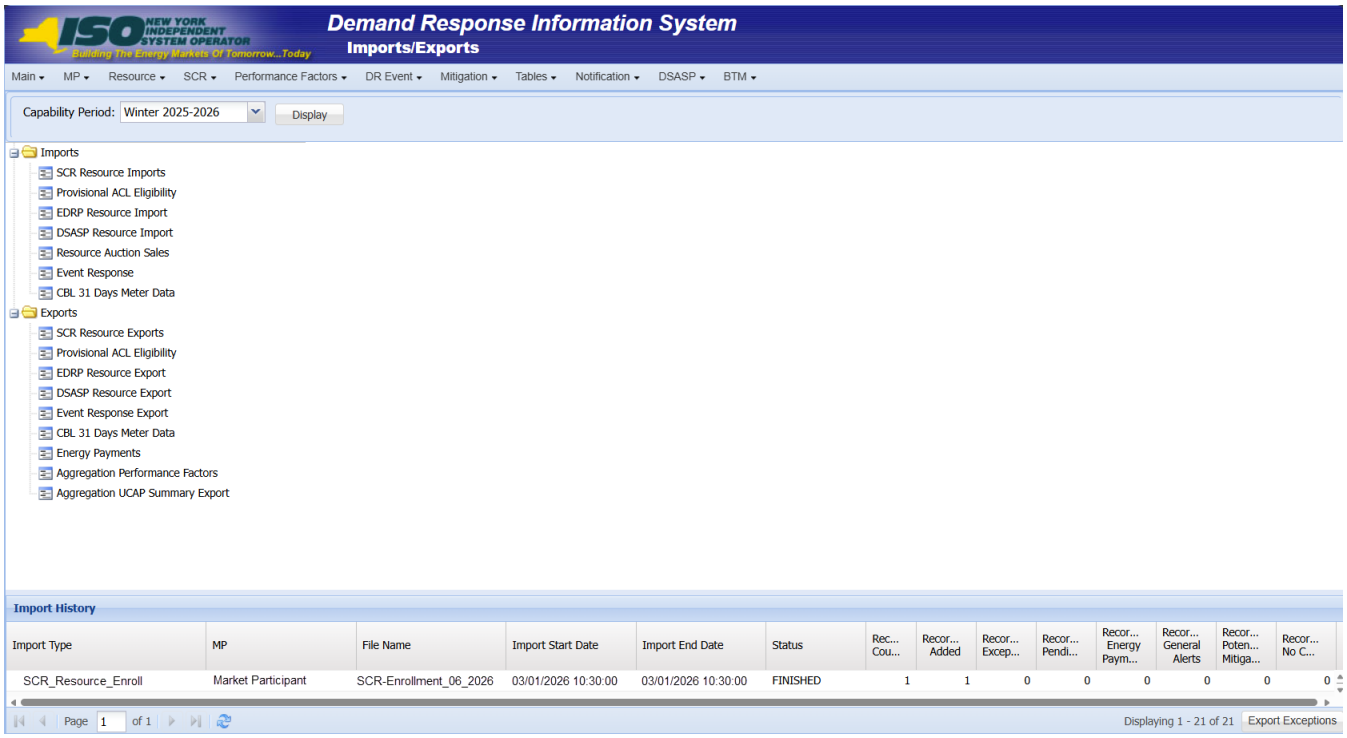


2. From the corresponding filter near the top of the page, choose the **Capability Period** for the previously reported resource Incremental ACL verification file that generated the exception(s).

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 204).

Figure 204: 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 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 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 add-back 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

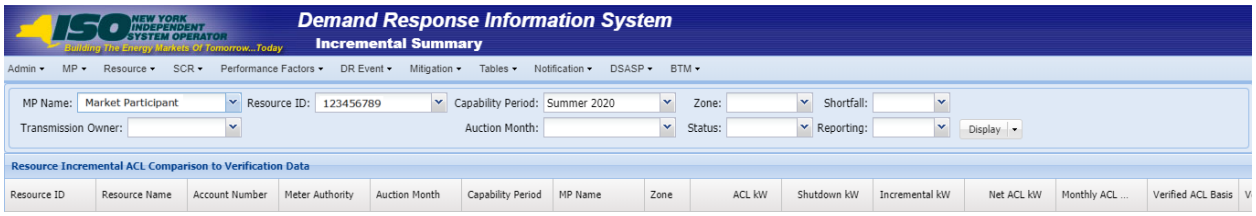
1. From the **Performance Factors** menu, choose **Incremental ACL**.

   The system displays the Incremental ACL page.

2. From the corresponding search filters in the uppermost frame on the Incremental ACL page (see Figure 205), 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.

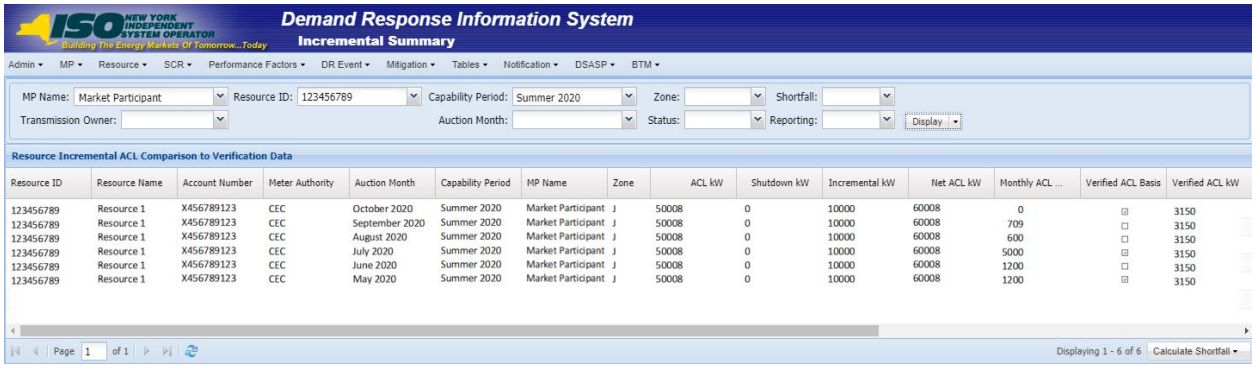
Figure 205: Incremental Summary Page Search Filters



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 206).

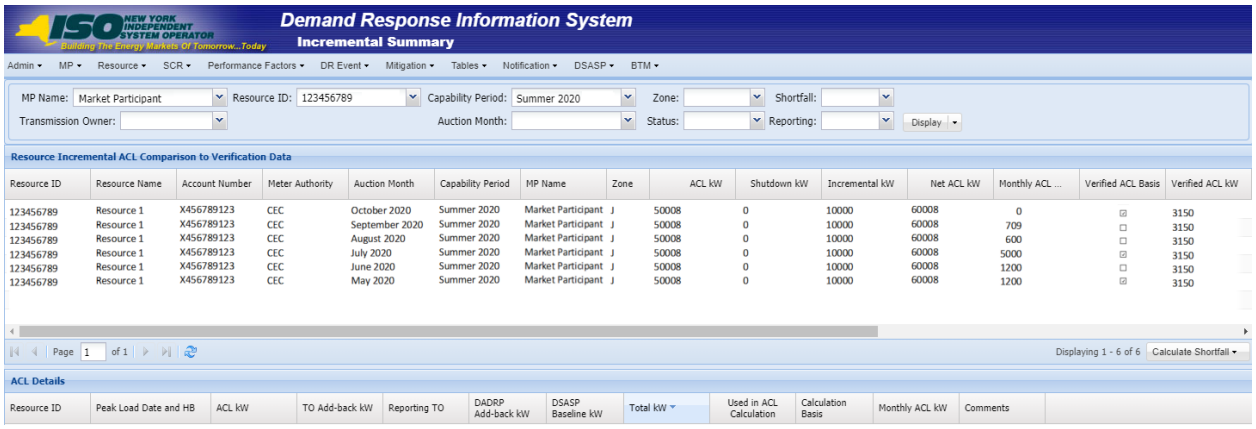
Figure 206: Incremental Summary Page Illustrating Resource Information for Incremental ACL Verification Data



4. 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 207).

Figure 207: 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 kW values imported by the TO 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
- 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 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

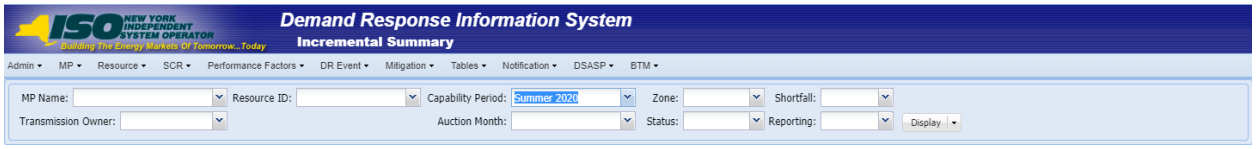
1. From the **Performance Factors** menu, choose **Incremental ACL**.

   The system displays the Incremental ACL page.

2. From the corresponding search filters in the uppermost frame on the Provisional ACL page (see Figure 208), 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 208: Incremental Summary Page Search Filters



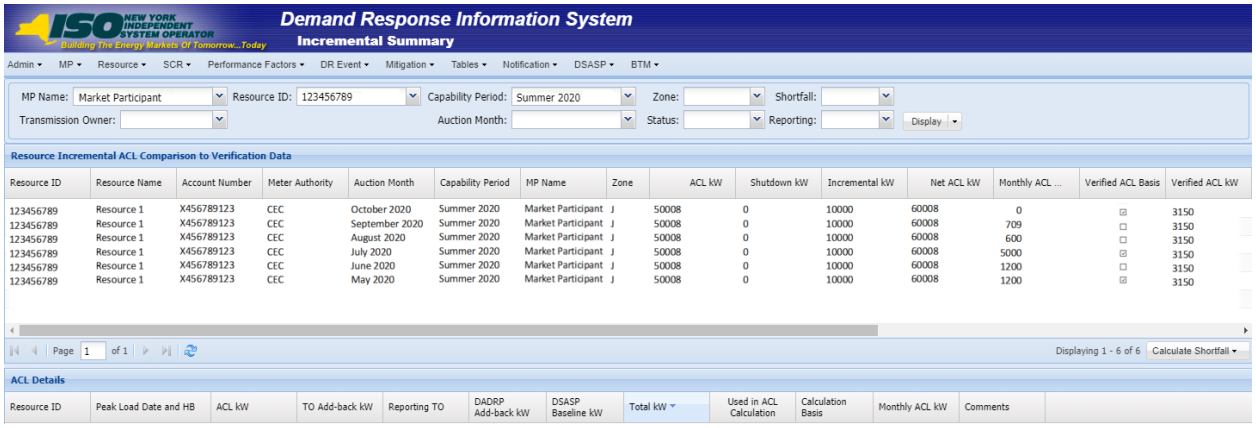
3. Near the top of the Incremental ACL page, click the **Display** button.

   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 209).

> ***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.

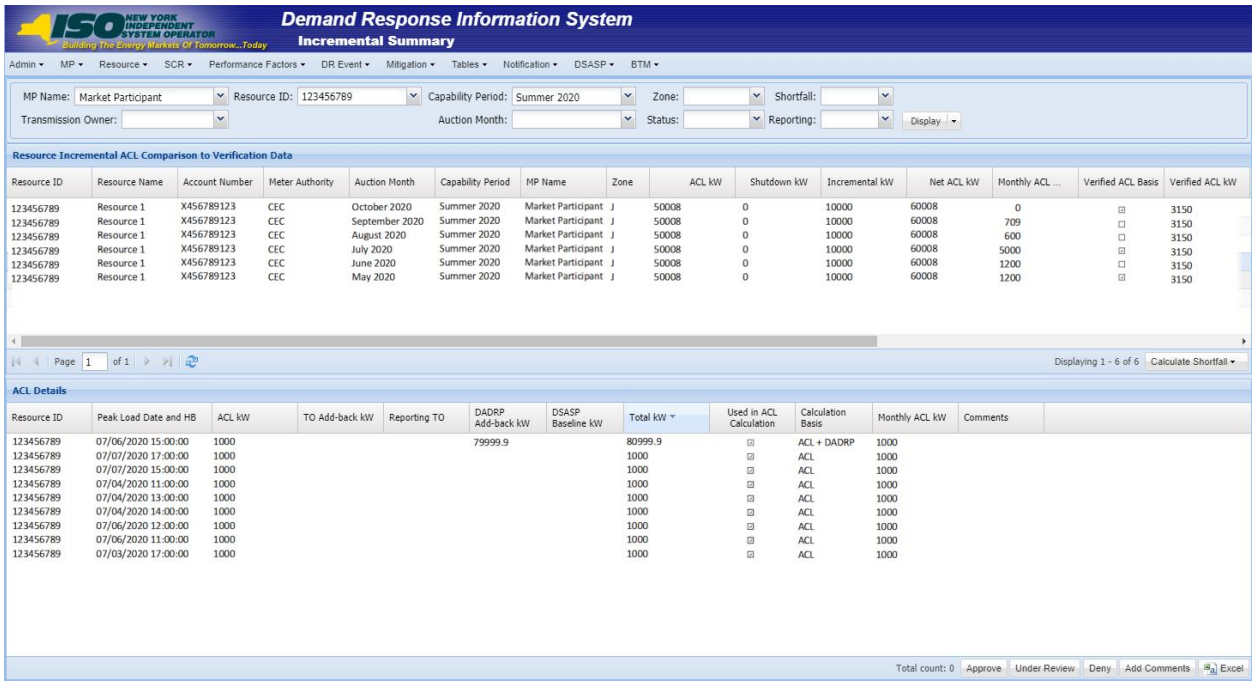
Figure 209: Incremental Summary Page Illustrating Resource Information for Incremental ACL Verification Data



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 210).

Figure 210: 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 22511), 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.

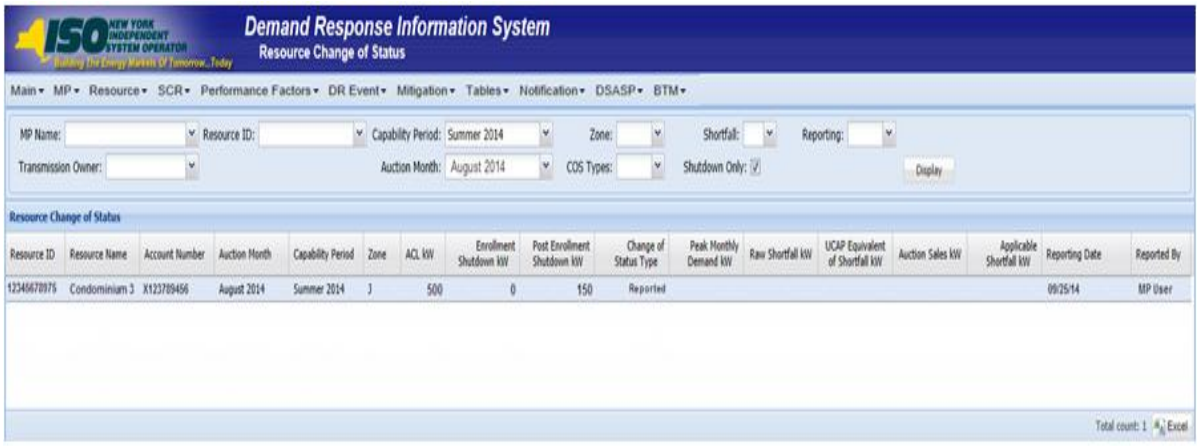
Figure 211: Change of Status Details Page Search Filters



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 22612).

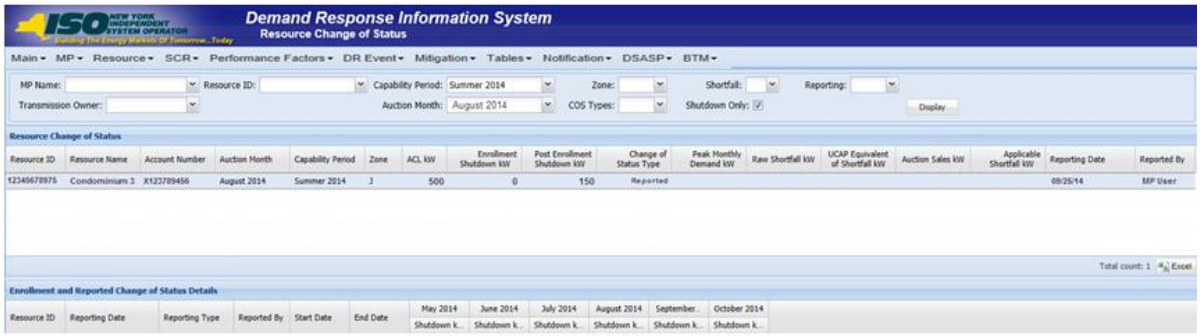
Figure 212: Change of Status Details Page Illustrating Resource Information for Change of Status Data



4. 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 227).

Figure 213: 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, post-enrollment 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 214), 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.

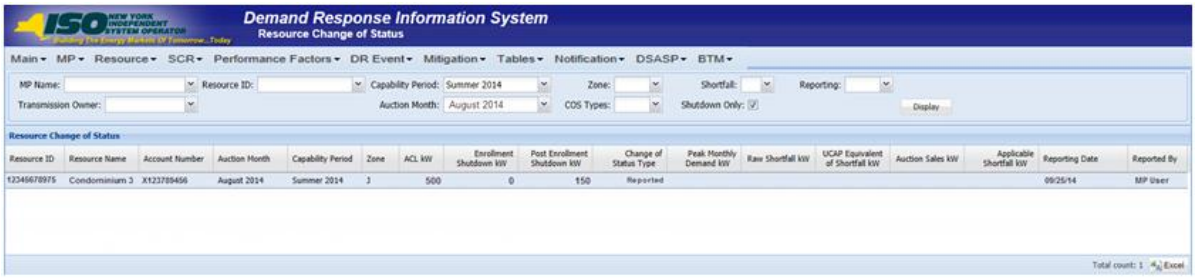
Figure 214: Change of Status Summary Page Search Filters



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 215).

Figure 215: Change of Status Summary Page Illustrating Resource Information for Change of Status Shutdown kW Data

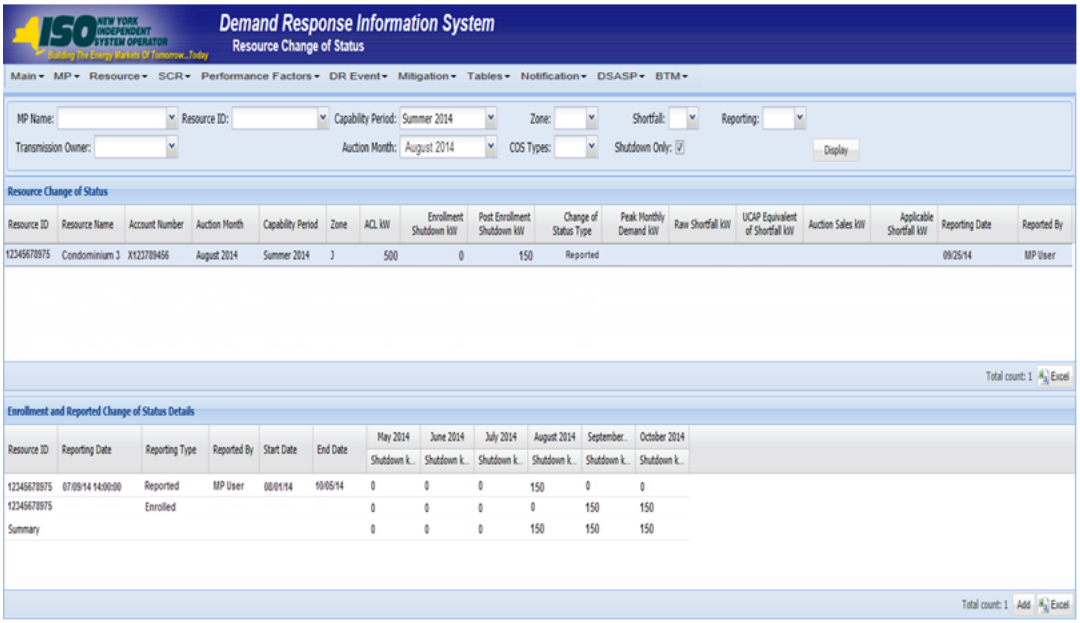


4. View details of the resource Change of Status data by clicking the corresponding row in the Change of Status Summary grid.

   The system displays a pane at the bottom of the page, where additional resource details are displayed (see Figure 216).

5. The resource existing Change of Status Shutdown kW details will display for the **Capability Period** and **Month** selected.

Figure 216: 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. The 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 0, "

- 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 217), 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.

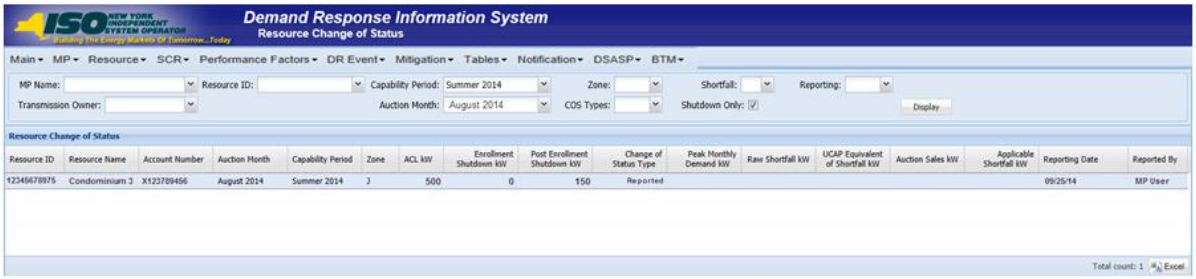
Figure 217: Change of Status Details Page Search Filters



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 218).

Figure 218: Change of Status Details Page Illustrating Resource Information for Change of Status Data

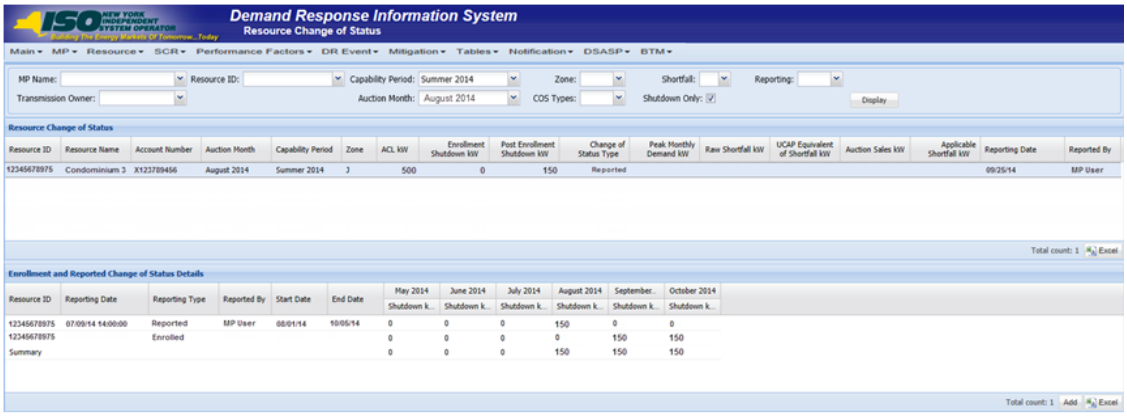


4. View details of the resource Change of Status data by clicking the corresponding row in the Change of Status Summary grid.

   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 219).

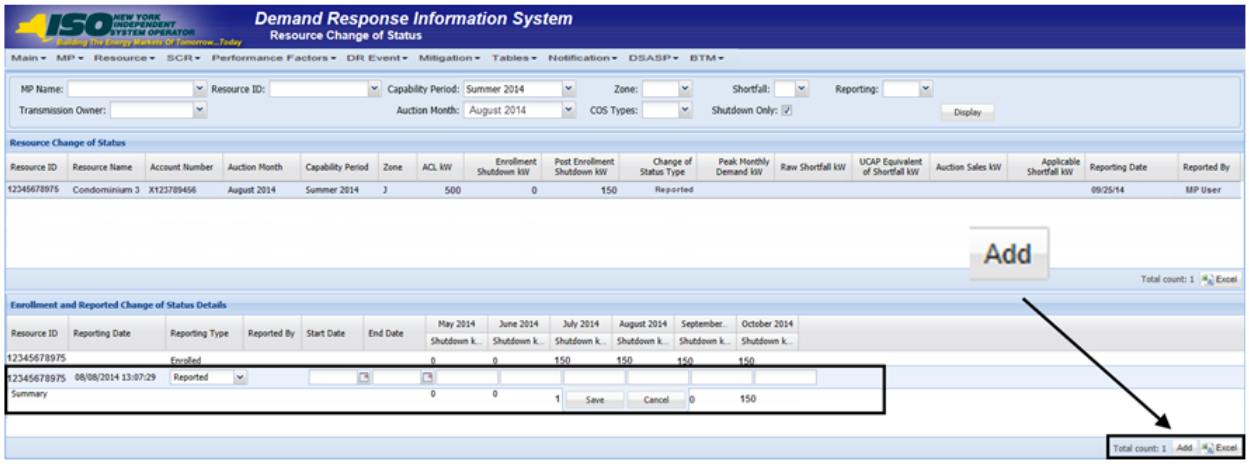
Figure 219: Change of Status Details Page Illustrating Expanded Reported Details



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 220).

Figure 220: Change of Status Reporting Fields



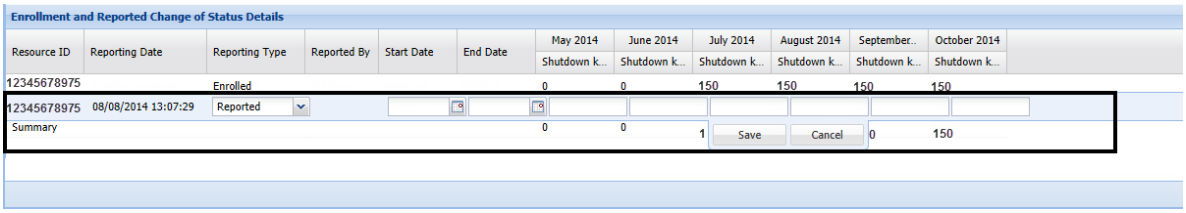
Note: The Change of Status Shutdown kW reporting functionality allows the MP User to change existing or to add new Shutdown kW values after the close of partial sales, for specific month(s) in the Capability Period. Depending on the objective, the MP User has the option of selecting the Change of Status 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.

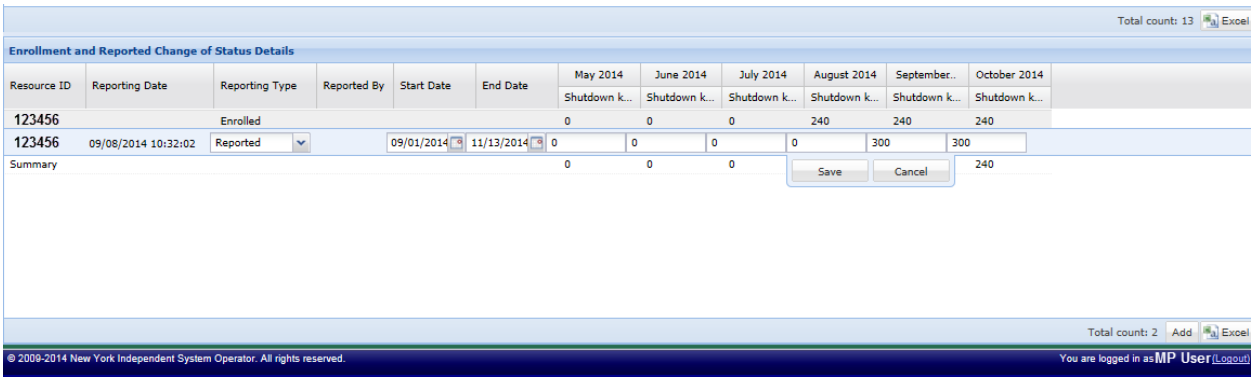
As illustrated by the sample Change of Status reporting in Figure 221, the reporting functionality must contain all editable fields which fall within the date range.

Figure 221: 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 222).

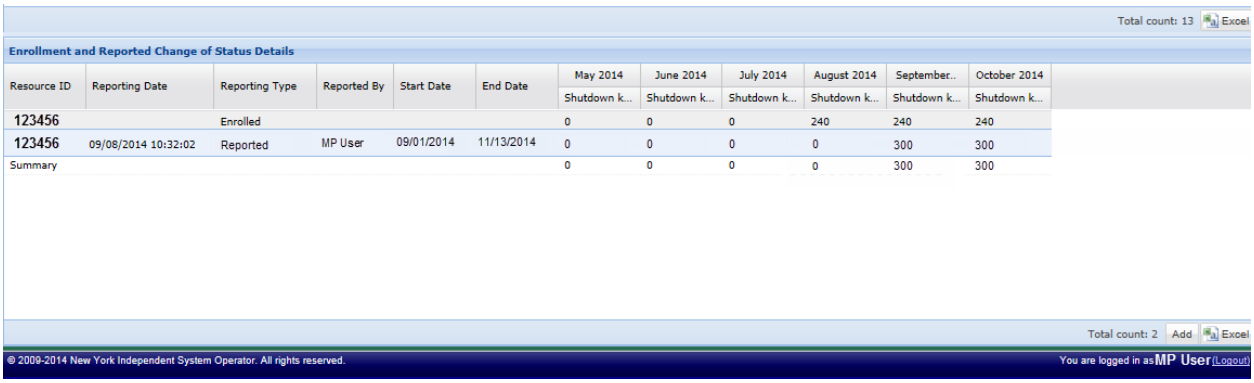
Figure 222: Change of Status Shutdown kW Reported as Zero, Outside of Date Range



In order for the Change of Status reporting functionality to be successfully processed by DRIS, the data must meet pre-defined rules. Figure 224 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 223: Change of Status Shutdown kW Reported and Saved



8. 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 224: 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	A	Numeric	N	The Resource ID assigned by the NYISO.
Reporting Date	B	Date and Time	N	The date and time auto-assigned by DRIS when a Change of Status Shutdown kW reporting entry is saved.
Reporting Type	C	Text Drop-down	Y	The reporting type as selected by the user. User may select from either *Enrolled* or *Reported*. For resources removing an existing Change of Status Shutdown kW value, select *Enrolled* and enter a value of zero. For resources adding or editing an existing Change of Status Shutdown kW value, select *Reported* and enter a value greater zero. Must be provided.
Begin Effective Date	D	Alpha – Numeric MM/DD/YYYY	Y	The day on which the Change of Status began. Must be earlier in the calendar year than the End Effective Date. Must be provided.
End Effective Date	E	Alpha – Numeric MM/DD/YYYY	Y	The day on which the Change of Status ends. 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.

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

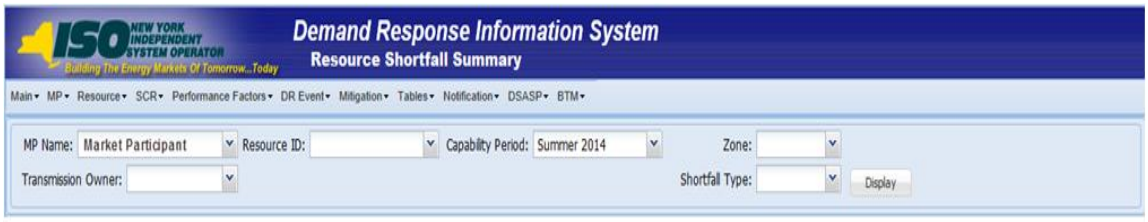
1. From the **Performance Factors** menu, choose **Resource Shortfall Summary**.

   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 225), 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.

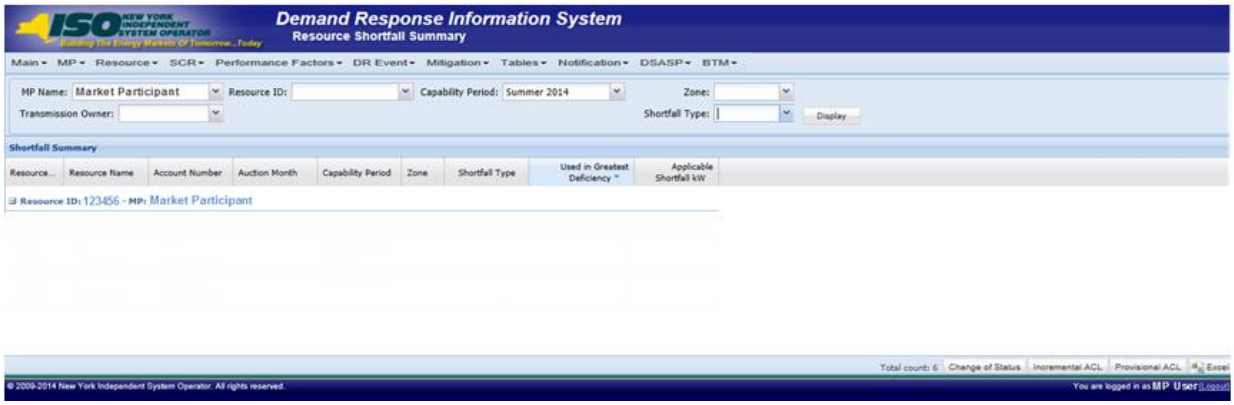
Figure 225: Resource Shortfall Summary Page Search Filters



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 226).

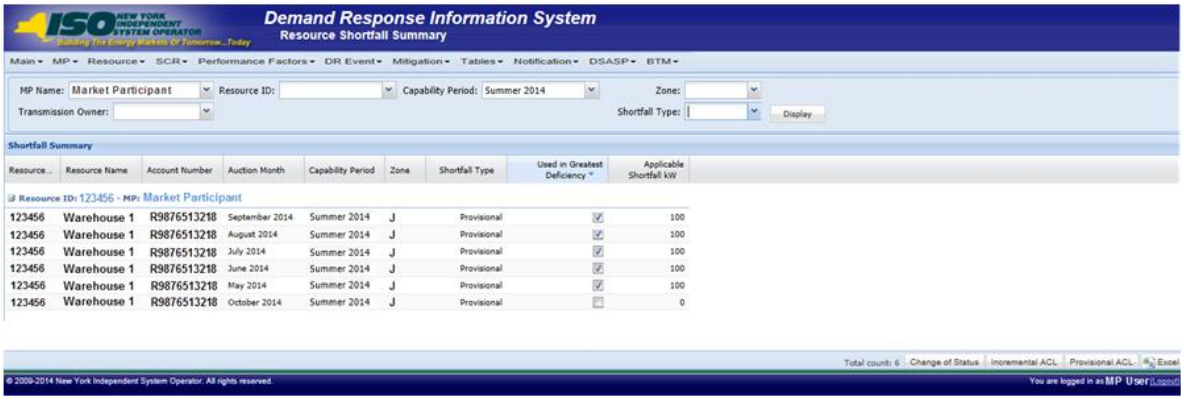
Figure 226: Resource Shortfall Summary page Illustrating Resource Information for Capability Period Shortfall kW Data



4. Optionally, view details of the resource Shortfall Summary detailed reporting data by clicking the corresponding row in the grid to expand the record.

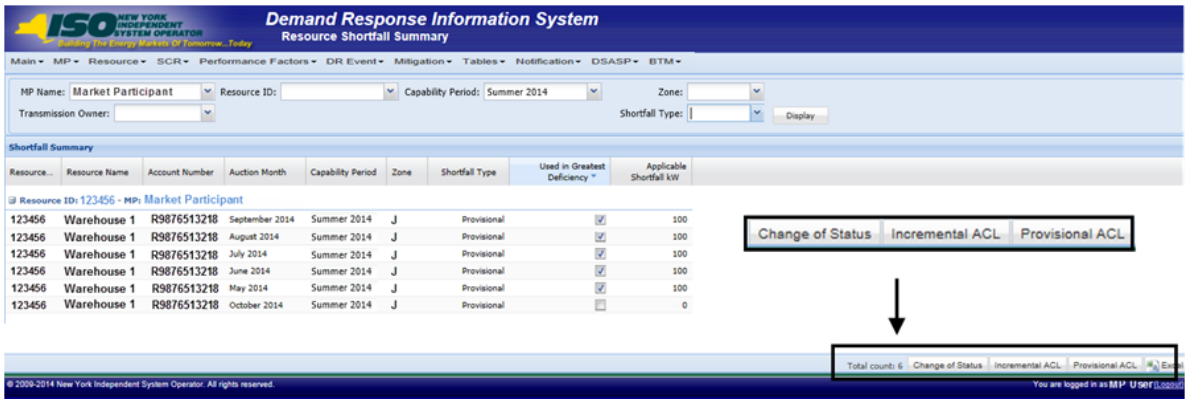
5. The system expands the record within the frame, where additional resource Shortfall kW summary information are displayed (see Figure 227).

Figure 227: 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 228).

Figure 228: Resource Shortfall Summary Page, Other Page Navigation



11. Performing Reliability Program Demand Response Event-Specific or Test-Specific Tasks

For the 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

11.1. 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 229 and Figure 230, 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 edrp-scr@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 229).

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 230).

> ***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 229: 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 230: 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.

11.2. 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 SCR/EDRP 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 0, "

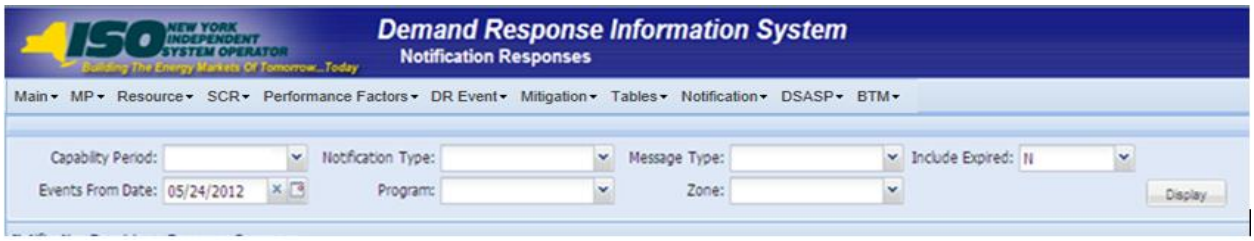
- Accessing the System").
- An Event Notification requiring an expected curtailment value exists in DRIS.

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 231), 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.

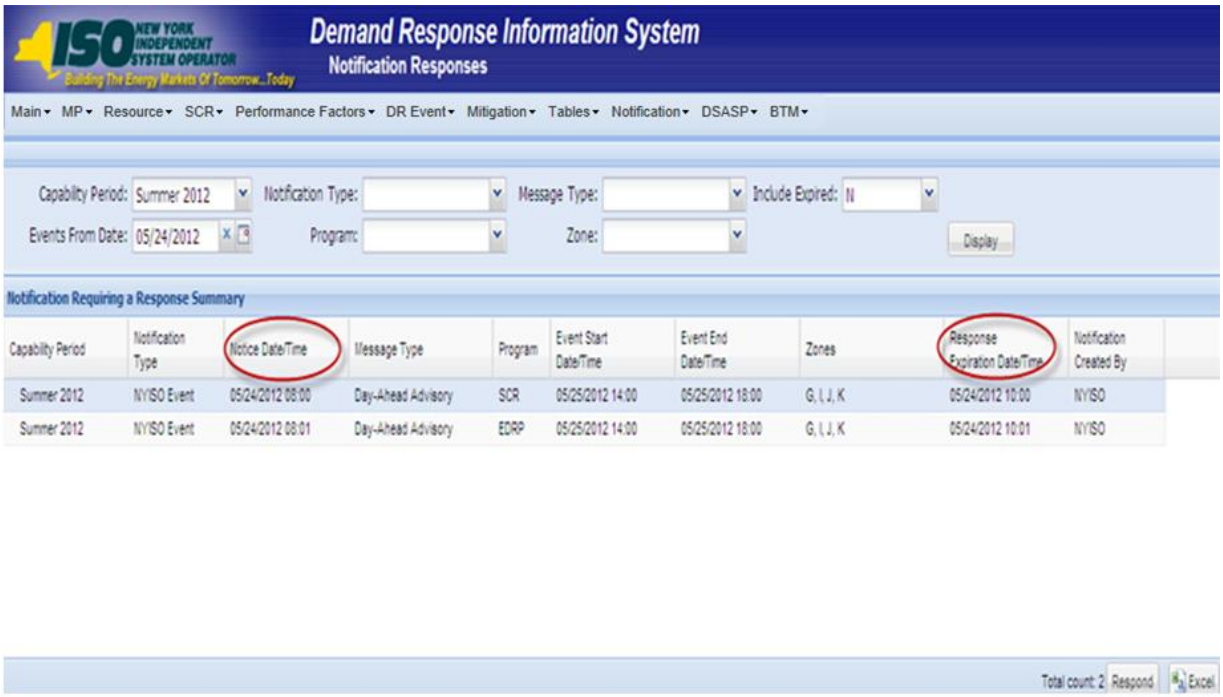
Figure 231: Notification Responses Page Search Filters



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 232).

Figure 232: Notification Responses Page Populated with Data

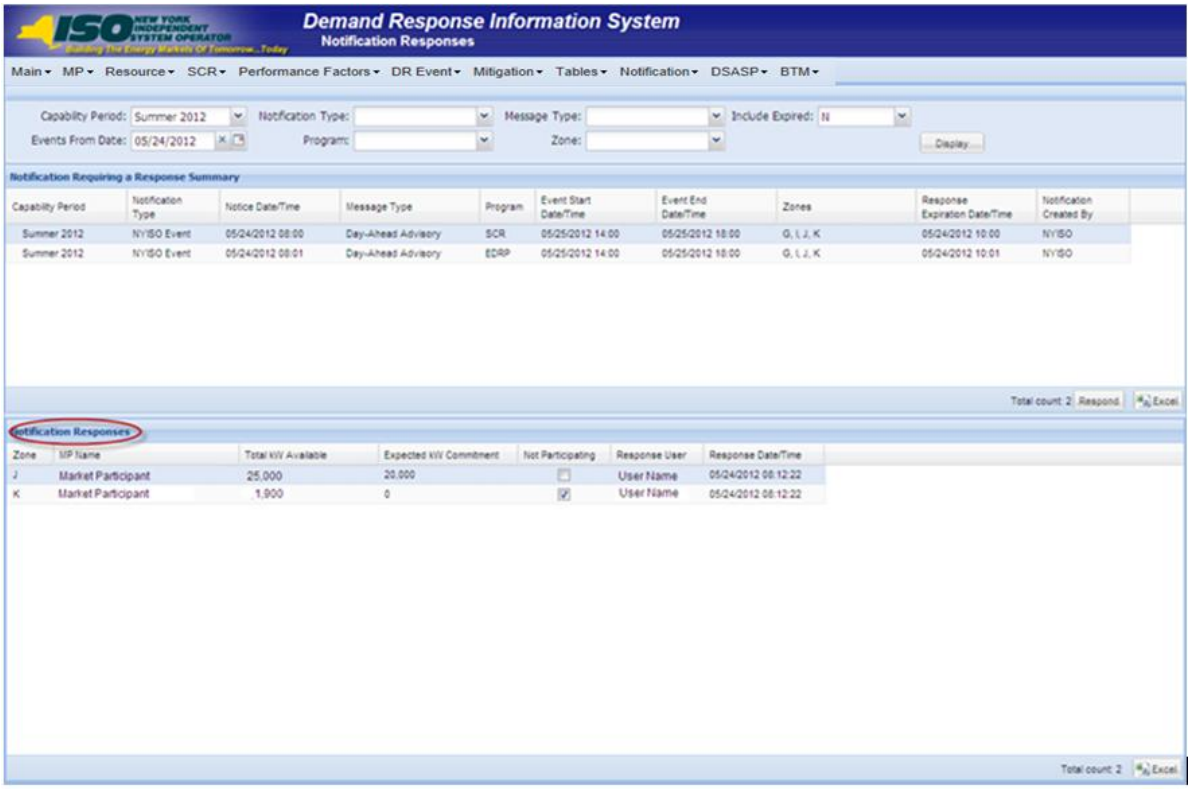


> ***Note:*** The Notification Responses page defaults to display all Event Notifications requiring an expected curtailment value that have a Response Expiration Date/Time which has not yet expired.

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 233).

Figure 233: Notification Responses Frame Populated with Expected Curtailment Values



11.3. 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 232). 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 0, "

- 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 234), 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 234: Notification Responses Page Search Filters

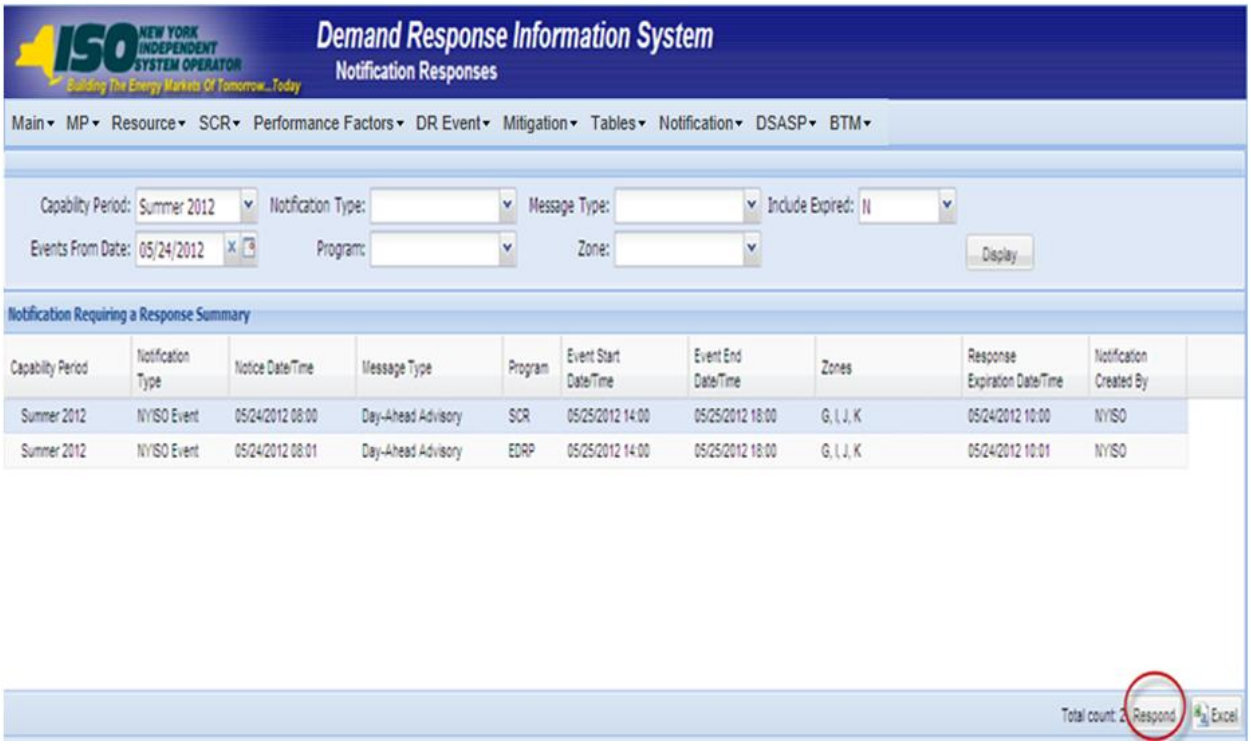


3. Near the top of the Notification Responses page, click the **Display** button.

   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 235).

Figure 235 : Notification Responses Page with Notification Selected for Responding with Expected

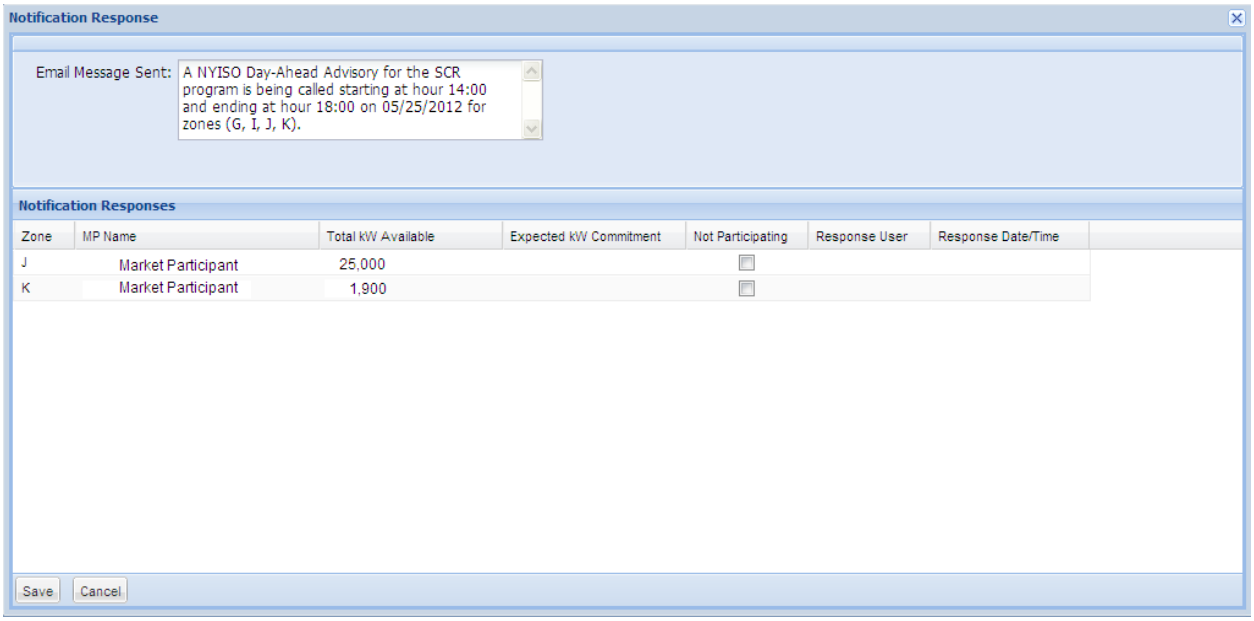
Curtailment Values



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 235).

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 236).

Figure 236: 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 237) and type in the numeric value of expected curtailment in kW increments (see Figure 238).

> ***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 238).

Figure 237: Notification Response Window with Expected kW Commitment field made Editable

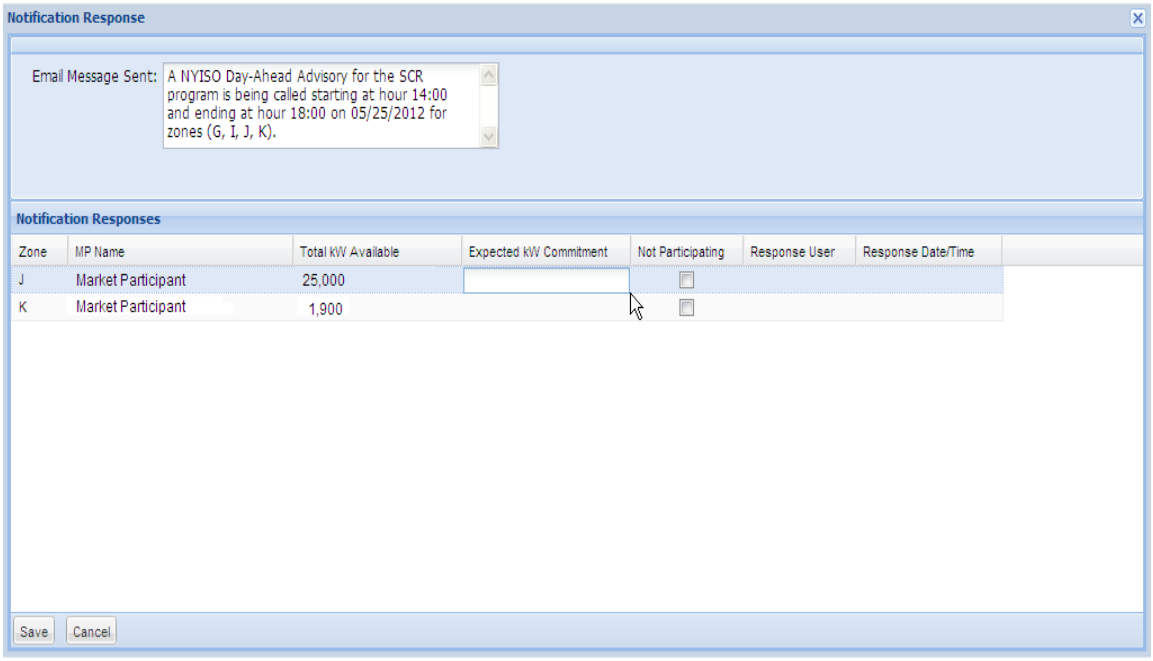
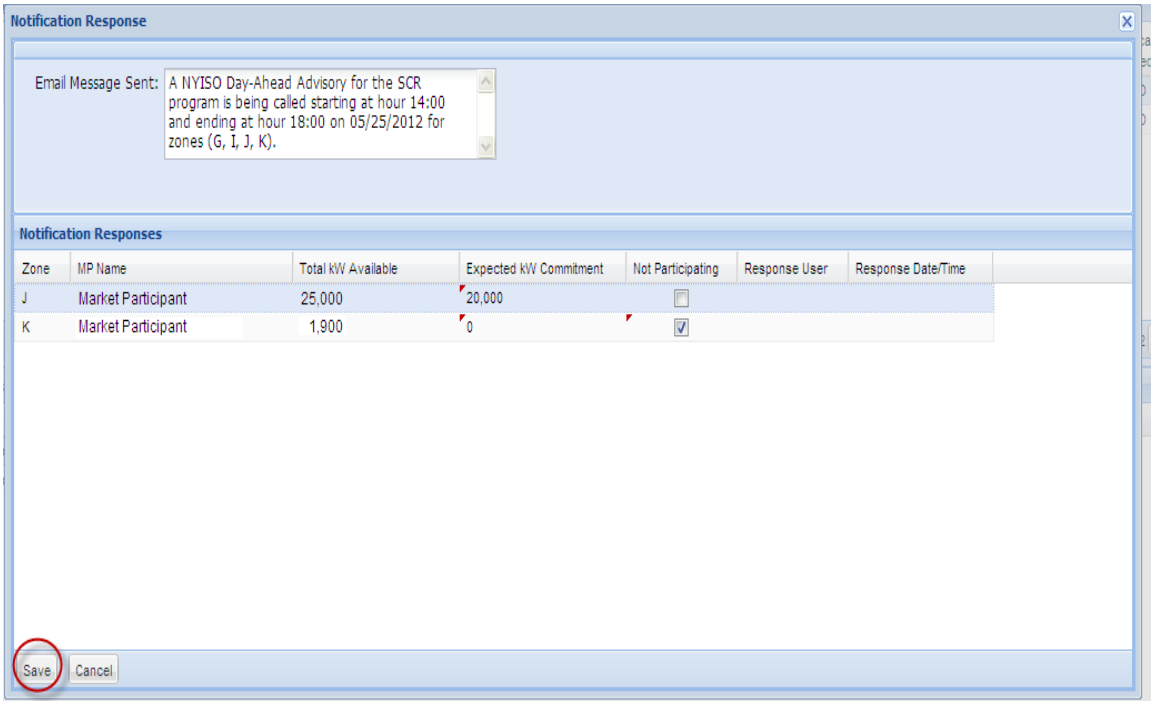


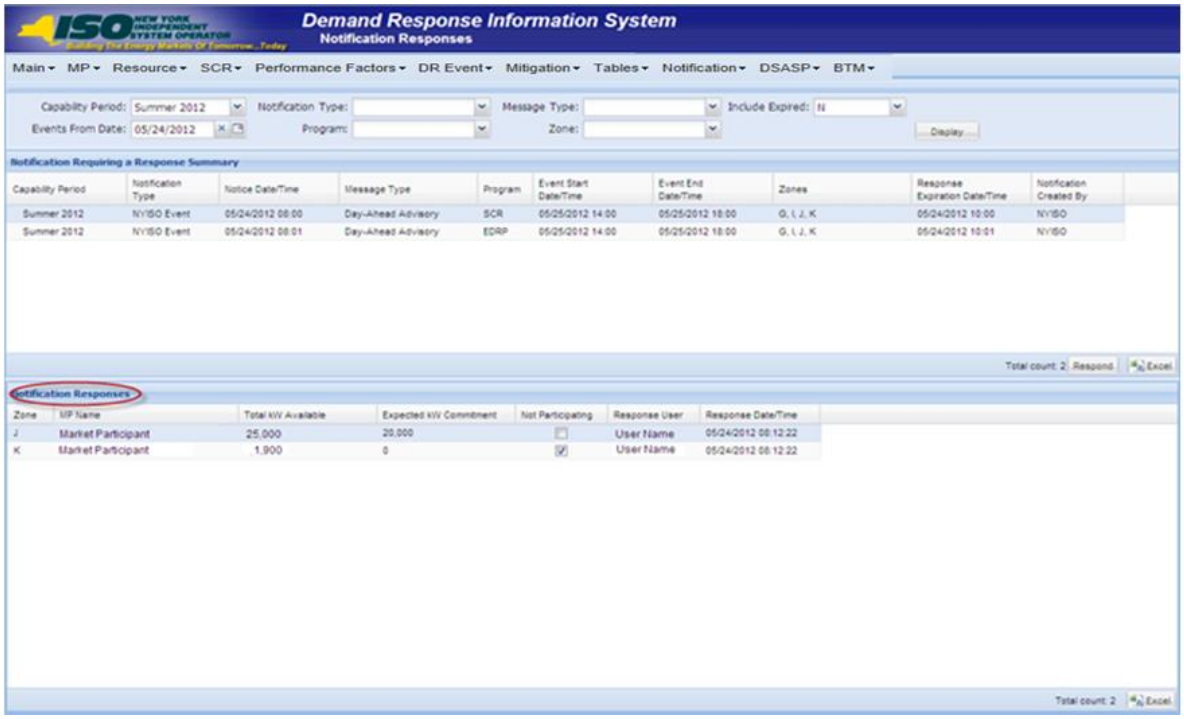
Figure 238: Notification Response Window with Expected kW Commitment Values



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 238).

9. View the saved responses to the Event Notification from the lowermost area of the Notification Responses page (see Figure 239).

Figure 239: Notification Responses Frame Populated with Expected Curtailment Values



11.4. 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 0, "

- Accessing the System").
- An Event Notification exists in DRIS.

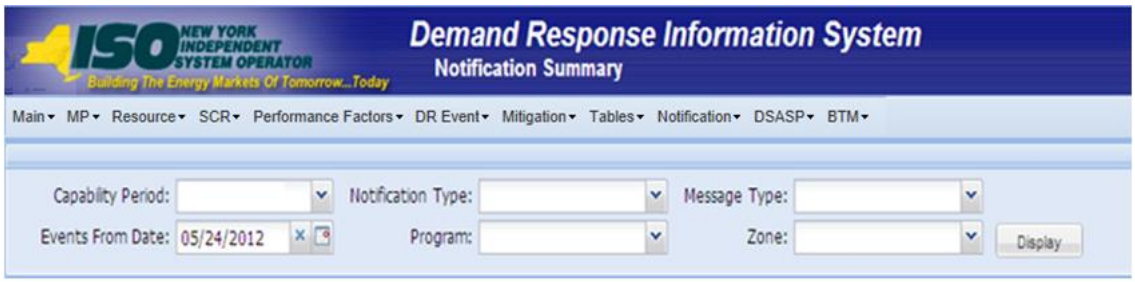
To view an Event Notification

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 240), 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.

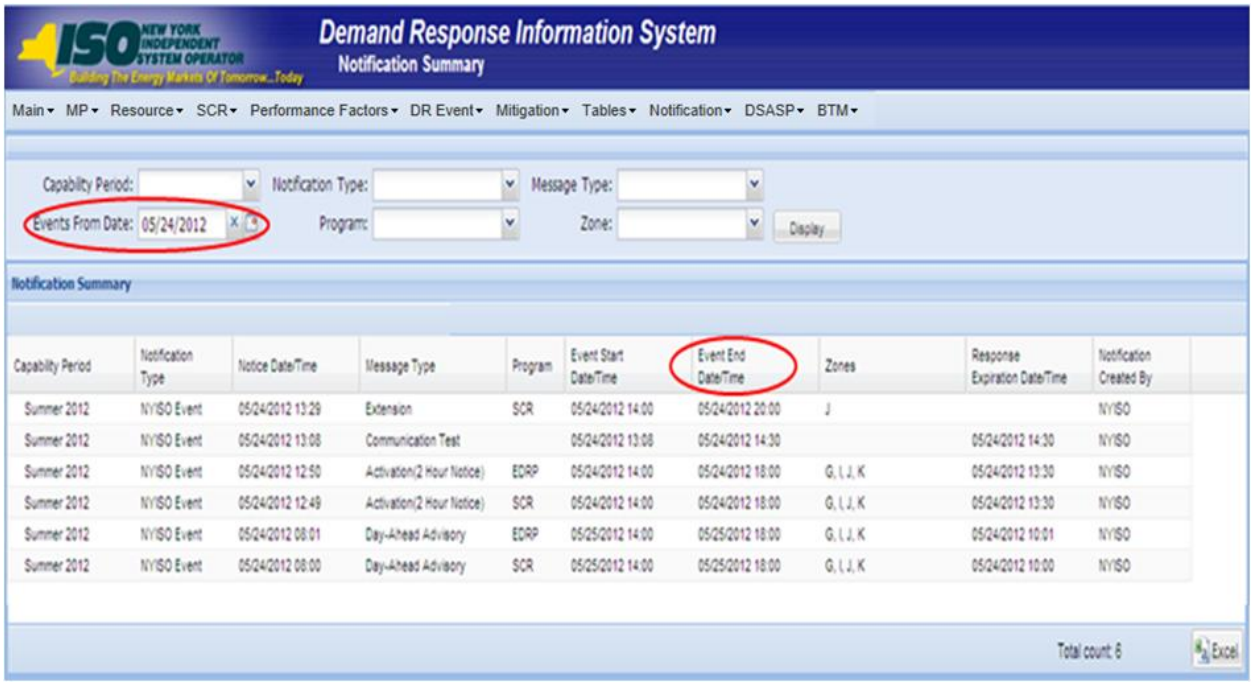
Figure 240: Notification Summary Page Search Filters



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 241).

Figure 241: 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.

11.5. 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 edrp-scr@nyiso.com and display a "Subject" line announcing that it is a Communication Test (see Figure 242).

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 243).

> ***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 242: 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 A through 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 243: 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 0, "

- 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 244), 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 244: Notification Responses Page Search Filters

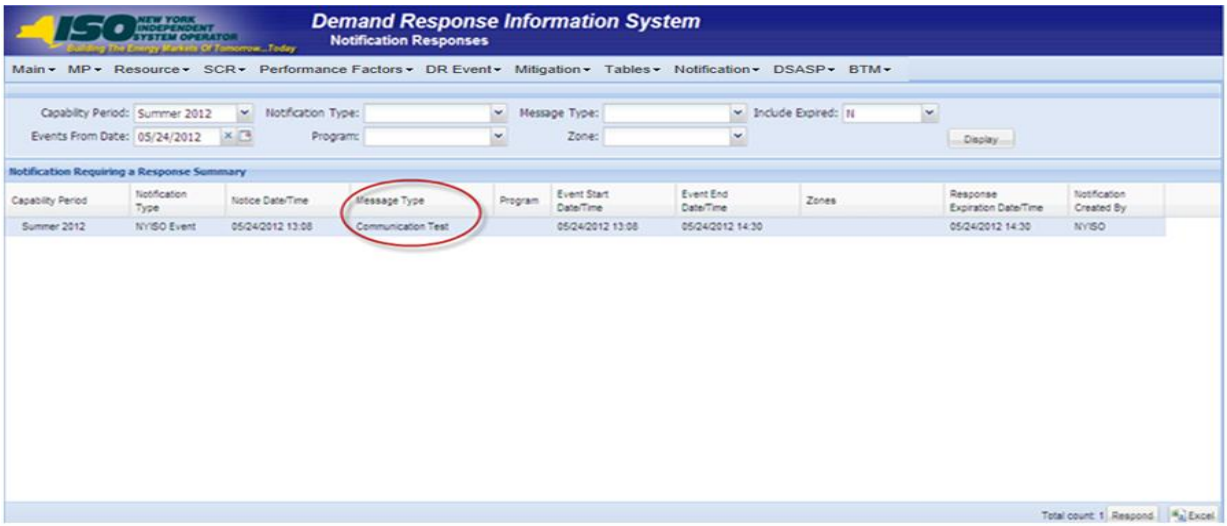


3. Near the top of the Notification Responses page, click the **Display** button.

   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 245).

4. A Communication Test can be identified by viewing the Message Type of the Event Notification (see Figure 245). Communication Tests will have no associated program or Zone(s) or subload pocket(s).

Figure 245: 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 0, "

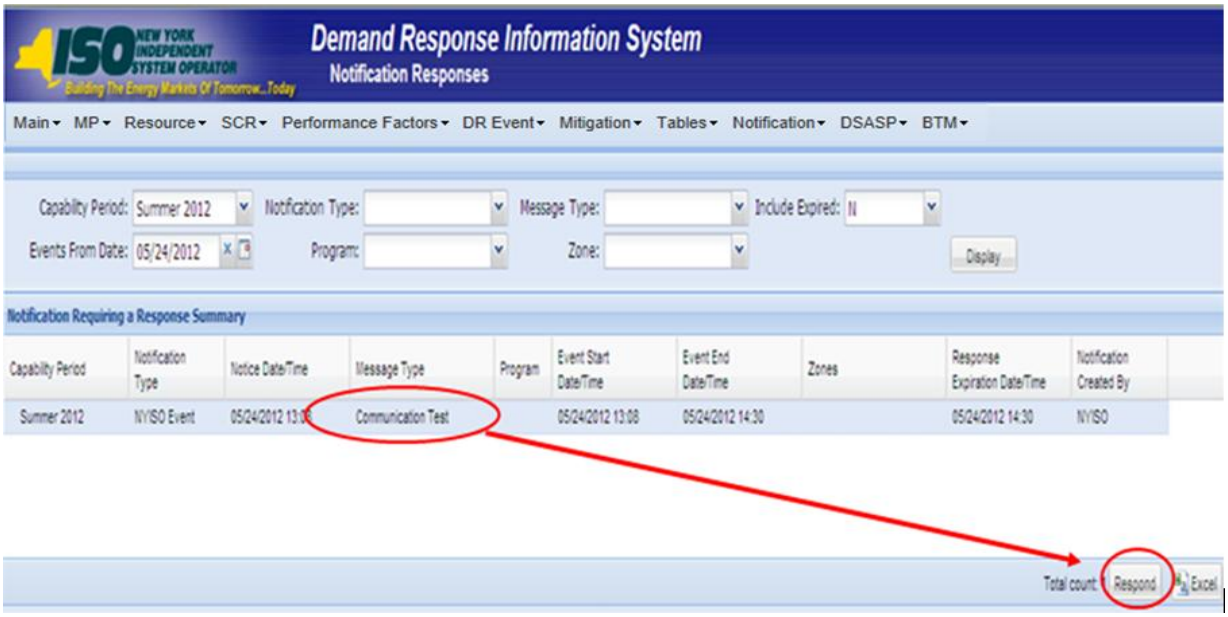
- Accessing the System").
- A Communication Test requiring an acknowledgement exists in DRIS.
- The Communication Test the MP is acknowledging has not yet expired.

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 246).

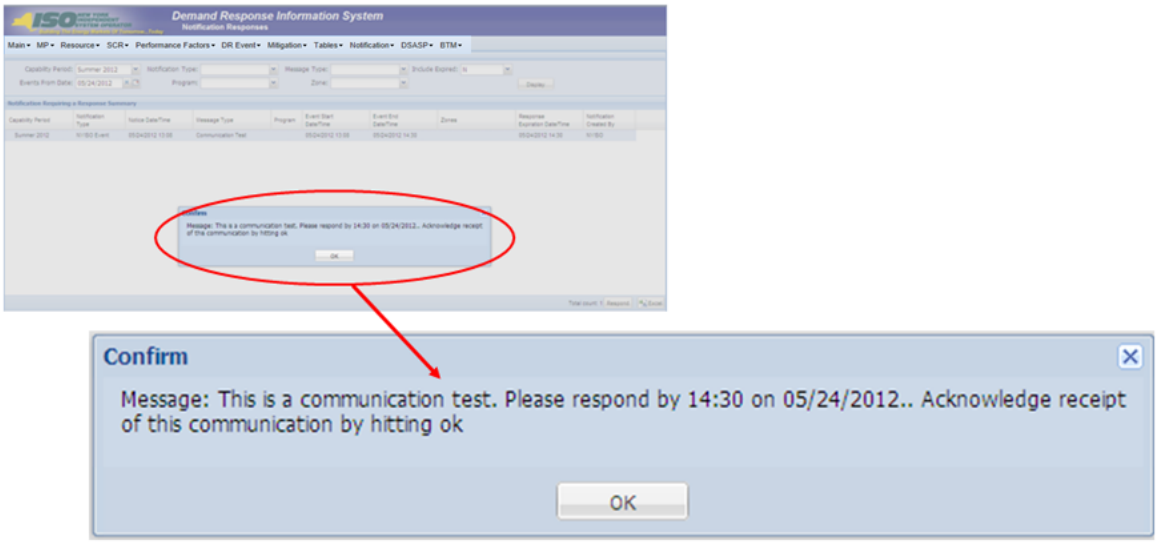
Figure 246: Notification Responses Page with Communication Test Selected for Responding with

Acknowledgement



2. A Confirm Message window appears requesting acknowledgement of receipt of the Communication Test (see Figure 247). Click **OK** to acknowledge receipt as a response to the Communication Test.

Figure 247: Communication Test Acknowledgement Confirmation Window

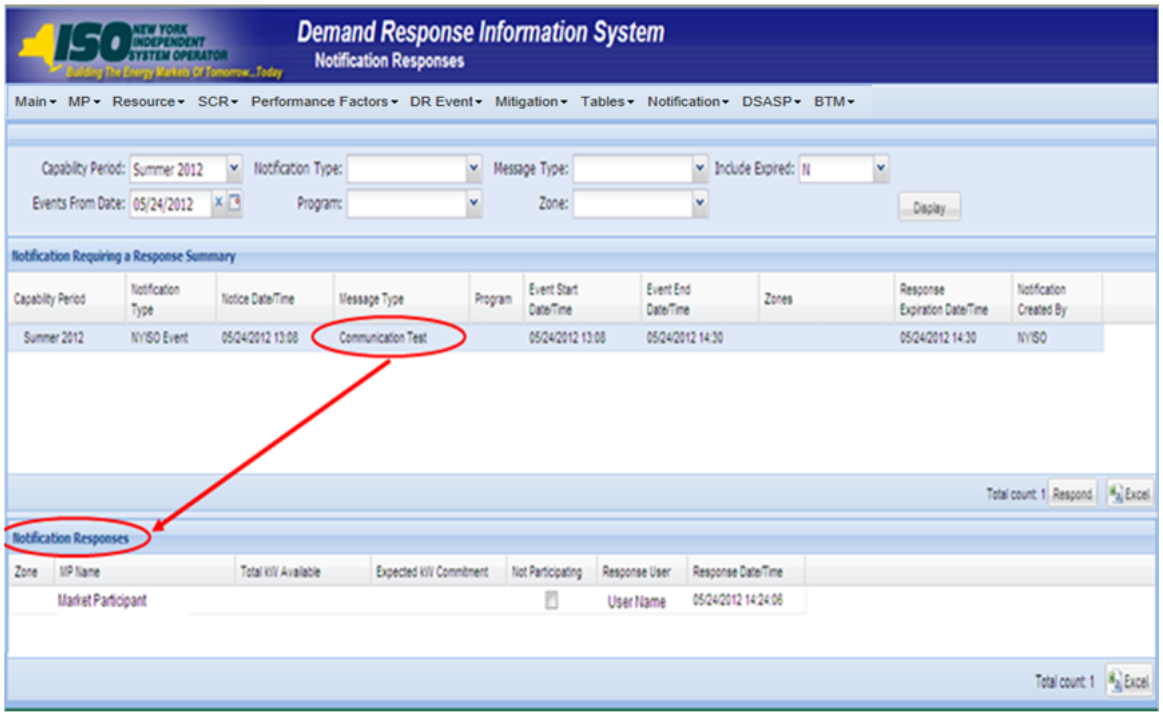


3. DRIS returns to the Notification Responses screen and refreshes to display the Notification Responses frame in the lowermost area of the page with the acknowledgement of the

Communication Test displayed with the Response User and Response Date/Time saved (see Figure 248).

> ***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.

Figure 248: Notification Responses Frame Populated with Communication Test Acknowledgement



11.6. 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.

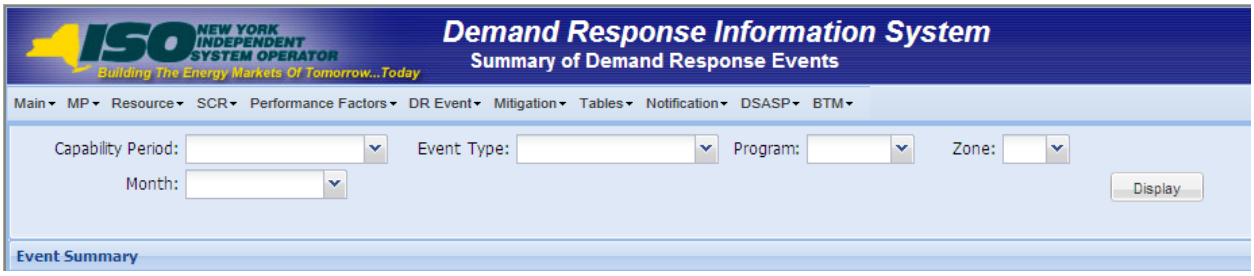
To view event or test details

1. From the **DR Event** menu, choose **DR Event Summary**.

   The system displays the Summary of Demand Response Events page.

2. From the corresponding search filters in the uppermost frame on the Summary of Demand Response Events page (see Figure 249), choose from any combination of **Capability Period**, **Month**, **Event Type**, **Program** and/or **Zone** for which the system should display events or tests.

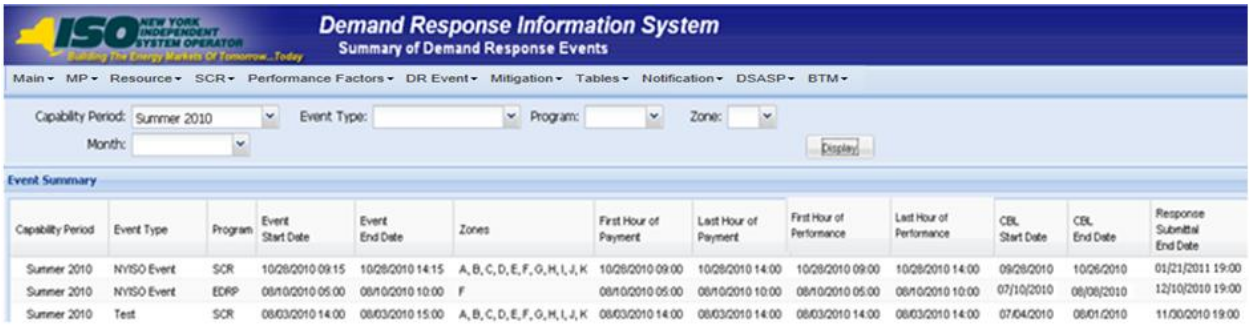
Figure 249: Summary of Demand Response Events Page Search Filters



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 250).

Figure 250: Summary of Demand Response Events Page Populated with Data



11.7. 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.

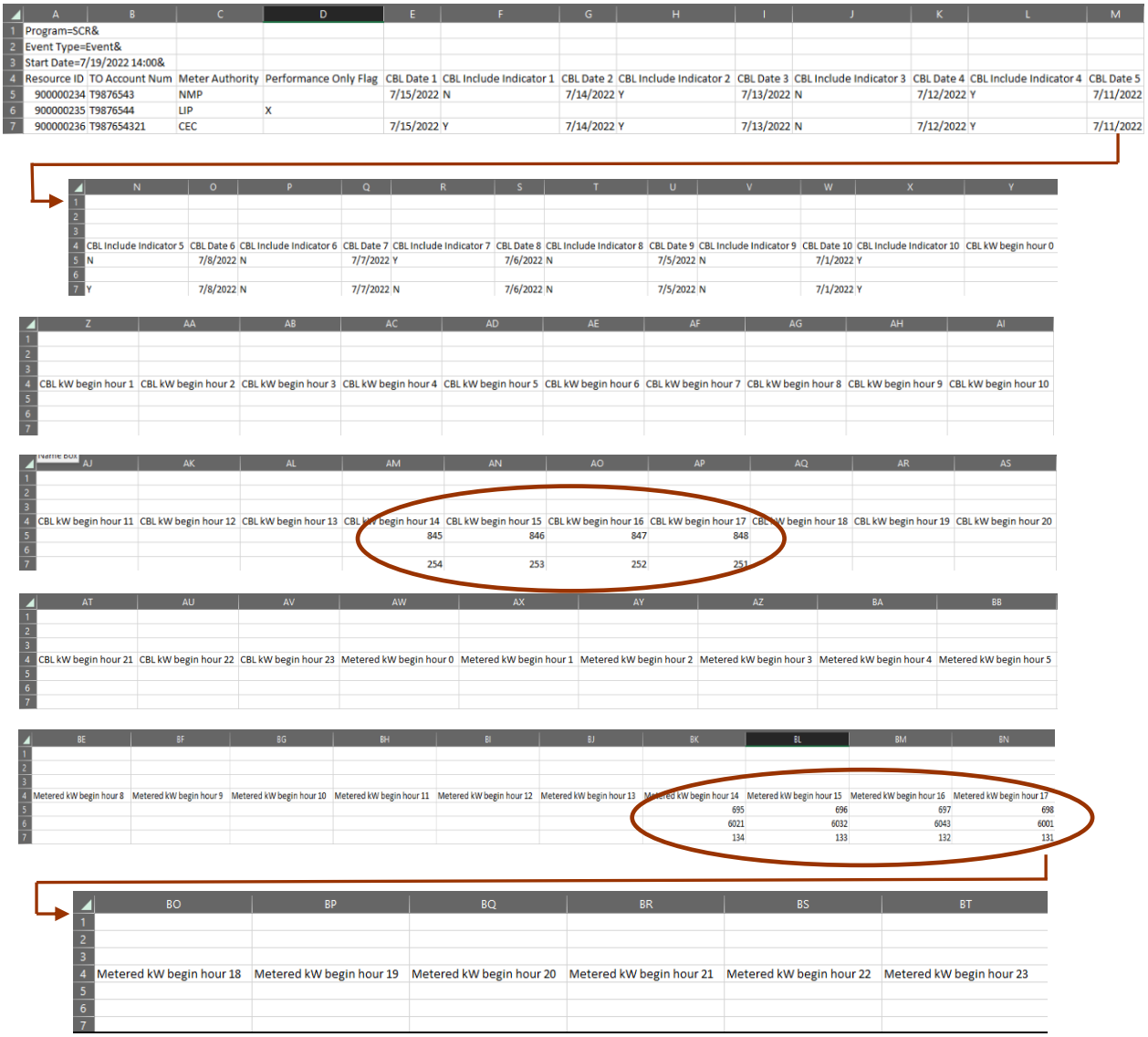
> ***Note:*** Reporting resource event response data through the event response import file in DRIS is the ***only*** means by which response data will be accepted by the NYISO. The imported data will be used for both the determination of future performance calculations and for the processing of payment for the event or test.

11.7.1. 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 251, the Excel (.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.

Figure 251: Sample Event Response File in Excel



	A	B	C	D	E	F	G	H	I	J	K	L	M
1	Program=SCR&												
2	Event Type=Event&												
3	Start Date=7/19/2022 14:00&												
4	Resource ID	TO Account Num	Meter Authority	Performance Only Flag	CBL Date 1	CBL Include Indicator 1	CBL Date 2	CBL Include Indicator 2	CBL Date 3	CBL Include Indicator 3	CBL Date 4	CBL Include Indicator 4	CBL Date 5
5	900000234	T9876543	NMP		7/15/2022	N	7/14/2022	Y	7/13/2022	N	7/12/2022	Y	7/11/2022
6	900000235	T9876544	LIP	X									
7	900000236	T987654321	CEC		7/15/2022	Y	7/14/2022	Y	7/13/2022	N	7/12/2022	Y	7/11/2022

	N	O	P	Q	R	S	T	U	V	W	X	Y
4	CBL Include Indicator 5	CBL Date 6	CBL Include Indicator 6	CBL Date 7	CBL Include Indicator 7	CBL Date 8	CBL Include Indicator 8	CBL Date 9	CBL Include Indicator 9	CBL Date 10	CBL Include Indicator 10	CBL kW begin hour 0
5	N	7/8/2022	N	7/7/2022	Y	7/6/2022	N	7/5/2022	N	7/1/2022	Y	
7	Y	7/8/2022	N	7/7/2022	N	7/6/2022	N	7/5/2022	N	7/1/2022	Y	

	Z	AA	AB	AC	AD	AE	AF	AG	AH	AI
4	CBL kW begin hour 1	CBL kW begin hour 2	CBL kW begin hour 3	CBL kW begin hour 4	CBL kW begin hour 5	CBL kW begin hour 6	CBL kW begin hour 7	CBL kW begin hour 8	CBL kW begin hour 9	CBL kW begin hour 10

	AJ	AK	AL	AM	AN	AO	AP	AQ	AR	AS
4	CBL kW begin hour 11	CBL kW begin hour 12	CBL kW begin hour 13	CBL kW begin hour 14	CBL kW begin hour 15	CBL kW begin hour 16	CBL kW begin hour 17	CBL kW begin hour 18	CBL kW begin hour 19	CBL kW begin hour 20
5				845	846	847	848			
7				254	253	252	251			

	AT	AU	AV	AW	AX	AY	AZ	BA	BB
4	CBL kW begin hour 21	CBL kW begin hour 22	CBL kW begin hour 23	Metered kW begin hour 0	Metered kW begin hour 1	Metered kW begin hour 2	Metered kW begin hour 3	Metered kW begin hour 4	Metered kW begin hour 5

	BE	BF	BG	BH	BI	BJ	BK	BL	BM	BN
4	Metered kW begin hour 8	Metered kW begin hour 9	Metered kW begin hour 10	Metered kW begin hour 11	Metered kW begin hour 12	Metered kW begin hour 13	Metered kW begin hour 14	Metered kW begin hour 15	Metered kW begin hour 16	Metered kW begin hour 17
5							695	696	697	698
6							6021	6032	6043	6001
7							134	133	132	131

	BO	BP	BQ	BR	BS	BT
4	Metered kW begin hour 18	Metered kW begin hour 19	Metered kW begin hour 20	Metered kW begin hour 21	Metered kW begin hour 22	Metered kW begin hour 23

In order for an event response file to be successfully processed by DRIS, the header data must meet pre-defined rules. Figure 252 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 253 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 252: 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.
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.
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.

Figure 253: 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	A	Numeric	The Resource ID assigned by the NYISO.
TO Account Number	B	Text Up to 30 characters	The account number that is associated with the resource in DRIS.
Meter Authority	C	Text 1 character	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 under Meter Services Administration: Approved Meter Services Entities
Performance Only Flag	D	Text Up to 3 characters	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.
CBL Date 1	E	Date MM/DD/YYYY	Customer Baseline calculation date 1.
CBL Include Indicator 1	F	Text 1 character	If CBL Date 1 is included in the CBL calculation, enter a *Y* into the CBL Indicator 1 field.

Event Response Field Name	Column in Import File	Field Format	Description and Rule(s)
			If CBL Date 1 is not included in the CBL calculation, enter an *N* into the CBL Indicator 1 field.
CBL Date 2	G	Date MM/DD/YYYY	Customer Baseline calculation date 2.
CBL Include Indicator 2	H	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	I	Date MM/DD/YYYY	Customer Baseline calculation date 3.
CBL Include Indicator 3	J	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	K	Date MM/DD/YYYY	Customer Baseline calculation date 4.
CBL Include Indicator 4	L	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	M	Date MM/DD/YYYY	Customer Baseline calculation date 5.
CBL Include Indicator 5	N	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	O	Date MM/DD/YYYY	Customer Baseline calculation date 6.
CBL Include Indicator 6	P	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	Q	Date MM/DD/YYYY	Customer Baseline calculation date 7.

Event Response Field Name	Column in Import File	Field Format	Description and Rule(s)
CBL Include Indicator 7	R	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	S	Date MM/DD/YYYY	Customer Baseline calculation date 8.
CBL Include Indicator 8	T	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	U	Date MM/DD/YYYY	Customer Baseline calculation date 9.
CBL Include Indicator 9	V	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	W	Date MM/DD/YYYY	Customer Baseline calculation date 10.
CBL Include Indicator 10	X	Text 1 character	If CBL Date 10 is included in the CBL calculation, enter a *Y* into the CBL Indicator 10 field. If CBL Date 10 is not included in the CBL calculation, enter an *N* into the CBL Indicator 10 field.
CBL kW Begin Hour 0 through CBL kW Begin Hour 23	Y through AV	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 Metered kW Begin Hour 23	AW through BT	Numeric Up to 6 digits before decimal and 1 digit after decimal	Resource hourly metered load for each event hour.

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.

11.7.1.1. Creating an SCA Event Response Supporting File

An SCA Event Response File is created in accordance with Section 11.7.1 of this User's Guide and is comprised of the aggregate event response information of all the end-use customers in the SCA. This aggregate data is supported by and calculated using the SCA Event Response Supporting file.

As illustrated by the sample SCA Event Response Supporting file in Figure 254**: Sample SCA Event Response Supporting File**, the first row of data in the SCA Event Response Supporting file is row 5 and must contain the SCA's total event response information; the aggregate data of all end-use customers in the SCA. The remaining rows of data beginning at row 6 must contain each individual end-use customer's event response data on a separate row. The 'Event Response Import Template' used in Section 11.7.1 of this User's Guide is used to create the SCA Event Response Supporting file. In addition to the columns included in the Event Response Import Template, columns must be added to contain:

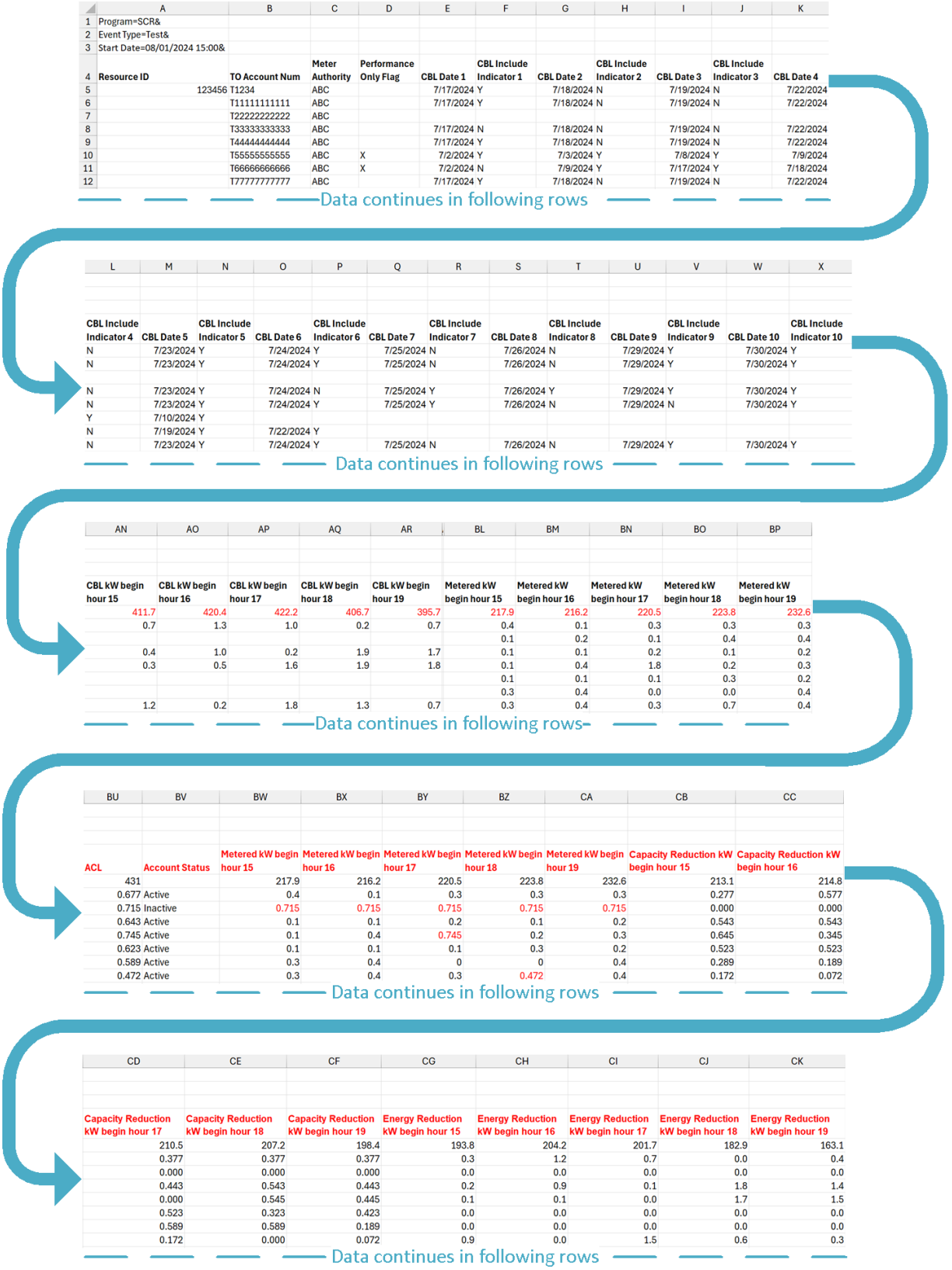
- Each individual end-use customer's Calculated ACL, as seen in the SCA Composition file (see Section 7.6.1 of this User's Guide)
- Each end-use customer's account status (active/inactive) in accordance with confirmation received from the TO (see EDRP Manual Section 2.7.4)
- Updated Metered kW values for each hour of the event or test, updated based on the end-use customer's account status and ACL values. The Updated Metered kW value of each end-use customer will equal their Metered kW value unless the end-use customer's account is not confirmed to be active according to the TO or if an end-use customer's Metered kW value is greater than their ACL value, in which case the Updated Metered kW value must be equal to the end-use customer's ACL. These values are used to properly calculate the SCA's overall metered kW value and demand reduction values to be used in the Event Response File imported in DRIS.
- Capacity Reduction kW values measured from the ACL for each hour of the event or test. These values are calculated by subtracting each individual end-use customer's Updated Metered kW value from their ACL If the end-use customer is not confirmed to be active according to the TO, or an end-use customer's Metered kW value is greater than their ACL, this value must be zero.
- Where applicable, Energy Reduction kW values measured from the CBL for each hour of the event or test. These values are calculated by subtracting the Metered kW value from the CBL kW value. This value must be zero if:

- The end-use customer's account is not confirmed to be active according to the TO
- The end-use customer has been marked as Performance Only
- The end-use customer does not have all 10 CBL Dates
- The Metered kW value is greater than the CBL kW value

Figure 254**: Sample SCA Event Response Supporting File** shows a sample SCA Event Response Supporting file for five-hour event beginning at hour 15. As illustrated by the figure, the file must contain the SCA's data in row 5 followed by a set of data for each end-use customer in the SCA.

Note: When providing CBL kW values, for each hour of the event the CBL kW value shown in the first row of data (row 5) and in the Event Response file imported in DRIS must be equal to the sum of the aggregate Updated Metered kW value and the aggregate Energy Reduction kW value. For example, for one hour of an event, if summing the Updated Metered kW values for all end-use customers in the SCA yields 300 kW, and summing the Energy Reduction kW for all end-use customers in the SCA yields 200 kW, the CBL kW value for the applicable event hour would equal 500 kW.

Figure 254: Sample SCA Event Response Supporting File



	A	B	C	D	E	F	G	H	I	J	K
1	Program=SCR&										
2	Event Type=Test&										
3	Start Date=08/01/2024 15:00&										
4	Resource ID	TO Account Num	Meter Authority	Performance Only Flag	CBL Date 1	CBL Include Indicator 1	CBL Date 2	CBL Include Indicator 2	CBL Date 3	CBL Include Indicator 3	CBL Date 4
5	123456	T1234	ABC		7/17/2024	Y	7/18/2024	N	7/19/2024	N	7/22/2024
6		T11111111111	ABC		7/17/2024	Y	7/18/2024	N	7/19/2024	N	7/22/2024
7		T22222222222	ABC								
8		T33333333333	ABC		7/17/2024	N	7/18/2024	N	7/19/2024	N	7/22/2024
9		T44444444444	ABC		7/17/2024	Y	7/18/2024	N	7/19/2024	N	7/22/2024
10		T555555555555	ABC	X	7/2/2024	Y	7/3/2024	Y	7/8/2024	Y	7/9/2024
11		T666666666666	ABC	X	7/2/2024	N	7/9/2024	Y	7/17/2024	Y	7/18/2024
12		T777777777777	ABC		7/17/2024	Y	7/18/2024	N	7/19/2024	N	7/22/2024

Data continues in following rows

L	M	N	O	P	Q	R	S	T	U	V	W	X
CBL Include Indicator 4	CBL Date 5	CBL Include Indicator 5	CBL Date 6	CBL Include Indicator 6	CBL Date 7	CBL Include Indicator 7	CBL Date 8	CBL Include Indicator 8	CBL Date 9	CBL Include Indicator 9	CBL Date 10	CBL Include Indicator 10
N	7/23/2024	Y	7/24/2024	Y	7/25/2024	N	7/26/2024	N	7/29/2024	Y	7/30/2024	Y
N	7/23/2024	Y	7/24/2024	Y	7/25/2024	N	7/26/2024	N	7/29/2024	Y	7/30/2024	Y
N	7/23/2024	Y	7/24/2024	N	7/25/2024	Y	7/26/2024	Y	7/29/2024	Y	7/30/2024	Y
N	7/23/2024	Y	7/24/2024	Y	7/25/2024	Y	7/26/2024	N	7/29/2024	N	7/30/2024	Y
Y	7/10/2024	Y										
N	7/19/2024	Y	7/22/2024	Y								
N	7/23/2024	Y	7/24/2024	Y	7/25/2024	N	7/26/2024	N	7/29/2024	Y	7/30/2024	Y

Data continues in following rows

AN	AO	AP	AQ	AR	BL	BM	BN	BO	BP
CBL kW begin hour 15	CBL kW begin hour 16	CBL kW begin hour 17	CBL kW begin hour 18	CBL kW begin hour 19	Metered kW begin hour 15	Metered kW begin hour 16	Metered kW begin hour 17	Metered kW begin hour 18	Metered kW begin hour 19
411.7	420.4	422.2	406.7	395.7	217.9	216.2	220.5	223.8	232.6
0.7	1.3	1.0	0.2	0.7	0.4	0.1	0.3	0.3	0.3
					0.1	0.2	0.1	0.4	0.4
0.4	1.0	0.2	1.9	1.7	0.1	0.1	0.2	0.1	0.2
0.3	0.5	1.6	1.9	1.8	0.1	0.4	1.8	0.2	0.3
					0.1	0.1	0.1	0.3	0.2
					0.3	0.4	0.0	0.0	0.4
1.2	0.2	1.8	1.3	0.7	0.3	0.4	0.3	0.7	0.4

Data continues in following rows

BU	BV	BW	BX	BY	BZ	CA	CB	CC
ACL	Account Status	Metered kW begin hour 15	Metered kW begin hour 16	Metered kW begin hour 17	Metered kW begin hour 18	Metered kW begin hour 19	Capacity Reduction kW begin hour 15	Capacity Reduction kW begin hour 16
431		217.9	216.2	220.5	223.8	232.6	213.1	214.8
0.677	Active	0.4	0.1	0.3	0.3	0.3	0.277	0.577
0.715	Inactive	0.715	0.715	0.715	0.715	0.715	0.000	0.000
0.643	Active	0.1	0.1	0.2	0.1	0.2	0.543	0.543
0.745	Active	0.1	0.4	0.745	0.2	0.3	0.645	0.345
0.623	Active	0.1	0.1	0.1	0.3	0.2	0.523	0.523
0.589	Active	0.3	0.4	0	0	0.4	0.289	0.189
0.472	Active	0.3	0.4	0.3	0.472	0.4	0.172	0.072

Data continues in following rows

CD	CE	CF	CG	CH	CI	CJ	CK
Capacity Reduction kW begin hour 17	Capacity Reduction kW begin hour 18	Capacity Reduction kW begin hour 19	Energy Reduction kW begin hour 15	Energy Reduction kW begin hour 16	Energy Reduction kW begin hour 17	Energy Reduction kW begin hour 18	Energy Reduction kW begin hour 19
210.5	207.2	198.4	193.8	204.2	201.7	182.9	163.1
0.377	0.377	0.377	0.3	1.2	0.7	0.0	0.4
0.000	0.000	0.000	0.0	0.0	0.0	0.0	0.0
0.443	0.543	0.443	0.2	0.9	0.1	1.8	1.4
0.000	0.545	0.445	0.1	0.1	0.0	1.7	1.5
0.523	0.323	0.423	0.0	0.0	0.0	0.0	0.0
0.589	0.589	0.189	0.0	0.0	0.0	0.0	0.0
0.172	0.000	0.072	0.9	0.0	1.5	0.6	0.3

Data continues in following rows

Figure 255**: Rules Specific to SCA Event Response Supporting File** identifies the additional requirements for creating an SCA Composition file that are not outlined in Figure 253: Rules Specific to Resource Data in Event Response File of this User's Guide.

Figure 255: Rules Specific to SCA Event Response Supporting File

SCA Event Response Field Name	Column in Import File	Field Format	Description and Rule(s)
Resource ID	A	Numeric	Only populated for the first row of data in the SCA Event Response Supporting file. See Figure 253: Rules Specific to Resource Data in Event Response File.
TO Account Number	B	Text Up to 30 characters	For the first row of data (row 5): Unique SCA identification number (see EDRP Manual Section 2.7) For each individual end-use customer (starting on row 6): The account number assigned by the Transmission Owner.
Meter Authority	C	Text 1 character	See Figure 253: Rules Specific to Resource Data in Event Response File. Must be the same value for all rows of data.
Performance Only Flag	D	Text Up to 3 characters	If the end-use customer has less than 10 CBL dates and/or if their response is to be used for Performance calculations only, enter an X into the Performance Only Flag field and leave the CBL Date, CBL Include Indicator, and CBL kW fields blank. If the end-use customer has 10 CBL dates and their response is to be used for both Payment and Performance calculations, leave the Performance Only field blank.
CBL Date 1 -10	E, G, I, K, M, O, Q, S, U, W	Date MM/DD/YYYY	See Figure 253: Rules Specific to Resource Data in Event Response File. Note: for the first row of data (row 5) any CBL dates of the end-use customers in the SCA can be used, provided the CBL Dates in the first row are unique to each other.
CBL Include Indicator 1-10	F, H, J, L, N, P, R, T, V, X	Text 1 character	See Figure 253: Rules Specific to Resource Data in Event Response File. Note: for the first row of data (row 5) use the indicators that correspond to the CBL Dates selected in the above row in this table.
CBL kW Begin Hour 0 through CBL kW Begin Hour 23	Y through AV	Numeric Up to 6 digits before decimal and 1 digit after decimal	For each individual end-use customer (starting on row 6): End-use customer's hourly CBL calculation for each event hour. For row 5: the sum of the aggregate **Updated** Metered kW values and the aggregate Energy Reduction kW values of the end-use customers for each hour of the event.
Metered kW Begin Hour 0 through	AW through	Numeric Up to 6 digits before decimal and 1	End-use customer's hourly metered load for each event hour.

SCA Event Response Field Name	Column in Import File	Field Format	Description and Rule(s)
Metered kW Begin Hour 23	BT	digit after decimal	
Calculated ACL	BU	Numeric	The ACL value shown in the SCA's Composition file (see Section 7.6.1 of this User's Guide).
Account Status	BV	Text Active or Inactive	The status of the account according to confirmation acquired from the TO (see EDRP Manual Section 2.7.4).
Updated Metered kW Begin Hour #	Starting on column BW	Numeric	End-use customer's hourly metered load for each event hour, updated according to the account status and the ACL: • If the account of the end-use customer is not confirmed to be active according to the TO, the Updated Metered kW value must be equal to the end-use customer's ACL. • If the hourly metered load for the event hour is greater than the end-use customer's ACL, it must be updated to the end-use customer's ACL.
Capacity Reduction kW Begin Hour #	Starting after the data above	Numeric	The capacity reduction for each hour of the event. For the first row of data (row 5): The sum of the capacity reduction of all of the end-use customers in the SCA in the following rows of the same column. For each individual end-use customer (starting on row 6): The capacity reduction can be calculated by subtracting the applicable **updated** hourly metered kW value (starting on column BW) from the ACL value.
Energy Reduction kW Begin Hour #	Starting after the data above	Numeric	The energy reduction for each hour of the event. For the first row of data (row 5): The sum of the energy reduction of all of the end-use customers in the SCA in the following rows of the same column. For each individual end-use customer (starting on row 6): The energy reduction is calculated by subtracting the applicable hourly metered kW value (columns AW through BT) from the CBL value.

11.7.2. 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 Excel (.xlsx) file for upload of resource event response data to the system, as outlined under Section 11.7.1.
- 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 0, "

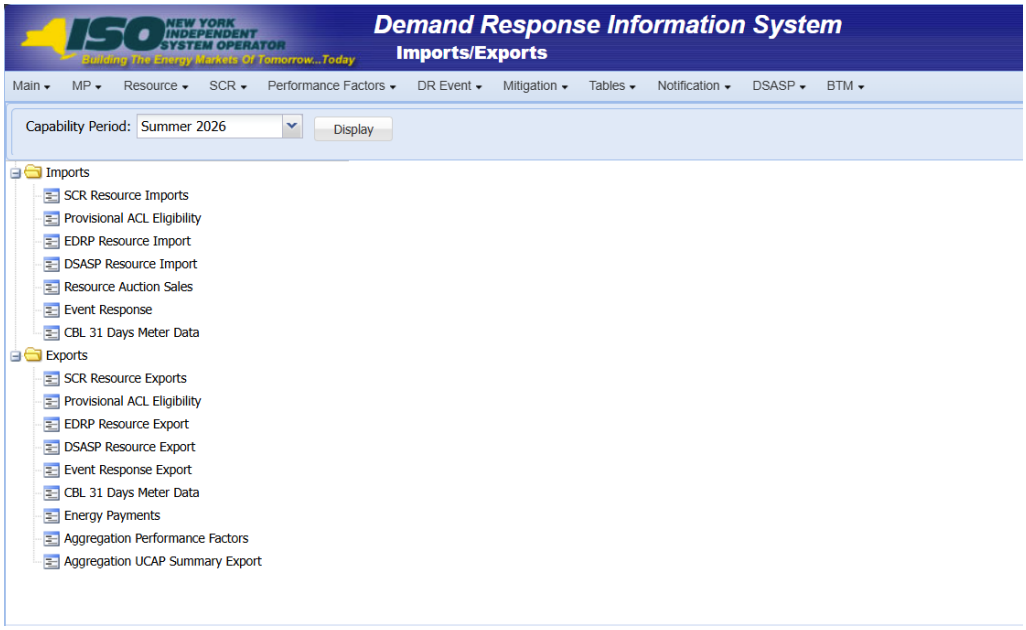
- Accessing the System").

To import an event response file

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

   The system displays the Imports/Exports page (see Figure 256).

Figure 256: 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.

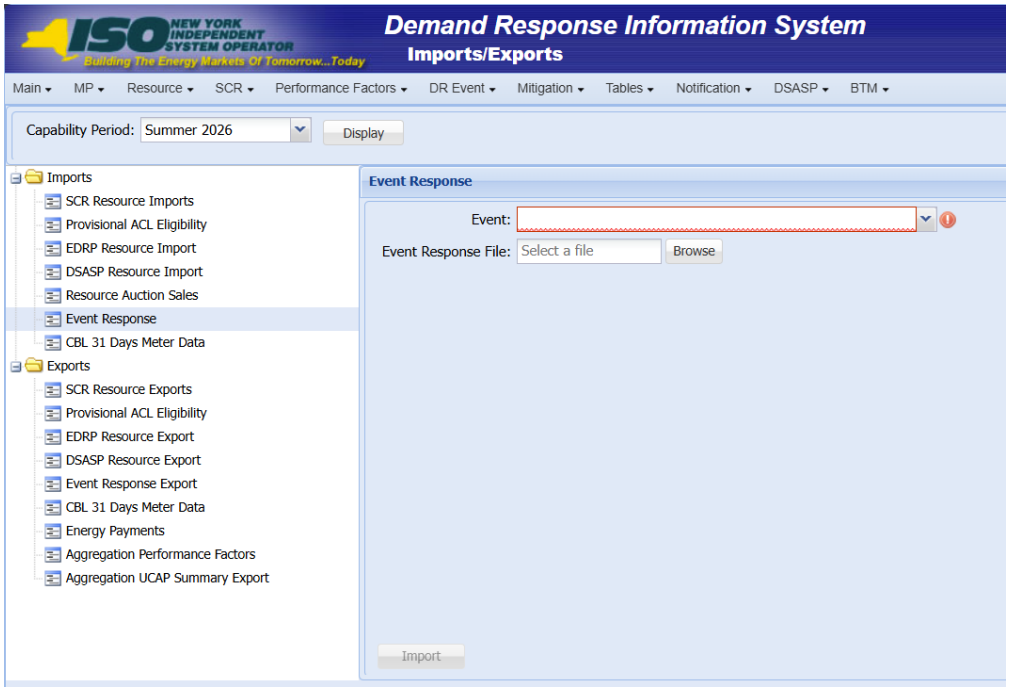
   The system activates the middle frame and populates the lowermost frame with a list of import events for the Capability Period chosen at step 2.

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 257).

Figure 257: Import/Export Page Displaying Input Components Specific to Event Response

Import



5. 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.

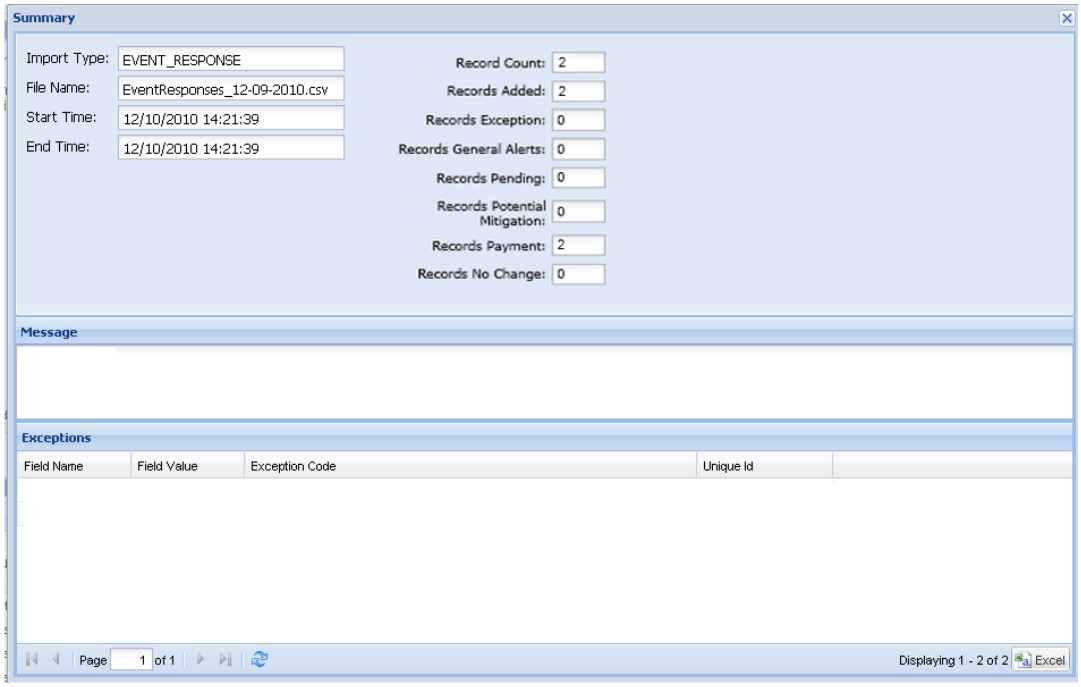
8. Click the **Import** button, located in the lower-left corner of the right side of the middle frame.

   The system displays a dialog box summarizing the results of the import process (see Figure 258).

9. Review the import results and proceed accordingly, as outlined under Section 11.7.3.

> ***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 258: Sample Import Summary Dialog Box for Resource Event Responses



11.7.3. 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 258). 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 258, 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 11.7.1, 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 259). 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 259: Sample Import Results Report for an Event Response File Import

	A	B	C	D	E
1	File Name	Response-11-29-2010.xls			
2	MP Name	NYISO Market Participant			
3	User	MP User			
4	Upload Type	EVENT_RESPONSE			
5	Capability Period	Winter 2010-2011			
6	Auction Month				
7	Start Date of Import	12/22/2010 10:08:45 EST			
8	End Date of Import	12/22/2010 10:08:47 EST			
9	Records in File	25			
10	Records Saved	0			
11	Records Pending Approval	0			
12	Records With Exceptions	1			
13	Records With General Alerts	0			
14	Records With Energy Payment	23			
15	Records With Potential Mitigation	0			
16	Records No Change in DRIS	0			
17	Reference #	Message Type	Field	Value Supplied	Message
18	Resource ID: 2345678	Exception	Metered kW11	-200.6	Metered kW for hour 11 must be greater than or equal to 0
19	Resource ID: 8765403	Exception	CBL kW11	-30	CBL kW for hour 11 must be greater than or equal to 0
20					

Pre-requisite

- The MP representative performing the task is logged in to DRIS (see Section 0, "

- Accessing the System").

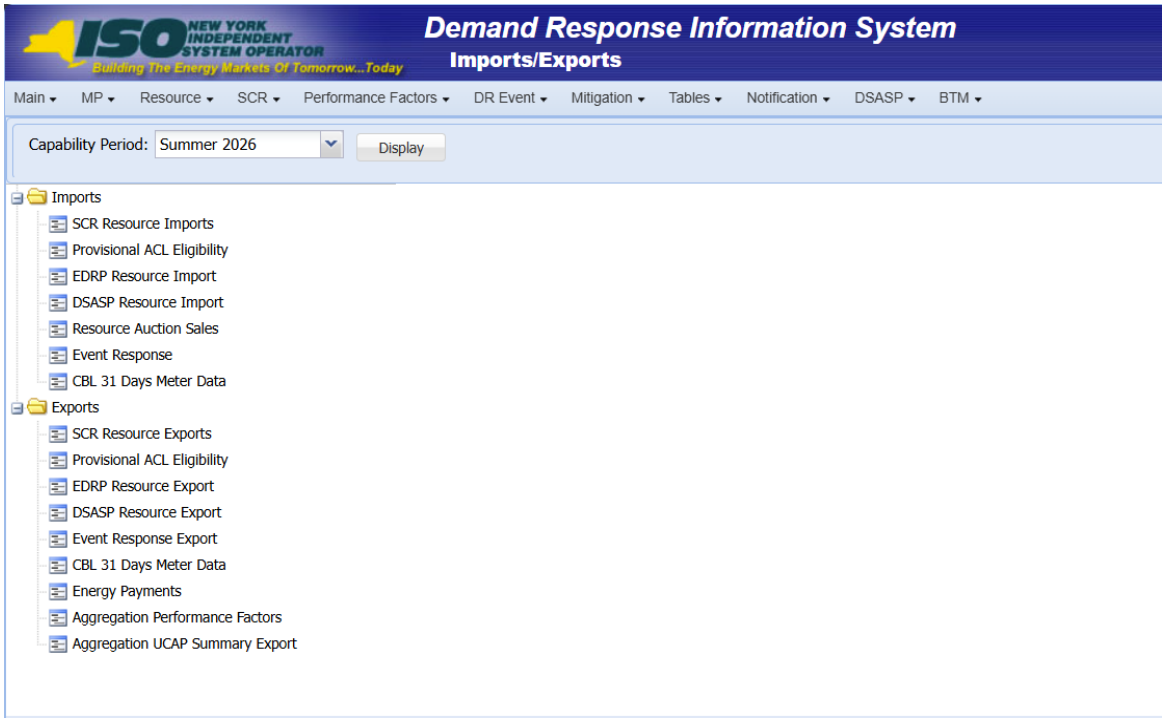
To access the import report and manage related errors

> ***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 260).

Figure 260: Imports/Exports Page

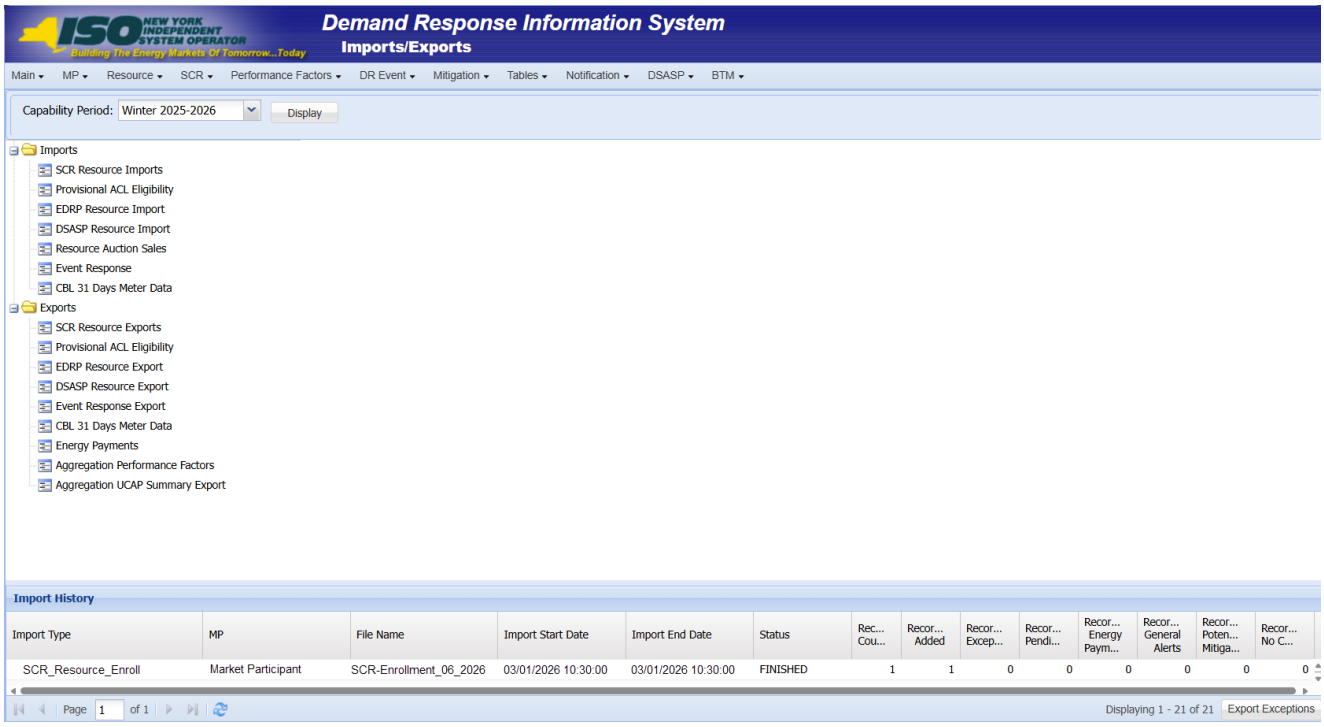


2. From the corresponding filter near the top of the page, choose the **Capability Period** for the previously reported event response file that generated the exception(s).

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 261).

Figure 261: 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.

11.7.4. 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.

11.7.4.1. 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 0, "

- 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 262), choose the **Capability Period** and **Event** and/or the **Resource ID** for which the system should display resource responses.

Figure 262: Event Response Details Page Search Filters



3. Optionally, further limit the scope of resource responses to be displayed by the system to 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.

4. 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 263).

> **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 ( ).

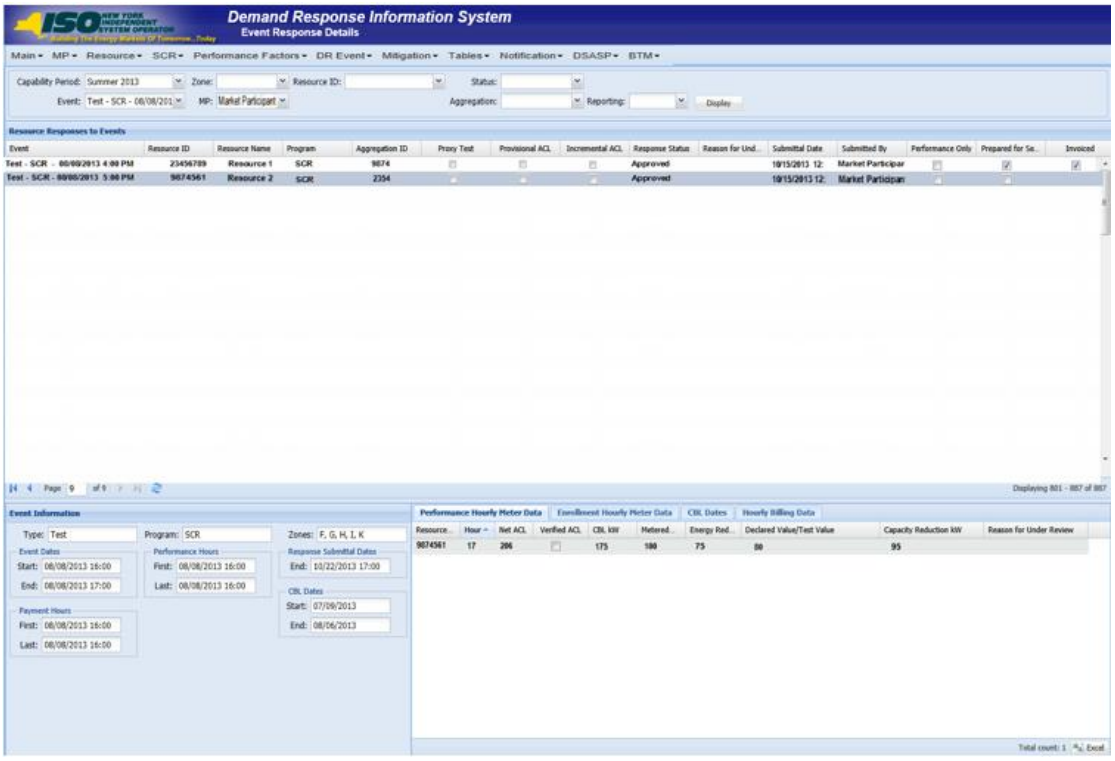
Figure 263: Event Response Details Page Populated with Data



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 264).

Figure 264: Event Response Details Page with Additional Details Visible



11.7.4.2. 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 264).

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 0, "

- 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 265), choose, at a minimum, the **Capability Period** and **Event** and/or the **Resource ID** for which the system should display resource responses.

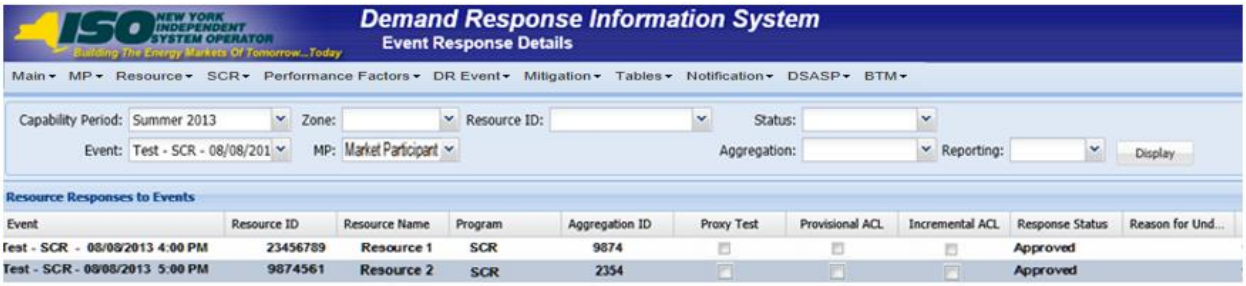
Figure 265: Event Response Details Page Search Filters



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 266).

Figure 266: Event Response Details Page Populated with Data

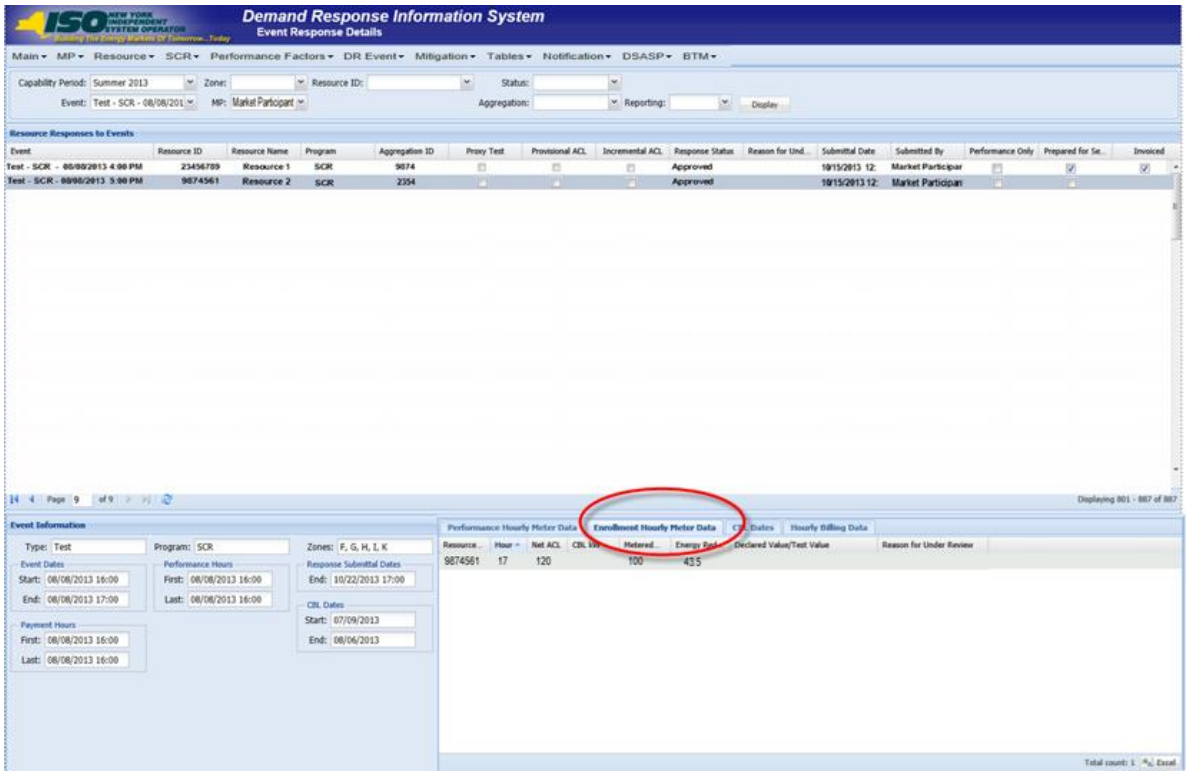


Note: Upon initial import of the resources responses to events or tests file, DRIS will calculate the resource response data in the file which pass all validations. After performance factors are calculated for the following equivalent Capability Period resources which did not have event or test responses 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 2nd 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 267).

Figure 267: 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 268 or

Figure 269).

Figure 268: Event Response Details Page with Performance Hourly Meter Data Tab Enabled

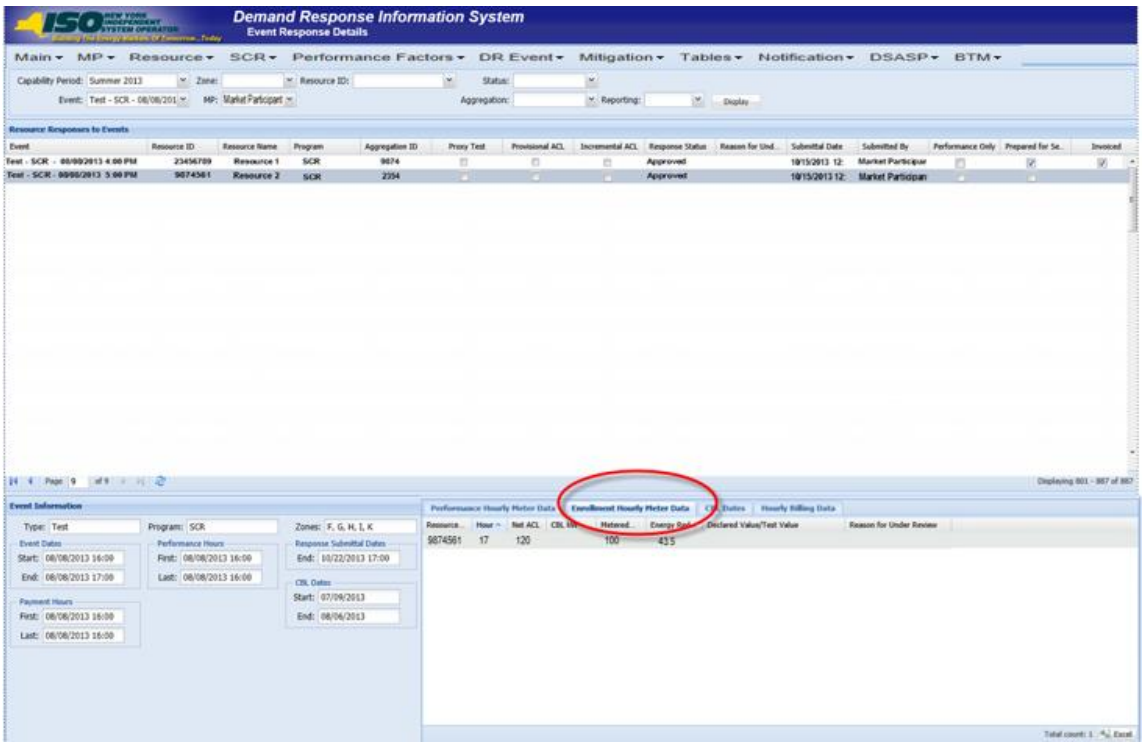
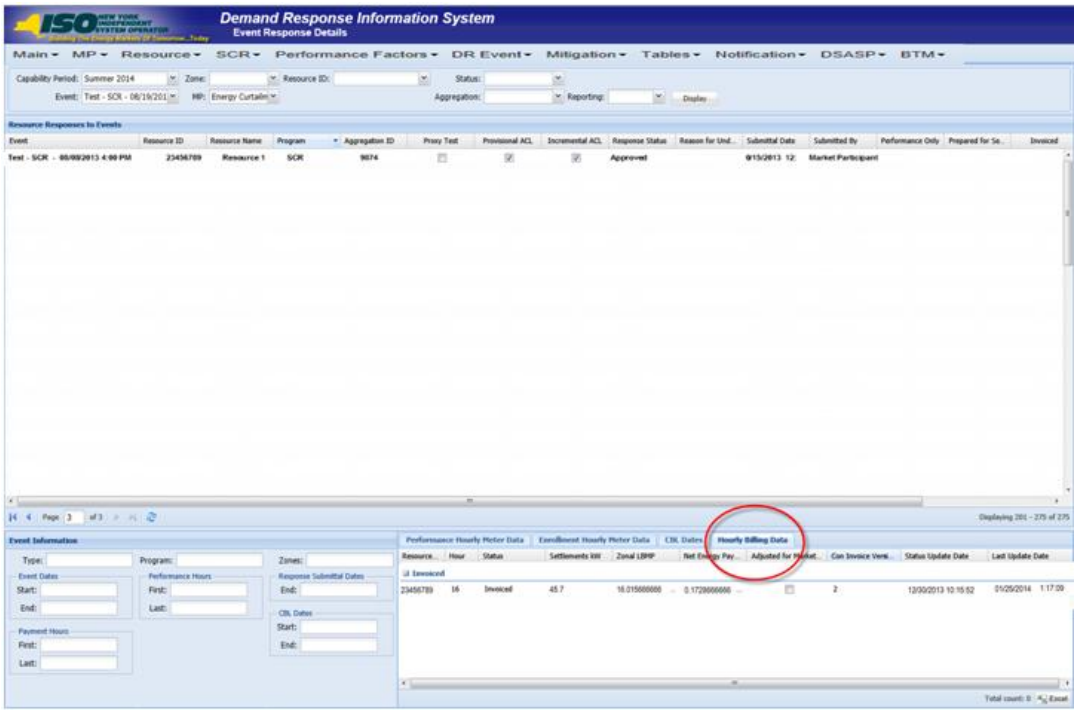


Figure 269: Event Response Details Page with Hourly Billing Data Tab Enabled before the Verification Window Opens and the Performance Hourly Meter Data Tab is Available



11.7.4.3. Downloading Event Response Data

Event Response Data details are viewable via a download initiated from the DRIS Imports/Exports page. Event Response Meter Data, based on submitted resource responses to an Event or Test, can be exported by selecting a specific event or test. Resource responses must have a status of Approve or Under Review to appear on the Event Response Export. The following data is provided for each resource on the Event Response Export.

- Resource ID
- TO account number
- Meter Authority
- Performance Only Flag
- Event Response Status
- CBL Date 1-10
- CBL Include Indicator 1-10
- CBL kW begin hour 0 – 23

- Metered kW begin hour 0 – 23

Pre-requisites

- The MP has imported resource responses to an event or test.
- The resource responses for the event selected are in the Status of Approve or Under Review.
- The MP has logged in to DRIS, as outlined under Section 0, "

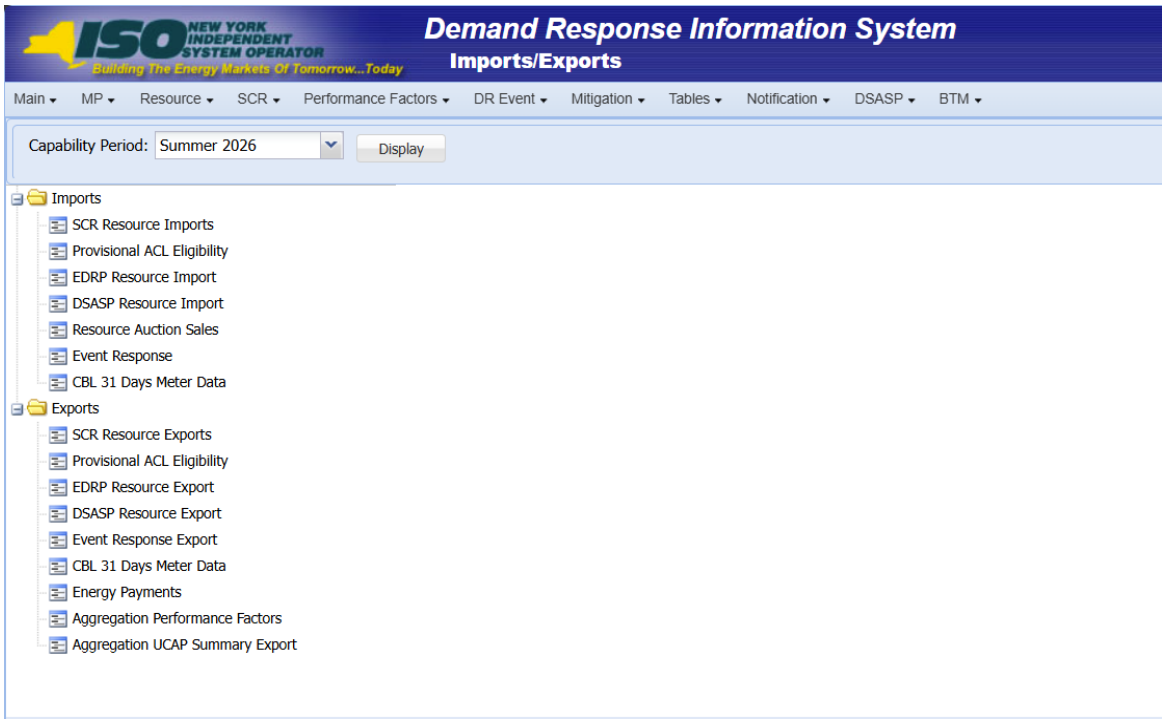
- Accessing the System".

To download Event Response details

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

   The system displays the Imports/Exports page (see Figure 283).

Figure 270: Imports/Exports Page



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 Event Response values are to be downloaded.

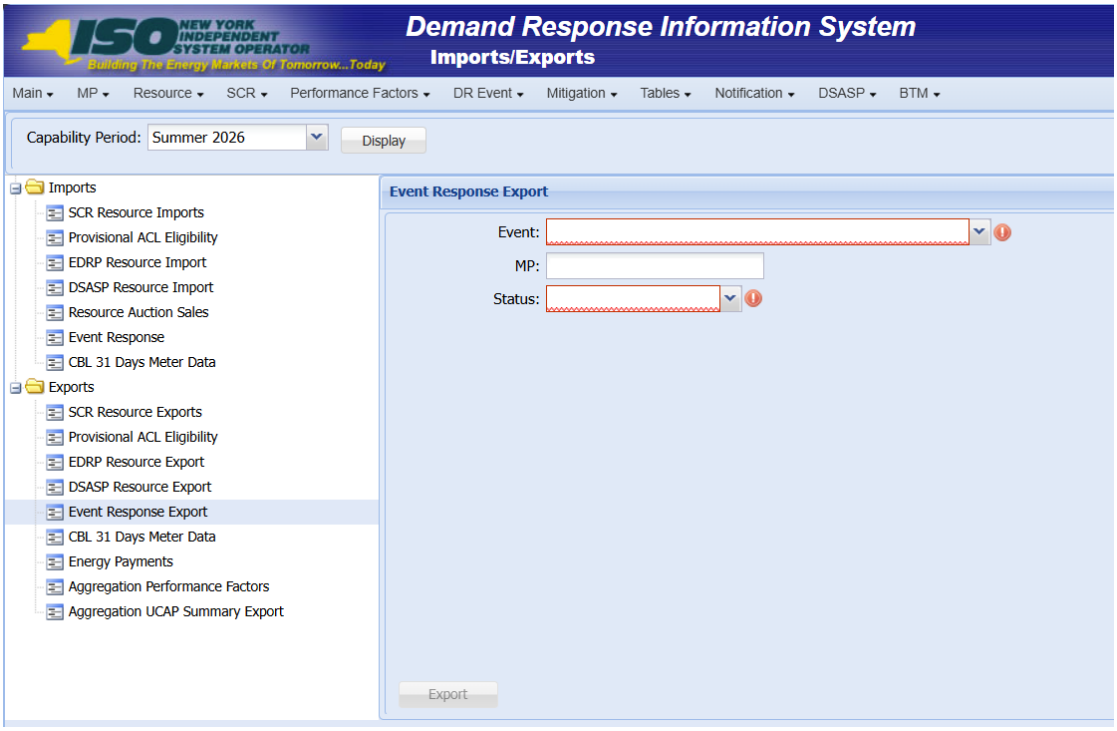
3. Beside the Capability Period filter, click the **Display** button.

   The system makes available the middle frame.

4. Under the Exports heading in the left pane of the middle frame, choose **Event Response Export**.

5. 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 284). From the corresponding filter in the right pane of the middle frame, choose the applicable **Event or Test** and applicable Status (Approved or Under Review).

Figure 271: Imports/Exports Page Displaying Input Components Specific to Event Response Export



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 Event Response file can either be saved or opened.

7. Take the requisite steps to either save or open the Event Response file.

11.7.4.4. Downloading CBL 31 Days Meter Data

The CBL 31 Days Meter Data template is accessible via a download initiated from the DRIS Imports/Exports page. The CBL 31 Days Meter Data template can be exported by selecting a specific event or test. The following data is provided for each resource on the CBL 31 Days Meter Data template.

- Resource ID
- TO account number
- Meter Authority
- MP
- Date & HB
- Reporting Meter Data
- Meter Data kW

Pre-requisites

- The MP has imported resource responses to an event or test.
- The resource responses for the event selected are in the status of Under Review and the import was requested by the NYISO.
- The MP has logged in to DRIS, as outlined under Section 0, "

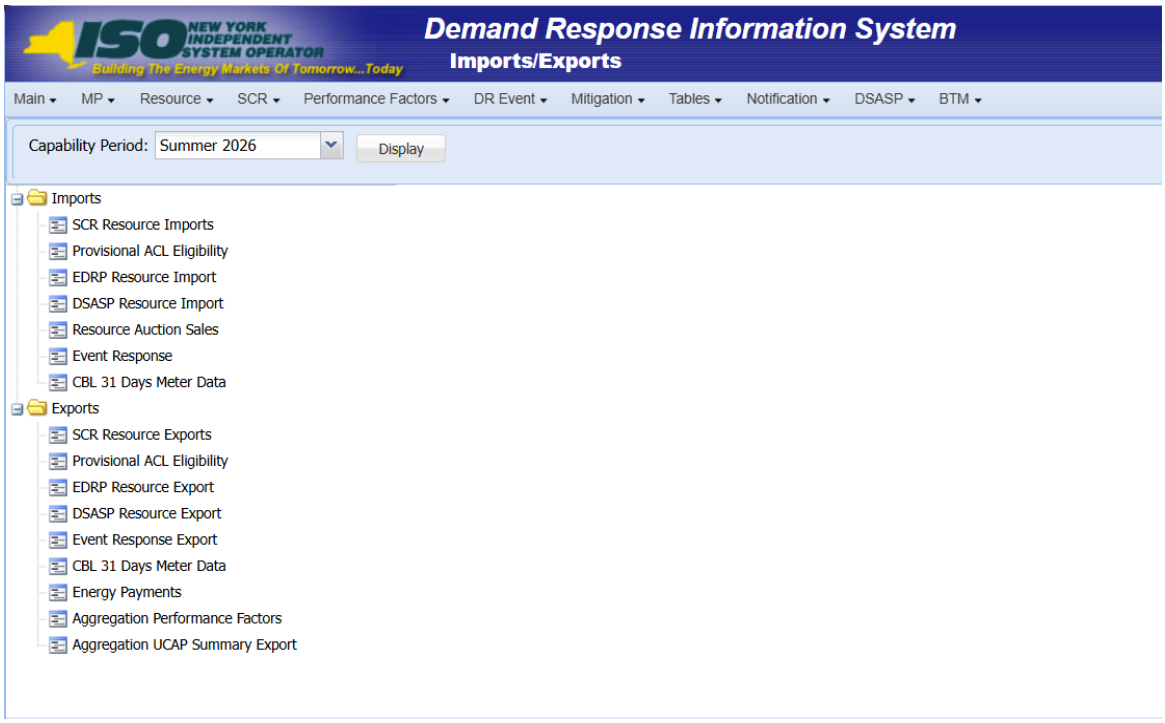
- Accessing the System".

To download the CBL 31 Days Meter Data template

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

   The system displays the Imports/Exports page (see Figure 283).

Figure 272: Imports/Exports Page



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 Event Response values are to be downloaded.

3. Beside the Capability Period filter, click the **Display** button.

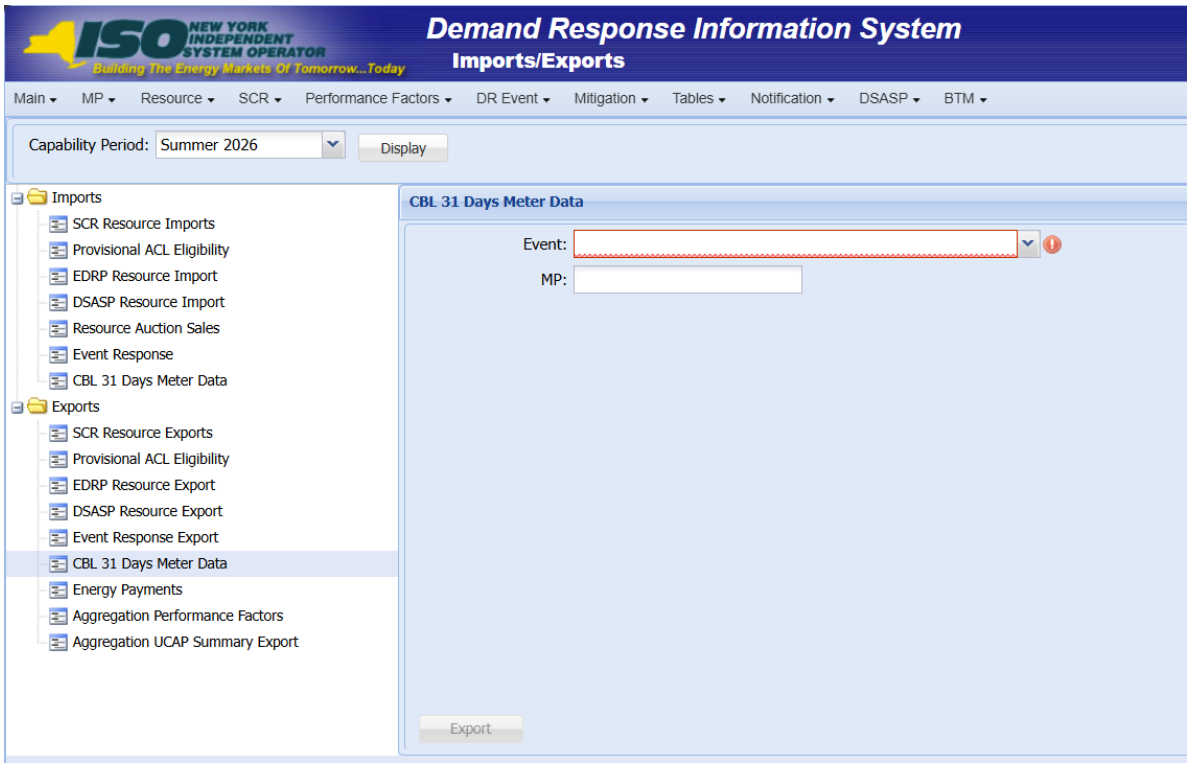
   The system makes available the middle frame.

4. Under the Exports heading in the left pane of the middle frame, choose **CBL 31 Days Meter Data.**

5. 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 284). From the corresponding filter

in the right pane of the middle frame, choose the applicable **Event or Test** and applicable Status.

Figure 273: Imports/Exports Page Displaying Input Components Specific to CBL 31 Days Meter Data Export



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 CBL 31 Days Meter Data Template file can either be saved or opened.

7. Take the requisite steps to either save or open the CBL 31 Days Meter Data Template file.

11.7.4.5. Importing CBL 31 Days Meter Data

The CBL 31 Days Meter Data is only required upon request from the NYISO and only for resources that have Event Responses in the status of Under Review.

The following data is required for the CBL 31 Days Meter Data import.

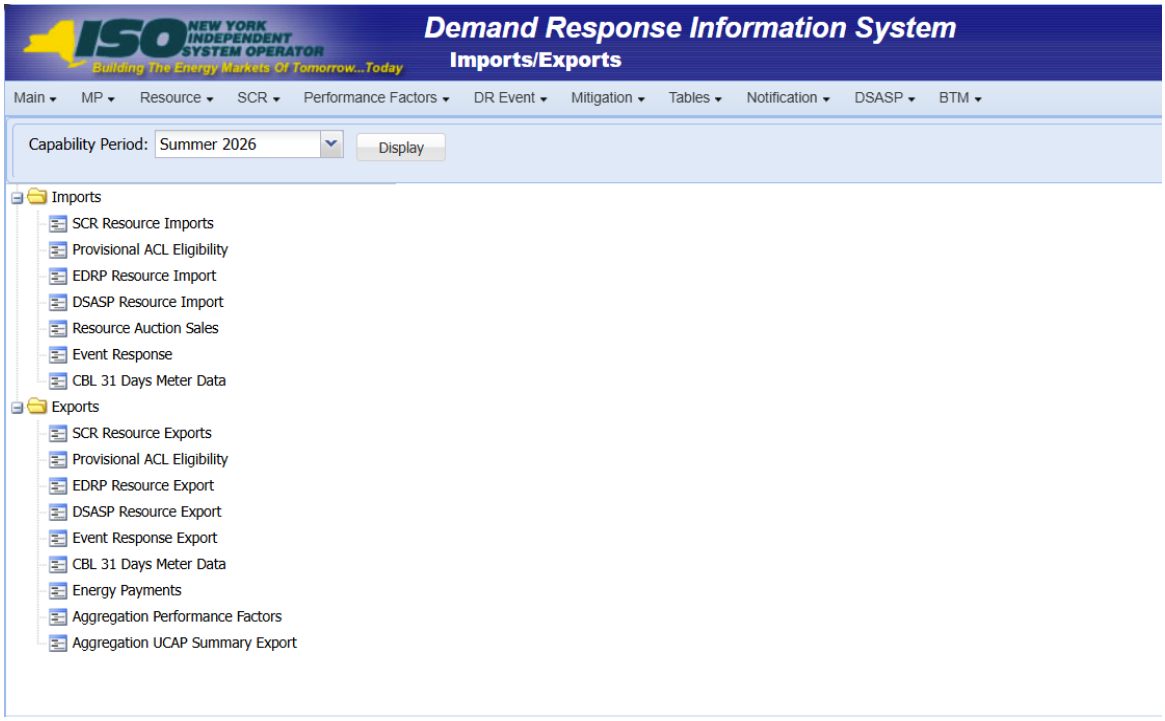
- Header Row 1: Event Type
- Header Row 2: Program
- Header Row 3: Start Date
- Resource ID
- TO account number
- Meter Authority
- MP
- Date & HB
- Reporting Meter Data
- Meter Data kW

To import a CBL 31 Days Meter Data file

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

   The system displays the Imports/Exports page (see Figure 283).

Figure 274: Imports/Exports Page



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 Event Response values are to be downloaded.

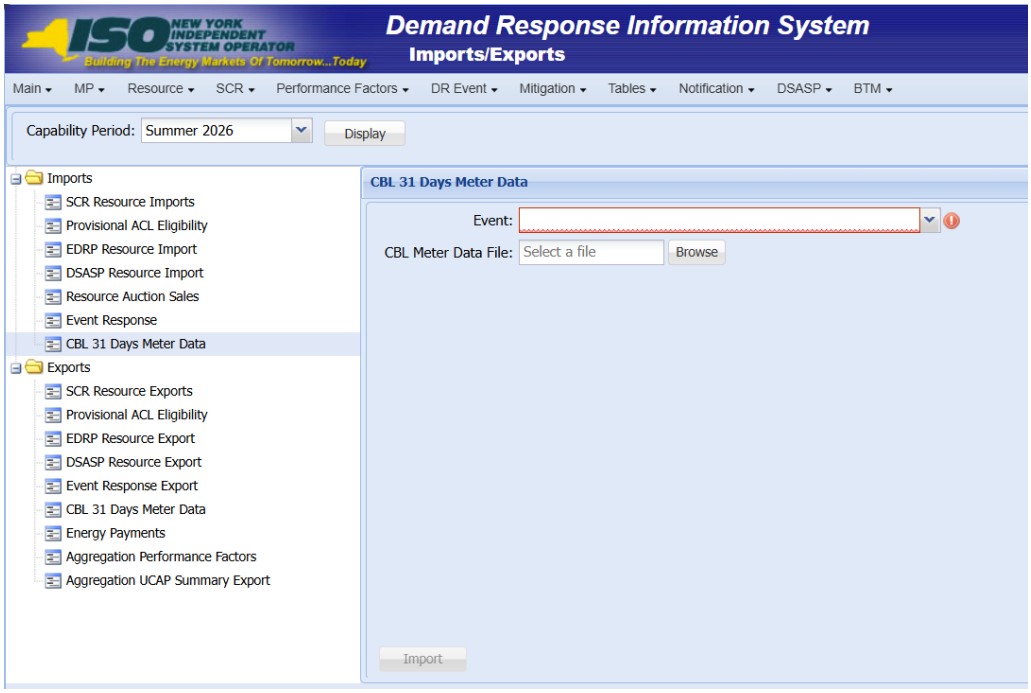
3. Beside the Capability Period filter, click the **Display** button.

   The system makes available the middle frame.

4. Under the Imports heading in the left pane of the middle frame, choose **CBL 31 Days Meter Data.**

5. The system refreshes the right pane of the middle frame to display additional filters along with a button to initiate the import of the file (see Figure 284). From the corresponding filter in the right pane of the middle frame, choose the applicable **Event or Test**.

Figure 275: Imports/Exports Page Displaying Input Components Specific to CBL 31 Days Meter Data Import



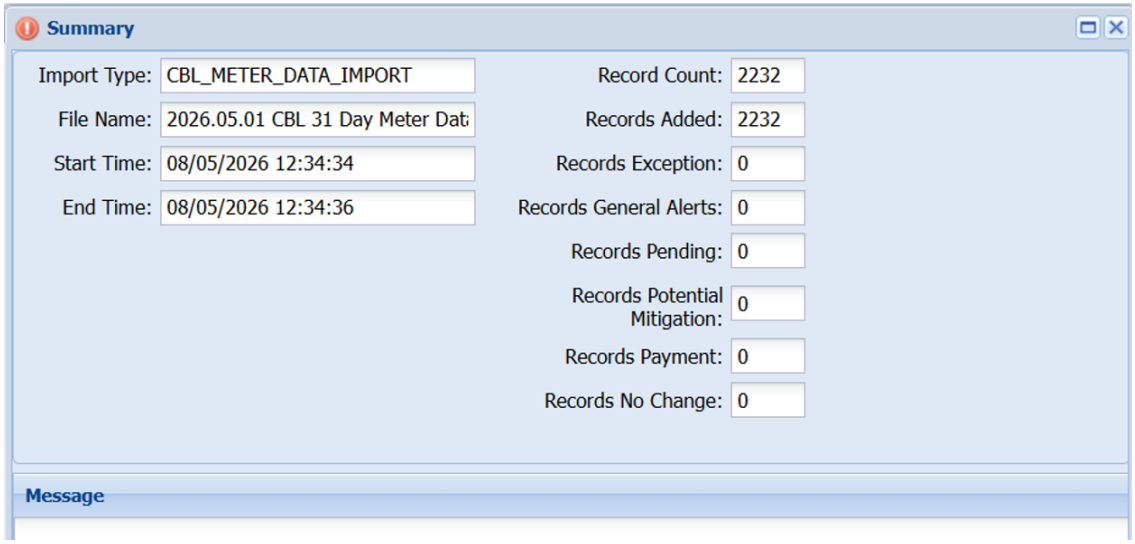
6. On the right of the CBL 31 Meter Data File field, click **Browse** button

7. Via the File Upload dialog box, navigate to and choose the file containing the data for the resources reporting CBL 31 Days Meter Data, then click the Open button.

8. The File Upload dialog box closes, and the system populates the CBL 31 Days Meter Data 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 276).

Figure 276: Sample Import Summary Dialog Box for CBL 31 Days Meter Data Import



10. Review the import results for any Exceptions.

11.7.5. 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 277 and Figure 278).

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 0, "

- 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 277), choose, at a minimum, the **Capability Period** and **Event** and/or the **Resource ID** for which the system should display resource responses.

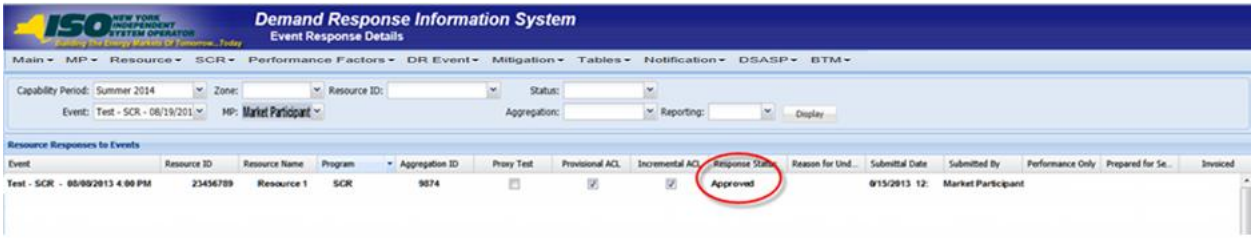
Figure 277: Event Response Details Page Search Filters



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

4. Figure 278).

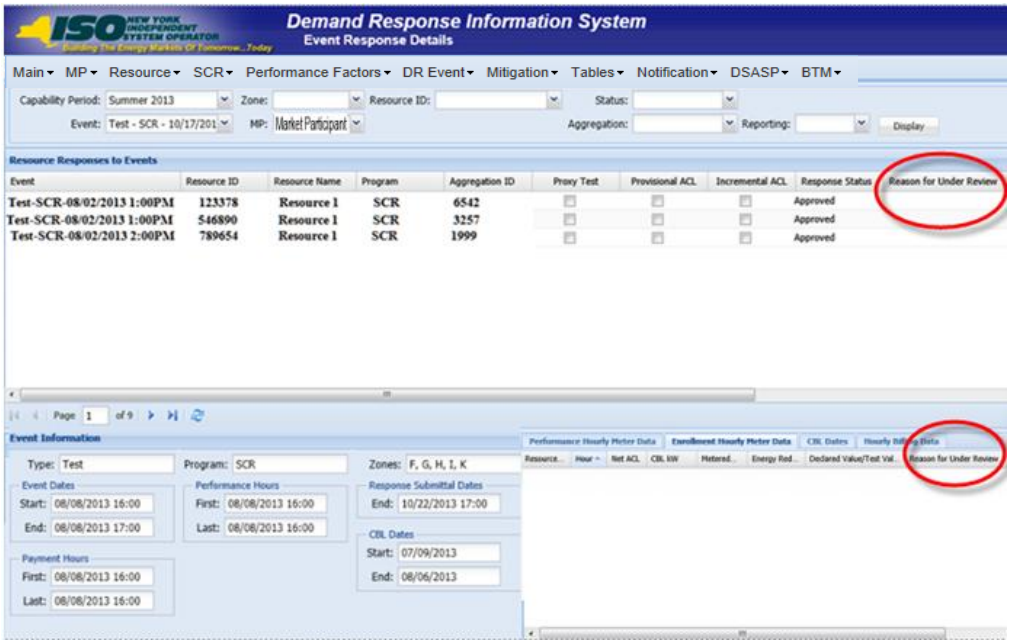
Figure 278: Event Response Details Page Highlighting Response Status and Reason for Under Review



5. View the Response Status and summary level Reason for Under Review for a specific resource response in the Resource Responses to Events grid (see Figure 278).

6. 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 279).

Figure 279: Event Response Details Page Highlighting Reason for Under Review at the Hourly Level on the Hourly Meter Data Tab



11.7.6. 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 0, "

- Accessing the System."

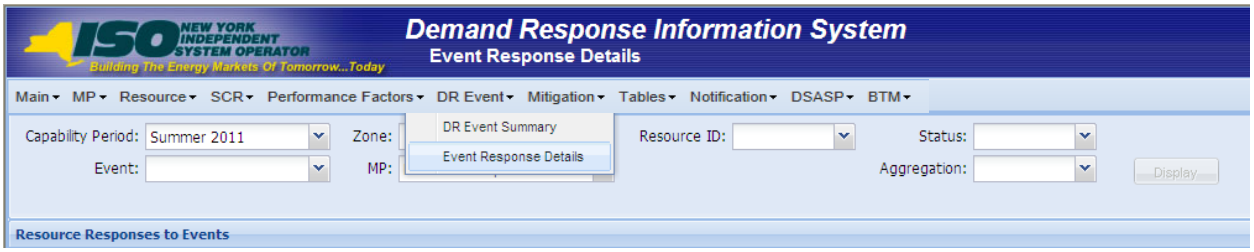
To view resource event response payment status

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 280), choose, at a minimum, the **Capability Period** and **Event** and/or the **Resource ID** for which the system should display resource responses.

Figure 280: 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 281).

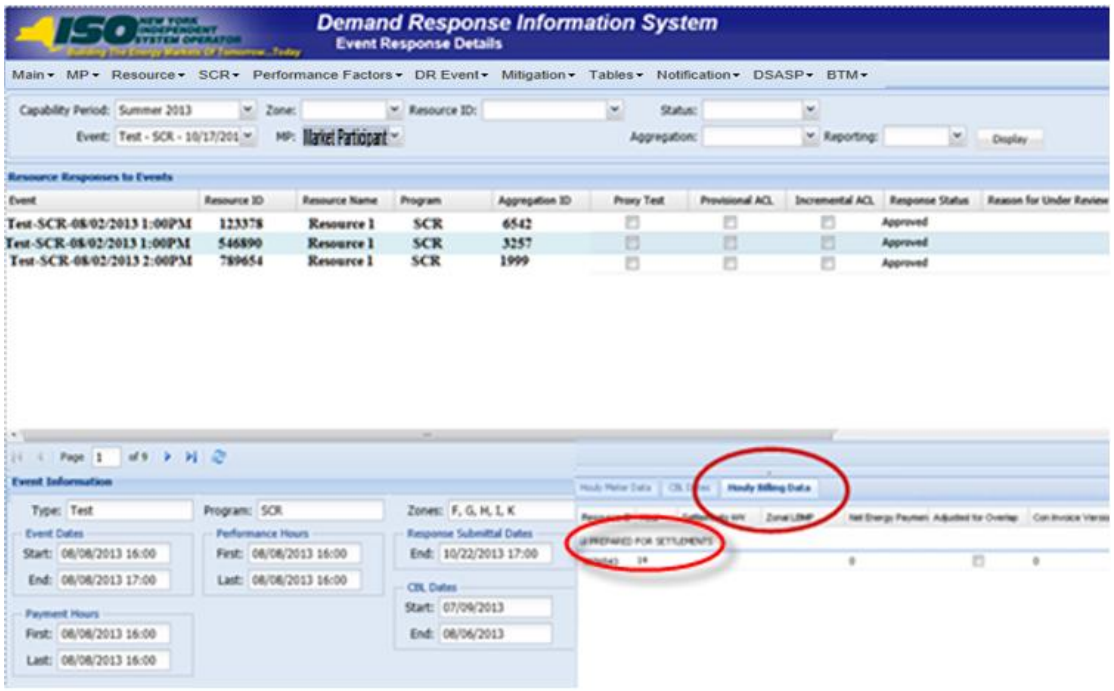
Figure 281: Event Response Details Page Highlighting Response Status Indicators



4. Note the summary level Prepared for Settlements indicator and Invoiced indicator for a specific resource response in the Resource Responses to Events grid (see Figure 281).

   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 282).

Figure 282: Event Response Details Page Highlighting Response Status on the Hourly Billing Data Tab



11.7.7. 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
- 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 0, "

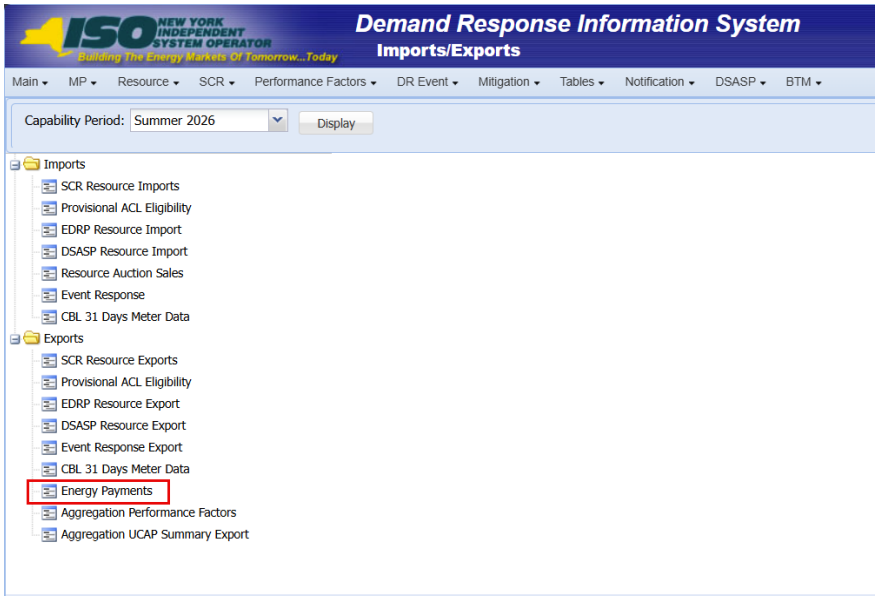
- Accessing the System".

To download Energy Payment details

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

   The system displays the Imports/Exports page (see Figure 283).

Figure 283: 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.

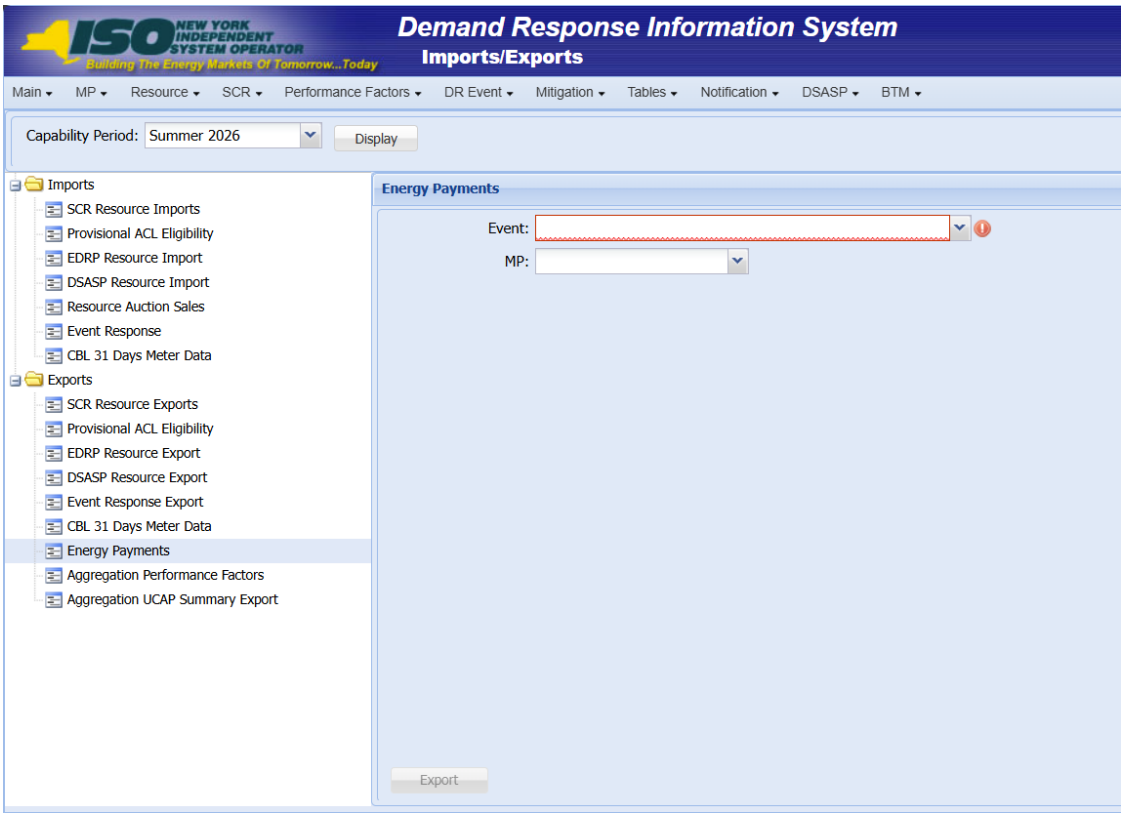
3. Beside the Capability Period filter, click the **Display** button.

   The system makes available the middle frame.

4. Under the Exports heading in the left pane of the middle frame, choose **Energy Payments**.

   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 284).

Figure 284: Filters for Downloading an Energy Payment File



5. From the corresponding filter in the right pane of the middle frame, choose the applicable **Event or Test**.

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 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*

12. 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 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.

12.1. 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 0, "

- Accessing the System").

To view the BTM:NG Resource peak Load hours

1. From the menu, choose "Peak Load Hours" (see Figure 285).

2. The system displays the BTM Peak Load Hours page.

Figure 285: Dropdown options from Home Page - Peak Load Hours



3. Select "Capability Year" from the dropdown and click "Display" button (see Figure 286).

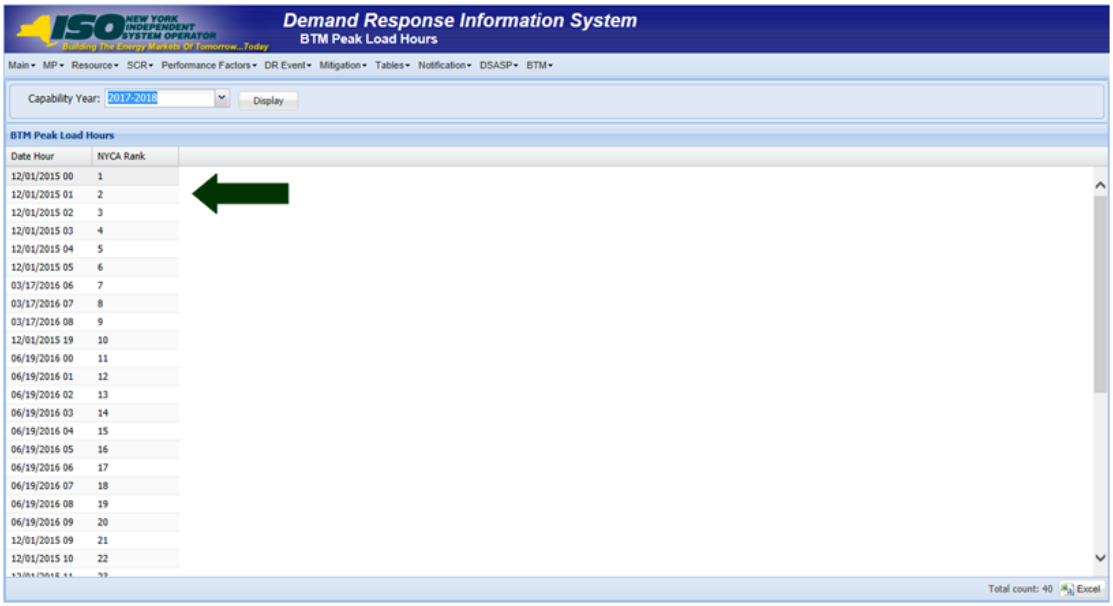
Figure 286: Capability Year Search Filter



4. The system displays the BTM Peak Load Hours page with the BTM:NG Resource peak Load hours for the Capability Year selected at step 3 (see Figure 287).

5. The hours displayed are by NYCA rank ascending.

Figure 287: 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.

12.2. 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

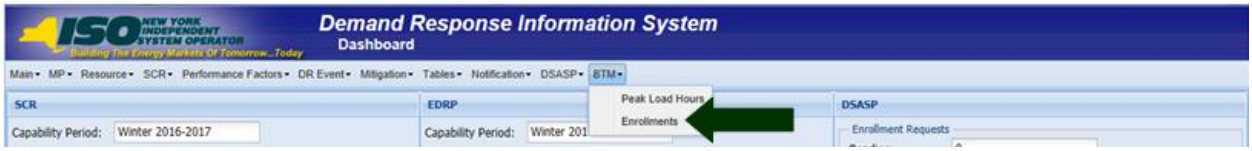
- The Market Participant performing the task is logged in to DRIS (see Section 0, "

- Accessing the System").

To view BTM:NG Resource Enrollment

1. From the BTM menu, choose "Enrollment"

Figure 288: Resource Enrollment Dropdown options from Home Page

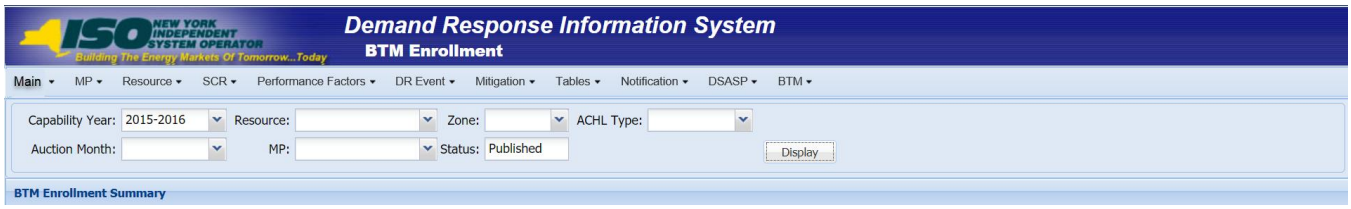


2. From the BTM Enrollment screen, the following search criteria will be displayed:
   - Capability Year: Required field. Users can select from a list of all available Capability Years, sorted by Capability Year Descending
   - Resource: Users can enter the Generator Point Identifier (“PTID"), the Generator 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.

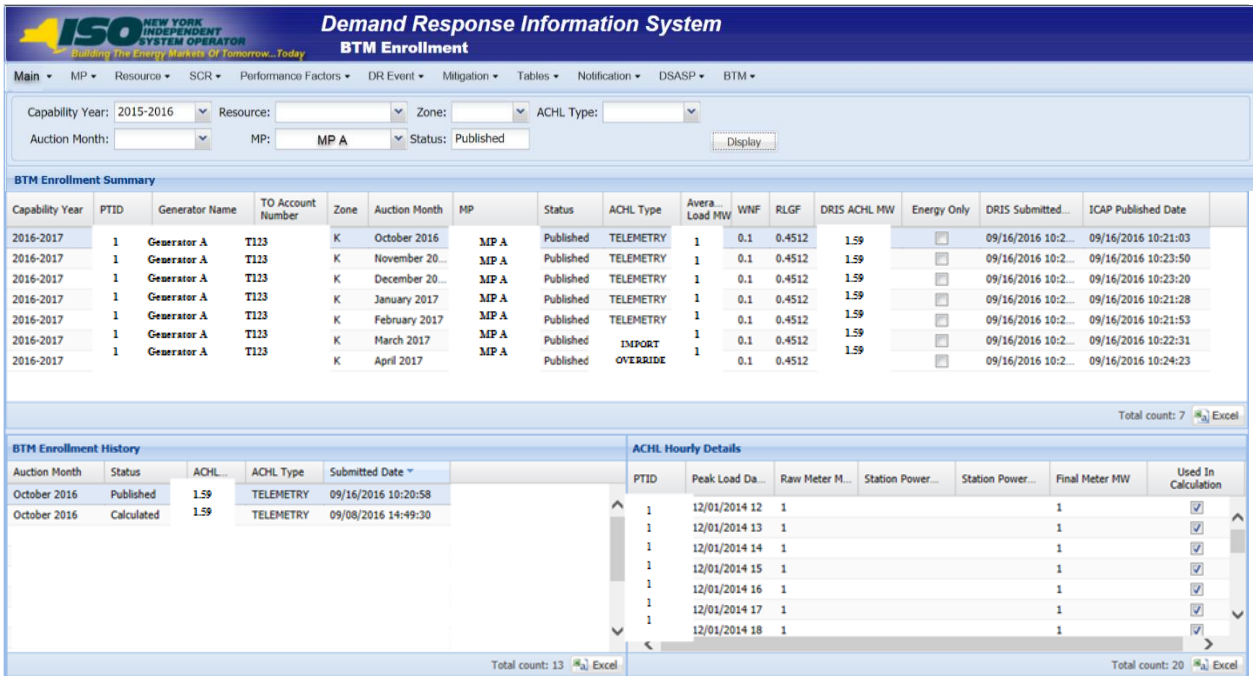
3. Optionally, view details of the Monthly Enrollment by specific search criteria listed above by selecting from the drop down lists and click Display.

Figure 289: 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 290: 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.