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**Demand Response
Information System
User's Guide**

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Revision History

Version	Date	Revisions
1.0	06/15/2010	Initial Release
1.1	09/14/2010	<p>Global</p> <ul style="list-style-type: none"> ➤ Implemented changes related to new functionality delivered in the September 14, 2010, deployment as detailed in the section-specific entries following. <p>Document Scope and Usage</p> <ul style="list-style-type: none"> ➤ Updated to summarize new functionality delivered in the September 14, 2010, deployment. <p>Section 1.1</p> <ul style="list-style-type: none"> ➤ Updated to summarize new functionality delivered in the September 14, 2010, deployment. <p>Section 1.3.3</p> <ul style="list-style-type: none"> ➤ Updated Table 1.1 to reflect which privilege levels confer rights to new functionality delivered in the September 14, 2010, deployment. <p>Section 1.5.1</p> <ul style="list-style-type: none"> ➤ Updated menu descriptions and screenshots to reflect new functionality delivered in the September 14, 2010, deployment. <p>Section 2.1</p> <ul style="list-style-type: none"> ➤ Added allocation of partial resource sales as an event for which the DRIS Calendar reflects timeframes/deadlines. <p>Section 3</p> <ul style="list-style-type: none"> ➤ Added to outline new functionality related to viewing Market Participant (MP) organization program enrollment, resulting in renumbering of subsequent pre-existing sections. <p>Section 4</p> <ul style="list-style-type: none"> ➤ Added to outline new functionality related to managing MP organization contacts, resulting in renumbering of subsequent pre-existing sections. <p>Section 5</p> <ul style="list-style-type: none"> ➤ Updated to reflect new enrollment time frame for EDRP resources. <p>Section 5.1</p> <ul style="list-style-type: none"> ➤ 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). <p>Section 5.2</p> <ul style="list-style-type: none"> ➤ Added additional pre-requisites necessary when importing a resource enrollment import file.

		<p>Section 5.3.2.1</p> <ul style="list-style-type: none"> ➤ Updated to reflect new functionality allowing MPs to cancel all pending resource enrollment requests. <p>Section 7</p> <ul style="list-style-type: none"> ➤ Updated to cite new functionality related to allocating resource auction sales when there is a partial sale of the aggregation. <p>Section 7.4</p> <ul style="list-style-type: none"> ➤ Added to outline new functionality related to viewing aggregation and resource auction sales. <p>Section 7.5</p> <ul style="list-style-type: none"> ➤ Added to outline new functionality related to allocating resource partial auction sales.
1.2	01/19/2011	<p>Global</p> <ul style="list-style-type: none"> ➤ Implemented changes related to new functionality delivered in the January 19, 2011 deployment as detailed in the section-specific entries following. <p>Document Scope and Usage</p> <ul style="list-style-type: none"> ➤ Updated to summarize new functionality delivered in the January 19, 2011, deployment. <p>Section 1.1</p> <ul style="list-style-type: none"> ➤ Updated to summarize new functionality delivered in the January 19, 2011, deployment. <p>Section 1.3.3</p> <ul style="list-style-type: none"> ➤ Updated Table 1.1 to reflect which privilege levels confer rights to new functionality delivered in the January 19, 2011, deployment. <p>Section 1.5.1</p> <ul style="list-style-type: none"> ➤ Updated menu descriptions and screenshots to reflect new functionality delivered in the January 19, 2011, deployment. <p>Section 2.1</p> <ul style="list-style-type: none"> ➤ Added several new events pertaining to the new functionality delivered in the January 19, 2011 deployment for which the DRIS Calendar reflects timeframes/deadlines. <p>Section 3</p> <ul style="list-style-type: none"> ➤ Removed Performance Factor field from MP program page because it is now visible within the new menu option Performance Factor. <p>Section 4</p> <ul style="list-style-type: none"> ➤ Added to outline new functionality related to viewing MP performance factor, resulting in renumbering of subsequent pre-existing sections. <p>Section 6.1</p> <ul style="list-style-type: none"> ➤ Updated to allow for all DRIS import files to be imported as Excel files. Previously, import files were only accepted in .csv format.

		<ul style="list-style-type: none"> ➤ Updated Table 5.2 to reflect new SCR enrollment file field requirement for Shutdown kW. ➤ 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. <p>Section 6.3</p> <ul style="list-style-type: none"> ➤ Updated to cite additional statistic headings resulting from importing a file into DRIS. <p>Section 6.3.1</p> <ul style="list-style-type: none"> ➤ Updated to display new format of the Exception Export file. The Exception file now provides import results for Exceptions, Alerts, and Pending messages. <p>Section 6.3.2</p> <ul style="list-style-type: none"> ➤ Added to outline new functionality related to reviewing and acting on resource enrollment Alerts, resulting in renumbering of subsequent pre-existing sections. <p>Section 6.3.3</p> <ul style="list-style-type: none"> ➤ Added TO Account Number as a new field to Table 6.4 of Fields Monitored by DRIS for Changes. <p>Section 7.1.1</p> <ul style="list-style-type: none"> ➤ Added Small Customer Aggregation indicator field to the Resource Details page. Removed resource Performance Factor from the SCR Capability Period page. <p>Section 7.1.3</p> <ul style="list-style-type: none"> ➤ Added Floor Price, Shutdown kW, and Net APMD to the Resource Monthly Details page for SCR resources. <p>Section 8.3</p> <ul style="list-style-type: none"> ➤ Added resource Offer Floor prices to UCAP Export, when applicable. <p>Section 8.5.1</p> <ul style="list-style-type: none"> ➤ Updated to allow for all DRIS import files to be imported as Excel files. Previously, import files were only accepted in .csv format. <p>Section 8.5.4</p> <ul style="list-style-type: none"> ➤ Updated to reflect process change in allocating resource auction sales through DRIS screen. <p>Section 8.6</p> <ul style="list-style-type: none"> ➤ Added to outline new functionality related to viewing resources subject to an Offer Floor, resulting in renumbering of subsequent pre-existing sections. <p>Section 9.0</p>
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		<ul style="list-style-type: none"> ➤ Added to outline new functionality related to performing Demand Response event-specific or test-specific tasks which include viewing 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	<p>Global</p> <ul style="list-style-type: none"> ➤ Implemented changes related to new functionality delivered in the September 15, 2011 deployment as detailed in the section-specific entries following. <p>Document Scope and Usage</p> <ul style="list-style-type: none"> ➤ Updated to summarize new functionality delivered in the September 15, 2011, deployment. <p>Section 1.1</p> <ul style="list-style-type: none"> ➤ Updated to summarize new functionality delivered in the September 15, 2011, deployment. <p>Section 1.2</p> <ul style="list-style-type: none"> ➤ Updated to clarify DRIS browser requirements. <p>Section 1.3.3</p> <ul style="list-style-type: none"> ➤ Updated Table 1.1 to reflect which privilege levels confer rights to new functionality delivered in September 15, 2011 deployment. <p>Section 1.5.1</p> <ul style="list-style-type: none"> ➤ Updated menu descriptions and screenshots to reflect new functionality delivered in the September 15, 2011, deployment. <p>Section 2.1</p> <ul style="list-style-type: none"> ➤ Added several new events pertaining to the new functionality delivered in the September 15, 2011 deployment for which the DRIS Calendar reflects timeframes/deadlines. <p>Section 2.4</p> <ul style="list-style-type: none"> ➤ Added to outline new functionality related to viewing SCR Load Zone Peak Hours. <p>Section 3.1</p> <ul style="list-style-type: none"> ➤ 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. <p>Section 3.2</p> <ul style="list-style-type: none"> ➤ 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. <p>Section 4.1</p> <ul style="list-style-type: none"> ➤ Updated to include new functionality delivered in September 15, 2011 deployment.

		<p>Section 5</p> <ul style="list-style-type: none"> ➤ Added to outline new functionality related to viewing MP deficiency, resulting in renumbering of subsequent pre-existing sections. <p>Section 6</p> <ul style="list-style-type: none"> ➤ 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. <p>Section 7</p> <ul style="list-style-type: none"> ➤ 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. <p>Section 7.1</p> <ul style="list-style-type: none"> ➤ 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. <p>Section 7.3.3</p> <ul style="list-style-type: none"> ➤ 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. <p>Section 8</p> <ul style="list-style-type: none"> ➤ 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. <p>Section 8.1.1</p> <ul style="list-style-type: none"> ➤ 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. <p>Section 8.1.3</p> <ul style="list-style-type: none"> ➤ 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. <p>Section 9</p> <ul style="list-style-type: none"> ➤ Added additional tasks to the list of SCR Specific Tasks. <p>Section 9.1</p> <ul style="list-style-type: none"> ➤ 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. <p>Section 9.2</p>
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		<ul style="list-style-type: none"> ➤ Added Note to clarify when Aggregation Performance Factors will be viewable in DRIS. <p>Section 9.4</p> <ul style="list-style-type: none"> ➤ Added text describing ability to view <i>Pending</i> and <i>Under Review</i> resources on the UCAP Export. <p>Section 9.8</p> <ul style="list-style-type: none"> ➤ Added to outline new functionality related to managing Summer 2011 ACL resource enrollments. <p>Section 9.9</p> <ul style="list-style-type: none"> ➤ Added to outline new functionality related to managing Provisional ACL resource enrollments. <p>Section 10</p> <ul style="list-style-type: none"> ➤ Added Note explaining null values in First Hour of Performance and Last Hour of Performance fields on the DR Event. <p>Section 10.2.4.2</p> <ul style="list-style-type: none"> ➤ 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	<p>Global</p> <ul style="list-style-type: none"> ➤ Implemented changes related to new functionality delivered in the January 18, 2012 deployment as detailed in the section-specific entries following. <p>Section 9</p> <ul style="list-style-type: none"> ➤ Incorporated TB 212. (TB 212 can be retired) <p>Section 9.4</p> <ul style="list-style-type: none"> ➤ 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. <p>Section 9.4.1</p> <ul style="list-style-type: none"> ➤ Added section Viewing Transfer of UCAP Values to ICAP AMS to summarize new functionality delivered in the January 18, 2012 deployment. <p>Section 9.4.2</p> <ul style="list-style-type: none"> ➤ 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	<p>Global</p> <ul style="list-style-type: none"> ➤ 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. <p>Document Scope and Usage</p> <ul style="list-style-type: none"> ➤ Updated to include the Aggregation Performance Factor calculation and Aggregation UCAP calculation. <p>Section 1.1</p>

		<ul style="list-style-type: none"> ➤ Updated to include the Aggregation Performance Factor calculation and Aggregation UCAP calculation. <p>Table 7-2</p> <ul style="list-style-type: none"> ➤ Clarified the rule for TO Account Number on the SCR enrollment import file to align with TB 201. <p>Table 7-3</p> <ul style="list-style-type: none"> ➤ Clarified the rule for TO Account Number on the EDRP enrollment import file to align with TB 201. <p>Section 9</p> <ul style="list-style-type: none"> ➤ 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. <p>Section 9.2</p> <ul style="list-style-type: none"> ➤ Updated to list the possible tasks when managing aggregations. <p>Section 9.2.3</p> <ul style="list-style-type: none"> ➤ Updated to reflect the changed fields on the Aggregation Assignment page due to the aggregation performance factor functionality. <p>Section 9.2.3.1</p> <ul style="list-style-type: none"> ➤ Added section for viewing aggregation performance factors and UCAP values. <p>Section 9.2.3.2</p> <ul style="list-style-type: none"> ➤ Added section for exporting of aggregation performance factor details. ➤ Added section to explain the data exported on the aggregation performance factors export. <p>Section 9.2.3.3</p> <ul style="list-style-type: none"> ➤ 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. <p>Section 9.2.4</p> <ul style="list-style-type: none"> ➤ Clarified fields viewable on the Aggregation Assignment page when moving resources between aggregations due to the aggregation performance factor functionality. <p>Section 9.2.6</p> <ul style="list-style-type: none"> ➤ Added section for viewing of aggregation data prior to Summer 2012 on the Aggregation Assignment Pre-Summer 2012 page. <p>Section 9.2.6.1</p> <ul style="list-style-type: none"> ➤ Clarified the use of the UCAP Export for viewing UCAP values prior to Summer 2012 and the aggregation performance factor functionality.
1.6	06/14/2012	Global

		<ul style="list-style-type: none"> ➤ Implemented changes related to new functionality delivered in the June 2012 deployment as detailed in the section specific entries following. <p>Document Scope and Usage</p> <ul style="list-style-type: none"> ➤ Updated to include the Event Notification functionality. <p>Section 1.1</p> <ul style="list-style-type: none"> ➤ Updated to include the Event Notification functionality. <p>Section 1.3.2</p> <ul style="list-style-type: none"> ➤ Clarified that digital certificates may be requested for multiple computers and that they are machine specific. <p>Section 1.3.3</p> <ul style="list-style-type: none"> ➤ Updated Table 1.1 to reflect which privilege levels confer rights to new functionality delivered in the June 2012 deployment. <p>Section 1.5.1</p> <ul style="list-style-type: none"> ➤ Updated menu descriptions and screenshots to reflect new functionality delivered in the June 2012 deployment. <p>Section 4.1</p> <ul style="list-style-type: none"> ➤ Clarified definitions of resource raw performance factor and resource performance factor. <p>Section 6</p> <ul style="list-style-type: none"> ➤ Updated to highlight requirement for MP organizations to have contacts with the Event-Responder contact assignment to receive Event Notifications. <p>Section 10</p> <ul style="list-style-type: none"> ➤ Updated to include new sections related to the Event Notification component of Performing DR Event and Test specific tasks. <p>Section 10.1</p> <ul style="list-style-type: none"> ➤ Added section for receiving Event Notifications. <p>Section 10.2</p> <ul style="list-style-type: none"> ➤ Added section for viewing Event Notifications requiring an expected curtailment response. <p>Section 10.3</p> <ul style="list-style-type: none"> ➤ Added section for responding to Event Notifications requiring an expected curtailment response. <p>Section 10.4</p> <ul style="list-style-type: none"> ➤ Added section for viewing Event Notifications. <p>Section 10.5</p> <ul style="list-style-type: none"> ➤ Added section for receiving and acknowledging Communication Tests. <p>Section 10.6</p> <ul style="list-style-type: none"> ➤ Moved from section 10.1 to place in proper sequence based on Event Notification functionality.
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		<ul style="list-style-type: none"> ➤ Updated to remove reference to use of the RETX Notification system for Event Notification. <p>Section 10.7</p> <ul style="list-style-type: none"> ➤ Moved from section 10.2 to place in proper sequence based on Event Notification functionality.
1.7	03/19/2013	<p>Global</p> <ul style="list-style-type: none"> ➤ Implemented changes related to new functionality delivered in the March 2013 deployment as detailed in the section specific entries following. <p>Document Scope and Usage</p> <ul style="list-style-type: none"> ➤ Updated to include the Demand Side Ancillary Services Program (DSASP) functionality. <p>Revision History</p> <ul style="list-style-type: none"> ➤ 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 <p>Section 1.1</p> <ul style="list-style-type: none"> ➤ Updated to include the DSASP functionality. <p>Section 1.3.3</p> <ul style="list-style-type: none"> ➤ Updated to include additional rights for the DSASP functionality and DRIS Web UI User Roles. <p>Section 1.5.1</p> <ul style="list-style-type: none"> ➤ 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 <p>Section 2.1</p> <ul style="list-style-type: none"> ➤ Updated to include the DSASP functionality. <p>Section 2.5</p> <ul style="list-style-type: none"> ➤ Added new section for DSASP Product/Aggregation Types selection from the Tables Menu. <p>Section 3.1</p> <ul style="list-style-type: none"> ➤ Updated to include the DSASP functionality <p>Section 3.2</p> <ul style="list-style-type: none"> ➤ Updated to include the DSASP functionality. <p>Section 6.2</p> <ul style="list-style-type: none"> ➤ Clarified differences between SCR, EDRP and DSASP when updating contacts. <p>Section 7.1</p> <ul style="list-style-type: none"> ➤ Updated to include the DSASP functionality. ➤ Added Sample DSASP Import File ➤ Added rules specific to resource data in DSASP enrollment files

		<p>Section 7.2</p> <ul style="list-style-type: none"> ➤ Updated to include the DSASP functionality. <p>Section 7.3.2</p> <ul style="list-style-type: none"> ➤ Updated to include the new Alert types. <p>Section 7.3.3</p> <ul style="list-style-type: none"> ➤ Updated to include Pending Enrollment functionality for DSASP. <p>Section 7.3.3.1</p> <ul style="list-style-type: none"> ➤ Clarified differences between SCR, EDRP and DSASP when viewing and acting upon Resource Enrollment Requests. <p>Section 8.1.1</p> <ul style="list-style-type: none"> ➤ Clarified differences between SCR, EDRP and DSASP when viewing Resource Enrollments by Capability Period. <p>Section 8.1.3</p> <ul style="list-style-type: none"> ➤ Updated title of UCAP column. <p>Section 8.1.4</p> <ul style="list-style-type: none"> ➤ Added section for viewing DSASP Resource Enrollment Details <p>Section 8.3</p> <ul style="list-style-type: none"> ➤ Clarified difference between separating SCR, EDRP and DSASP resources. ➤ Added sub-section for separating a DSASP resource. <p>Section 8.4</p> <ul style="list-style-type: none"> ➤ Clarified differences when re-enrolling SCR, EDRP and DSASP resources. <p>Section 9.4.4</p> <ul style="list-style-type: none"> ➤ Clarified steps to allocating resource partial auction sales through the DRIS Summary of Aggregation Auction Sales page. <p>Section 10</p> <ul style="list-style-type: none"> ➤ Added section for performing DSASP specific tasks. <p>Section 10.1</p> <ul style="list-style-type: none"> ➤ Added section for viewing DSASP Aggregations. <p>Section 10.1.1</p> <ul style="list-style-type: none"> ➤ Added section for viewing DSASP Aggregation Management Summary Details. <p>Section 10.1.2</p> <ul style="list-style-type: none"> ➤ Added section for viewing Demand-Side Resources within a DSASP Aggregation. <p>Section 10.2</p> <ul style="list-style-type: none"> ➤ Added section for managing DSASP Aggregations. <p>Section 10.2.1</p> <ul style="list-style-type: none"> ➤ Added section for adding or updating a Validated Demand-Side Resource for the Qualified DSASP Aggregation. <p>Section 10.2.2</p>
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		<ul style="list-style-type: none"> ➤ Added section for removing a Validated Demand-Side Resource from the Qualified DSASP Aggregation. <p>Section 10.2.3</p> <ul style="list-style-type: none"> ➤ Added section for the DSASP Resource Report. <p>Section 10.2.3.1</p> <ul style="list-style-type: none"> ➤ Added section for the DSASP Resource Report Section 1. <p>Section 10.2.3.2</p> <ul style="list-style-type: none"> ➤ Added section for the DSASP Resource Report Section 2. <p>Section 10.2.3.3</p> <ul style="list-style-type: none"> ➤ Added section for the DSASP Resource Report Section 3. <p>Section 10.3</p> <ul style="list-style-type: none"> ➤ Added section for viewing DSASP Submittals. <p>Section 10.3.1</p> <ul style="list-style-type: none"> ➤ Added section for viewing DSASP Aggregation Submittal Summary. <p>Section 10.3.2</p> <ul style="list-style-type: none"> ➤ Added section for viewing Demand-Side Resources within a DSASP Submittal. <p>Section 11</p> <ul style="list-style-type: none"> ➤ Clarified Event-Specific tasks for Reliability Programs.
1.8	03/17/2014	<p>Global</p> <ul style="list-style-type: none"> ➤ Implemented changes related to new functionality delivered in the March 2014 deployment as detailed in the section specific entries following. <p>Document Scope and Usage</p> <ul style="list-style-type: none"> ➤ Updated to include the Provisional ACL project functionality. <p>Section 1.1</p> <ul style="list-style-type: none"> ➤ Updated to include the Provisional ACL project functionality. <p>Section 1.2</p> <ul style="list-style-type: none"> ➤ Updated to include new technology requirements. <p>Section 1.2.5</p> <ul style="list-style-type: none"> ➤ Updated to include additional rights for the Provisional ACL project functionality and DRIS Web UI User Roles. <p>Section 1.4.1</p> <ul style="list-style-type: none"> ➤ 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 <p>Section 2.1</p> <ul style="list-style-type: none"> ➤ Clarified differences between SCR Capability Period Load Zone Peak Hours and SCR Monthly Load Zone Peak Hours

		<p>Section 2.4</p> <ul style="list-style-type: none"> ➤ 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 <p>Section 2.5</p> <ul style="list-style-type: none"> ➤ 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 <p>Section 2.6</p> <ul style="list-style-type: none"> ➤ Added section for SCR Monthly Load Zone Verification Peak Hours for the verification of resources enrolled with an Incremental ACL. <p>Section 5.2</p> <ul style="list-style-type: none"> ➤ Updated introduction to include new and updated fields on the MP Deficiency screen. <p>Section 7</p> <ul style="list-style-type: none"> ➤ Updated introduction to include functionality for the Provisional ACL Eligibility check and enrolling resources with an enrollment request for ACL data. <p>Section 7.1</p> <ul style="list-style-type: none"> ➤ Added section for creating the import file to check resources eligibility to enroll with a Provisional ACL. <p>Section 7.2</p> <ul style="list-style-type: none"> ➤ Added section for user to import the file to check resources eligibility to enroll with a Provisional ACL. <p>Section 7.2.1</p> <ul style="list-style-type: none"> ➤ Added section for user to review and act on Provisional ACL Eligibility check outputs. <p>Section 7.3</p> <ul style="list-style-type: none"> ➤ Updated ➤ Figure 73 for new and updated individual resource field validations in the SCR Enrollment Import file. <p>Section 7.5</p> <ul style="list-style-type: none"> ➤ Updated introduction for concept of new “General Alerts” category, included with resource enrollment request results. <p>Section 7.5.3</p> <ul style="list-style-type: none"> ➤ Updated to include resource enrollment requests for ACL data. <p>Section 7.5.3.1</p> <ul style="list-style-type: none"> ➤ Updated to include resource enrollment requests for ACL data. <p>Section 7.5.3.2</p> <ul style="list-style-type: none"> ➤ Added section for Processing ACL Data Requests <p>Section 8.1.1</p>
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		<ul style="list-style-type: none"> ➤ Updated to include new fields and search filters on resource screens. <p>Section 8.1.3</p> <ul style="list-style-type: none"> ➤ Updated to include new fields on resource Monthly Details screen. <p>Section 10</p> <ul style="list-style-type: none"> ➤ Updated introduction for concepts of Resource ACL Adjustments, Incremental ACL verification data and Incremental ACL shortfall. <p>Section 10.1</p> <ul style="list-style-type: none"> ➤ 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. <p>Section 10.1.1</p> <ul style="list-style-type: none"> ➤ Updated to include new resource fields and concepts of DADRP add-backs and DSASP Baseline replacement adjustments, at the summary level. <p>Section 10.1.2</p> <ul style="list-style-type: none"> ➤ Updated to include new resource fields and concepts of DADRP add-backs and DSASP Baseline replacement adjustments, at the detailed level. <p>Section 10.6.5</p> <ul style="list-style-type: none"> ➤ Updated to include new resource fields and concepts of Shortfall, DADRP add-backs and DSASP Baseline replacement adjustments, at the summary level. <p>Section 10.6.6</p> <ul style="list-style-type: none"> ➤ Updated to include new resource fields and concepts for a Verified ACL, DADRP add-backs and DSASP Baseline replacement adjustments, at the detailed level. <p>Section 10.7</p> <ul style="list-style-type: none"> ➤ Added section for managing Incremental ACL enrollments. <p>Section 10.7.1</p> <ul style="list-style-type: none"> ➤ Added section for downloading of the Incremental ACL verification file. <p>Section 10.7.2</p> <ul style="list-style-type: none"> ➤ Added section for creating the Incremental ACL verification file. <p>Section 10.7.3</p> <ul style="list-style-type: none"> ➤ Added section for importing the Incremental ACL verification file. <p>Section 10.7.4</p> <ul style="list-style-type: none"> ➤ Added section for managing the Incremental ACL verification file import results. <p>Section 10.7.5</p> <ul style="list-style-type: none"> ➤ Added section for viewing resource Incremental ACL verification data.
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		<p>Section 10.7.6</p> <ul style="list-style-type: none"> ➤ Added section for viewing resource Incremental ACL verification details. <p>Section 12.7.4.1</p> <ul style="list-style-type: none"> ➤ Updated section to include new fields when viewing resource responses to events and/or tests. <p>Section 12.7.4.2</p> <ul style="list-style-type: none"> ➤ 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	<p>Global</p> <ul style="list-style-type: none"> ➤ 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.” <p>Document Scope and Usage</p> <ul style="list-style-type: none"> ➤ 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. <p>Section 1</p> <ul style="list-style-type: none"> ➤ Updated introduction to include new sections and to incorporate the retired Document Scope and Usage section. <p>Section 5</p> <ul style="list-style-type: none"> ➤ Updated section to reflect change in name of section from “Market Participant Deficiency” to “RIP Portfolio Performance Shortfall”. <p>Section 5.2</p> <ul style="list-style-type: none"> ➤ Updated section to include new fields which are inputs to the RIP Portfolio Performance Shortfall. <p>Section 10.8</p> <ul style="list-style-type: none"> ➤ Added section for reporting, managing, and viewing an SCR Change of Status in DRIS, after the close of enrollment for the applicable month. <p>Section 10.9</p> <ul style="list-style-type: none"> ➤ Added section for viewing resource Shortfall kW summary data.
2.0	6/17/2015	<p>Global</p> <ul style="list-style-type: none"> ➤ Implemented changes related to new functionality delivered in the June 2015 deployment as detailed in the section specific entries following. <p>Document Scope and Usage</p>

		<ul style="list-style-type: none"> ➤ Updated to include the functionality for viewing Proxy Test Values used to satisfy the First Performance Test requirement <p>Section 7</p> <ul style="list-style-type: none"> ➤ Updated Table 7-7 to include TO Service Voltage ID and Calculated ACL kW for each resource for Fields Monitored for SCR Enrollments <p>Section 9.2</p> <ul style="list-style-type: none"> ➤ Updated to include new and updated fields on the Aggregation Assignment screen <p>Section 9.2.3</p> <ul style="list-style-type: none"> ➤ Updated menu descriptions and screenshots for the Aggregation Performance Factors Export File containing new fields <p>Section 11.2</p> <ul style="list-style-type: none"> ➤ Updated menu descriptions, search criteria and screenshots for Notifications screens. <p>Section 11.7</p> <ul style="list-style-type: none"> ➤ Updated to include Proxy Test Indicator to menu descriptions and screenshots.
2.1	12/10/2015	<p>Section 9</p> <ul style="list-style-type: none"> ➤ Clarified timelines for Reporting Change of Status
2.2	06/23/2016	<p>Section 1.2</p> <ul style="list-style-type: none"> ➤ Updated to clarify that digital certificates will no longer be NYISO issued and must be NAESB compliant
2.3	11/21/2016	<p>Global</p> <ul style="list-style-type: none"> ➤ 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. <p>Document Scope and Usage</p> <ul style="list-style-type: none"> ➤ Updated to include the BTM:NG project functionality. <p>Section 1.1</p> <ul style="list-style-type: none"> ➤ Updated to include Section 12, BTM:NG Viewing details <p>Section 1.4.1</p> <ul style="list-style-type: none"> ➤ Addition of BTM:NG menu bar option <p>Section 12</p> <ul style="list-style-type: none"> ➤ View BTM:NG Peak Load Hours ➤ View BTM:NG Monthly Enrollment
3.0	02/20/2019	<p>Section 1</p> <ul style="list-style-type: none"> ➤ Added Documentation Vault Management in Document Purpose and System Capabilities ➤ Updated NYISO website screen shots for Accessing the System <p>Section 2.3</p> <ul style="list-style-type: none"> ➤ Updated Figure 31 Generator Types Page in Generator Type IDs

		<p>Section 7.5.3</p> <ul style="list-style-type: none">➤ Added “Note” for MP Action Required in Monitoring Resource Enrollment Request <p>Section 9</p> <ul style="list-style-type: none">➤ Added new section Documentation Vault Management <p>Section 10</p> <ul style="list-style-type: none">➤ Deleted references to Summer 2011 ACL
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Relation of this Guide to NYISO's Tariffs and Agreements

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

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

1. Introduction

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

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

Intended Audience

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

1.1. Document Purpose and System Capabilities

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

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

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

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

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

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

Presentation Conventions

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

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

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

1.2. Requirements

1.2.1. System Requirements

The NYISO recommends the following for use with this application:

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

Additionally, the NYISO requires for use with this application:

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

1.2.2. Using Digital Certificates

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

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

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

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

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

1.2.3. Pre-Requisites for System Use

The following are pre-requisites for using this application:

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 SCR program, the EDRP or the DSASP.

Note: A Responsible Interface Party (RIP) enrolls resources in the SCR program, a Curtailment Service Provider (CSP) enrolls resources in the EDRP and a Demand Side Ancillary Services Program Provider (DSASP Provider) enrolls resources in the DSASP. Further information can be found in the *NYISO Installed Capacity Manual*, the *NYISO Emergency Demand Response Manual* and the *NYISO Ancillary Services Manual*, respectively. These documents are available from the NYISO Web site 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 the NYISO Market Information System (MIS), via which DRIS use privileges are administered. Otherwise, the MP Administrator's User Name and Password are the same as those already used to access MIS.

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

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

<https://www.nyiso.com/manuals-tech-bulletins-user-guides> The MP must next ensure that the computers of all prospective DRIS users are properly configured for system use.

1.2.5. Understanding System Privileges

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

Figure 1: DRIS Privilege Levels and Corresponding Usage Rights

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

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

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

1.2.6. Administering Privileges at the Organization Level

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

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

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

1.3. Accessing the System

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

Pre-requisite

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



To access DRIS

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

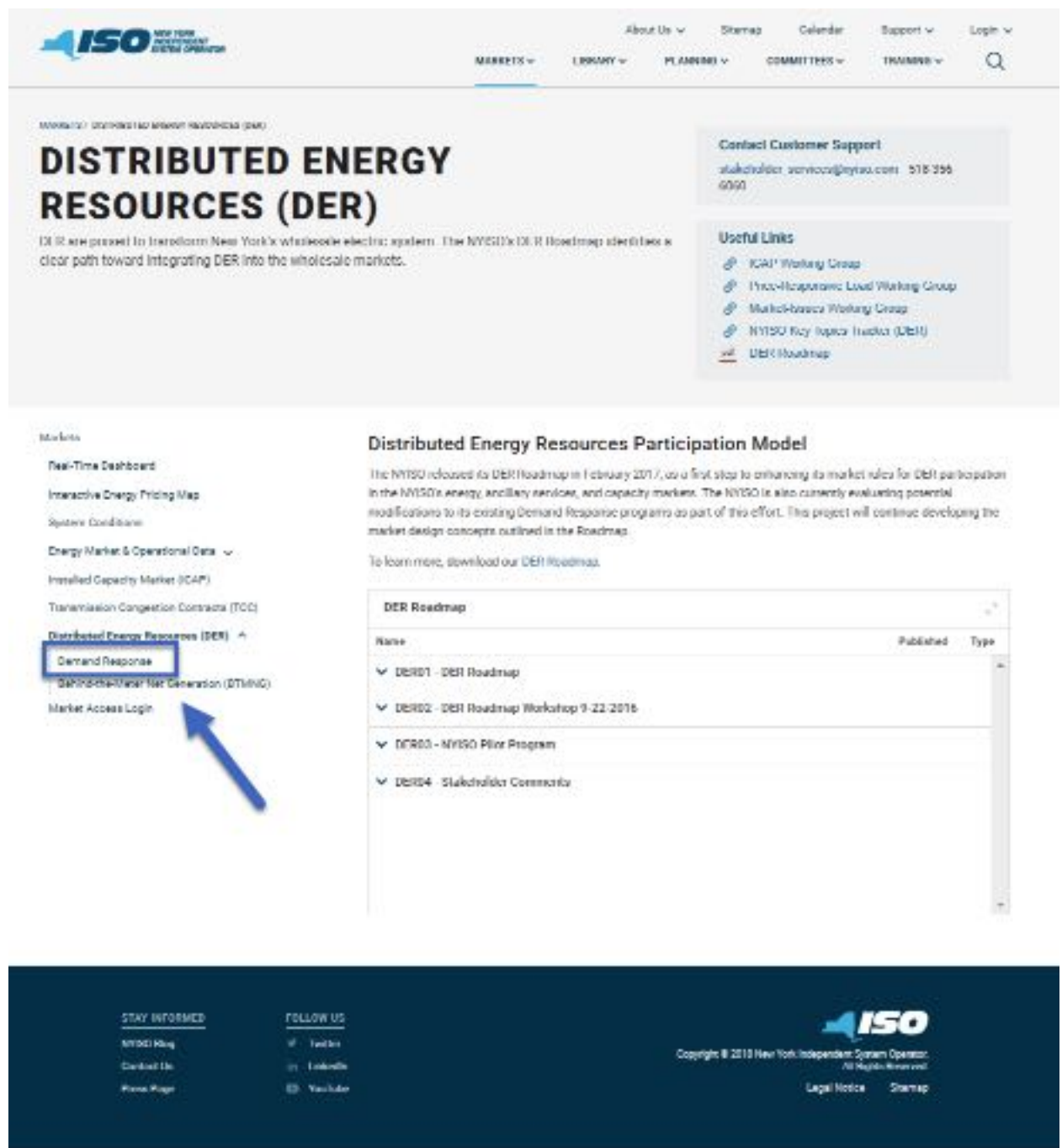
1. Point your browser to the NYISO Home page at www.nyiso.com (see Figure 2).

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 Energy Resources (DER) from the expanded list of related categories. (see Figure 3)

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



- 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)



Markets

- Real-Time Dashboard
- Interactive Energy Pricing Map
- System Conditions
- Energy Market & Operational Data
- Installed Capacity Market (ICAP)
- Transmission Congestion Contracts (TCC)
- Distributed Energy Resources (DER)
- Demand Response**
- Behind-the-Meter Net Generation (BTHMG)
- Market Access Login

Demand Response

Demand Response (DR) is the act of reducing energy consumption from the grid at the direction of the NYISO.

Demand Response is provided by Demand Side Resources, which are electricity consumers located in New York State that want to take part in a specific DR program. These resources are capable of reducing the power consumed from the grid for short durations of time as directed by the NYISO.

NYISO's Demand Response programs pay qualifying participants to reduce their consumption ("load") for discrete periods of time.

Reliability-Based Programs - NYISO determines activation

- BCR
- DRP

Economic-Based Programs - Resources determine when to participate (through supply offers)

- DGASP
- DADRP

For further details, please see NYISO Demand Response Programs: Frequently Asked Questions or contact NYISO Stakeholder Services.

Name	Published	Type
DR01 - General Information		
DR02 - Special Case Resource ICAP Program		
DR03 - Emergency Demand Response Program		
DR04 - Demand Side Ancillary Service Program		
DR05 - Day Ahead Demand Response Program		
DR06 - Demand Response Activations		
DR07 - Monthly Net Demand Offer Floor		

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

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

Figure 4, following).

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

Figure 5: NYISO Demand Response Information System Login Page



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

Note: The password is case sensitive.

7. Activate the **Login** button.

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

1.4. Working with the System Interface

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

- Menus
- Pages

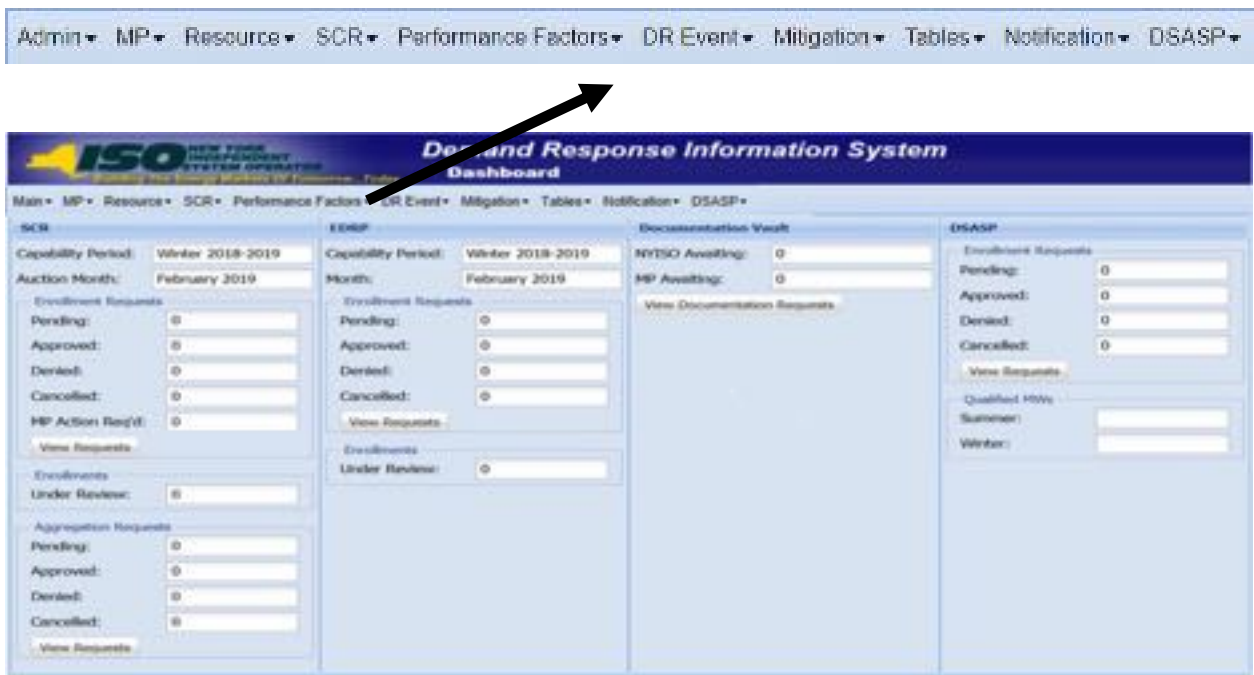
- Grids
- Status bar
- Filters
- Configuration controls
- Data navigation devices

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

1.4.1. Menus

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

Figure 6: DRIS Menu Bar



Eleven menus are provided in DRIS, as follows:

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

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

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

- initiate import of resource enrollments (see Section 7.5.1);
- generate import files for the purpose of correcting exceptions (i.e., data errors, changes, or omissions) that prevent some or all resources from being imported to the system (see Section 7.5.1);
- download resource enrollment data in the format required for reporting to the system (see Section 8.5);
- download UCAP values for SCR resources (see Section 10.2.6.1);
- 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 **Error! Reference source not found.**);
- download resource Provisional ACL verification data file in the format required for reporting to the system (see Section 10.6.1);
- initiate import of resource responses to DR events and tests (see Section 12.7.1); and
- download resource hourly response payment details (see Section 12.7.7.)

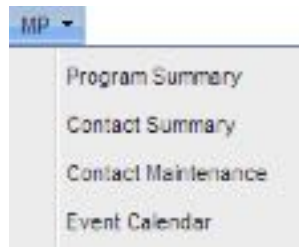
Figure 7: Main Menu Options



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

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

Figure 8: MP Menu Options



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

Figure 9: Resource Menu Options



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

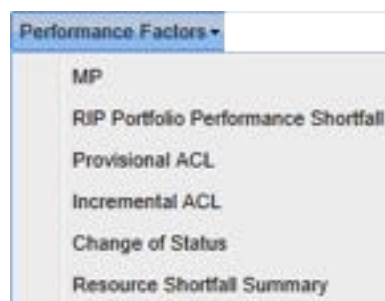
Note: In the SCR menu the selection of "Aggregation Assignment" will navigate the user to the Aggregation Management screen which provides Aggregation Performance Factors. This screen will be enabled with the start of the SCR Enrollment calendar event for the May 2012 auction month. The selection of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

Figure 10: SCR Menu Options



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

Figure 11: Performance Factor Menu Options



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

Figure 12: DR Event Menu Options



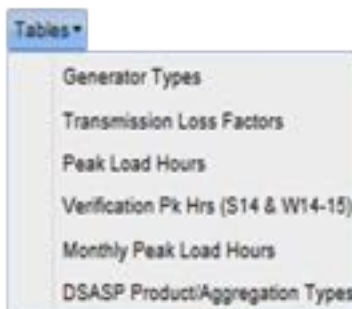
- *Mitigation* –The Mitigation menu (see Figure 13) provides access to viewing the SCR resources that are subject to an Offer Floor, as well as the ability to view the current count of months in which the resource has cleared its Offer Floor in the ICAP auction (see Section 10.5).

Figure 13: Mitigation Menu Options



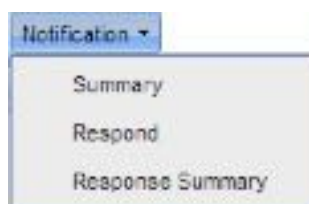
- *Tables* –The Tables menu (see Figure 14) provides access to pages from which users can ascertain which transmission owner (TO) abbreviations, voltage level IDs (based on specific transmission loss factors), and generator type IDs should be included among the data provided when enrolling resources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

Figure 14: Table Menu Options



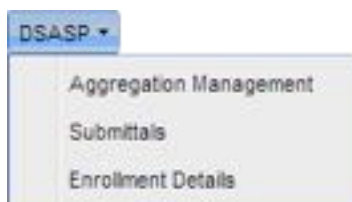
- *Notification* – The Notification menu (see Figure 15) provides access to pages that facilitate viewing event notifications (see Section 12.4), responding to event notifications with expected curtailment values (see Section 12.3), and viewing responses in summary and detail (see section 12.2).

Figure 15: Notification Menu Options



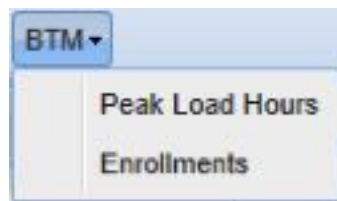
- *DSASP* – The DSASP menu (see Figure 16) provides access to pages that facilitate the management of Demand Side Resources (DSRs) participating as either a group of resources within an aggregation or as an individual resource within an aggregation (see Section 11).
- Also accessed from this menu is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

Figure 16: DSASP Menu Options



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

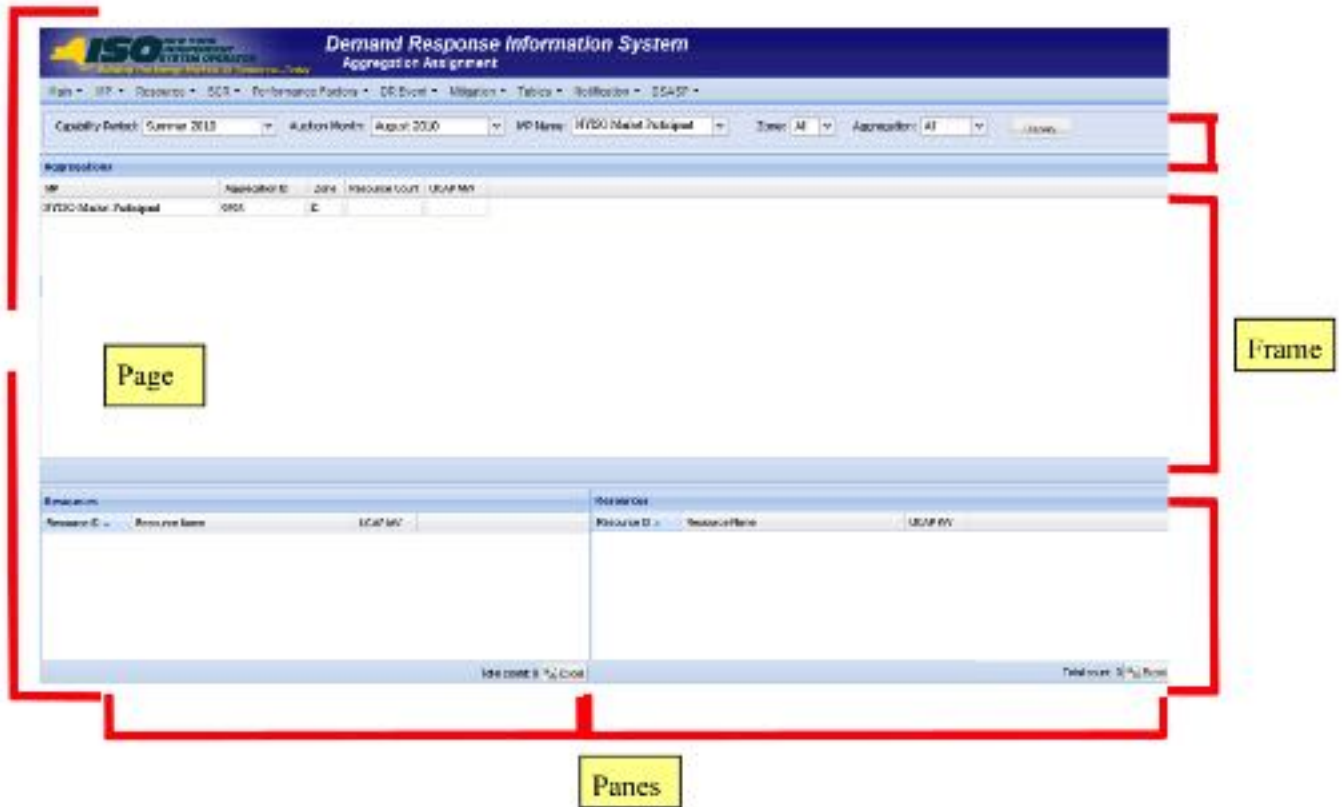
Figure 17: BTM:NG Menu Options



1.4.2. Pages

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

Figure 18: Page Containing Frames and Panes



1.4.3. Grids

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

Figure 19: Sample Grid

Resource ID	Resource Name	Maximum Power	Month	Legal Resource Code	Legal Resource Code	Region	Status	Subscribed Cost	Subscribed Wt	Performance Factor	Cost	Capacity
5040000	Resource Gas	20000000	January 2018	00100010	00100010	001	Available	11140	0	0.000	0.0000	0.00
5040000	Resource Gas	20000000	February 2018	00100010	00100010	001	Available	11140	0	0.000	0.0000	0.00
5040000	Resource Gas	20000000	March 2018	00100010	00100010	001	Available	11140	0	0.000	0.0000	0.00
5040000	Resource Gas	20000000	April 2018	00100010	00100010	001	Available	11140	0	0.000	0.0000	0.00
5040000	Resource Gas	20000000	May 2018	00100010	00100010	001	Available	11140	0	0.000	0.0000	0.00
5040000	Resource Gas	20000000	June 2018	00100010	00100010	001	Available	11140	0	0.000	0.0000	0.00
5040000	Resource Gas	20000000	July 2018	00100010	00100010	001	Available	11140	0	0.000	0.0000	0.00
5040000	Resource Gas	20000000	August 2018	00100010	00100010	001	Available	11140	0	0.000	0.0000	0.00
5040000	Resource Gas	20000000	September 2018	00100010	00100010	001	Available	11140	0	0.000	0.0000	0.00
5040000	Resource Gas	20000000	October 2018	00100010	00100010	001	Available	11140	0	0.000	0.0000	0.00
5040000	Resource Gas	20000000	November 2018	00100010	00100010	001	Available	11140	0	0.000	0.0000	0.00
5040000	Resource Gas	20000000	December 2018	00100010	00100010	001	Available	11140	0	0.000	0.0000	0.00

1.4.4. Status Bar

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

Figure 20: Status Bar

The screenshot shows the Demand Response Information System (DRIS) interface. At the top, there is a header with the ISO logo and the text 'Demand Response Information System'. Below the header is a search and filter area with various input fields and buttons. The main part of the interface is a data grid with multiple columns. At the bottom of the grid, there is a status bar. The status bar contains navigation arrows (back, forward, refresh), a page indicator 'Page 1 of 2', and the text 'Displaying 1 - 100 of 115 Capability Period Enrollment'. A red oval highlights the status bar area, and an arrow points from it to a larger, detailed view of the status bar at the bottom of the page.

1.4.5. Filters

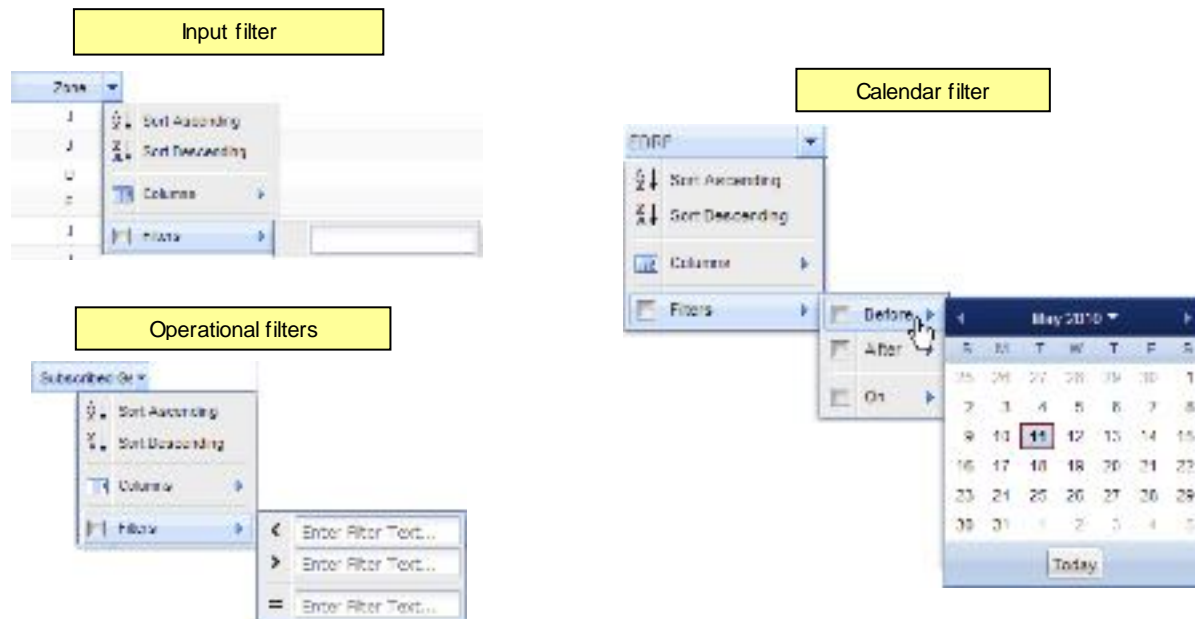
Filters are mechanisms that allow the user to define the scope of a task by selecting system-defined values for one or more system-defined parameters.

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

Figure 21: Drop-Down Filters Employed in DRIS



Figure 22: Context-Sensitive Filters Employed in DRIS



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

1. Using the filter for a parameter by which task scope or data display should be limited, set the parameter value in one of the following ways:

- Click the corresponding drop-down arrow, then from the displayed list, choose the applicable value.

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

OR

- Position the cursor in the filter field, start typing the applicable value until the system displays the complete value either in the field or in a drop-down list, then either press the **TAB** key (if the field is already populated with the value) or click the actual value in the drop-down list (if the field is not already populated with the value).
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 22).

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.

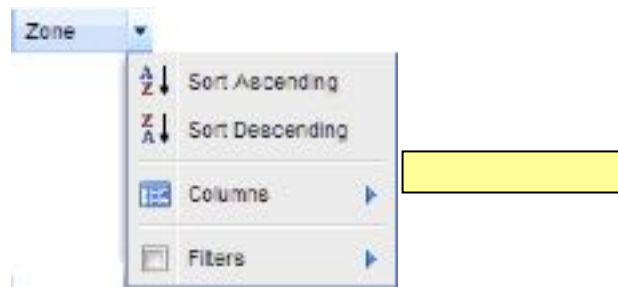
The user can control which columns are displayed in grids, change the parameter by which and order in which data are sorted in grids, and resize grid columns and certain frames.

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 23).

Figure 23: Sample Grid Column Menu



2. On the displayed menu, position the mouse pointer over the **Columns** option.

The system displays a sub-menu listing each column in the grid (see Figure 24).

Figure 24: Sample Grid Column Sub-Menu



3. Via the sub-menu, indicate which columns should be displayed in the grid, as follows:

- To have the system hide a column, click the corresponding check box until the checkmark is cleared.

The system hides the column.

OR

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

The system displays the column.


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

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




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

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 25).

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

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

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

Figure 25: Example of Changing Sort Order

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.

SP	Aggregation	Zone	Strike Price	Start Month	End Month	Last Updated By	Last Update Date
SP One	0101	K	500	11/01/2010	11/01/2010	J Deth	11/01/2010 09:41:53
SP One	0104	J	500	11/01/2010	11/01/2010	J Deth	11/01/2010 17:21:56
SP One	0105	F	500	11/01/2010	11/01/2010	J Deth	11/01/2010 17:21:56
SP One	0102	D	500	11/01/2010	11/01/2010	J Deth	11/01/2010 09:41:53

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.

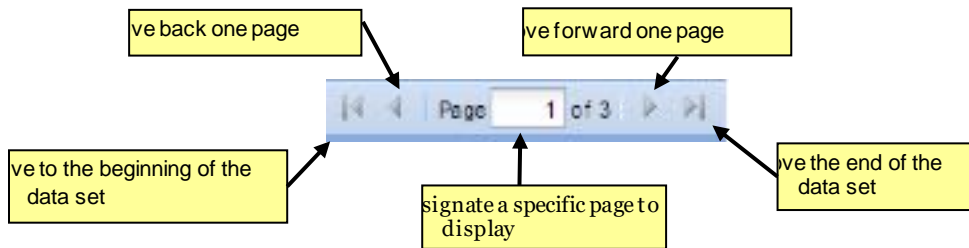
2. Click and hold the primary mouse button then drag the mouse up or down until the frame is resized as desired.

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 26). Located on grid status bars, these mechanisms, when clicked, provide for movement between multiple pages of data within grids whenever a complete data set is too large to fit within a single grid page.

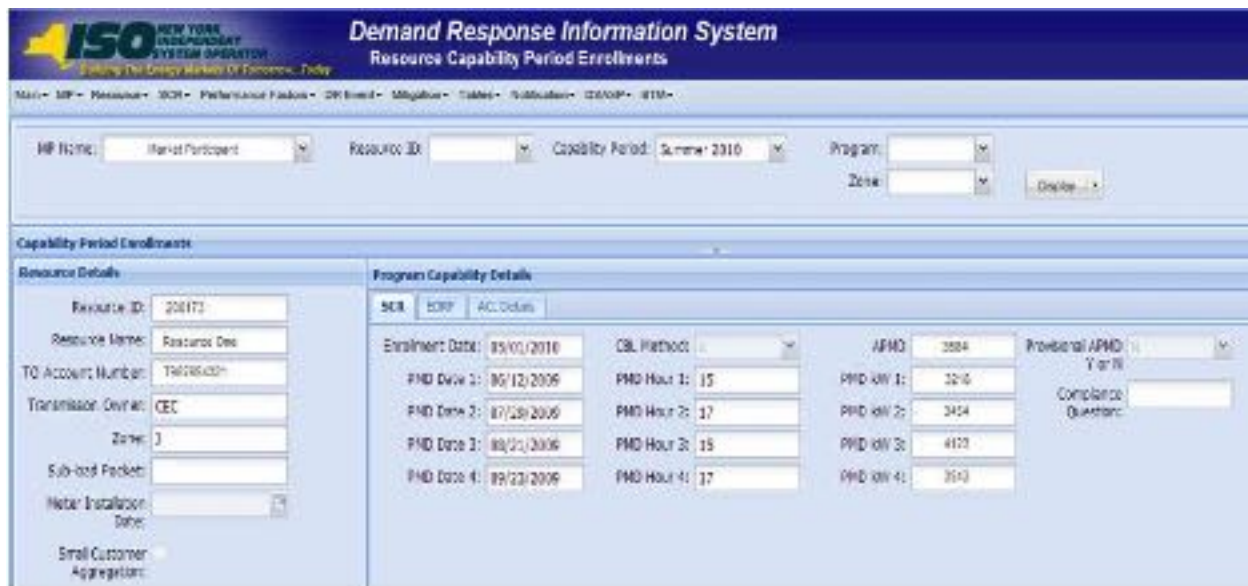
Also located on the status bar, between the forward and backward arrow buttons, is a Page field (see Figure 26), where the user may replace the currently displayed page number with another number within the noted range then press the **ENTER** key to move the view to the newly designated page.

Figure 26: Arrow Buttons and Page Field



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

Figure 27: Tabs on Resource Capability Period Enrollments Page



Resource Details		Program Capability Details			
Resource Details		SCR	BDRP	AC Details	
Resource ID:	208172	Enrollment Date:	05/01/2010	OSL Method:	AFMD: 3584
Resource Name:	Resource Des	PMD Date 1:	05/12/2006	PMD Hour 1:	15
TO Account Number:	T90286320	PMD Date 2:	07/28/2006	PMD Hour 2:	17
Transmitter Owner:	CEC	PMD Date 3:	08/21/2006	PMD Hour 3:	15
Zone:	J	PMD Date 4:	09/23/2006	PMD Hour 4:	17
Sub-load Profile:				PMD kW 1:	3210
Meter Installation Date:				PMD kW 2:	3454
Small Customer Aggregator:				PMD kW 3:	4122
				PMD kW 4:	3543

1.5. Exiting the System

Exiting DRIS is accomplished by logging out of the system.

Pre-requisite

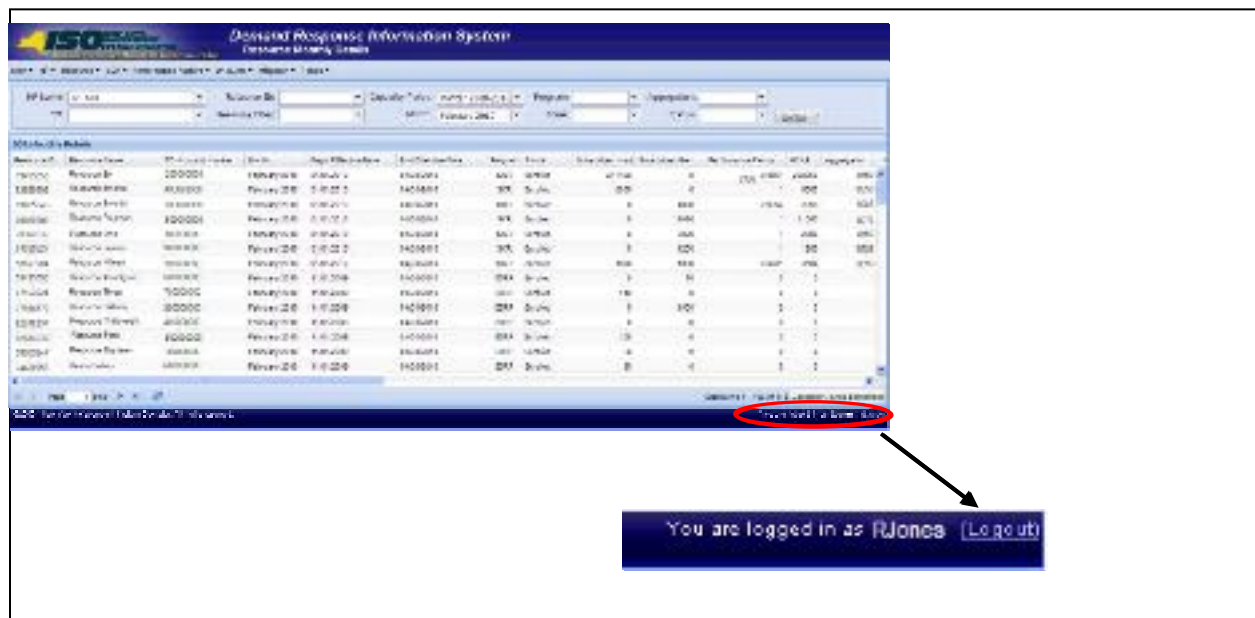
- The MP has accessed the system as described under section 1.3.

To exit the system

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

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

Figure 28: Logout Link



The screenshot shows the Demand Response Information System interface. At the top, there is a header with the system name and a navigation menu. Below the header is a table with multiple columns, including 'Request ID', 'Request Name', 'Request Type', 'Request Status', 'Request Date', 'Request Time', 'Request Location', 'Request Amount', 'Request Unit', 'Request Price', 'Request Status', and 'Request Date'. The table contains several rows of data. At the bottom of the table, there is a 'Logout' link highlighted with a red circle. An arrow points from this link to a confirmation box that says 'You are logged in as RJones Logout'.

Request ID	Request Name	Request Type	Request Status	Request Date	Request Time	Request Location	Request Amount	Request Unit	Request Price	Request Status	Request Date
100001	Request Name	100000	Request Type	100000	100000	Request Location	Request Amount	Request Unit	Request Price	Request Status	Request Date
100002	Request Name	100000	Request Type	100000	100000	Request Location	Request Amount	Request Unit	Request Price	Request Status	Request Date
100003	Request Name	100000	Request Type	100000	100000	Request Location	Request Amount	Request Unit	Request Price	Request Status	Request Date
100004	Request Name	100000	Request Type	100000	100000	Request Location	Request Amount	Request Unit	Request Price	Request Status	Request Date
100005	Request Name	100000	Request Type	100000	100000	Request Location	Request Amount	Request Unit	Request Price	Request Status	Request Date
100006	Request Name	100000	Request Type	100000	100000	Request Location	Request Amount	Request Unit	Request Price	Request Status	Request Date
100007	Request Name	100000	Request Type	100000	100000	Request Location	Request Amount	Request Unit	Request Price	Request Status	Request Date
100008	Request Name	100000	Request Type	100000	100000	Request Location	Request Amount	Request Unit	Request Price	Request Status	Request Date
100009	Request Name	100000	Request Type	100000	100000	Request Location	Request Amount	Request Unit	Request Price	Request Status	Request Date
100010	Request Name	100000	Request Type	100000	100000	Request Location	Request Amount	Request Unit	Request Price	Request Status	Request Date

Logout

You are logged in as RJones Logout

2. Obtaining Key Preliminary Information

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

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

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

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

Pre-requisite

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



To monitor the DR event calendar time frames and deadlines

1. From the **MP** menu, choose **Event Calendar**.

The system displays the Event Calendar page (see Figure 29).

2. By choosing from the **Events From** and **To** filters near the top of the Event Calendar page, indicate the range of dates for which the system should display events.

3. Click the **Display** button, located to the right of the date filters.

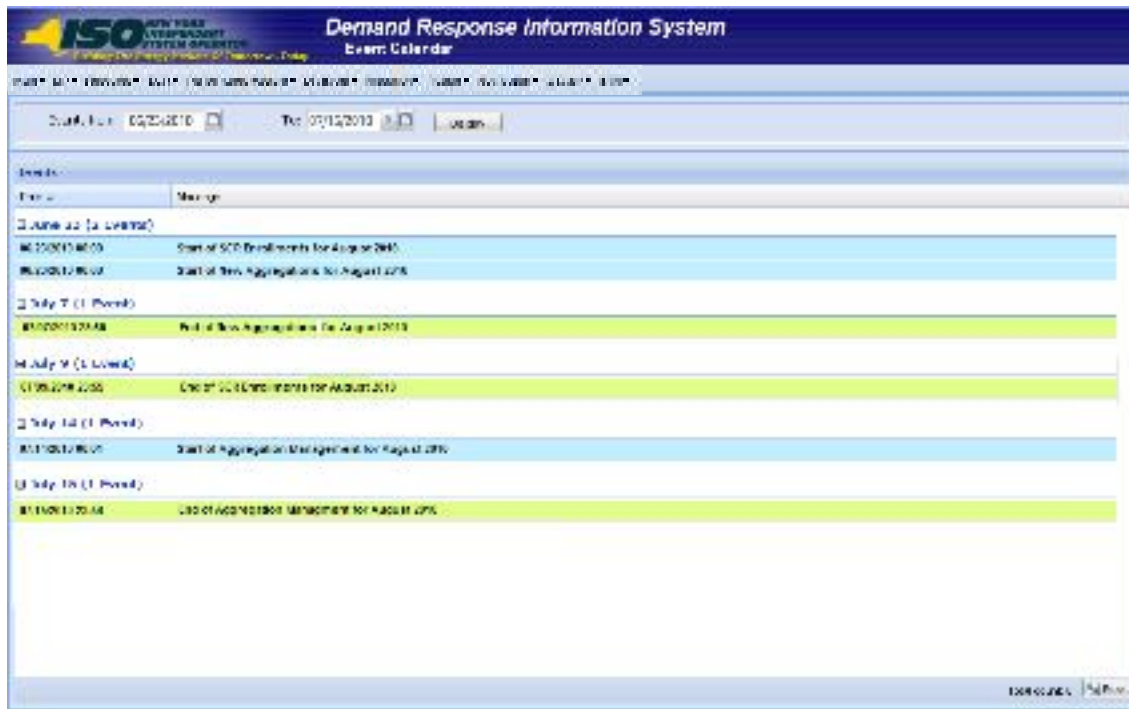
The lower frame refreshes to display a list of all DR-related events falling within the timeframe designated at step 2 and organized by corresponding date in ascending order (see Figure 29).

4. Review the displayed data to determine the start and end dates for the DR events that need to be performed in that time period.

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

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

Figure 29: Event Calendar Page Showing Events by Date



2.2. Transmission Owner Abbreviations and Voltage Level IDs

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

The system provides ready access to this information.

Pre-requisite

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

To ascertain voltage level IDs

1. From the **Tables** menu, choose **Transmission Loss Factors**.

The system displays the Transmission Loss Factors page (see Figure 30).

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

- *CEC* – Consolidated Edison Company of New York

- *CHG* – Central Hudson Gas & Electric
- *LIP* – Long Island Power Authority
- *NMP* – Niagara Mohawk Power Corporation
- *NYS* – New York State Electric & Gas
- *ORU* – Orange and Rockland Utilities
- *RGE* – Rochester Gas & Electric Corporation

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 30: Transmission Loss Factors Page

Voltage Level ID	Voltage Level Description	Transmission Loss Factor	Start/End Dates	End/Start Dates	Loss Factor ID	Voltage Level ID
1	480 Volts	0.0000	01/01/2011	01/01/2011	1	480 Volts
2	138 Volts	0.0000	01/01/2011	01/01/2011	2	138 Volts
3	138 Volts	0.0000	01/01/2011	01/01/2011	3	138 Volts
4	138 Volts	0.0000	01/01/2011	01/01/2011	4	138 Volts
5	138 Volts	0.0000	01/01/2011	01/01/2011	5	138 Volts
6	138 Volts	0.0000	01/01/2011	01/01/2011	6	138 Volts
7	138 Volts	0.0000	01/01/2011	01/01/2011	7	138 Volts
8	138 Volts	0.0000	01/01/2011	01/01/2011	8	138 Volts
9	138 Volts	0.0000	01/01/2011	01/01/2011	9	138 Volts
10	138 Volts	0.0000	01/01/2011	01/01/2011	10	138 Volts
11	138 Volts	0.0000	01/01/2011	01/01/2011	11	138 Volts
12	138 Volts	0.0000	01/01/2011	01/01/2011	12	138 Volts
13	138 Volts	0.0000	01/01/2011	01/01/2011	13	138 Volts
14	138 Volts	0.0000	01/01/2011	01/01/2011	14	138 Volts
15	138 Volts	0.0000	01/01/2011	01/01/2011	15	138 Volts
16	138 Volts	0.0000	01/01/2011	01/01/2011	16	138 Volts
17	138 Volts	0.0000	01/01/2011	01/01/2011	17	138 Volts
18	138 Volts	0.0000	01/01/2011	01/01/2011	18	138 Volts
19	138 Volts	0.0000	01/01/2011	01/01/2011	19	138 Volts
20	138 Volts	0.0000	01/01/2011	01/01/2011	20	138 Volts
21	138 Volts	0.0000	01/01/2011	01/01/2011	21	138 Volts
22	138 Volts	0.0000	01/01/2011	01/01/2011	22	138 Volts
23	138 Volts	0.0000	01/01/2011	01/01/2011	23	138 Volts
24	138 Volts	0.0000	01/01/2011	01/01/2011	24	138 Volts
25	138 Volts	0.0000	01/01/2011	01/01/2011	25	138 Volts
26	138 Volts	0.0000	01/01/2011	01/01/2011	26	138 Volts
27	138 Volts	0.0000	01/01/2011	01/01/2011	27	138 Volts
28	138 Volts	0.0000	01/01/2011	01/01/2011	28	138 Volts
29	138 Volts	0.0000	01/01/2011	01/01/2011	29	138 Volts
30	138 Volts	0.0000	01/01/2011	01/01/2011	30	138 Volts

2.3. Generator Type IDs

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

The system provides ready access to this information.

Pre-requisite

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

To ascertain generator type IDs

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

The system displays the Generator Types page (see Figure 31).

2. In the corresponding column of the displayed table, locate the **Description** specific to the resource in question, then note the displayed **Generator Type ID** displayed in the first column of the same row.

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

Figure 31: Generator Types Page

Generator Type ID	Description	Port Code	Last Modified By	Last Update
1	Auto		John Cooper	8/1/2008 10:17:00
2	Hand Held	2	John Cooper	8/1/2008 10:17:00
3	Out Pan	3	John Cooper	8/1/2008 10:17:00
4	Other	4	John Cooper	8/1/2008 10:17:00
5	Other	5	John Cooper	8/1/2008 10:17:00
6	Other Group	6	John Cooper	8/1/2008 10:17:00

2.4. Capability Period SCR Load Zone Peak Hours

Among the data the MP must provide to enroll an SCR resource is the Average Coincident Load kW (ACL kW) of the resource for each SCR Load Zone Peak Hour from the Prior Equivalent Capability Period. Capability Period SCR Load Zone Peak Hours are made viewable to the MP 90

days prior to the start of the Capability Period as specified on the DRIS Event Calendar (refer to Section 2.1).

The system provides ready access to this information.

Note: Optionally, the MP may either export templates from DRIS, pre-populated with the Capability Period SCR Load Zone Peak Hours by zone, or obtain them from the NYISO website. The templates which use the Capability Period SCR Load Zone Peak Hours and are available to the MP are the SCR Enrollment File (see Section 8.5), the SCR Summer 2011 Verification File (see Section **Error! Reference source not found.**), and the SCR Provisional ACL Verification File (see Section 10.6.1).

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

Pre-requisite

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

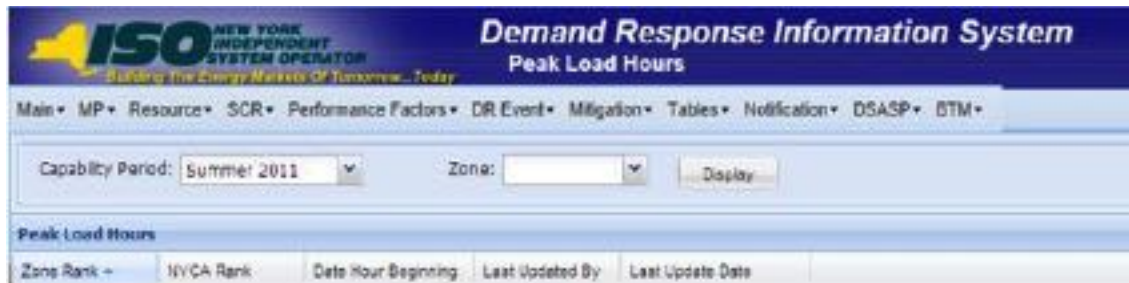
 **To ascertain Capability Period SCR Load Zone Peak Hours**

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

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

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

Figure 32: Peak Load Hours Page Search Filters



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

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

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

Date	Date End	SCR Load	Date Hour Peak	Last Update Date
7/1/14	7/1/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/2/14	7/2/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/3/14	7/3/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/4/14	7/4/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/5/14	7/5/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/6/14	7/6/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/7/14	7/7/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/8/14	7/8/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/9/14	7/9/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/10/14	7/10/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/11/14	7/11/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/12/14	7/12/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/13/14	7/13/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/14/14	7/14/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/15/14	7/15/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/16/14	7/16/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/17/14	7/17/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/18/14	7/18/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/19/14	7/19/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/20/14	7/20/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/21/14	7/21/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/22/14	7/22/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/23/14	7/23/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/24/14	7/24/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/25/14	7/25/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/26/14	7/26/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/27/14	7/27/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/28/14	7/28/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/29/14	7/29/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/30/14	7/30/14	276,820 kW	18:00	8/28/2014 10:00 AM
7/31/14	7/31/14	276,820 kW	18:00	8/28/2014 10:00 AM

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

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

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

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

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

The system provides ready access to this information.

Pre-requisite

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

 **To ascertain SCR Capability Period Load Zone Verification Peak Hours**

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

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

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

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

Figure 34: Verification Peak Load Hours Page Search Filters



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



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

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

The screenshot displays the 'Verification Peak Load Hours' page in the DRIS system. The page title is 'Demand Response Information System - Verification Peak Load Hours for Cap Per 2014 and Winter 2014-2015'. The interface includes a navigation menu at the top, a 'Verification Peak Load Hours' section with a table of data, and an 'Excel' button in the bottom right corner.

Date	Zone Name	SCR Peak	Cap Per (kW)	Load (kW)	Load (kW)
1/1	J	0	0	0	0
1/2	J	0	0	0	0
1/3	J	0	0	0	0
1/4	J	0	0	0	0
1/5	J	0	0	0	0
1/6	J	0	0	0	0
1/7	J	0	0	0	0
1/8	J	0	0	0	0
1/9	J	0	0	0	0
1/10	J	0	0	0	0
1/11	J	0	0	0	0
1/12	J	0	0	0	0
1/13	J	0	0	0	0
1/14	J	0	0	0	0
1/15	J	0	0	0	0
1/16	J	0	0	0	0
1/17	J	0	0	0	0
1/18	J	0	0	0	0
1/19	J	0	0	0	0
1/20	J	0	0	0	0
1/21	J	0	0	0	0
1/22	J	0	0	0	0
1/23	J	0	0	0	0
1/24	J	0	0	0	0
1/25	J	0	0	0	0
1/26	J	0	0	0	0
1/27	J	0	0	0	0
1/28	J	0	0	0	0
1/29	J	0	0	0	0
1/30	J	0	0	0	0
1/31	J	0	0	0	0
2/1	J	0	0	0	0
2/2	J	0	0	0	0
2/3	J	0	0	0	0
2/4	J	0	0	0	0
2/5	J	0	0	0	0
2/6	J	0	0	0	0
2/7	J	0	0	0	0
2/8	J	0	0	0	0
2/9	J	0	0	0	0
2/10	J	0	0	0	0
2/11	J	0	0	0	0
2/12	J	0	0	0	0
2/13	J	0	0	0	0
2/14	J	0	0	0	0
2/15	J	0	0	0	0
2/16	J	0	0	0	0
2/17	J	0	0	0	0
2/18	J	0	0	0	0
2/19	J	0	0	0	0
2/20	J	0	0	0	0
2/21	J	0	0	0	0
2/22	J	0	0	0	0
2/23	J	0	0	0	0
2/24	J	0	0	0	0
2/25	J	0	0	0	0
2/26	J	0	0	0	0
2/27	J	0	0	0	0
2/28	J	0	0	0	0
2/29	J	0	0	0	0
2/30	J	0	0	0	0
3/1	J	0	0	0	0
3/2	J	0	0	0	0
3/3	J	0	0	0	0
3/4	J	0	0	0	0
3/5	J	0	0	0	0
3/6	J	0	0	0	0
3/7	J	0	0	0	0
3/8	J	0	0	0	0
3/9	J	0	0	0	0
3/10	J	0	0	0	0
3/11	J	0	0	0	0
3/12	J	0	0	0	0
3/13	J	0	0	0	0
3/14	J	0	0	0	0
3/15	J	0	0	0	0
3/16	J	0	0	0	0
3/17	J	0	0	0	0
3/18	J	0	0	0	0
3/19	J	0	0	0	0
3/20	J	0	0	0	0
3/21	J	0	0	0	0
3/22	J	0	0	0	0
3/23	J	0	0	0	0
3/24	J	0	0	0	0
3/25	J	0	0	0	0
3/26	J	0	0	0	0
3/27	J	0	0	0	0
3/28	J	0	0	0	0
3/29	J	0	0	0	0
3/30	J	0	0	0	0
3/31	J	0	0	0	0

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

2.6. Monthly SCR Load Zone Peak Hours

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

The system provides ready access to this information.

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

Pre-requisite

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

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

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

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

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

Figure 36: Peak Load Hours Page Search Filters



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

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

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

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

2.7. DSASP Product/Aggregation Types

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

The system provides ready access to this information.

Pre-requisite

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

To ascertain Aggregation Type IDs

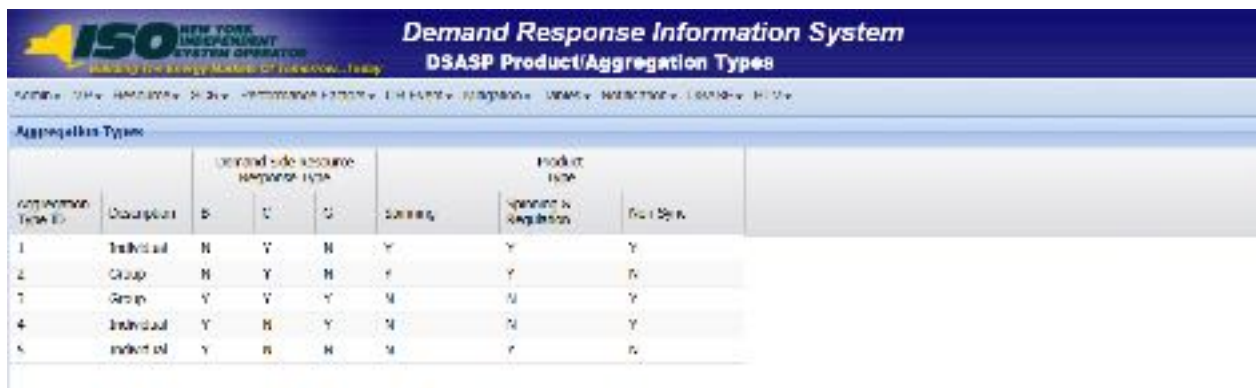
1. From the **Tables** menu, choose **DSASP Product/Aggregation Types**.

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

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

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

Figure 38: DSASP Product/Aggregation Types Page



Aggregation Type ID	Description	Demand-side resource response type			Product type		
		B	C	G	Drooping	Spinning & Regulation	Fuel Bank
1	Individual	N	Y	N	Y	Y	Y
2	Group	N	Y	N	F	Y	N
3	Group	Y	Y	Y	N	N	Y
4	Individual	Y	N	Y	N	N	Y
5	Individual	Y	N	N	M	Y	N

3. Viewing Market Participant Organization Program Enrollment

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

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

3.1. Viewing Summary of Demand Response–Program Enrollments

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

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

To view summary of DR program enrollments

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

The system displays the Summary of MP Programs page.

2. From the corresponding search filter in the uppermost frame on the Summary of MP Programs page (see

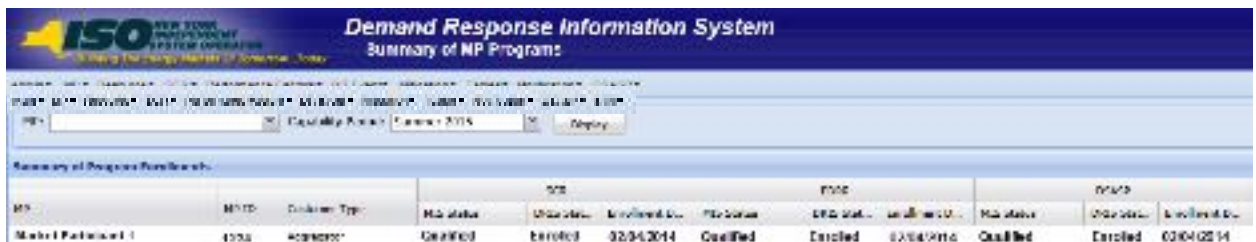
3. Figure 39), choose the **Capability Period** for which the system should display enrollments.

Figure 39: Summary of MP Programs Page Search Filters



1. 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 2 (see Figure 40.)

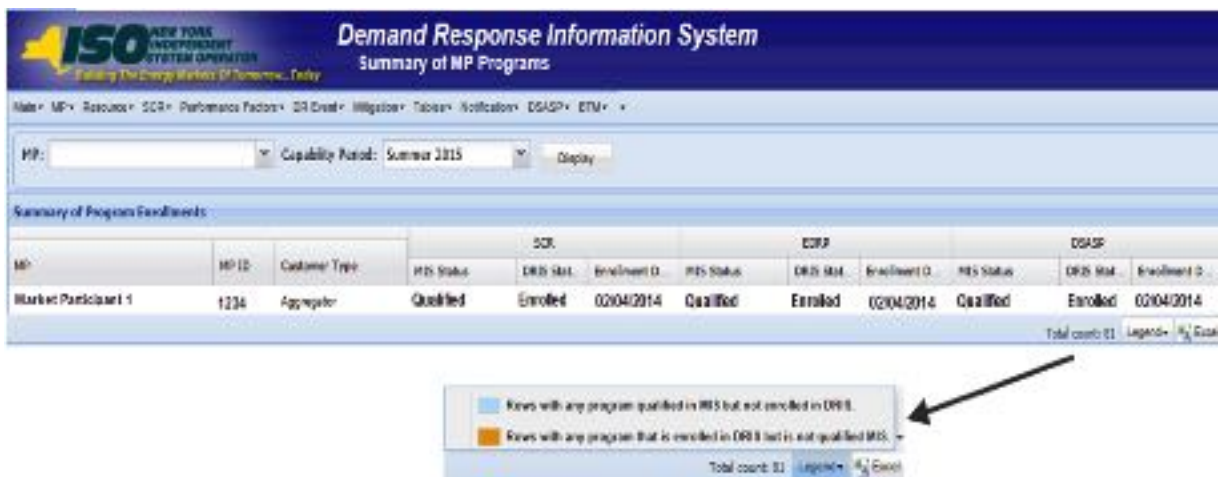
Figure 40: Summary of MP Programs Page Populated with Data



4. Optionally, view further details on MIS Status and/or DRIS Status if indicated by color coding of the row displayed in the Search Results grid, clicking the **Legend** button in the lower-right corner of the page to do so (see
- 5.
- 6.

Figure 41).

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



3.2. Enrolling the Market Participant Organization

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

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

- The MP organization must be registered in the NYISO MIS as eligible to participate in the

specific DR program and reflect a *Qualified* MIS Status in DRIS

- The MP organization must have set up and assigned one or more Admin Contacts, for all programs and one or more Event-Responder Contacts for SCR and EDRP, in DRIS (see Section 6)

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

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

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

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

4. Viewing Market Participant Organization SCR Program Performance Factor

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

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

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

4.1. Viewing Market Participant Performance Factor

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

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

- MP performance factor

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

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

 **To view MP organization performance factor**

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

Figure 42: MP Performance Factor Page Search Filters



1. Near the top of the MP Performance Factor page, click the **Display** button.
The system populates the Resource Contribution to MP Performance Factor grid below the search filters with an entry for the MP Performance Factor meeting the criteria chosen at step 2 (see Figure 43).

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

Resource ID	Resource Name	Capacity	Zone	Max Declared	Performance Factor	Procedural Declared
1255878	Resource 1	1	12	1,280	1.054	412.2
14114201	Resource 2	1	12	1,380	1	985.23
141516171	Resource 3	1	12	1,380	1	985.23
				180	1.057	1

- 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 44).

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

Resource ID	Resource Name	Capacity	Zone	Max Declared	Performance Factor	Procedural Declared
1255878	Resource 1	1	12	1,280	1.054	412.2
14114201	Resource 2	1	12	1,380	1	985.23
141516171	Resource 3	1	12	1,380	1	985.23
				180	1.057	1

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

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

The system displays the RIP Portfolio Performance Shortfall page.

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

Figure 45: RIP Portfolio Performance Shortfall Page Search Filters



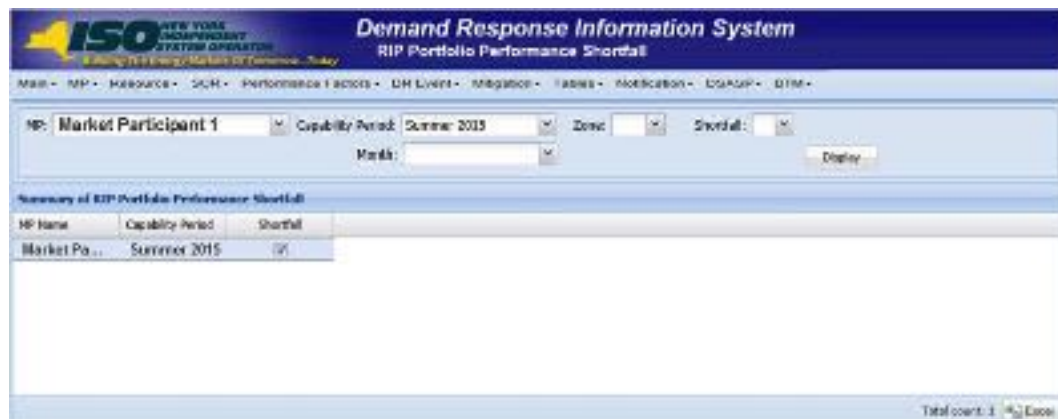
Note: RIP Portfolio Performance Shortfall will be viewable in DRIS beginning with the calculation of the RIP Portfolio Performance Shortfall for the Summer 2011 Capability Period. The calculation of the RIP Portfolio Performance Shortfall will occur following the close of the Capability Period for which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

9. 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.
10. Near the top of the RIP Portfolio Performance Shortfall page, click the **Display** button.

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

Figure 46).

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



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

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

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

The screenshot shows the 'Demand Response Information System' interface. At the top, there is a navigation menu with options like 'Main', 'MP', 'Resources', 'RIP', 'Performance Factors', 'DR Periods', 'Mitigation', 'Tables', 'Notifications', 'DRSRP', and 'RTU'. Below the menu, there are search filters for 'MP: Market Participant 1', 'Capability Period: Summer 2015', 'Zone', and 'Shortfall'. A 'Display' button is located to the right of these filters.

The main content area is titled 'Summary of RIP Portfolio Performance Shortfall'. It contains a table with the following data:

MP Name	Capability Period	Shortfall
Market P...	Summer 2015	[0]

Below the summary table, there is a section for 'RIP Portfolio Performance Shortfall Details'. This section contains a table with the following columns:

Zone	Auction Month	Greatest UCAP Equivalent of Capacity Reduction MW Date/HB	Final UCAP MW Sold	Greatest UCAP Equivalent of Capacity Reduction MW in Short of Test	Additional UCAP Equivalent of Capacity Reduction MW from Tests	Final Greatest UCAP Equivalent of Capacity Reduction MW	Monthly Shortfall MW
Zone A							
Zone B							
Zone C							
Zone D							
Zone E							
Zone F							
Zone G							

At the bottom right of the details table, there is a 'Total count: 56' label.

5.2. Viewing RIP Portfolio Performance Shortfall Details

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

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

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

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

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

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

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

The system displays the RIP Portfolio Performance Shortfall page.

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

Figure 48: RIP Portfolio Performance Shortfall Page Search Filters



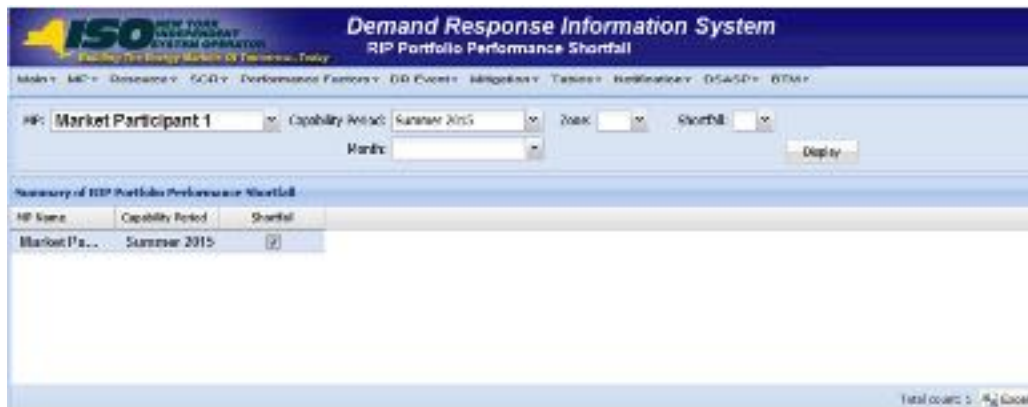
The screenshot shows the DRIS interface for 'RIP Portfolio Performance Shortfall'. At the top, there is a navigation menu with options: Main, NP, Resource, SCR, Performance Factors, DR Event, Mitigation, Tables, Notification, DGAGP, and BTM. Below the navigation menu, there are search filters: 'MP' set to 'Market Participant 1', 'Capability Period' set to 'Summer 2015', 'Zone' (empty), 'Shortfall' (empty), and 'Month' (empty). A 'Display' button is located to the right of the filters. Below the filters, the text 'Summary of RIP Portfolio Performance Shortfall' is visible.

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

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

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

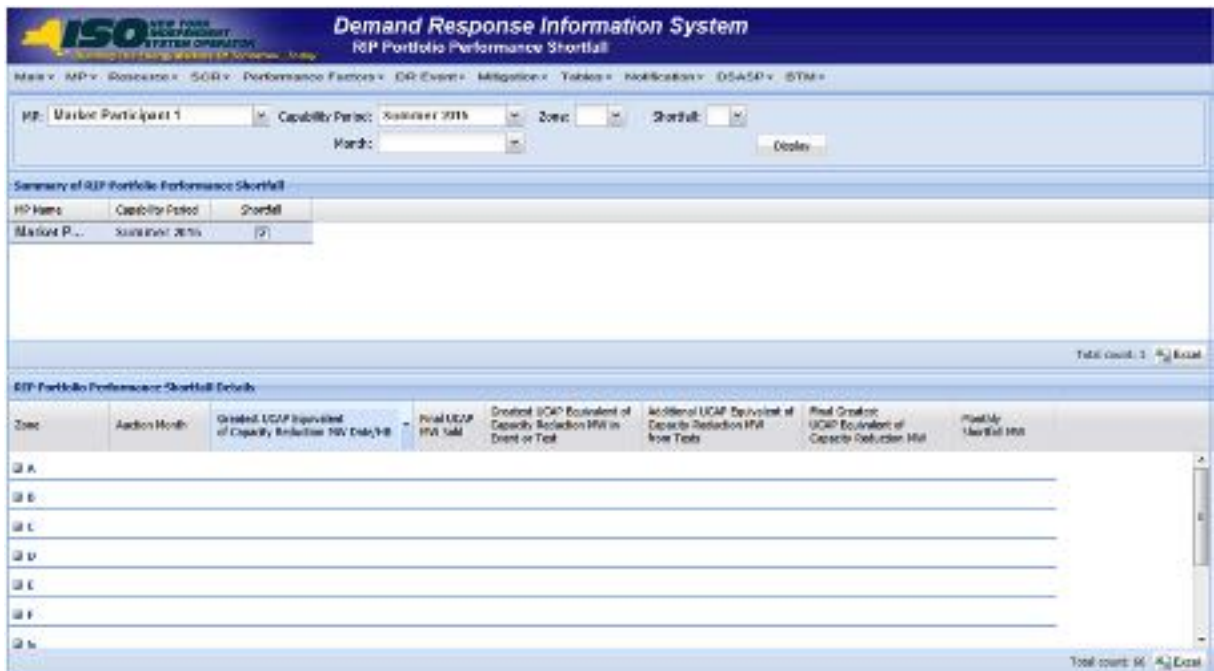
Figure 49: RIP Portfolio Performance Shortfall Page Illustrating Summary Results Based on Selected Search Criteria



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

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

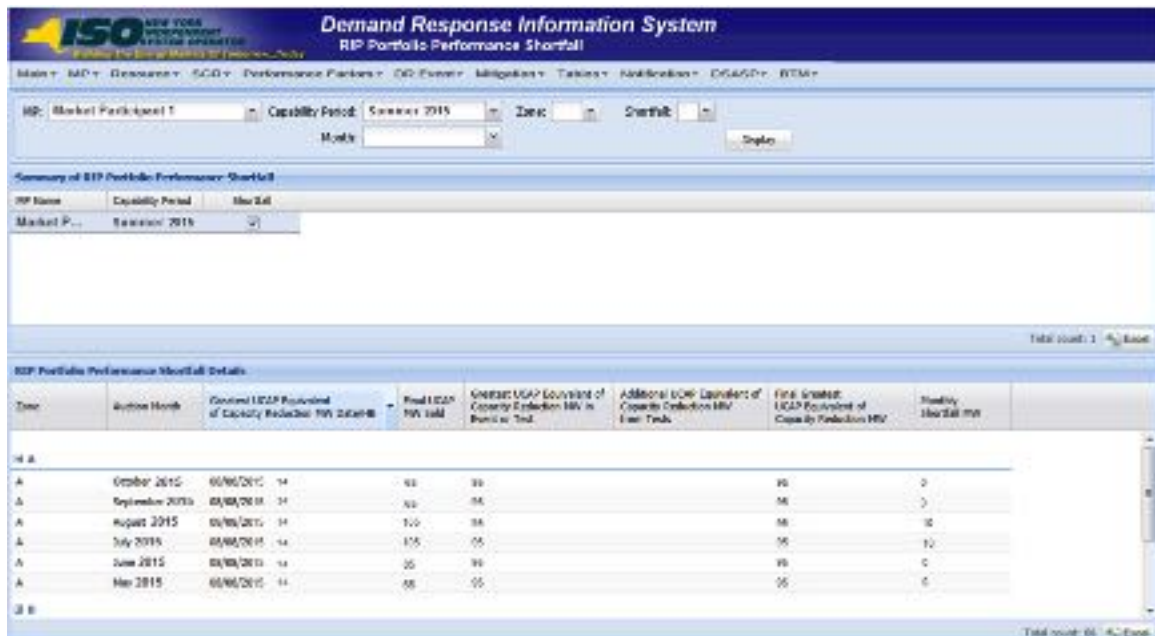
Figure 50: Highlighted Row for which Shortfall Details will be Displayed



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

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

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



The screenshot displays the 'Demand Response Information System' interface. At the top, it shows the system title and navigation tabs. Below this, there are search filters for 'MP: Market Participant 1', 'Capability Period: Summer 2015', and 'Zone:'. A 'Summary of RIP Portfolio Performance Shortfall' table lists 'Market P...' for 'Summer 2015'. The main section is 'RIP Portfolio Performance Shortfall Details', which contains a table with columns for Zone, Auction Month, Contract UCAP Equivalent of Capacity Reduction MW, Final UCAP MW sold, UCAP Equivalent of Capacity Reduction MW in Bidding Tool, Additional UCAP Equivalent of Capacity Reduction MW from Tools, Final UCAP Equivalent of Capacity Reduction MW, and Monthly Shortfall MW. Zone J is expanded to show data for auctions from October 2015 to May 2015.

Zone	Auction Month	Contract UCAP Equivalent of Capacity Reduction MW	Final UCAP MW sold	UCAP Equivalent of Capacity Reduction MW in Bidding Tool	Additional UCAP Equivalent of Capacity Reduction MW from Tools	Final UCAP Equivalent of Capacity Reduction MW	Monthly Shortfall MW
J A							
A	October 2015	60/60/2015	14	93	99	96	3
A	September 2015	05/09/2015	34	63	66	66	3
A	August 2015	01/08/2015	34	109	86	86	23
A	July 2015	05/06/2015	14	115	05	05	112
A	June 2015	03/06/2015	14	25	99	99	0
A	May 2015	01/05/2015	14	08	05	05	0
J B							

6. Managing Market Participant Organization Contacts

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

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

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

6.1. Viewing Market Participant Contacts

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

6.1.1. Viewing Summary of Market Participant Contacts

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

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

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

To view summary of MP contacts

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

The system displays the Contact Summary page.

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

Figure 52: Contact Summary Page Search Filters



- Near the top of the Contact Summary page, click the **Display** button.
The system populates the Contact Summary grid below the search filters with an entry for the contacts meeting the criteria chosen at step 2 (see Figure 53.)

Figure 53: Contact Summary Page Populated with Data



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

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



 **To view details of MP contacts**

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

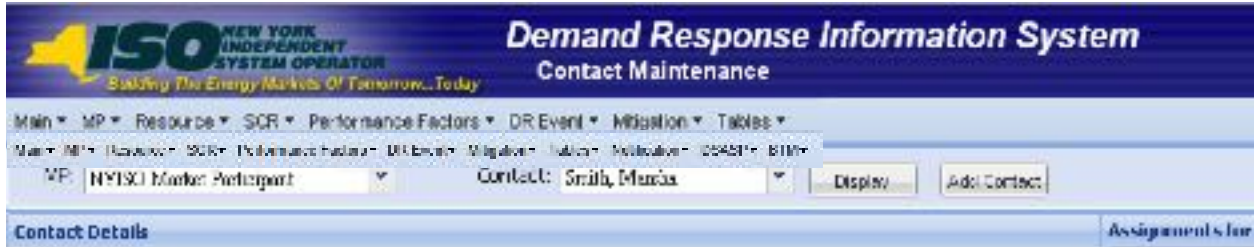
The system displays the Contact Maintenance page.

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

Note: Figure 54).

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

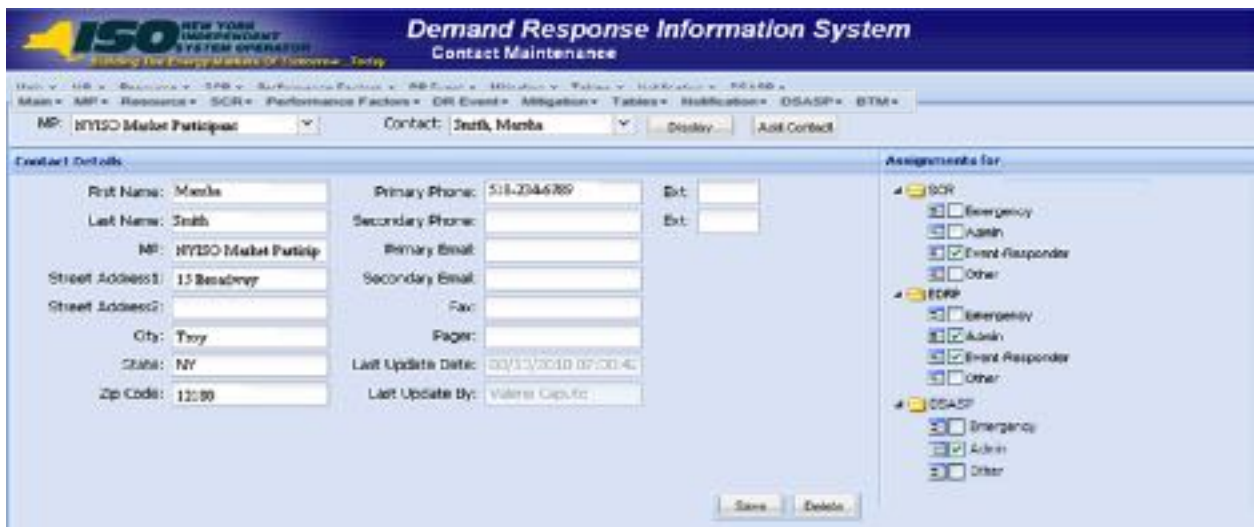
Figure 55: Contact Maintenance Page Search Filters



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 56).

Figure 56: Contact Details Displayed on the Contact Maintenance Page



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

6.2. Updating Contacts

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

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

 **To update contact information**

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

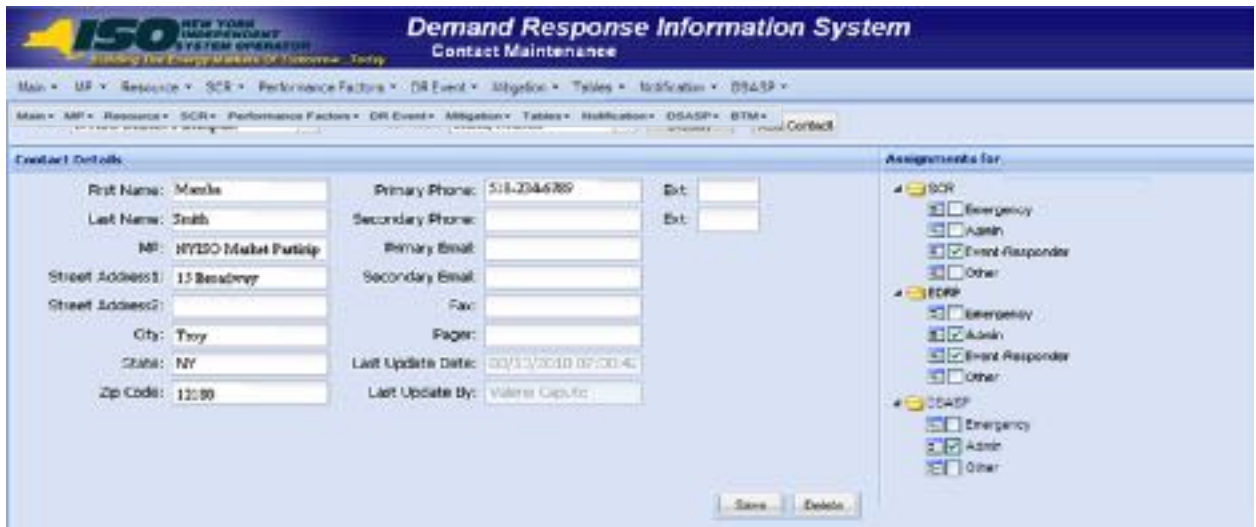
The system displays the Contact Maintenance page.

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

Note: Figure 54).

2. From the corresponding search filter in the uppermost frame on the Contact Maintenance page (see Figure 55), choose the **Contact** for which the system should display details.
3. Near the top of the Contact Maintenance page, click the **Display** button.
The system populates the Contact Details pane below the search filters with data for the contact meeting the criteria chosen at step 2 (see Figure 57).

Figure 57: Contact Details Displayed on the Contact Maintenance Page



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.

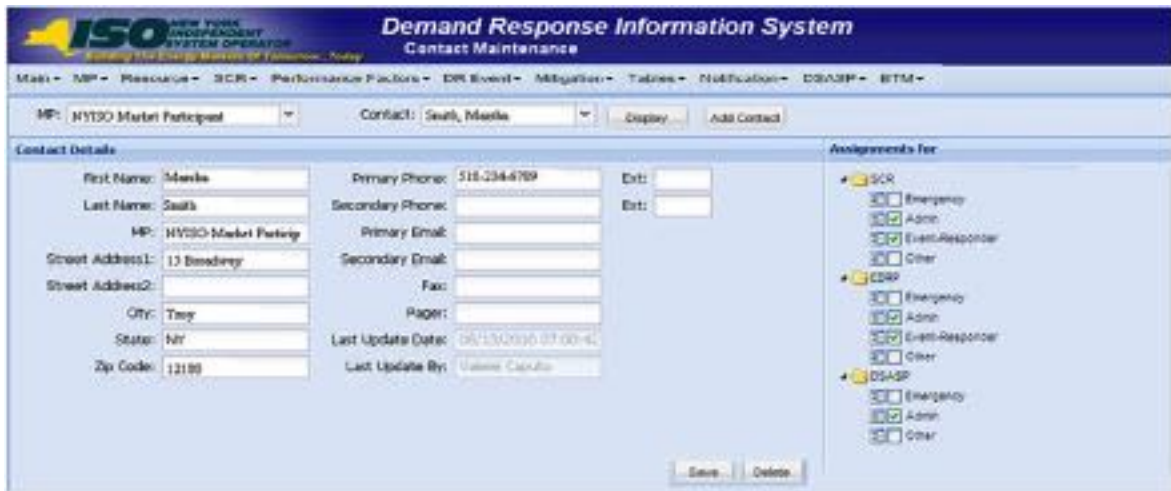
The Contact Maintenance page can also be accessed directly from the Contact Summary page by clicking the Contact Maintenance button in the lower-right corner (see

Note: Figure 54).

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

3. Near the top of the Contact Maintenance page, click the **Display** button.
4. The system populates the Contact Details pane below the search filters with data for the contact meeting the criteria chosen at step 2 (see Figure 58)

Figure 58: Contact Details Displayed on the Contact Maintenance Page

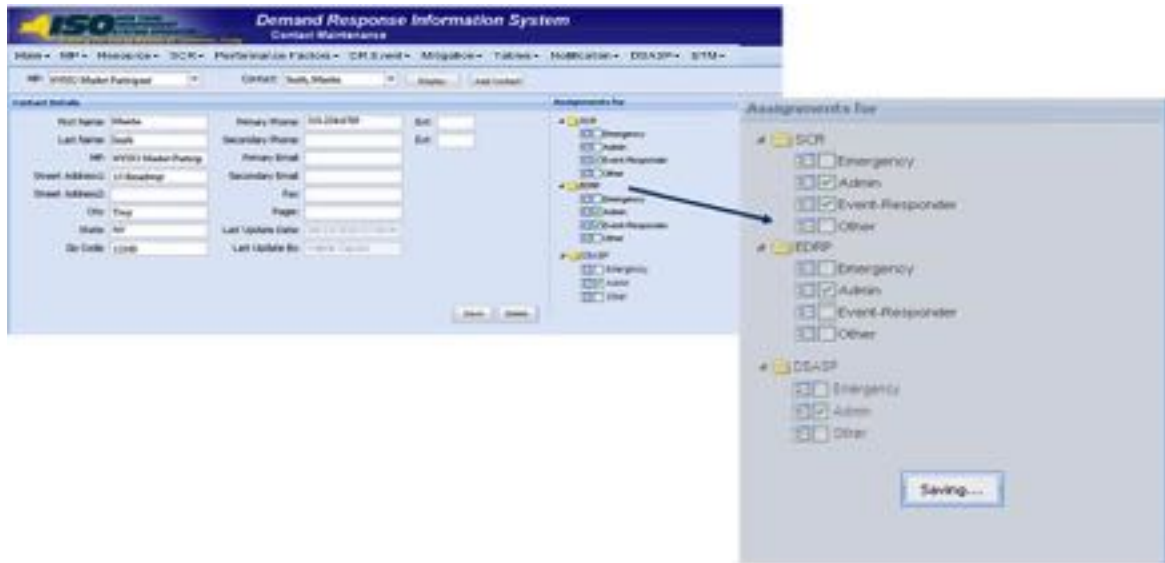


1. In the Assignments For pane on the right of the page, indicate to which program(s) the contact visible in the Contact Details pane should be assigned and to which contact type(s) within each program, clicking the corresponding check box(es) until a checkmark is either displayed (to activate the assignment)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

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

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

Figure 59: Contact Program and Type Assignment Saving in DRIS



To add a new contact

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

The system displays the Contact Maintenance page.

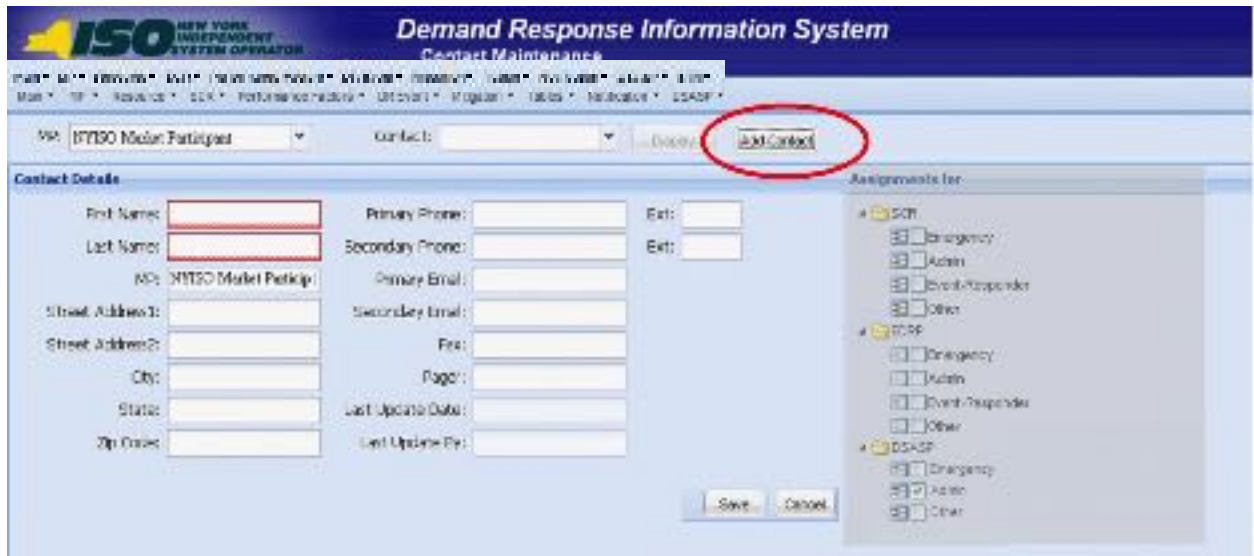
The Contact Maintenance page can also be accessed directly from the Contact Summary page by clicking the Contact Maintenance button in the lower-right corner (see

Note: Figure 54).

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

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

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



3. Enter contact information in the Contact Details pane.
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 again makes the Assignments For pane available for further program and type updates for the contact, as applicable (see Figure 59).

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

To delete a contact

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

The system displays the Contact Maintenance page.

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

Note: Figure 54).

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

Figure 61: Contact Details Displayed on the Contact Maintenance Page



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

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

7. Enrolling Resources

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

A resource's enrollment remains in effect until:

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

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

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

1. Optionally, perform the Provisional ACL Eligibility Import process
2. Create a correctly structured, formatted, and populated resource enrollment file
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 take an additional action in the form of, for example, correcting exceptions (i.e., data errors, changes, or omissions) that prevent import of some or all data or canceling resource enrollment requests reported in error.

7.1. Creating a Resource Provisional ACL Eligibility File

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

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

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

Figure 62: Sample Provisional ACL Eligibility Import File in Excel

A	B	C	D	E
Effective Date=05/01/2014&				
Program=SCR&				
Resource ID	Resource Name	TO Account Num	Zone	Transmission Owner
123456789	Resource 1	X987123654 J		CEC
	Resource 2	P687412654 J		CEC
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 63 details the rules specific to the SCR program files along with the error messages the system will generate should the file violate any of the rules. Likewise, in order for resource data to be processed by the system, the data must meet pre-defined rules related to formatting and value, again based on the SCR program Figure 64 details the rules specific to SCR resource data.

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

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

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

Attribute	Rule	Error Message
Effective Date	The month in the header must match that chosen via the system interface. 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 64: Rules Specific to Resource Data in Provisional ACL Eligibility File

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

SCR Resource Provisional ACL Eligibility Field Name	Column in Import File	Field Format	Description and Rule(s)
Resource Name	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	<p>The account number assigned by the Transmission Owner.</p> <p>The account number assigned by the Transmission Owner must be reported into DRIS with the letter <i>T</i> preceding the account number. For example, if the account number is <i>5436789</i>, it must be reported on the import file to DRIS as <i>T5436789</i>.</p> <p>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).</p> <p>When the POD ID assigned by the Transmission Owner is preceded by an <i>R</i> or an <i>N</i>, do not precede the POD ID with the letter <i>T</i>. For example, if the POD ID is <i>R5436789</i> it must be reported on the import file to DRIS as <i>R5436789</i>.</p> <p>Can only be numbers and the preceding <i>T</i>, or <i>R</i> or <i>N</i> for POD IDs, No other characters may be added to the utility account number including additional letters, dashes, spaces between numbers/letters, or any odd characters.</p>
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	<p>The three-letter abbreviation for the Transmission Owner/District in which the resource facility is located.</p> <ul style="list-style-type: none"> • CEC for Con Edison • CHG for Central Hudson • LIP for LIPA • NMP for Niagara Mohawk • NYP for NYPA • NYS for New York State E & G • ORU for Orange & Rockland • RGE for Rochester G & E

7.2. Importing the Resource Provisional ACL Eligibility File

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

Pre-requisites

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

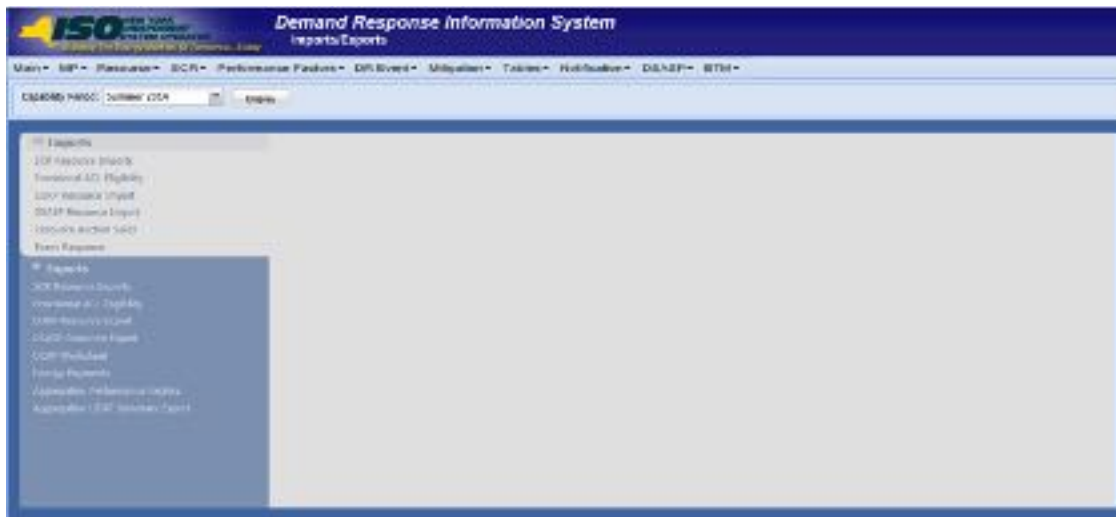


To import a resource Provisional ACL Eligibility file

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

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

Figure 65: Import/Export Page as Initially Displayed



2. From the corresponding filter near the top of the page, for Provisional ACL Eligibility choose the **Capability Period** for which resources are being checked for enrollment.

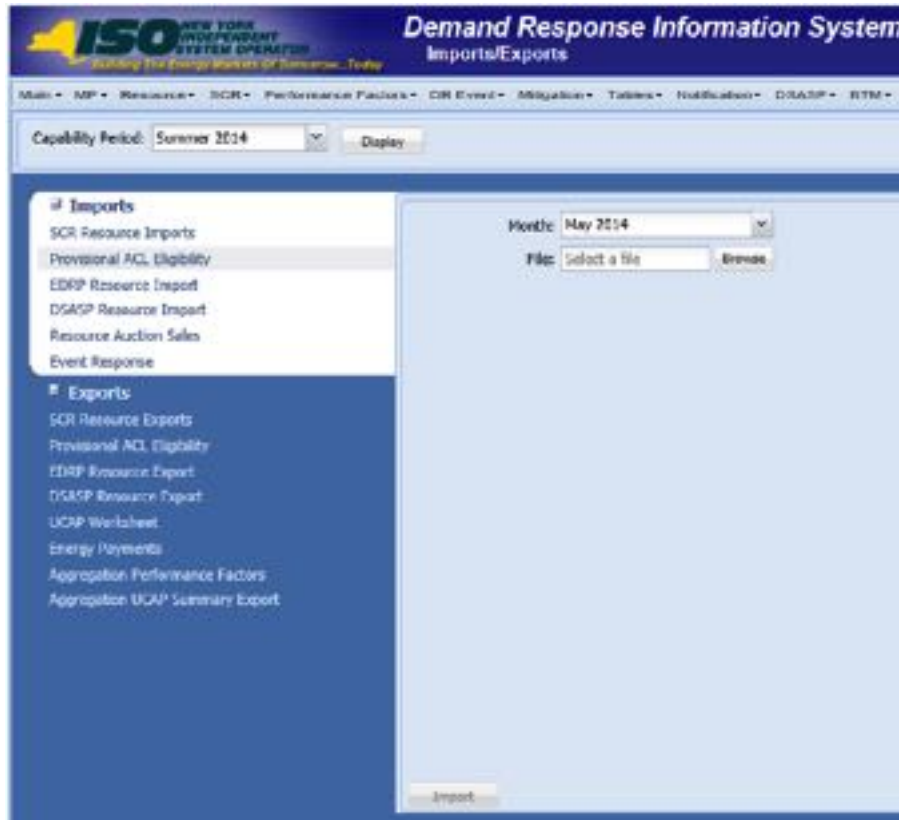
3. Beside the Capability Period filter, click the **Display** button.

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

4. On the left side of the middle frame and under the **Imports** heading, click **Provisional ACL Eligibility**.

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

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



5. When importing resources, choose **Provisional ACL Eligibility** from the **Import Type** 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 67).

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

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



7.2.1. Reviewing and Acting on Resource Provisional ACL Eligibility Exceptions

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

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

- Resource is eligible to enroll with a Provisional ACL

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

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

- Resource is not eligible to enroll with a Provisional ACL or a Request for ACL Data
“Resource is NOT eligible for enrollment with a Provisional ACL in this Capability Period”

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

- Resource is eligible to enroll with a Request for ACL Data
“Resource is NOT eligible for enrollment with a Provisional ACL in this Capability Period AND there are 20 or more metered load values from the Prior Equivalent Capability Period in DRIS”

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

7.3. Creating a Resource Enrollment File

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

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

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

Figure 68: Sample SCR & EDRP Enrollment Files in Excel

Sample SCR Enrollment File

A	B	C	D	E	F	G	H	I	J
1	Effective Date=11/01/2016								
2	Program=SCR								
3	Resource ID	Resource Name	TD Account Num	Zone	Transmission District	Street	Street 2	City	State Zip Code
4	8833188	Resource One	T32933223	J	NYP	219 Other Street		Some City	NY 10005
5	6293329	Resource Two	T299332234	J	DEC	41 Another Street		Another City	NY 10005
6	7293629	Resource Three	T703335031	J	DEC	56 General Road		Far City	NY 10453

K	L	M	N	O	P	Q	R	S	
TD Service Voltage ID	Generator Type ID	Generator Name	Plate Rating	CBL Method	Compliance	Aggregation ID	Response	Subscribed Load	Subscribed Gen
5				W		51000 C		50	0
5				W		51000 C		50	0
5				W		51000 C		50	0

T	U	V	W	X	Y			
Shutdown KW	Incremental KW	Provisional ACL	Generation	Reason to use existing ACL Data	Major Installation Date	ACL KW for Peak Load Date Hour 1	9/15/2012	33
C	0 V	0	N		04/05/2012			1300
C	0 V	0	N		04/05/2012			1100
C	0 V	0	N		04/05/2012			1200

M	N	O	P	Q	R		
ACL KW for Peak Load Date Hour 2	9/15/2012	ACL KW for Peak Load Date Hour 3	9/15/2012	ACL KW for Peak Load Date Hour 24	9/15/2012	ACL KW for Peak Load Date Hour 31	9/15/2012
300	300	300	300	300	300	300	300
300	300	300	300	300	300	300	300
300	300	300	300	300	300	300	300

Note: Columns "Y" through "BL" 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
1	Effective Date=05/01/2016								
2	Program=EDRPL								
3	Resource ID	Resource Name	TD Account Num	Zone	Transmission District	Street	Street 2	City	State Zip Code
4		Resource North		J	ABC	107 Broadway		Andy	NY 10000
5		Medium Resource		J	ABC	129 Main Street		Over	NY 12077
6		Certain Resource		K	ABC	400 Elm Street		Link	NY 11045
7		Factory Resource		J	LWB	10009 South Main		Danewhite	NY 11755
8		Office Resource		J	EFG	6543 High Street		Center	NY 10450
9		Resource Central		H	ABC	70580 Over War		Another	NY 10005

K	L	M	N	O	P
Generator Type ID	Generator Name	CBL	Response	Subscribed Load	Subscribed Gen
	A	C		200	0
	A	C		190	0
	A	C		567	0
	A	C		234	0
I	1500 A	G		0	490
J	1200 A	B		34	907

Figure 71: Sample DSASP Enrollment File in Excel

Effective Date=04/01/2013&							
PROGRAM=DSASP&							
Resource ID	Resource Name	TO Account Num	Zone	Transmission Owner Abbreviation	Street	Street 2	City
	Name 1	R56486/431	C	RGE	123 Pine Mill Rd		Rochester
22222222	Name 2	963498552	F	NMP	564 4th Ave Extension		Albany
	Name 3	111963459	J	CED	1064 19th St.		Brooklyn
44444444	Name 4	R357814337	C	RGE	54 Allen St.		Rochester
55555555	Name 5	468473589	F	NMP	63 584 North Main		Albany
66666666	Name 6	111934863	J	CED	1574 4th St		Manhattan
77777777	Name 7	93728569723	F	NYP	2 Hills Ct		Elmira

State	Zip Code	Generator Type ID	Generator Name Plate Rating	DSASP Authorization	Aggregation ID	Aggregation Type	Response Type
NY	14626		700	Y	101	2	C
NY	12210		500	Y	102	2	C
NY	11230	4	600	Y	103	3	B
NY	14625		300	Y	101	2	C
NY	12210		400	Y	102	2	C
NY	11230	4	800	Y	103	3	B
NY	14903			Y	104	1	C

Spinning	Spinning & Regulation	Non - Sync	Summer Subscribed Load kW	Summer Subscribed Gen kW	Winter Subscribed Load kW	Winter Subscribed Gen kW	Direct Communication
Y	N	N	800	0	800	0	Y
N	Y	N	800	0	800	0	Y
N	N	Y	500	500	500	500	Y
Y	N	N	500	0	500	0	Y
N	Y	N	700	0	700	0	Y
N	N	Y	900	700	900	700	Y
N	Y	N	2300	0	2300	0	Y

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

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

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

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

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

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

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

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

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

SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Resource Name	B	Text Up to 100 characters	The name of the SCR resource.	YES	NO
TO Account Num	C	Text Up to 30 characters	<p>The account number assigned by the Transmission Owner.</p> <p>The account number assigned by the Transmission Owner must be reported into DRIS with the letter <i>T</i> preceding the account number. For example, if the account number is <i>5436789</i>, it must be reported on the import file to DRIS as <i>T5436789</i>.</p> <p>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).</p> <p>When the POD ID assigned by the Transmission Owner is preceded by an <i>R</i> or an <i>N</i>, do not precede the POD ID with the letter <i>T</i>. For example, if the POD ID is <i>R5436789</i> it must be reported on the import file to DRIS as <i>R5436789</i>.</p> <p>Can only be numbers and the preceding <i>T</i>, or <i>R</i> or <i>N</i> for POD IDs, No other characters may be added to the utility account number including additional letters, dashes, spaces between numbers/letters, or any odd characters.</p>	NO [<i>Note:</i> To change this field, the MP must contact the NYISO Stakeholder Services Department (SSD), and, if approved, the change must be made in DRIS by the NYISO.]	N/A
Zone	D	Text 1 character	The letter of the Load Zone where the resource facility is located.	YES	YES

SCR 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. <ul style="list-style-type: none"> • 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
TO Service Voltage ID	K	Numeric 1- or 2-digit number	The Voltage Level ID corresponding to the Transmission Owner voltage service level and description of the resource. (See section 2.2, for instructions on ascertaining Voltage Level IDs via the Transmission Loss Factors table in DRIS.)	YES	NO

SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Generator Type ID	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.) 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	M	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	N	Text 1 character	A single letter representing the CBL Method that will be used to report Energy Payment data for the resource: <ul style="list-style-type: none"> • A for Average Day • W for Weather-sensitive 	YES (only upon initial enrollment in a Capability Period)	NO
Compliance Question	O	Text 1 character	When using Response Type G (Generation) or B (Both), specify Y or N in response to the following question: Does customer comply with all legal and regulatory requirements of the local utility and all federal, state, and local authorities with respect to operation of generation used to reduce load on the NYCA system during an SCR event? When using Response Type C (Curtailment), must be left blank.	YES	NO

SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Aggregation ID	P	Numeric	<p>The aggregation ID to which the resource is assigned. Required in the import file.</p> <p>For resources new to the MP portfolio, must be an aggregation ID already existing in DRIS for the specific MP.</p> <p>For existing resources, must match the aggregation ID to which the resource is currently assigned in DRIS.</p> <p>Note: Aggregation reassignment must be done via the Aggregation Assignment page in DRIS, as outlined under section 10.2.2.</p> <p>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.</p>	<p>YES</p> <p>(can be modified via the import file ONLY in conjunction with a modification to the Zone of the resource)</p>	YES
Response Type	Q	Text Must be C, G, or B	<p>A single letter of the response type of the resource:</p> <ul style="list-style-type: none"> • C for Curtailable Load • G for Generation • B for Both or for Net-metered generation 	YES	NO
Subscribed Load	R	Numeric Up to 6 digits No decimals	<p>For resources with Response Type C or B, the Curtailment Declared ICAP value in kW/h must be greater than or equal to zero.</p> <p>For resources with Response Type G, must be either blank or zero.</p> <p>For resources requesting ACL Data from the NYISO, must be null.</p> <p>The Declared Value of the resource (the combination of Subscribed Load and Subscribed Generation) cannot be greater than the resource Net ACL.</p>	YES	NO

SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Subscribed Gen	S	Numeric Up to 6 digits No decimals	<p>For resources with Response Type G or B, the Generation Declared ICAP value in kW/h must be greater than or equal to zero.</p> <p>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.</p> <p>For resources with Response Type C, must be either blank or zero.</p> <p>For resources requesting existing ACL Data from the NYISO, must be null.</p> <p>The Declared Value of the resource (the combination of Subscribed Load and Subscribed Generation) cannot be greater than the resource Net ACL.</p>	YES	NO
Shutdown kW	T	Numeric Up to 7 digits No decimals	<p>For SCR resources with a Change in Status, the Shutdown value in kilowatts must be greater than or equal to zero.</p> <p>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.</p> <p>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.</p> <p>For resources requesting existing ACL Data from the NYISO, must be null.</p> <p>For resources with a Calculated ACL value less than 500 kW, must be zero.</p> <p>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.</p>	YES	NO

SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Incremental kW	U	Numeric Up to 7 digits No decimals	For resources requesting existing ACL data from the NYISO, must be null. For resources requesting to enroll with a Provisional ACL, must be zero. For resources with a calculated ACL value less than 500 kW, must be zero. The kW value entered must be greater than or equal to 20% of the Calculated ACL, unless value supplied is greater than 5,000 kW in Zone J or 10,000 kW in Zones A-I and K.	YES	NO
Provisional ACL Question	V	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	W	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	X	Date MMDD/YYYY	Date on which the resource meter was installed. Required for all resources enrolling with a Provisional ACL. Required for all resources enrolling with a request for ACL data. Must be less than or equal to the system date.	YES	YES (after the first month of enrollment in a Capability Period it will become a Pending Request requiring approval)

SCR Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
ACL kW for Peak Load Date Hour 1 MM/DD/YYYY HH	Y	Numeric Up to 7 digits before decimal and 1 digit after decimal	The kW meter value for the resource for the specified CapabilityPeriod 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 CapabilityPeriod)
ACL kW for Peak Load Date Hour 2 MM/DD/YYYY HH	Z	Numeric Up to 7 digits before decimal and 1 digit after decimal	The kW meter value for the resource for the specified CapabilityPeriod 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 CapabilityPeriod)
<p>Note: Continue with a separate column for each of the Top 40 CapabilityPeriod Load Zone Peak Hours. The ACL kW column labels begin with "Y" and end with "BL".</p>					
ACL kW for Peak Load Date Hour 40 MM/DD/YYYY HH	BL	Numeric Up to 7 digits before decimal and 1 digit after decimal	The kW meter value for the resource for the specified CapabilityPeriod 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 CapabilityPeriod)

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

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

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

EDRP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Transmission Owner Abbreviation	E	Text 3 characters	The three-letter abbreviation for the Transmission Owner/District in which the resource facility is located. <ul style="list-style-type: none"> • 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

EDRP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Generator Type ID	K	Numeric 1-digit number	<p>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.)</p> <p>Note: This field is not currently required for any EDRP resource response type. However, if the value is supplied, the following business rules apply:</p> <ul style="list-style-type: none"> • May be entered when using Response Type G (Generation) or B (Both) for the resource. • When using Response Type C (Curtailment), must be left blank. 	YES	NO
Generator Name Plate Rating	L	Numeric Up to 5 digits No decimals	<p>The Generator Name Plate Rating as a numeric value representing the kW rating of the generator.</p> <p>Note: This field is not currently required for any EDRP resource response type. However, if the value is supplied, the following business rules apply:</p> <ul style="list-style-type: none"> • If using more than one generator, provide the total generator kW. • May be entered when using Response Type G (Generation) or B (Both) for the resource. • When using Response Type C (Curtailment), must be left blank. 	YES	NO
CBL Method	M	Text 1 character	<p>A single letter representing the CBL Method that will be used to report Energy Payment data for the resource:</p> <ul style="list-style-type: none"> • A for Average Day • W for Weather-sensitive 	YES (Only upon initial enrollment in a Capability Period.)	NO

EDRP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Response Type	N	Text Must be C, G, or B	A single letter of the response type of the resource: <ul style="list-style-type: none"> • C for Curtailable Load • G for Generation • B for Both or for Net-metered generation 	YES	YES
Subscribed Load	O	Numeric Up to 6 digits No decimals	The Curtailment Declared value in kW/h. For resources with Response Type C or B, must be greater than or equal to zero. For resources with Response Type G, must be either blank or zero.	YES	NO
Subscribed Gen	P	Numeric Up to 6 digits No decimals	The Generation Declared value in kW/h. For resources with Response Type G or B, must be greater than or equal to zero. For resources with Response Type G or B, when Generator Name Plate Rating has been provided, the Generation Declared ICAP value in kW/h cannot be greater than the Generator Name Plate Rating. For resources with Response Type C, must be either blank or zero.	YES	NO

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

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

DSASP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Zone	D	Text 1 character	The letter of the LBMP Zone where the resource facility is located.	NO [<i>Note:</i> To change this field, the MP must contact the NYISO Stakeholder Services Department (SSD), and, if approved, the change must be made in DRIS by the NYISO.]	N/A
Transmission Owner Abbreviation	E	Text 3 characters	The three-letter abbreviation for the Transmission Owner/District in which the resource facility is located. <ul style="list-style-type: none"> • CEC for Con Edison • CHG for Central Hudson • LIP for LIPA • NMP for Niagara Mohawk • NYP for NYPA • NYS for New York State E & G • ORU for Orange & Rockland • RGE for Rochester G & E 	NO [<i>Note:</i> To change this field, the MP must contact the NYISO Stakeholder Services Department (SSD), and, if approved, the change must be made in DRIS by the NYISO.]	N/A
Street	F	Text	Street address of the resource facility.	YES	YES
Street2	G	Text	Second street address, if applicable, of the resource facility.	YES	NO
City	H	Text	City (town, village) in which the resource facility is located.	YES	YES
State	I	Text 2 characters	NY.	NO	N/A

DSASP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Zip Code	J	Text 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
Generator Type ID	K	Numeric 1-digit number	The Generator Type ID corresponding to the generator type of the resource. (See section 2.3, for instructions on ascertaining Generator Type IDs via DRIS.) 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	L	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
DSASP Authorization	M	Text 1 character	Specify Y or N in response to the following acknowledgement: Acknowledgement by the program provider that an authorization form or contract exists between the provider organization and the demand-side resource to participate in the DSASP. Only demand-side resources with DSASP Authorizations may participate in the DSASP.	NO	N/A

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

DSASP Resource Field Name	Column in Import File	Field Format	Description and Rule(s)	Modifiable?	If Modifiable, Approval Required?
Response Type	P	Text Must be C, G, or B	A single letter of the response type of the resource: <ul style="list-style-type: none"> • C for Curtailable Load • G for Generation • B for Both or for Net-metered generation 	YES	YES
Spinning	Q	Text 1 character Must = Y or N	One of three market products in which a demand-side resource can participate. All resources within an aggregation must have the same response. Cannot be Y if another market product is also Y. Cannot be Y when Aggregation Type ID is 3.	YES (Can be modified via the import file ONLY when a resource does not have an active Submittal or is not part of a Qualified aggregation.)	NO
Spinning & Regulation	R	Text 1 character Must = Y or N	One of three market products in which a demand-side resource can participate. All resources within an aggregation must have the same response. Cannot be Y if another market product is also Y. Cannot be Y when Aggregation Type ID is 3.	YES (Can be modified via the import file ONLY when a resource does not have an active Submittal or is not part of a Qualified aggregation.)	NO
Non - Sync	S	Text 1 character Must = Y or N	One of three market products in which a demand-side resource can participate All resources within an aggregation must have the same response. Cannot be Y if another market product is also Y. Cannot be Y when Aggregation Type ID is 2.	YES (Can be modified via the import file ONLY when a resource does not have an active Submittal or is not part of a Qualified aggregation.)	NO

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

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

7.4. Importing the Resource Enrollment File

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

Pre-requisites

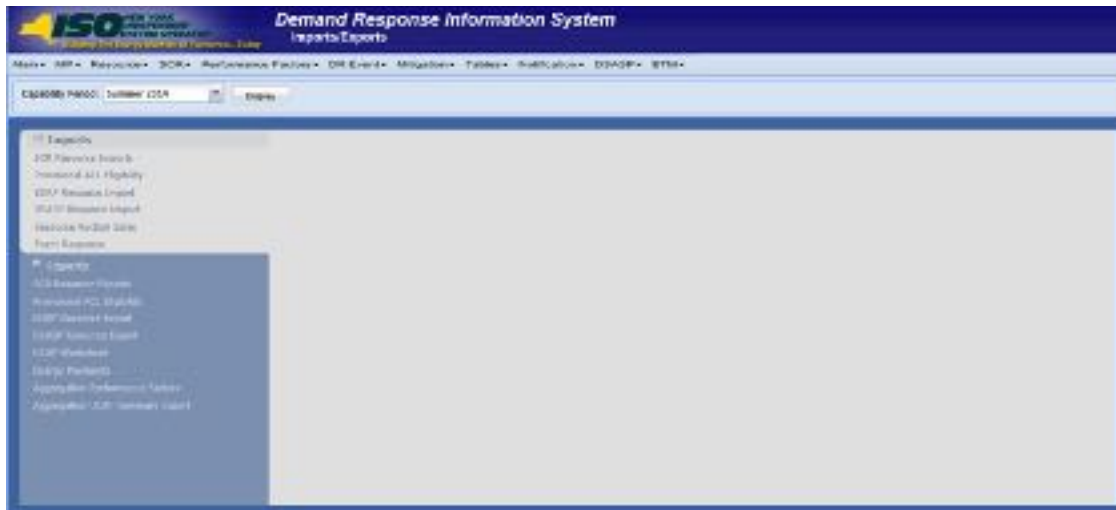
- The MP is registered in MIS to participate in the specific DR programs in which it intends to enroll resources.
- The MP organization has one or more contacts assigned as an Admin contact type and one or more contacts assigned as an Event-Responder contact type in DRIS for the specific DR program.
- For SCR program and EDRP enrollment, the DRIS Event Calendar indicates that the Capability Period and month for which the MP intends to enroll resources are open for performing this task (refer to Section 2.1).
- The MP has created a properly structured, formatted, and populated .csv file for the EDRP or the DSASP or .xlsx or .xlsx file for the SCR program, EDRP, and DSASP for upload of resource data to the system, as outlined under Section 7.3.
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

To import a resource enrollment file

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

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

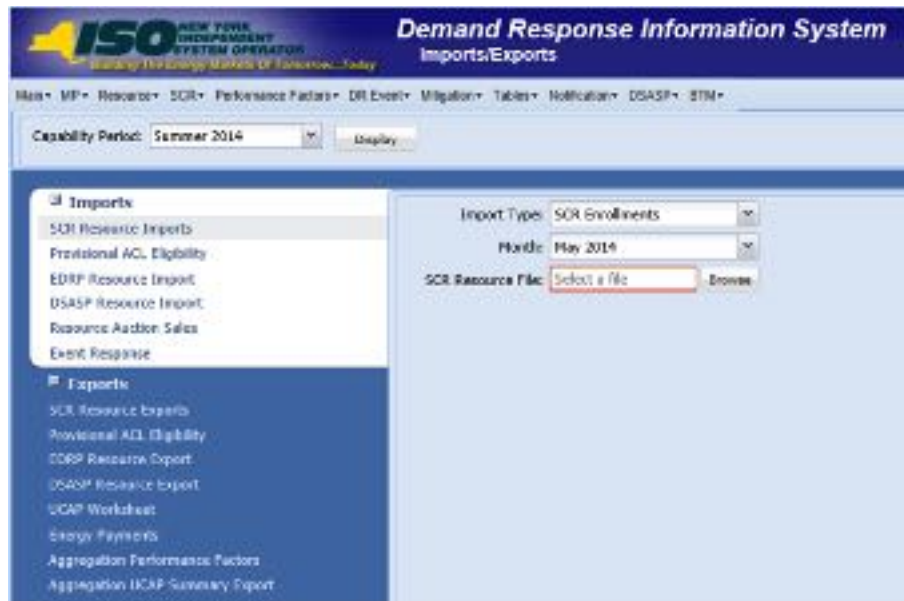
Figure 76: Import/Export Page as Initially Displayed



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

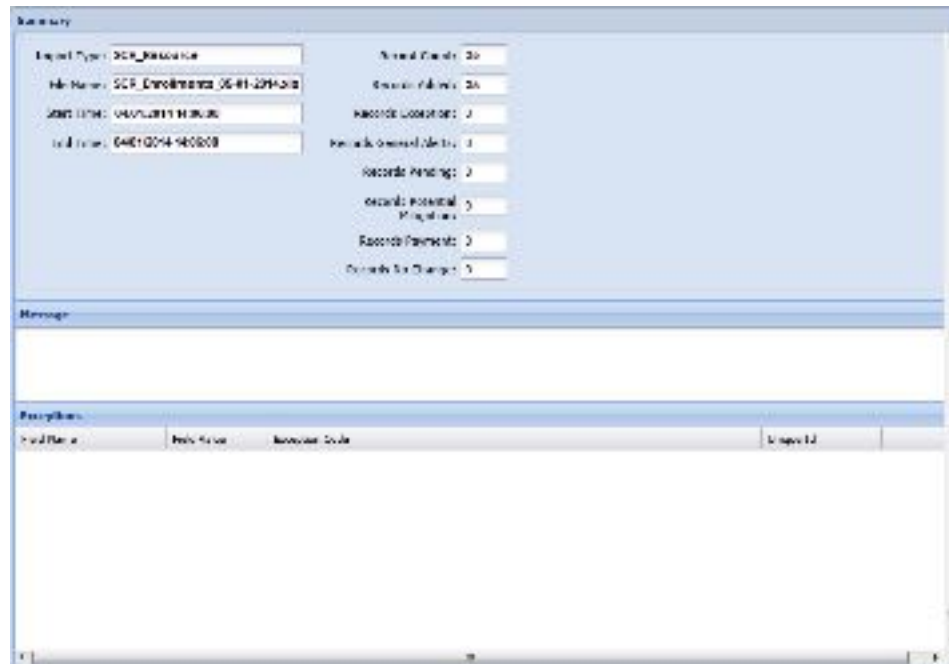
Figure 77: Import/Export Page Displaying Input Components Specific to SCR

Resource Imports



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

Figure 78: Sample Import Summary Dialog Box for Resource Enrollments



7.5. Monitoring and Managing Enrollment Results

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

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

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

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

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

7.5.1. Reviewing and Rectifying Resource Enrollment Exceptions

Whenever the MP attempts to import a resource enrollment file to DRIS, the system generates a report outlining the results of the process. If the data for one or more resources in the enrollment file contain exceptions (i.e., data errors, changes, or omissions) that prevent one or more resources from being imported to the system, the report details each exception on a separate line and identifies for each exception the resource ID or TO account number of the record containing the exception, the specific field containing the exception, the value supplied in the field containing the exception, and a message specifying the nature of the exception (see Figure 79). The MP must review the report for purposes of creating and reporting a file containing correct data for the resources in question, along with correct header data, prior to the deadline for enrolling resources in the specific DR program as specified on the DRIS Event Calendar (refer to Section 2.1).

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

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

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

Line	Description	Unit	Rate	Start Date	End Date	Notes
1	Resource Enrollment					
2	MP Enrollment File Import					
3	MP Enrollment File Import					
4	MP Enrollment File Import					
5	MP Enrollment File Import					
6	MP Enrollment File Import					
7	MP Enrollment File Import					
8	MP Enrollment File Import					
9	MP Enrollment File Import					
10	MP Enrollment File Import					
11	MP Enrollment File Import					
12	MP Enrollment File Import					
13	MP Enrollment File Import					
14	MP Enrollment File Import					
15	MP Enrollment File Import					
16	MP Enrollment File Import					
17	MP Enrollment File Import					
18	MP Enrollment File Import					
19	MP Enrollment File Import					
20	MP Enrollment File Import					
21	MP Enrollment File Import					
22	MP Enrollment File Import					
23	MP Enrollment File Import					
24	MP Enrollment File Import					
25	MP Enrollment File Import					
26	MP Enrollment File Import					

Pre-requisite

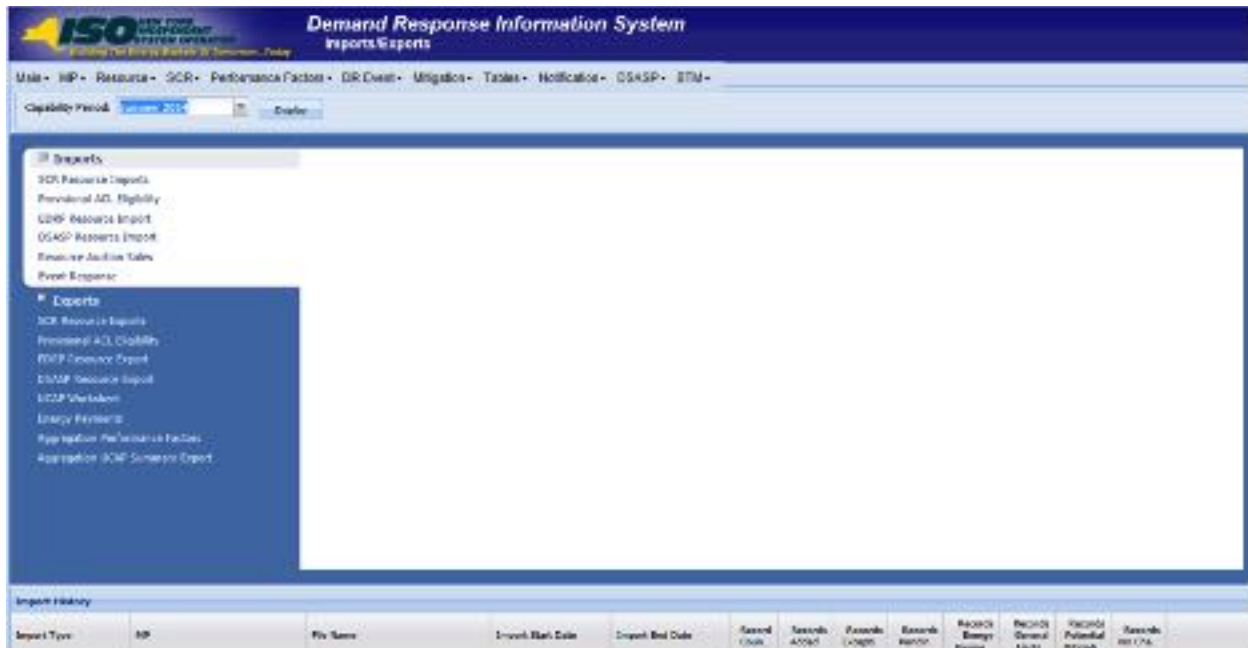
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

To access the import report and manage related errors

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

1. From the **Main** menu, choose **Imports/Exports**.
The system displays the Imports/Exports page (see Figure 80).

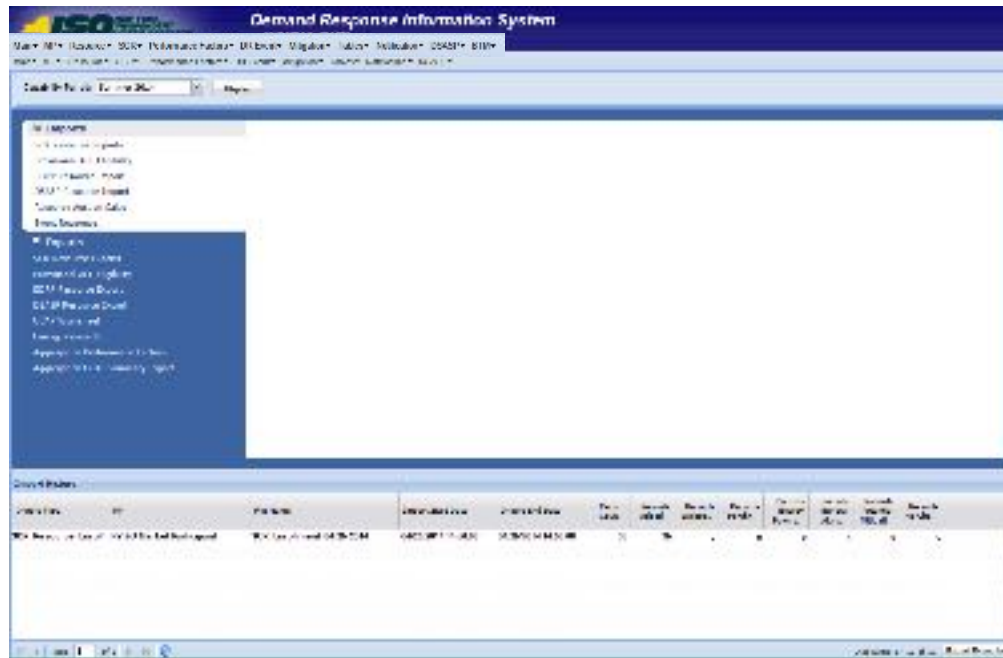
Figure 80: Imports/Exports Page



2. From the corresponding filter near the top of the page, choose the **Capability Period** for the previously reported enrollment file that generated the exception(s).
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 81).

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



4. In the **Import History** grid, select the entry for the import event that generated the exception(s).
5. In the lower-right corner of page, click the **Export Exceptions** button.
The system displays a dialog box via which the import report can be saved or opened.
6. Take the requisite steps to either save or open the import report.
The report is either saved to the designated location or displayed on screen.
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 82). Below are potential Alert messages returned by the system based on the program to which the resource is being enrolled.

Potential **Alert** messages for all programs:

- Truncating Exception List to first 200

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

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

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

Potential **Alert** messages for all programs:

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

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

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

- Resource ID xxx is new to Zone 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.

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

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

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

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

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

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

Line	Resource ID	Resource Name	Resource Type	Resource Status	Alert Message
1	10000000000000000000	NYISO	NYISO	NYISO	
2	10000000000000000000	NYISO	NYISO	NYISO	
3	10000000000000000000	NYISO	NYISO	NYISO	
4	10000000000000000000	NYISO	NYISO	NYISO	
5	10000000000000000000	NYISO	NYISO	NYISO	
6	10000000000000000000	NYISO	NYISO	NYISO	
7	10000000000000000000	NYISO	NYISO	NYISO	
8	10000000000000000000	NYISO	NYISO	NYISO	
9	10000000000000000000	NYISO	NYISO	NYISO	
10	10000000000000000000	NYISO	NYISO	NYISO	
11	10000000000000000000	NYISO	NYISO	NYISO	
12	10000000000000000000	NYISO	NYISO	NYISO	
13	10000000000000000000	NYISO	NYISO	NYISO	
14	10000000000000000000	NYISO	NYISO	NYISO	
15	10000000000000000000	NYISO	NYISO	NYISO	
16	10000000000000000000	NYISO	NYISO	NYISO	
17	10000000000000000000	NYISO	NYISO	NYISO	
18	10000000000000000000	NYISO	NYISO	NYISO	
19	10000000000000000000	NYISO	NYISO	NYISO	
20	10000000000000000000	NYISO	NYISO	NYISO	
21	10000000000000000000	NYISO	NYISO	NYISO	
22	10000000000000000000	NYISO	NYISO	NYISO	
23	10000000000000000000	NYISO	NYISO	NYISO	
24	10000000000000000000	NYISO	NYISO	NYISO	
25	10000000000000000000	NYISO	NYISO	NYISO	
26	10000000000000000000	NYISO	NYISO	NYISO	
27	10000000000000000000	NYISO	NYISO	NYISO	
28	10000000000000000000	NYISO	NYISO	NYISO	
29	10000000000000000000	NYISO	NYISO	NYISO	
30	10000000000000000000	NYISO	NYISO	NYISO	
31	10000000000000000000	NYISO	NYISO	NYISO	
32	10000000000000000000	NYISO	NYISO	NYISO	
33	10000000000000000000	NYISO	NYISO	NYISO	
34	10000000000000000000	NYISO	NYISO	NYISO	
35	10000000000000000000	NYISO	NYISO	NYISO	
36	10000000000000000000	NYISO	NYISO	NYISO	
37	10000000000000000000	NYISO	NYISO	NYISO	
38	10000000000000000000	NYISO	NYISO	NYISO	
39	10000000000000000000	NYISO	NYISO	NYISO	
40	10000000000000000000	NYISO	NYISO	NYISO	
41	10000000000000000000	NYISO	NYISO	NYISO	
42	10000000000000000000	NYISO	NYISO	NYISO	
43	10000000000000000000	NYISO	NYISO	NYISO	
44	10000000000000000000	NYISO	NYISO	NYISO	
45	10000000000000000000	NYISO	NYISO	NYISO	
46	10000000000000000000	NYISO	NYISO	NYISO	
47	10000000000000000000	NYISO	NYISO	NYISO	
48	10000000000000000000	NYISO	NYISO	NYISO	
49	10000000000000000000	NYISO	NYISO	NYISO	
50	10000000000000000000	NYISO	NYISO	NYISO	

Pre-requisite

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

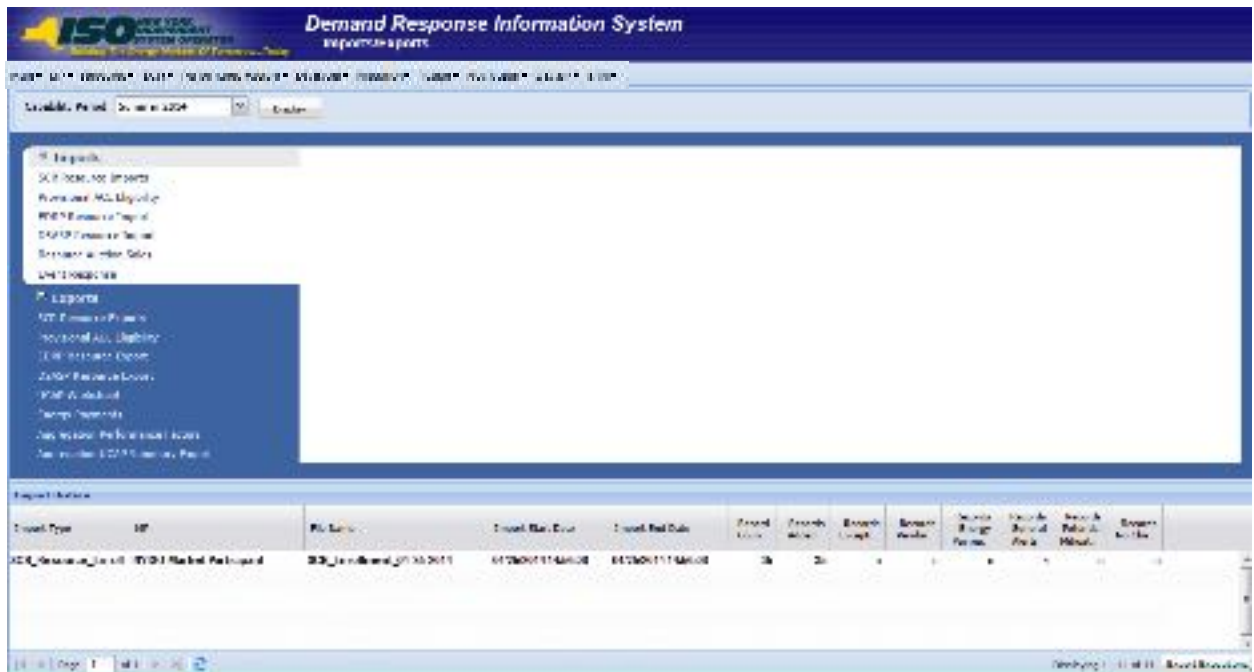
To access the import report and manage related errors

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

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

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

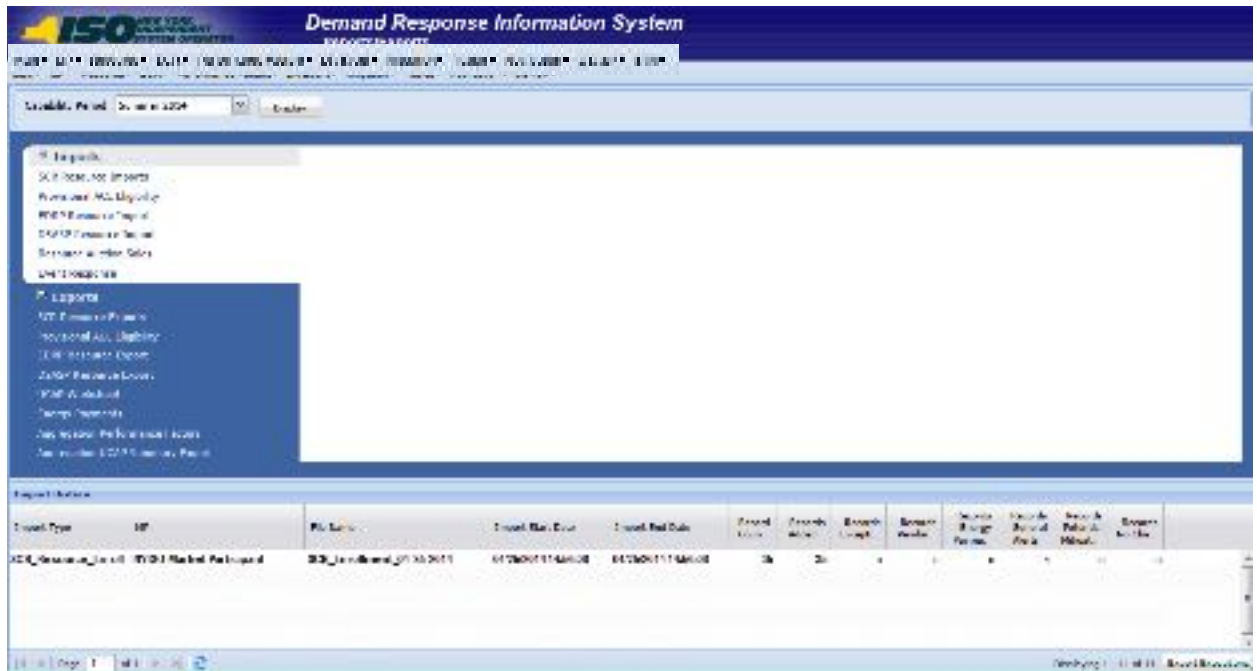
Figure 83: Imports/Exports Page



2. From the corresponding filter near the top of the page, choose the **Capability Period** for the previously reported enrollment file that generated the exception(s).
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 84).

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



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

7.5.3. Monitoring Resource Enrollment Requests

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

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

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

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

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

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

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

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

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

Note: RIPs may only enroll a resource with a Request for ACL Data when there is sufficient 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 DSASP resource may continue participating until action is taken on the enrollment request. Once action is taken on the enrollment request, the DSASP resource may continue participating, may be separated from the MP portfolio, or may require additional action by the MP. The system tracks all enrollment requests for MP review and follow-up, as necessary.

Figure 85: Reliability Program Fields Monitored by DRIS for Changes

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

Figure 86: Economic Program Fields Monitored by DRIS for Changes

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

Pre-requisites

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

 **To monitor resource enrollment requests**

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

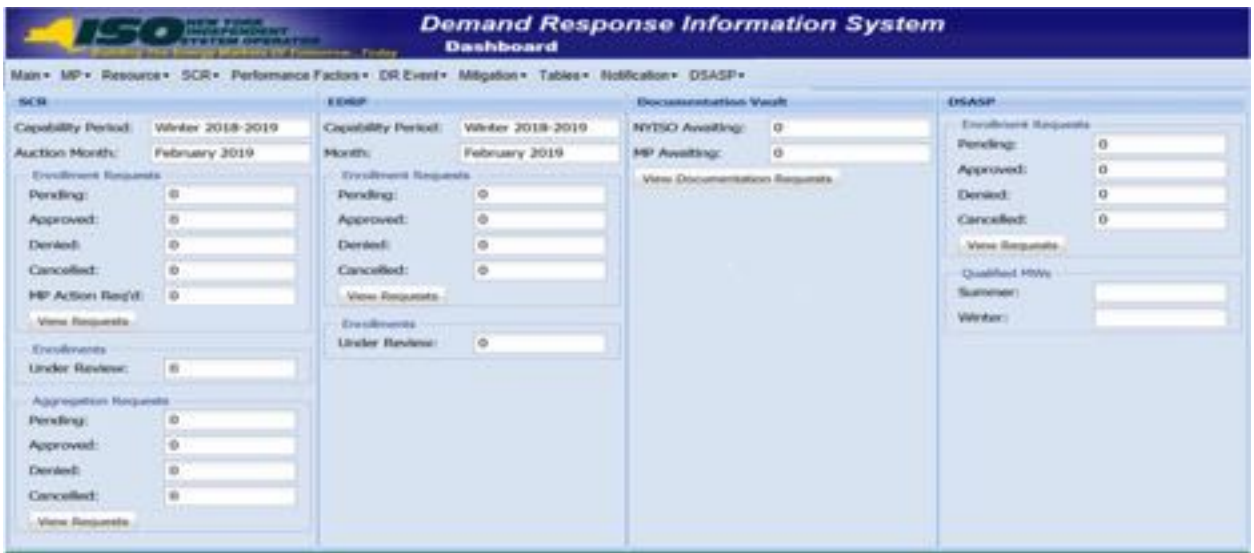
The system opens the Dashboard page, where the uppermost, side-by-side panes display the number of enrollment requests by status category in the following order by request type, SCR EDRP, Documentation Vault, DSASP and total DSASP Qualified MWs. (see Figure 87).

Note: Status categories displayed for SCR, EDRP and DSASP 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 accepted the enrollment). The numbers displayed for each category are dynamic such that they change to reflect the outcome of request processing as the process unfolds. SCR and EDRP requests are displayed for the Current Capability Period and month while DSASP requests are displayed for a rolling 30-day period.

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



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

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

The system displays the Resource Enrollment Requests page.

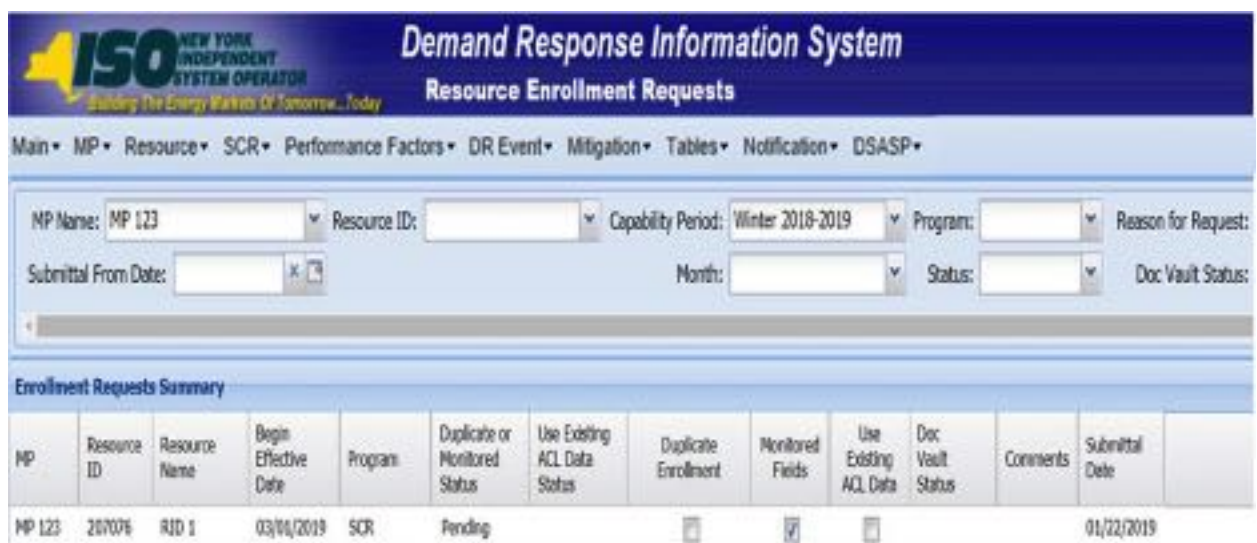
Note: The Resource Enrollment Requests page also may be accessed via the **Resource** menu and **Enrollment Requests** option.

4. For the SCR program and EDRP, 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.

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

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

Figure 88: Resource Enrollment Requests Page Showing One Request



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		<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>			01/22/2019

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.

- 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 89). In addition, the **Reason for Pending Request** column details the fields monitored for change, displaying the current value and the value requested for change.

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

OR

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

OR

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

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

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	Submital Date
MP 123	207076	R001	03/01/2019	SCR	Pending		<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>			01/07/2019

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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 Enrollment	Monitored Fields	Use Existing ACL Data	Doc Vault Status	Reasons for Pending Request	
MP 123	207076	R001	03/01/2019	SCR			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
MP 123	207076	R001	03/01/2019	SCR	Pending		<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		Field Name: St...	

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 1.3, "Accessing the System").

To cancel an individual pending resource enrollment request

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

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

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

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

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

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

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

3. 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 88), then proceed to step 5.

OR

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

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

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

- In lower-right corner of the Resource Enrollment Requests page, click the Cancel button (see Figure 90).

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

Figure 90: Resource Enrollment Request Page Highlighting Cancel Button



To cancel all pending resource enrollment requests

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

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

The system opens the Dashboard page, where the uppermost, side-by-side panes display the number enrollment requests by status category, with the left pane devoted to SCR requests, the middle pane devoted to EDRP requests and the right

most pane devoted to DSASP requests and total DSASP Qualified MWs.(refer to Figure 87).

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

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

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

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

3. When electing the option to Cancel All, choose the **Capability Period, Month, and Program**, from the search filter near the top of the page, encompassing the pending resource enrollment request(s) to be canceled.
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 88), then proceed to step 5.
 - OR**
 - To view all requests for the chosen Capability Period, proceed directly to step 5.
5. Click the **Display** button.

The Enrollment Requests Summary frame refreshes to display a grid of resource enrollment requests meeting the criteria selected at steps 3 and 4, where whether the request resulted due to a **Duplicate Enrollment** a change in **Monitored Fields**

and/or a request to Use Existing ACL Data (Request for ACL Data) is indicated by a checkbox in the corresponding columns (see Figure 91).

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

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

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

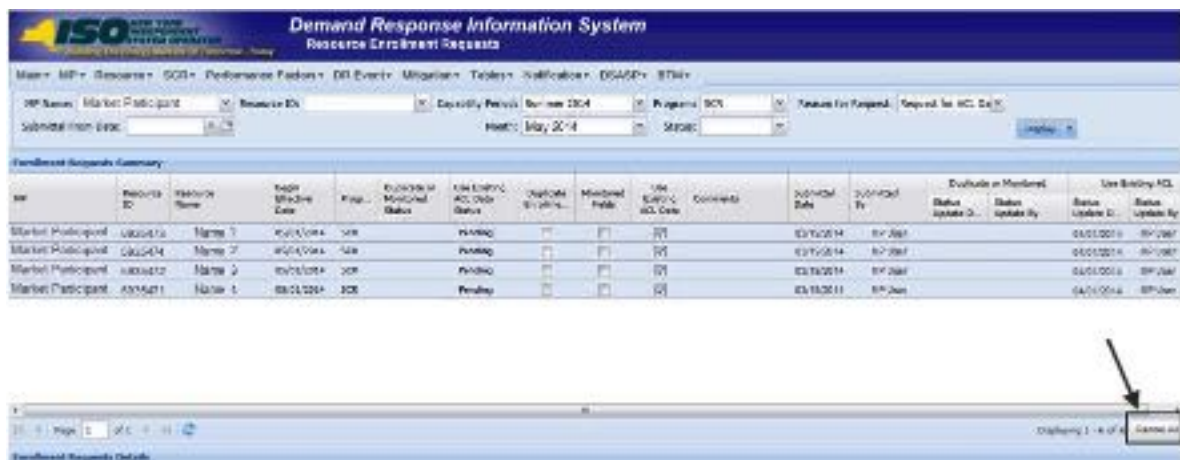
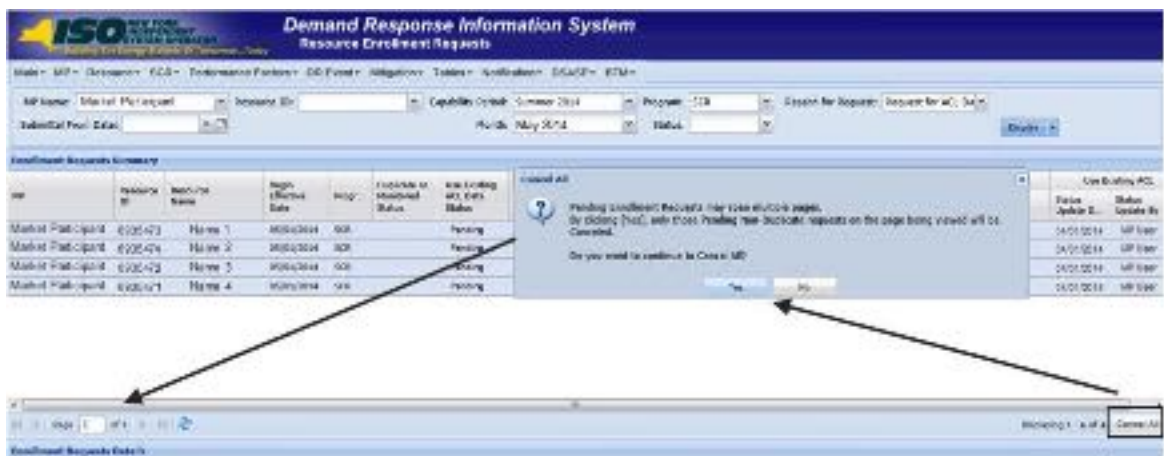


Figure 92: Confirmation Prompt Displayed When Electing to Cancel All



- Choose **Yes** in the confirmation prompt.

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

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

7.5.3.2. Processing ACL Data Requests

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

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

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

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

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

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

Pre-requisites

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



To view a pending resource enrollment request for ACL data

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

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

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

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

2. In the uppermost pane corresponding to the SCR program, click the **View Requests** button.

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

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

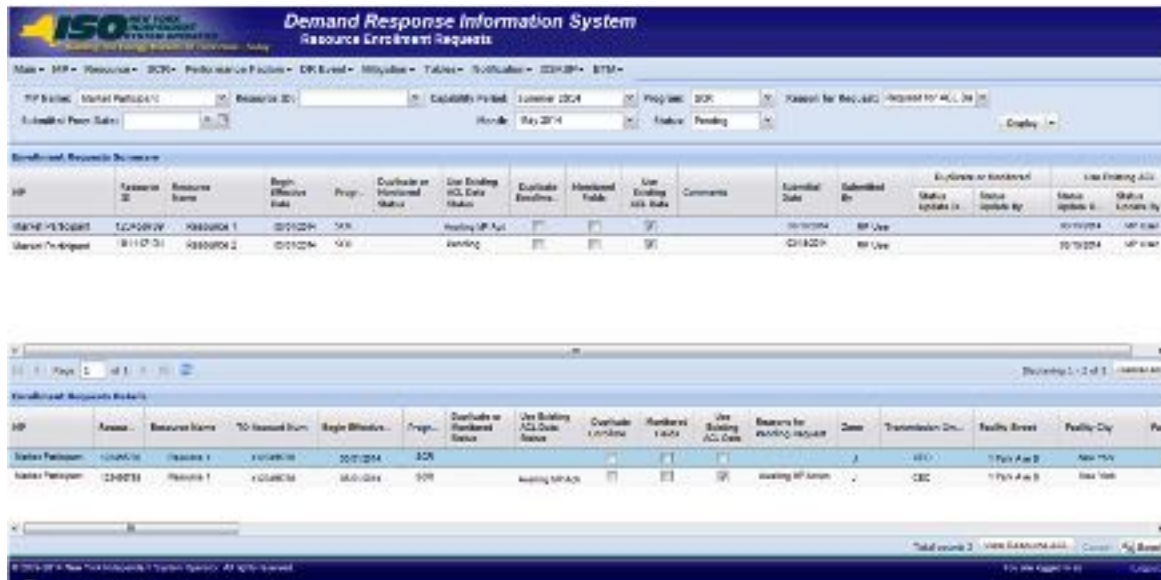
3. For the SCR program, from the corresponding search filter near the top of the page, choose the **Capability Period** encompassing the pending resource enrollment request(s) to be viewed.
4. Further limit the scope of resource enrollment requests to view only requests for ACL data:
 - To view enrollment 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 93), then proceed to step 5.

OR

5. Click the **Display** button.

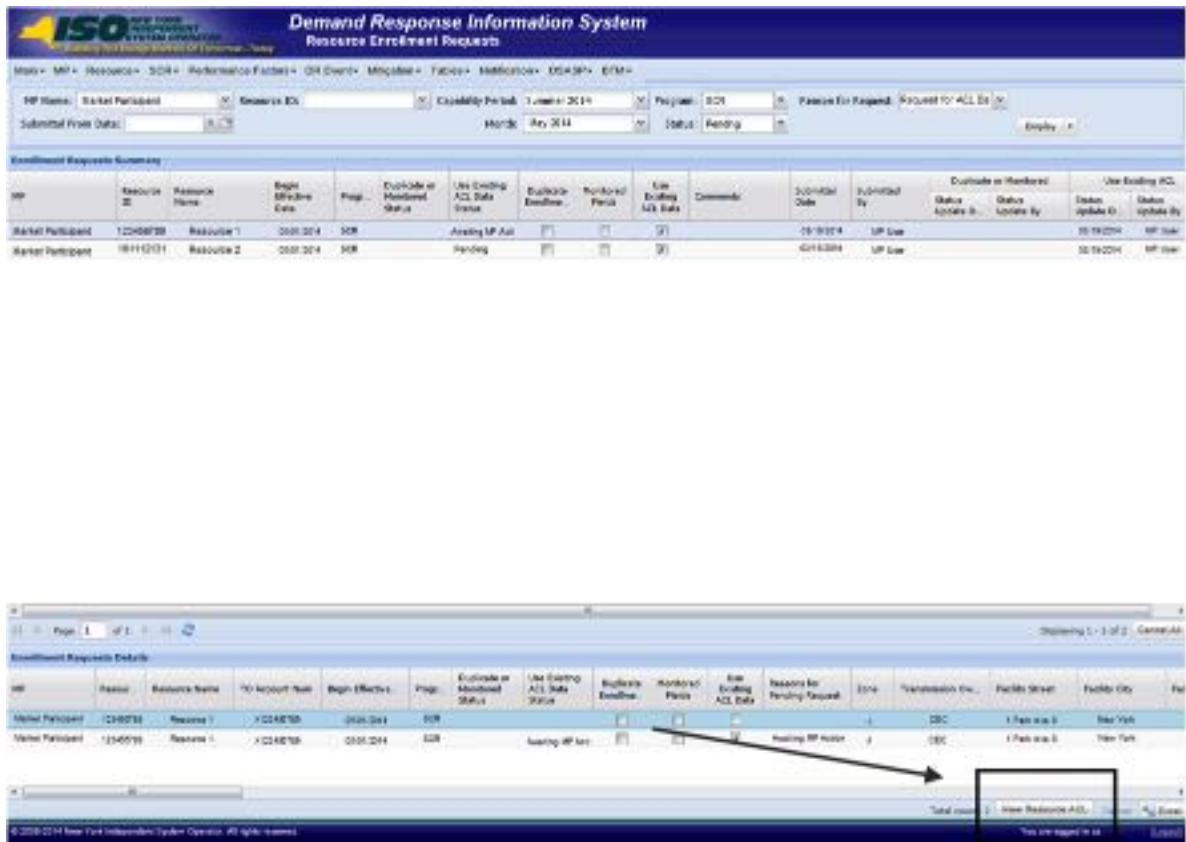
The Enrollment Requests Summary frame refreshes to display a grid of resource enrollment requests meeting the criteria selected at steps 3 and 4, where whether the request resulted due to a **Duplicate Enrollment** or a change in **Monitored Fields** and a request to **Use Existing ACL Data (Request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

Figure 93: Searching for Resource Enrollment Requests for ACL Data



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 94).
9. The system prompts the user with the View Resource ACL window (see Figure 95).

Figure 94: View Resource Enrollment Request for ACL Data Button



Demand Response Information System
Resource Enrollment Request

Menu > MP > Resources > DR > Reference Factor > DR Event > Migrate > Tables > Enrollment > DR > ERM

MP Name: Market Participant | Resource ID: Resource 03 | Enrollment Period: 1/1/2014 | Facility: DR | Reason for Request: Request for ACL Data

Submitted From Data: | Month: Jan 2014 | Status: Pending

Enrollment Request Summary

MP	Resource ID	Resource Name	Begin Effective Date	Prog.	Enrollment or Monitor Status	Use Existing ACL Data	Enrollment Deadline	Enrolled Period	Use Existing US Data	Comments	Submitted Date	Submitted By	Enrollment Method	Status Update By	Last Update Date	Status Update By
Market Participant	1220878	Resource 1	01/01/2014	DR	Pending MP Ack	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			01/01/2014	MP User			01/19/2014	MP User
Market Participant	1811201	Resource 2	01/01/2014	DR	Pending	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			01/16/2014	MP User			01/19/2014	MP User

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Enrollment Request Details

MP	Resource ID	Resource Name	Enrollment Period	Begin Effective Date	Prog.	Enrollment or Monitor Status	Use Existing ACL Data	Enrollment Deadline	Enrolled Period	Use Existing US Data	Reasons for Pending Request	Zone	Transmission Co.	Facility Street	Facility City	Facility State
Market Participant	1220878	Resource 1	1/1/2014	01/01/2014	DR	Pending MP Ack	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Pending MP Ack	DR	DR	1 Park Ave. S	New York	NY
Market Participant	1811201	Resource 2	1/1/2014	01/01/2014	DR	Pending MP Ack	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Pending MP Ack	DR	DR	1 Park Ave. S	New York	NY

Total count: 1 View Resource ACL

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

To approve or decline pending resource enrollment requests for ACL data

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

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

Figure 96).

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



The screenshot shows a window titled "View Resource ACL" with the following fields:

- MP Name: Market Participant
- Resource ID: 8955473
- TO Account Number: X3943418735
- Resource Name: Name 1
- NYISO Calculated ACL: 4000
- Zone: J
- Response Type: C
- Gen Rating: (empty)
- Net ACL: 4000

The "Enrolled Values" section is highlighted with a black box and contains the following fields:

Subscribed Load kW:	Subscribed Gen kW:	Incremental kW:	Shutdown kW:
0	0	0	0

Buttons: Approve, Decline, Cancel

Resources with a Request for ACL Data that were also enrolled in the Prior Equivalent Capability Period with a Provisional ACL may have ACLs derived from a subset of Prior Equivalent Capability Period Peak Hours.

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

Note: Figure 97).

2. In the lowermost section corresponding to the resource editable fields for which the MP may update based on response type, click each editable field and update with values, as applicable.

The system updates the resource Net ACL (refer to

7.

8.

Figure 97).

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

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

ACL

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

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

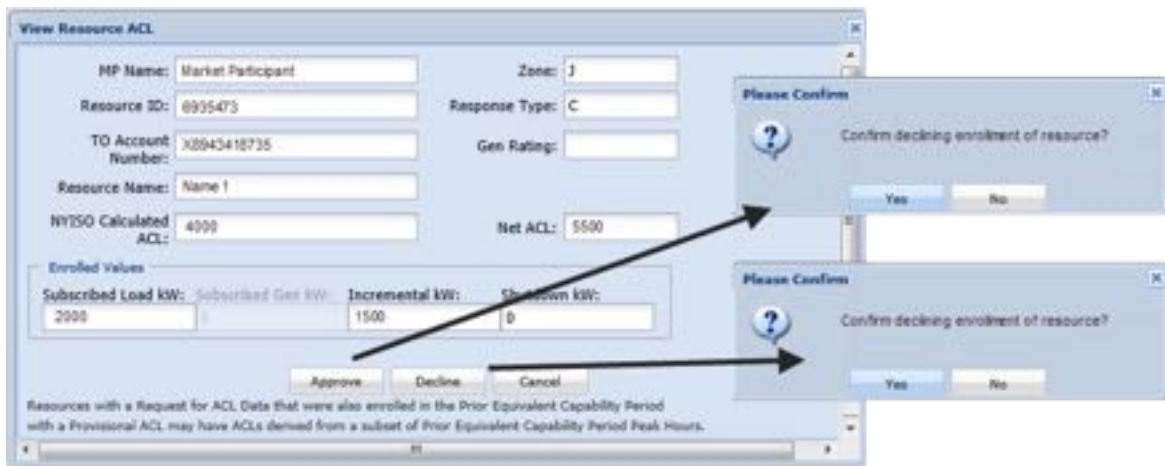
Note: The option of choosing to approve the resource enrollment request for ACL data and confirming the approval will enroll the resource, for the auction month which it was imported for.

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

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

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

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



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

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

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

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

View Resource Request for ACL Data Fields	Field Format	Description and Rule(s)	Modifiable?
Subscribed Gen	Numeric Up to 6 digits No decimals	<p>For resources with Response Type G or B, the Generation Declared ICAP value in kW/h must be greater than or equal to zero.</p> <p>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.</p> <p>For resources with Response Type C, the field will be locked.</p> <p>The Declared Value of the resource (the combination of Subscribed Load and Subscribed Generation) cannot be greater than the resource Net ACL.</p>	YES
Shutdown kW	Numeric Up to 7 digits No decimals	<p>For SCR resources with a Change in Status, the Shutdown value in kilowatts must be greater than or equal to zero.</p> <p>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 importfile.</p> <p>For resources with a Calculated ACL value less than 500 kW, must be zero.</p> <p>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.</p>	YES
Incremental kW	Numeric Up to 7 digits No decimals	<p>For resources with a Calculated ACL value less than 500 kW, must be zero.</p> <p>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.</p>	YES

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

8. Maintaining Resource Enrollments

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

8.1. Viewing Resource Enrollments

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

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

8.1.1. Viewing Resource Enrollments by Capability Period

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

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

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

- Program
- Zone
- Second Test Required

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

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

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

Note: * The Average Coincident Load (ACL) is effective for the Summer 2011 Capability Period forward. ACL data reported for an SCR resource on the Summer 2011 Capability Period enrollment, is viewable in the PMD kW value fields and as the calculated APMD value. To view Summer 2011 Verification data reported for an SCR resource enrolled with an ACL in Summer 2011, see the Provisional ACL screen in DRIS (see Section **Error! Reference source not found.**).

SCR	EDRP	DSASP
▪ TO account number	▪ TO account number	▪ TO account number
▪ TO abbreviation	▪ TO abbreviation	▪ TO abbreviation
▪ Small customer aggregation indicator	▪ CBL method	
▪ 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
- 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
- DADRP Add-back kW for the date/hour (see Note: 1 as identified below)
- DSASP Baseline kW for the date/hour (see Note: 1 as identified below)
- Total kW for the date/hour
- Used in ACL calculation status
- Calculation Base
- Calculated ACL kW

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

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

Pre-requisites

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

 **To view resource enrollments by Capability Period**

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

Figure 100: Resource Capability Period Enrollments Page Search Filters

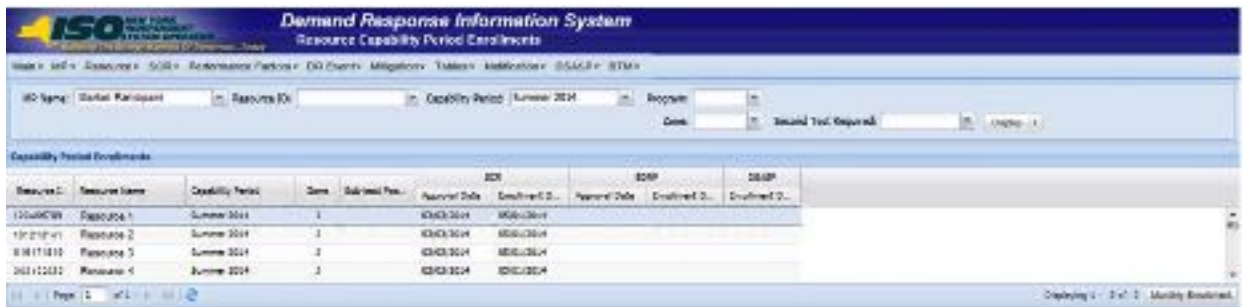


3. Optionally, further limit the scope of resource enrollments to be displayed by the system to only a specific **Program, Zone and/or Second Test Required** by choosing the applicable option(s) from the corresponding search filter(s) near the top of the page.
4. Near the top of the Resource Capability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

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

Tip: If the number of enrollments exceeds the space available in the grid, the program breaks the data set across separate pages, as reflected on the left side of the status bar. To navigate among multiple pages of resource enrollments, click the applicable button to either move forward one page (), move back one page (), move to the beginning of the data set (), or move to the end of the data set (). To refresh the Capability Period Enrollments grid so that it displays up-to-date information, click the button in the grid status bar.

Figure 101: Resource Capability Period Enrollments Page Populated with Data



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

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

Figure 102).

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

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

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

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

Note: If the file is saved, it is named according to the convention *Capability_Period_Enrollments_[download date in mm-dd-yyyy format].csv*, where bracketed content is replaced with actual values to result in a file name such as *Capability_Period_Enrollments_05-19-2010.csv*.

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

Capability Period Enrollments Page

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

Resource ID	Resource Name	Capability Period	Zone	Subscribed Power	SCR Approval Date	SCR Enrollment Date	EDRP Approval Date	EDRP Enrollment Date	DSASP Approval Date	DSASP Enrollment Date
123456789	Resource 1	Summer 2011	1	1000	04/08/2011	05/01/2011				
987654321	Resource 2	Summer 2011	2	1500	04/08/2011	05/01/2011				
111111111	Resource 3	Summer 2011	1	1000	04/08/2011	05/01/2011				
222222222	Resource 4	Summer 2011	1	1000	04/08/2011	05/01/2011				

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

8.1.2. Viewing SCR or EDRP Resource Enrollments by Month

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

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

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

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

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

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

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

Pre-requisites

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

 ***To view resource enrollment data by month***

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

The system displays the Resource Monthly Enrollments page.


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

Figure 104: Resource Monthly Enrollments Page Search Filters



- 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.
- Near the top of the Resource Monthly Enrollments page, click the **Display** button. The system populates the Monthly Enrollments grid below the search filters with those resource enrollments meeting the criteria chosen at steps 2 and 3 (see Figure 105).

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

To refresh the Monthly Enrollments grid so that it displays the most up-to-date information, click the  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.

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

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

Note: If the file is saved, it is named according to the convention *Monthly_Details_[download date in mm-dd-yyyy format].csv*, where bracketed content is replaced with actual values to result in a file name such as *Monthly_Details_05-19-2010.csv*.

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

Resource ID	Resource Name	Status	Unit	Contract	Aggr. Resource ID	Unit Resource ID	Page	Enrollment	UCAP	ICAP
1000000	Resource A	Active	F	100-000	100-000	100	1	10000	10000	10000
1000001	Resource B	Active	E	100-000	100-000	100	1	10000	10000	10000
1000002	Resource C	Active	L	100-000	100-000	100	1	10000	10000	10000
1000003	Resource D	Active	L	100-000	100-000	100	1	10000	10000	10000

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

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

SCR

- Resource ID
- Resource name
- TO account number
- Month
- Beginning and ending effective dates
- Enrollment status
- Program type
- Floor price
- Subscribed load value
- Subscribed generation value
- Raw Performance Factor
- Performance factor
- Resource Contribution to Agg UCAP
- Aggregation ID

EDRP

- Resource ID
- Resource name
- TO account number
- Month
- Beginning and ending effective dates
- Enrollment status
- Program type
- Subscribed load value
- Subscribed generation value
- Response type
- Generator type
- Generator rating
- TO
- Zone

SCR

- ICAP value
- Transmission loss factor
- Declared value
- Provisional ACL status (Summer 2011 and greater)
- Use Existing ACL Data status (Summer 2014 and greater)
- APMD (prior to Summer 2011)
- ACL (Summer 2011 and greater)
- Shutdown kW
- Incremental kW
- Net APMD (prior to Summer 2011)
- Net ACL (Summer 2011 and greater)
- Contract Minimum Demand (CMD)
- Response type
- Generator type
- Generator rating
- TO
- TO and voltage level
- Strike price
- Zone
- Sub-load pocket
- Meter Installation Date
- Facility address

EDRP

- Sub-load pocket
- Facility address

Pre-requisites

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

To view resource enrollment data by monthly details

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

The system displays the Resource Monthly Details page.

2. From the corresponding search filter(s) in the uppermost frame on the Resource Monthly Details page (see Figure 106), choose the **Capability Period** and/or the **Resource ID** for which the system should display enrollments.


Figure 106: Resource Monthly Details Page Search Filters







3. Optionally, further limit the scope of resource enrollments to be displayed by the system to only a specific **Month, Program, Zone, Aggregation** (for SCR only), and/or enrollment **Status**, by choosing the applicable option(s) from the search filter(s) near the top of the page.
4. Near the top of the Resource Monthly Details page, click the **Display** button.

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

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

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

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

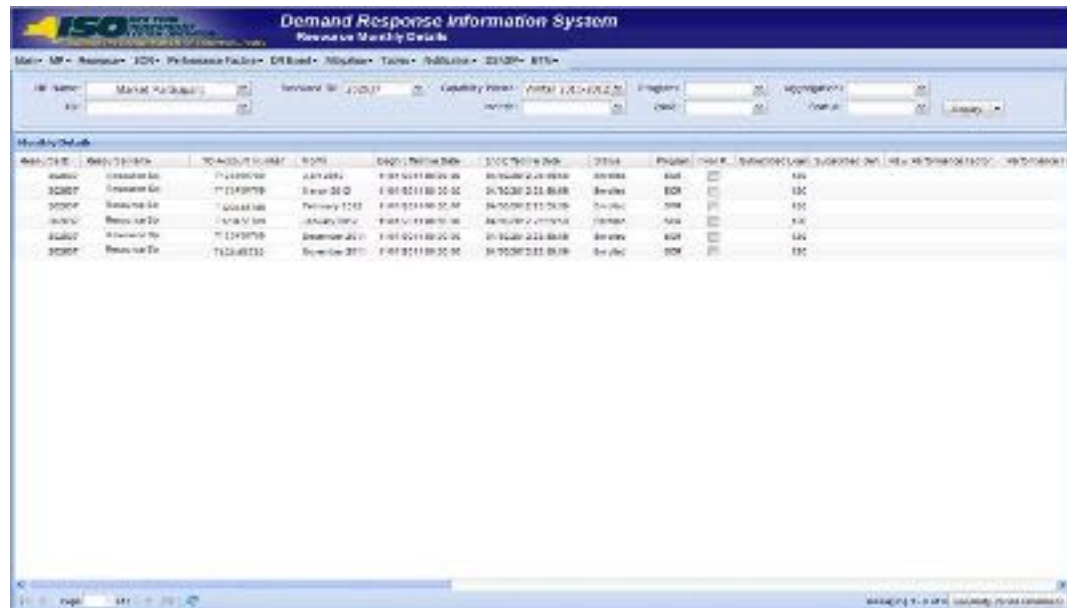
Tip: Note that the system page for viewing Capability Period data related to the resource currently selected in the Monthly Details grid can be accessed by clicking the **Capability Period Enrollment** button in the status bar beneath the grid.

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



8.1.4. Viewing DSASP Resource Enrollment Details

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

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

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

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

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

DSASP

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

DSASP

- Facility Street 2
- City
- State
- Zip

Pre-requisites

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

To view resource enrollment data for DSASP Enrollment details


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





Figure 108: DSASP Enrollment Details Page Search Filters



1. Optionally, further limit the scope of resource enrollments to be displayed by the system to only a specific **Resource Name, TO Account Number, Zone, Aggregation, Gen PTID and/or From/To Dates**, by choosing the applicable option(s) from the search filter(s) near the top of the page.
2. Near the top of the DSASP Enrollment Details page, click the **Display** button.
The system populates the Enrollment Details grid below the search filters with data for those resource enrollments meeting the criteria chosen at steps 2 and 3 (see Figure 108).

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

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

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

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

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

Note: If the file is saved, it is named according to the convention *DSASP_Resource_Enrollments_[download date in mm-dd-yyyy format].csv*, where bracketed content is replaced with actual values to result in a file name such as *DSASP_Resource_Enrollments_04-01-2013.csv*.

Figure 109: DSASP Resource Enrollment Details Page Illustrating Multiple Entries

Resource ID	Resource Name	TC account number	Status	Registration Date	Exp. Effective Date	Application ID	Gen. PDE	Response Type	Permit Type	Aggregator Type	Summer Subscribed (kW)	Summer Subscribed (MW)	Sum. Base
203418	Same 1	9081887431	Validated	01/05/2013 15:44:49		8008	0	Spinning	2 - Group	2 - Group	800	0	800
203420	Same 2	7902490502	Validated	01/05/2013 15:44:49		8008	0	Spinning & R.	2 - Group	2 - Group	800	0	800
203421	Same 4	8037114317	Validated	01/05/2013 15:44:49		8008	0	Spinning	2 - Group	2 - Group	800	0	800
203422	Same 6	7488471008	Validated	01/05/2013 15:44:49		8008	0	Spinning & R.	2 - Group	2 - Group	700	0	700
203423	Same 3	7111902458	Validated	01/05/2013 15:44:49		8008	0	Non-Synch.	2 - Group	2 - Group	500	100	600
203424	Same 5	7111834503	Validated	01/05/2013 15:44:49		8008	0	Non-Synch.	3 - Group	3 - Group	800	175	975
203425	Same 7	70020000733	Validated	01/05/2013 15:44:49		8008	0	Spinning & R.	1 - Individual	1 - Individual	2350	0	2350

8.2. Updating Resource Enrollments during a Capability Period

In updating resource enrollments, MPs can add new resources or change data for existing resources. In relation to the SCR program, these tasks can be done only within the prescribed time frame. This limited period occurs during the month preceding the effective auction month as specified on the DRIS Event Calendar (refer to Section 2.1). For EDRP, these tasks are also limited to a prescribed time frame, which occurs during the month preceding the effective month as specified on the DRIS Event Calendar. For DSASP, these tasks are not limited to a prescribed time-frame and may occur at any point during the calendar year.

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

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

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

8.3. Separating a Resource from a Portfolio

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

Pre-requisites

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

To separate an SCR or EDRP resource from a portfolio

1. From the **Resource** menu, choose **Monthly Enrollments**.
The system displays the Resource Monthly Enrollments page.
2. From the corresponding search filters in the uppermost frame on the Resource Monthly Enrollments page, choose the **Resource ID** for the resource to be separated from the MP's portfolio and the **Capability Period** and **Month** in which the MP wants the separation to begin (refer to Figure 104).
3. Near the top of the page, activate the **Display** button.
The system populates the Monthly Enrollments grid below the filters with the resource enrollments meeting the criteria chosen at step 2.
4. In the Monthly Enrollments grid, click the row housing the entry for the resource to be separated.

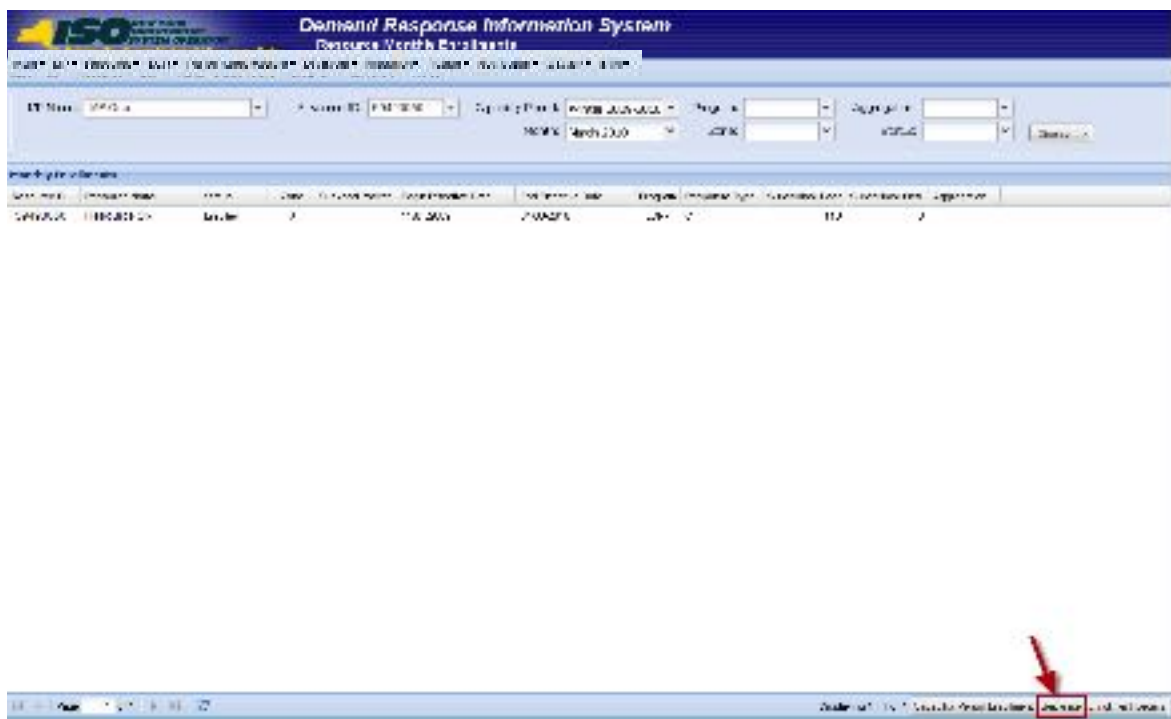
Note: The *Begin Effective Date* of the resource may be the first of the month for the current enrollment month or any past month within the Capability Period. When the *Begin Effective Date* is not equal to the enrollment month for which the separation will begin, a new record will be created for the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

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

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

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

Figure 110: Resource Monthly Enrollment Page Highlight Separate Button



To separate a DSASP Demand-Side Resource from a portfolio

- From the **DSASP** menu, choose **EnrollmentDetails**

The system displays the DSASP Enrollment Details page.

- From the corresponding search filters in the uppermost frame on the DSASP Enrollment Details page, choose the **Resource ID** for the resource to be separated from the MP's portfolio and the **Status** of **Active Record** for which the MP wants to separate (refer to Figure 110).

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

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

4. In the Enrollment Details grid, click the row housing the entry for the resource to be separated.

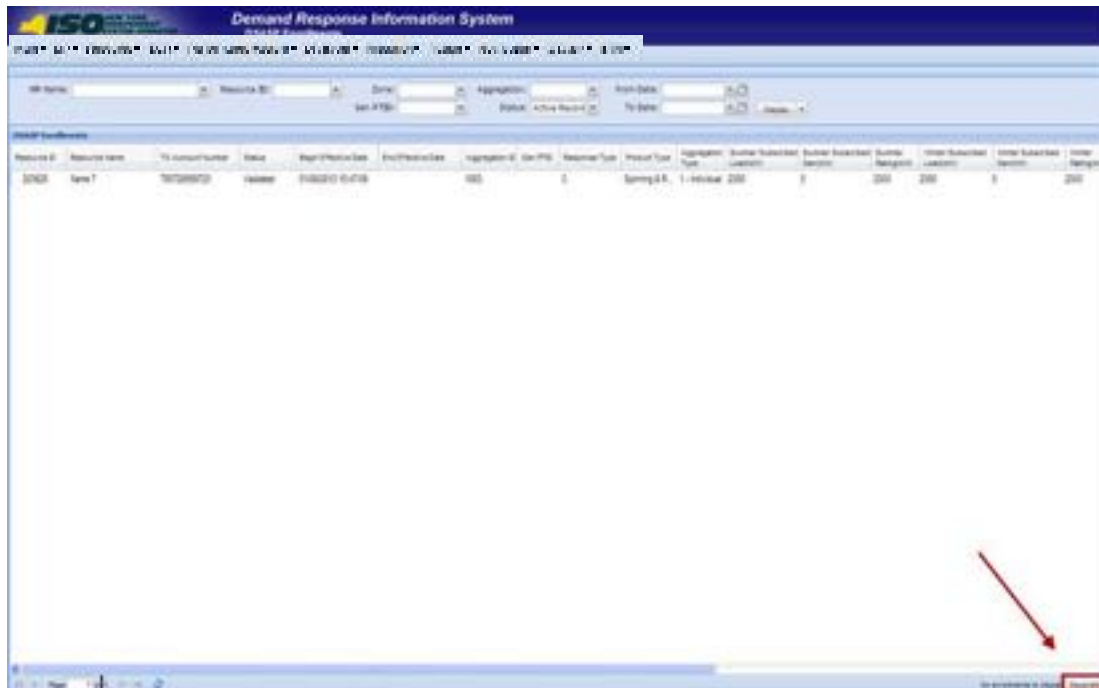
Note: Only records with a status of **Validated** and no *End Effective Date*, where no other **Status** types exist with no *End Effective Date* may be separated. Should a record exist for the Resource with a **Status** of **Submitted** or **Qualified** with no *End Effective Date*, those records must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

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

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

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

Figure 111: DSASP Enrollment Details Page Highlight Separate



8.4. Re-enrolling Resources

For the SCR and EDRP programs, any resources that an MP wants to use, even if enrolled in a prior Capability Period, must be re-enrolled for each Capability Period by the deadline specified on the DRIS Event Calendar (refer to Section 2.1). For the DSASP, resources will remain enrolled, regardless of time-frame, unless that resource is either separated from the MP portfolio by the MP or the NYISO. Re-enrollment is accomplished via file import to DRIS of all data for all resources that the MP wants to enroll, according to the same process as outlined under Section 7.

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

8.5. Downloading a Resource Enrollment File

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

Pre-requisites

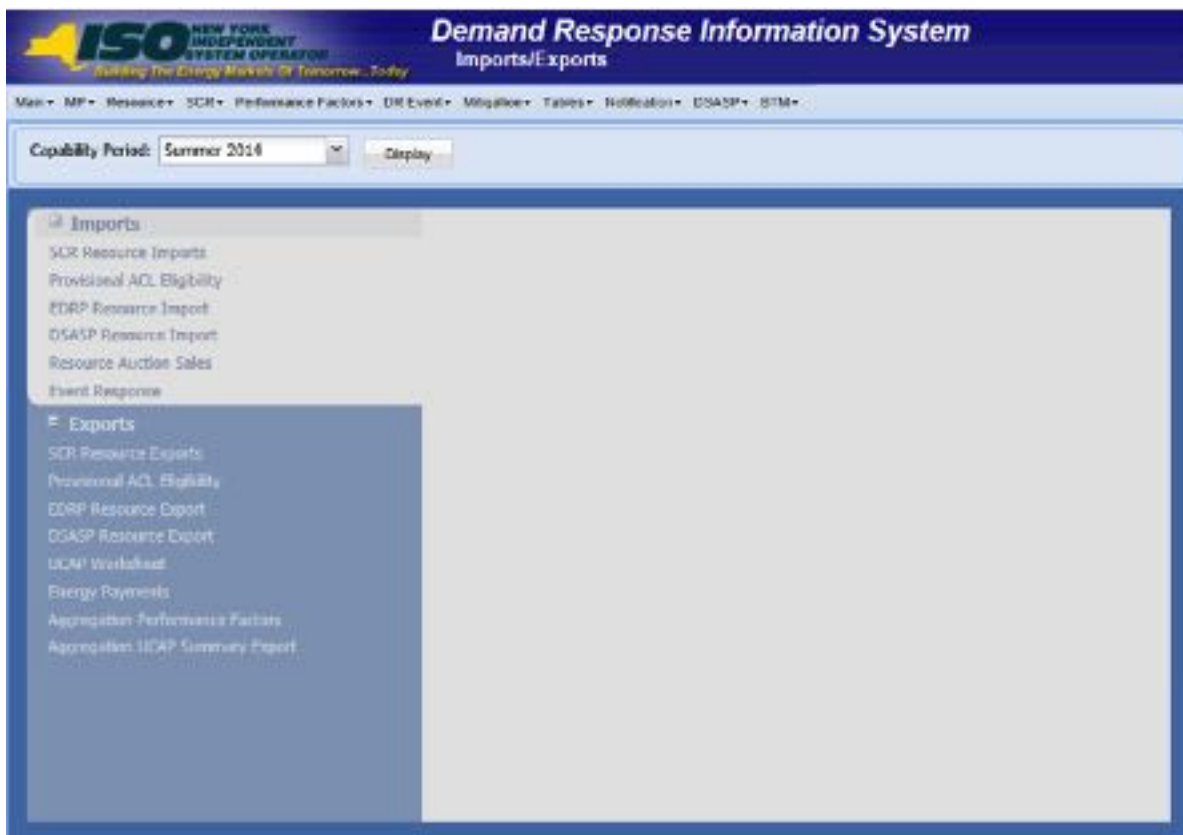
- Data for the MP's resources already exist in the system.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

 **To download a resource enrollment file**

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

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

Figure 112: Import/Export Page as Initially Displayed



2. For the SCR and EDRP programs, from the corresponding search filter in the uppermost frame on the Imports/Exports page, choose the **Capability Period** encompassing the enrollment data to be downloaded. For the DSASP, choose the *current Capability Period*.
3. Beside the Capability Period filter, click the **Display** button.

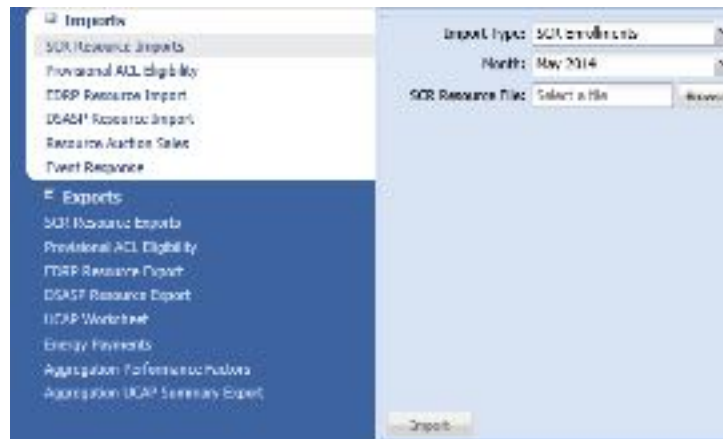
The system makes available the middle frame.

- Under the Exports heading in the left pane of the middle frame, choose **SCR Resource Exports**, **EDRP Resource Exports**, or **DSASP Resource Exports** as applicable.

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

Figure 113).

Figure 113: Filters for Downloading an SCR Resource Enrollment File



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

- Take the requisite steps to either save or open the enrollment file.

The enrollment file is either saved to the designated location or displayed on screen.

Note: If the enrollment file is saved, it is named according to the convention *[program type]_enrollments_[download date in mm-dd-yyyy format].[format type]*, where bracketed content is replaced with actual values to result in a file name such as *edrp_enrollments_05-19-2010.xls*.

9. Documentation Vault Management

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

9.1. Enrollment Requested Related Documentation Requests

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

9.2. Documentation Requests and Resource Verification

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

9.3. Viewing Documentation Requests

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

- 1) From the menu bar, under Resource and then Documentation Vault.
- 2) The Dashboard also has a control labeled “View Documentation Requests,” which brings the user to the Documentation Vault page.

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

9.3.1. Viewing Search Criteria

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

- Active
- Capability Period
- 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 85.

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

Prerequisites

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

 ***To view documentation requests for resources***

1. From the **Resource** menu, choose **Documentation Vault**.

The system displays the Documentation Vault page.

2. From the corresponding search filter(s) in the uppermost frame on the Documentation Vault page (see Figure 100), choose the **Capability Period, Active, Month** and/or the **Resource ID** for which the system should display documentation requests.

Figure 114: Documentation Vault Page Search Filters



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 114).
5. Optionally, download the Capability Period data by clicking the drop-down arrow beside the **Display** button near the top of the Documentation Vault page and choose **Download**, then via the displayed dialog box taking the requisite steps to either save or open the resulting file.

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

Figure 115: Documentation Vault Management Page Populated with Data



9.3.2. Viewing Documentation Vault Summary

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

- Resource ID
- MP
- Month
- Source Type
- Monitored Field
- Status
- Follow Up Required
- Created Date
- Due Date
- Enrollment Status
- Enrollment Request Status

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

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

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

9.3.3. Viewing Documentation Details

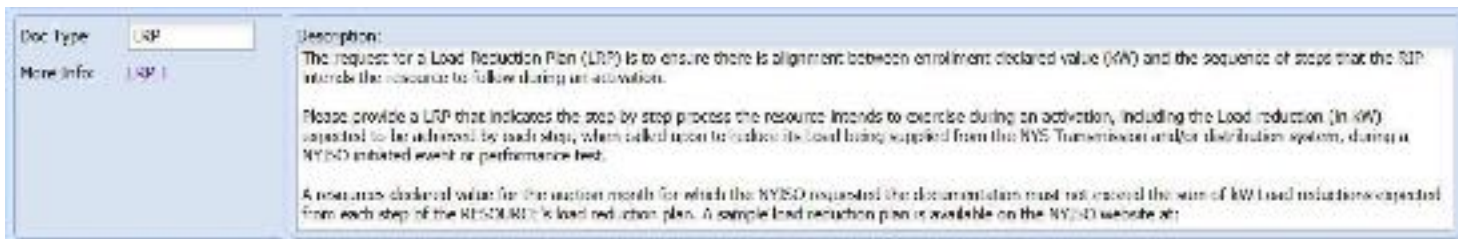
In viewing the Documentation Details grid within the Documentation Vault page, the MP can see specific documentation request records that are required for each Resource. When a single Resource is selected in the summary section, the documentation request is populated below in the Documentation Details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

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

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

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

Figure 116: Documentation Description



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

Figure 117: Viewing Documentation Details within the Documentation Vault Page

Documentation Vault										
Resource ID	MP	Month	Source Type	Monitored Fields	Status	Follow Up Required	Created Date	Due Date	Finalment Status	Finalment Request Status
23761	MP 123	February 2019	Enrollment	Street	MP Awaiting	<input type="checkbox"/>	01/17/2019 15:12:33	02/28/2019 17:00:00	Under Review	Pending

Documentation Details								Attachments			
Resource ID	Documentation ...	Monitored Fields	Created Date	Due Date	Status	Follow Up Req...	Submitted Date	Filename	Downlo...	Documentation ...	Last Up...
20761	Reason for Cha...	Street	01/17/2019 15:12:33	01/25/2019 17:00:00	MP Awaiting	<input type="checkbox"/>					
20761	Utility Bill	Street	01/17/2019 15:12:33	01/25/2019 17:00:00	MP Awaiting	<input type="checkbox"/>					

9.3.4. Viewing Documentation Vault Management Attachments

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

Figure 118: Viewing Attachments within the Documentation Vault Page

Documentation Details						Attachments		
Documentation	Monitored Fields	Created Date	Due Date	Status		Filename	Downlo...	Documentation Type
Reason for Cha...	Street	02/07/2019 11:09:16	02/14/2019 17:00:00	MP Awaiting		Blank Tax: 02		Utility Bill
Utility Bill	Street	02/07/2019 11:09:16	02/14/2019 17:00:00	MP Awaiting				

9.4. Replying to a Documentation Vault Management Request

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

9.4.1. Documentation Vault Management Reply Window

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

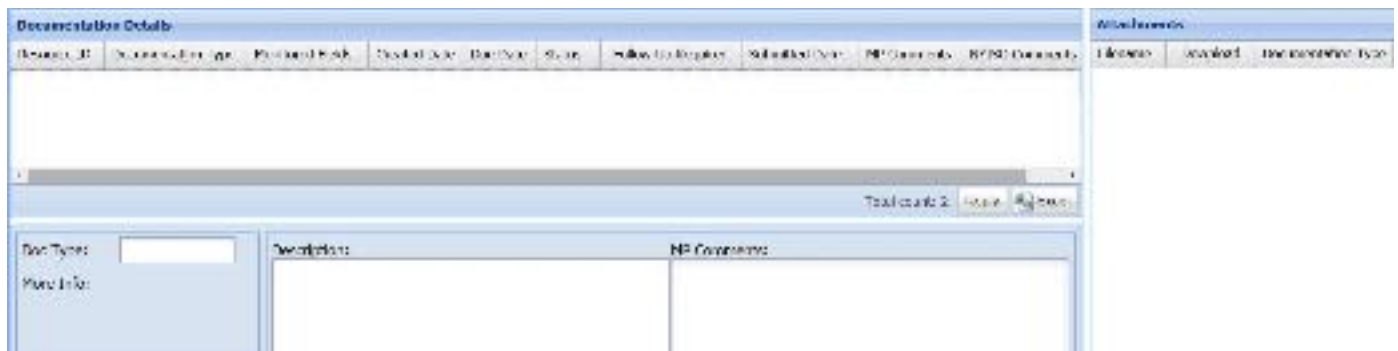
The first option is within the summary portion of the Documentation Vault page, by selecting “Reply.” Next to this button, there is a total count of records within the Documentation Vault indicating the number of active Resources with documentation requests, for the specified time period. Using the Summary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

Figure 119: Accessing Reply Window from Summary Page



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

Figure 120: Accessing Reply from Documentation Details



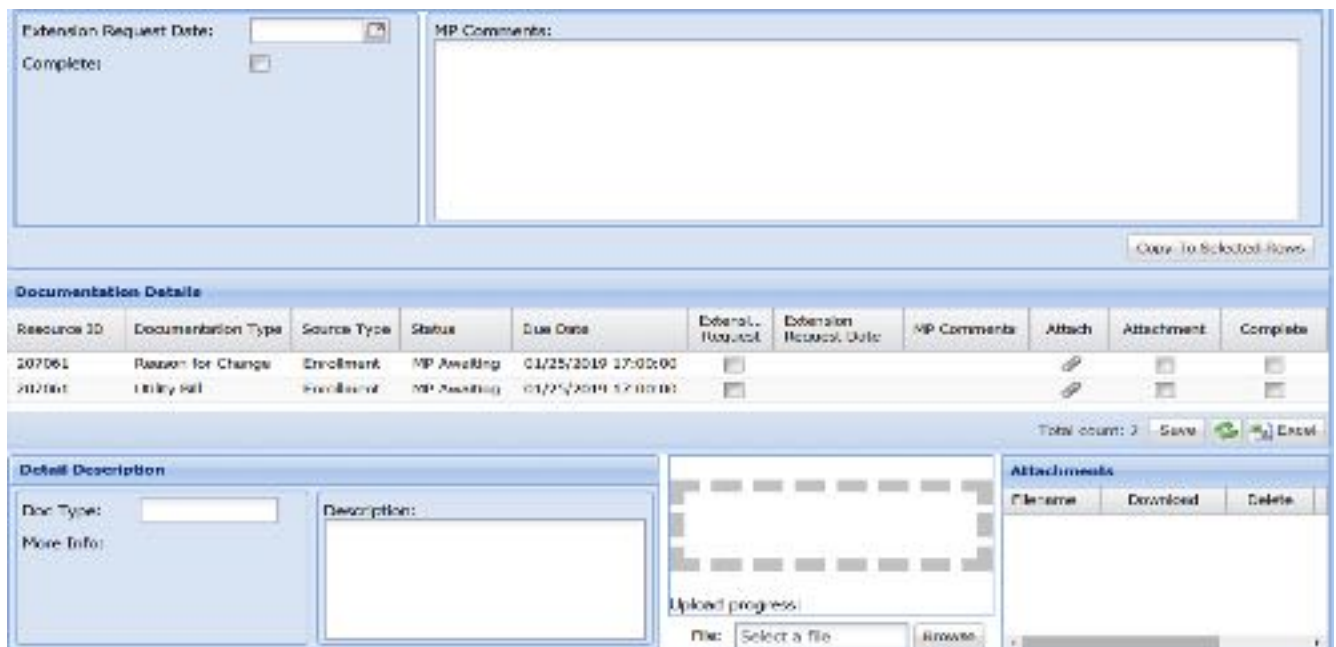
9.4.2. Reply Window Features

When “Reply” is selected in the Summary grid, the Documentation Vault Reply window will appear with data for all Active resources with their corresponding documentation request records.

This Reply window contains different attributes that allow the MP to reply to a documentation request including:

- Extension Request
- MP Comments
- Attachments
- Complete

Figure 121: Reply Window



The screenshot shows a web interface for a 'Reply Window'. At the top, there are two main sections: 'Extension Request Date' with a date picker and a 'Complete' checkbox, and 'MP Comments' with a large text area. Below these is a 'Documentation Details' section containing a table with columns: Resource ID, Documentation Type, Source Type, Status, Due Date, Extension Request, Extension Request Date, MP Comments, Attach, Attachment, and Complete. Two rows of data are visible in the table. Below the table is a 'Detail Description' section with 'Doc Type' and 'Description' fields, and an 'Attachments' section with a file upload area and a table for listing attachments.

Resource ID	Documentation Type	Source Type	Status	Due Date	Extension Request	Extension Request Date	MP Comments	Attach	Attachment	Complete
207061	Reason for Change	Enrollment	MP Awaiting	01/25/2019 17:00:00	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>
207061	Utility Bill	Enrollment	MP Awaiting	01/25/2019 17:00:00	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>

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

- Extension Request Indicator
- Extension Request Date
- Comment
- Attachment

- Complete

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

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

Figure 122: Record Selected to be Individually Updated

Resource ID	Documentation Type	Source Type	Status	Due Date	Extension Request	Extension Request Date	MP Comments	Attach	Attachment	Complete
207001	Reason for Change	Enrollment	MP Awaiting	01/25/2019 17:00:00	<input type="checkbox"/>			Attach...	<input type="checkbox"/>	<input type="checkbox"/>
207001	Utility Bill	Enrollment	MP Awaiting	01/25/2019 17:00:00	<input type="checkbox"/>			Attach...	<input type="checkbox"/>	<input type="checkbox"/>

Update Cancel

Total count: 2 Save Edit

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

Figure 123: Two Records Selected to be Updated

Extension Request Date: 01/25/2019
 Complete:

MP Comments:
 Requesting an Extension to 1/29/2019 for 800123
 Documentation Types = Reason for Change, Utility Bill

Copy to Selected Rows

Resource ID	Documentation Type	Source Type	Status	Due Date	Extension Request	Extension Request Date	MP Comments	Attach	Attachment	Complete
207001	Reason for Change	Enrollment	MP Awaiting	01/25/2019 17:00:00	<input type="checkbox"/>			Attach...	<input type="checkbox"/>	<input type="checkbox"/>
207001	Utility Bill	Enrollment	MP Awaiting	01/25/2019 17:00:00	<input type="checkbox"/>			Attach...	<input type="checkbox"/>	<input type="checkbox"/>

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

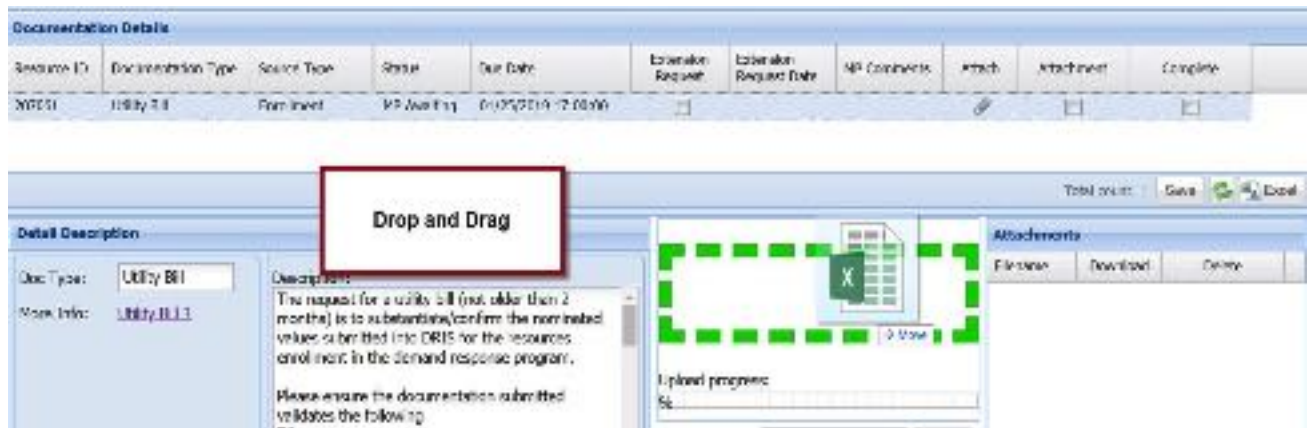
To Attach a File

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 124: Attaching a File Utilizing Drag and Drop Feature



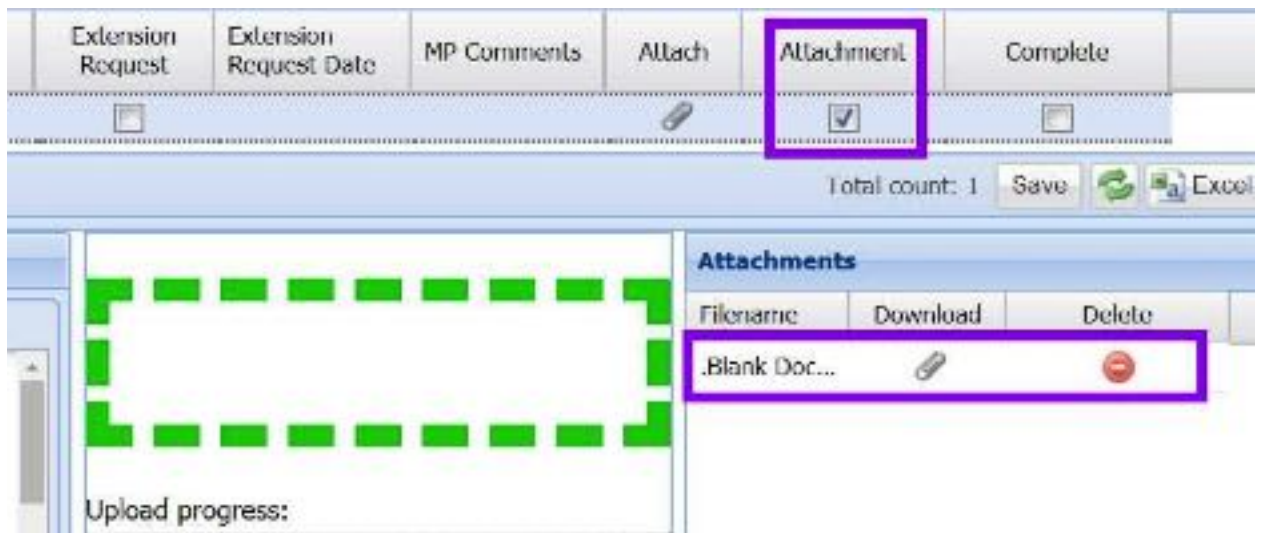
To Upload a File

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

Figure 125: Attaching a File Utilizing Browse Feature



Figure 126: Verify Documentation Attachment



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

To Complete a Documentation Request

To complete a single documentation request for submission

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

To complete multiple documentation requests for submission

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

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

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

10. Performing SCR-Specific Tasks

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

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

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

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

Corrections may be made to the add-back kW values or the baseline kW value of a resource during the calendar event for enrolling resources or during the calendar event for reporting Provisional ACL and Incremental ACL verification data, respectively. The MP must contact the TO directly for corrections to resource TO add-back kW values. The MP must contact the NYISO directly for corrections to resource DADRP add-back kW values or DSASP baseline kW values. Contact information for each TO reporting 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/DADRP Add-back kW and DSASP Baseline kW Values

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

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

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

- Transmission owner
- Submittal date – from
- Submittal date – to

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

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

Pre-requisites

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

To view summary of TO/DADRP add-back and DSASP baseline kW values

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

Figure 127: Resource ACL Adjustment Page Search Filters



3. Optionally, further limit the scope of resource add-back or baseline values to be displayed by the system to only a specific **Transmission Owner, Zone, Submittal Date-From**, and/or **Submittal Date-To** by choosing the applicable option(s) from 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 128).

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



Resource ID	TO Account Number	Applicable Capability Period	TO Add-back	DSASP Baseline	DADRP Add-back
123456789	987654321	Summer 2014	10	5	3
10112131	108712345	Summer 2014	15	8	4
418181718	98432187	Summer 2013	12	6	5

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

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

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

Adjustment Summary Grid

Resource Adjustment Summary

Accounts ID	TO Account Number	Applicable Capability Name	TO Add Back	DSASP Status	DADR Add Back
12345678	12345678	Summer 2011	2	[X]	[X]
87654321	87654321	Summer 2011	[X]	[X]	[X]
11111111	11111111	Summer 2011	[X]	[X]	[X]

Adjustment Details

Peak Load Date and HB: Reported Adjustment kW: Adjustment Source

Capability Period: 07/08/2011 18

Reported Adjustment kW: [X]

Adjustment Source: Reporting TO Name

10.1.2. Viewing Details of Resource Adjustment kW Values

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

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

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

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

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

Pre-requisites

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

 **To view details of Resource Adjustment kW values**

1. From the **SCR** menu, choose **Resource ACL Adjustment**.

The system displays the Resource ACL Adjustment page.

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

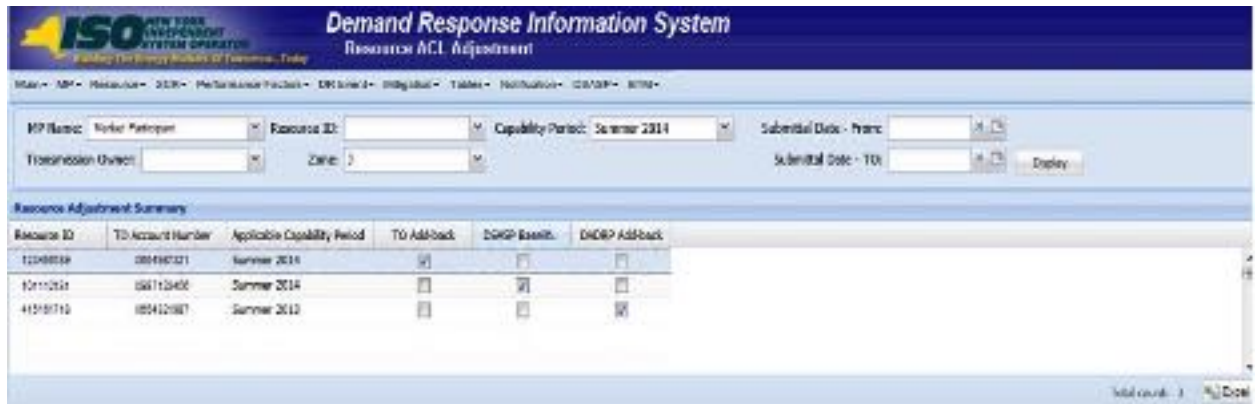
Figure 130: Resource ACL Adjustment Page Search Filters



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

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

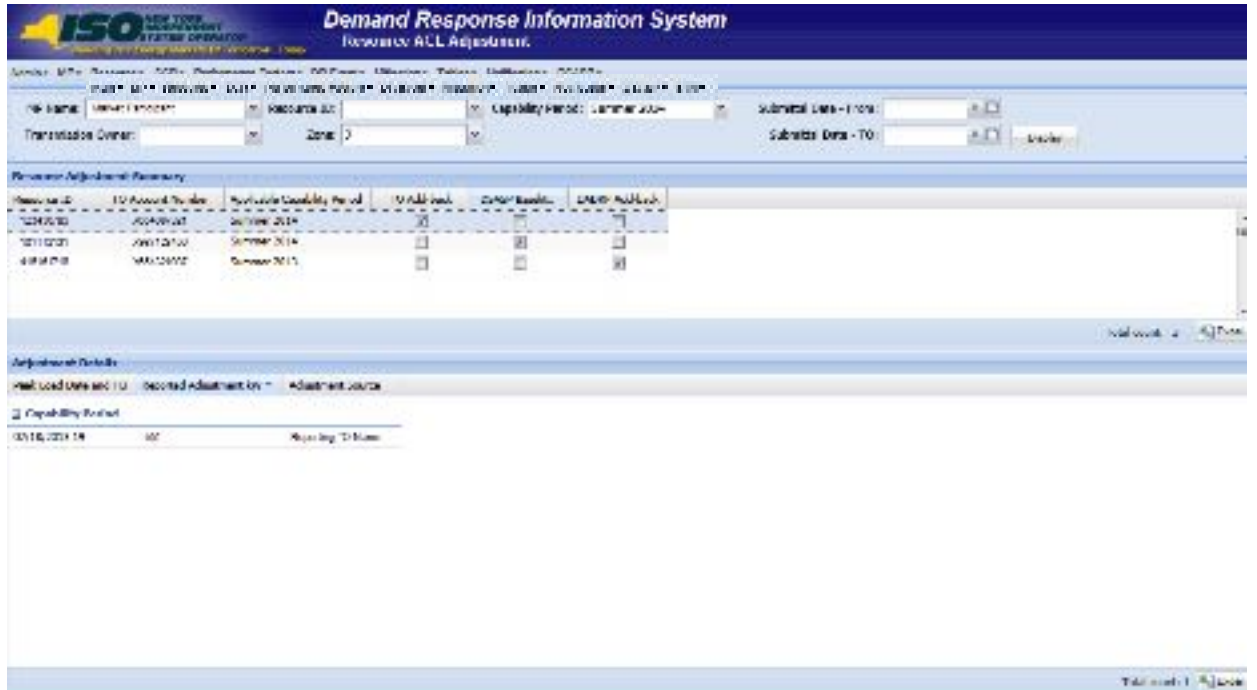
Figure 131: Resources with Adjustment Values for the Selected Capability Period



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

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

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



10.2. Managing Aggregations

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

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

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

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

10.2.1. Requesting New Aggregation IDs

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

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

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

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

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

Pre-requisites

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

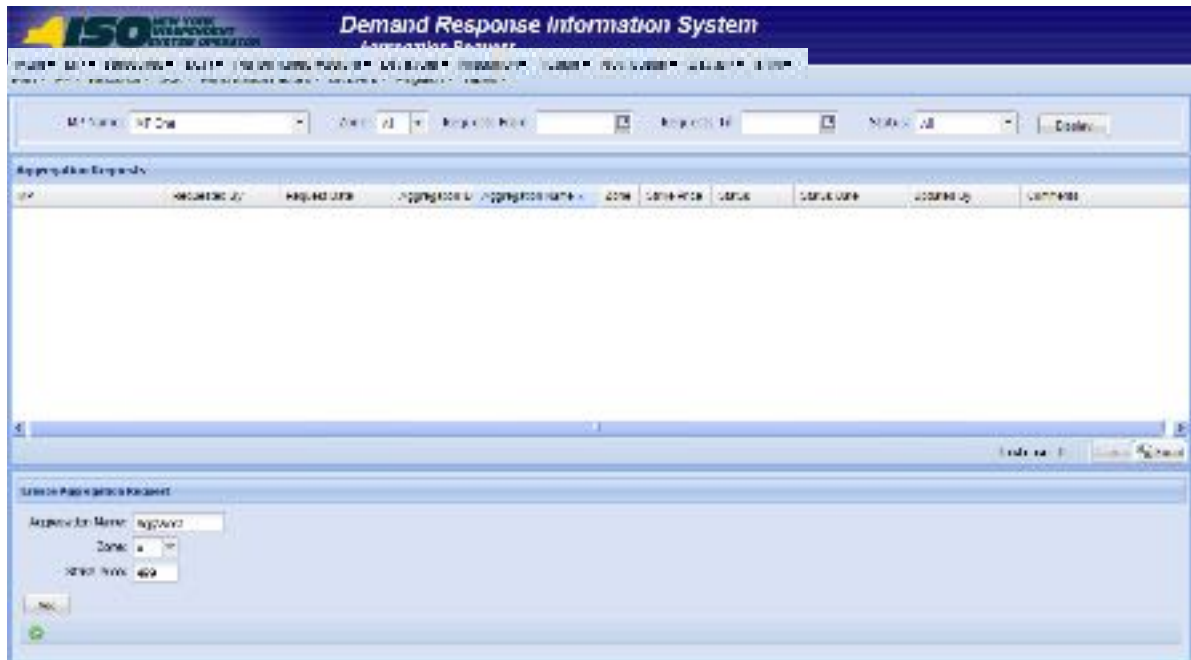
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The DRIS Event Calendar indicates that the time frame for requesting new aggregation IDs is open (refer to Section 2.1).
- The MP representative performing the task is logged in to DRIS (see Section 1.3,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

 **To request a new aggregation ID**

1. From the **SCR** menu, choose **Aggregation 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 133).

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

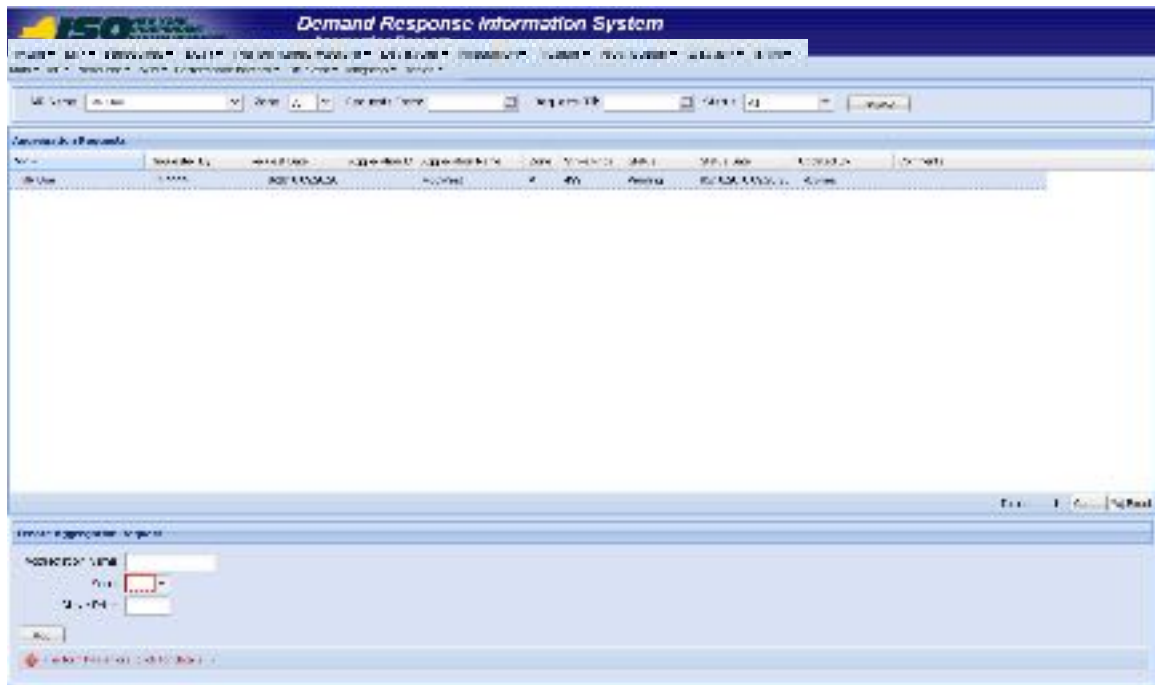
Figure 133: Aggregation Request Page with Required Data Provided



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

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

Figure 134: Aggregation Request Page Reflecting a Pending Request



10.2.1.1. Monitoring the Status of Aggregation ID Requests

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

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

Pre-requisites

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

To monitor aggregation ID requests

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

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

Note: The status categories displayed for aggregation ID requests are *Pending* (for requests earmarked for and awaiting NYISO review), *Approved* (for previously pending requests that have been reviewed and accepted by the NYISO), *Denied* (for previously pending requests that have been reviewed and rejected by the NYISO), or *Cancelled* (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.

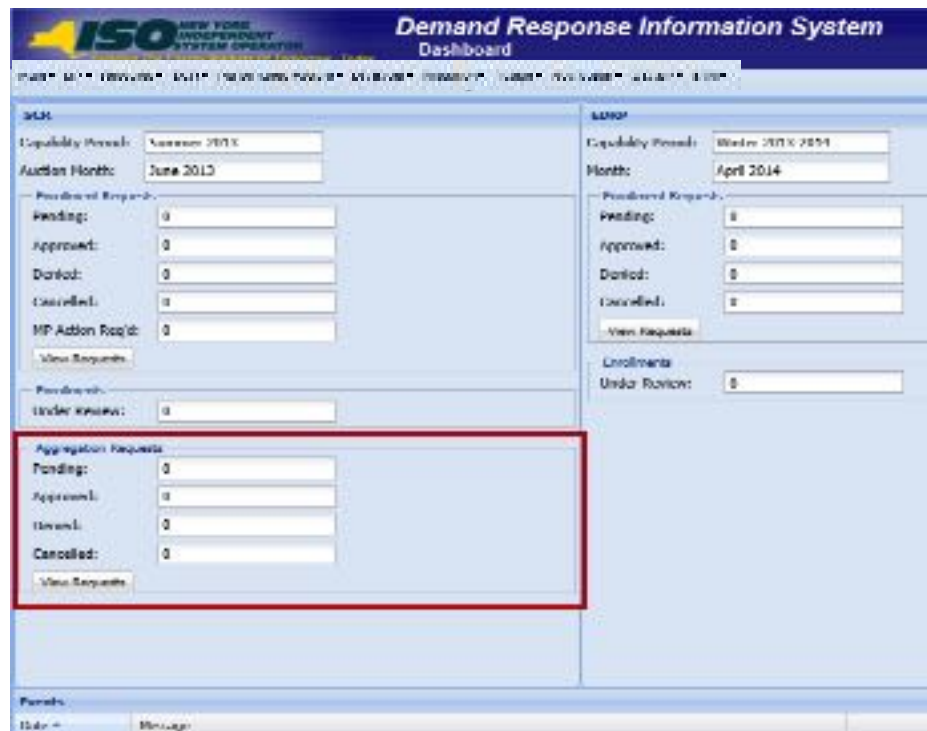
- Under the **Aggregation Requests** heading in the left uppermost pane, click the **View Requests** button.

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

The system displays the Aggregation Request page.

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

Figure 135: Aggregation Requests Area of Dashboard



- Limit the scope of the aggregation ID requests to be viewed:

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

OR

To view all requests, proceed directly to step 4.

Figure 136: Aggregation Request Page Display Filters



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 134).

5. Review the displayed aggregation ID requests, particularly the *Status* of each request, as reflected in the corresponding column.

Note: The data displayed in the Aggregation Requests grid may be downloaded in Excel format. To do so, click the **Excel** button in the lower-right corner of the page, then via the displayed dialog box, take the requisite steps to either open or save the file.

10.2.1.2. Canceling Aggregation ID Requests

The MP can cancel an aggregation ID request as long as the request is still pending approval.

Whenever an aggregation ID request is canceled, the system retains all information related to the request for subsequent review but does not create the aggregation ID.

Pre-requisites

- The MP previously requested one or more new aggregation IDs for a specific auction month, and that auction month is still designated as open for new aggregation IDs according to the DRIS Event Calendar (refer to Section 2.1).

- The MP aggregation ID requests to be canceled are still pending approval.
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

 **To cancel an aggregation ID request**

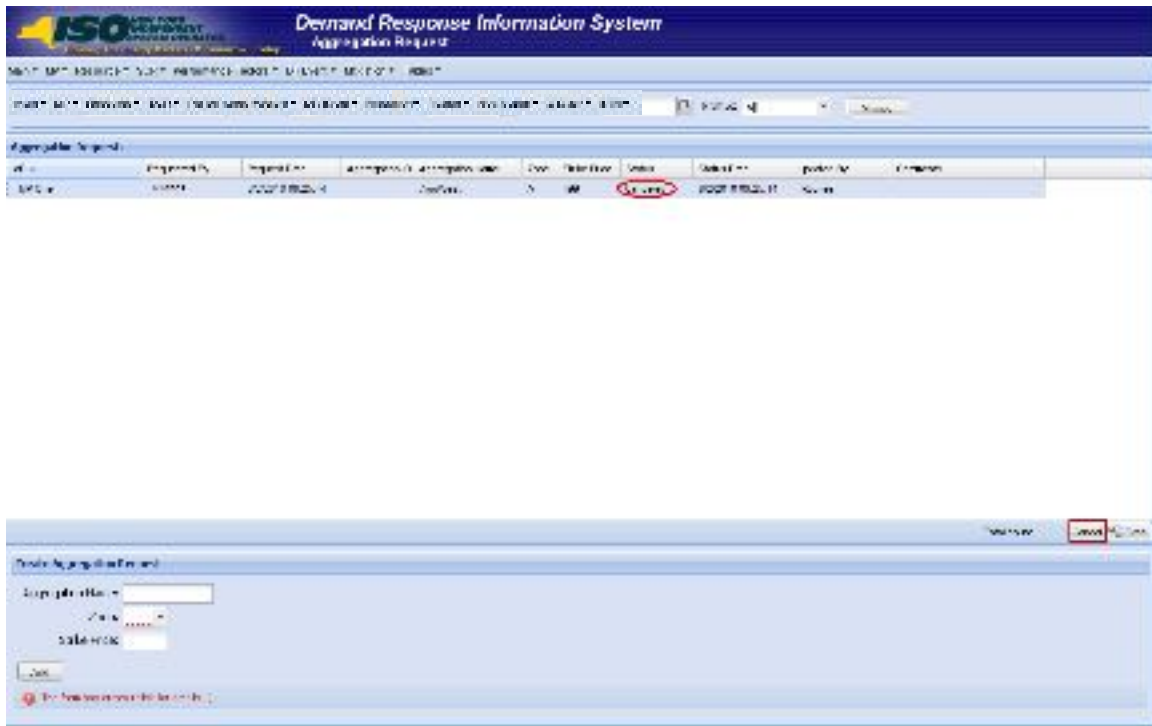
Note: If the Aggregation Request page has already been accessed and the desired request found, skip to step 4.

1. From the **SCR** menu, choose **Aggregation 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 136), then proceed to step 3.

OR

 - To view all requests, proceed directly to step 3.
3. Near the top of the page, activate the **Display** button.
The system populates the Aggregation Requests grid in the middle frame with all aggregation ID requests meeting the criteria chosen at step 2.
4. In the Aggregation Requests grid, click the row housing the request to be canceled.
5. On the right side of the status bar just below the Aggregation Requests grid, click the **Cancel** button (see Figure 137).
The system nullifies the aggregation ID request and changes the corresponding status from *Pending* to *Canceled* in the Aggregation Requests grid (see Figure 137), while also increasing the number of *Canceled* aggregation requests and decreasing the number of *Pending* aggregation requests by 1 on the DRIS Dashboard.

Figure 137: Aggregation Request Page Illustrating Canceled Request



10.2.2. Managing Strike Prices

The MP initially specifies aggregation strike price as part of requesting a new aggregation ID. Aggregation strike prices remain in effect until modified, which can be done only within the time frames for strike price management as specified on the DRIS Event Calendar (refer to Section 2.1), and take effect the first day of the month specified by the MP.

The MP can either nullify or update any changed strike price yet to take effect, assuming the applicable time frame for strike price management is still open according to the DRIS Event Calendar.

10.2.2.1. Changing a Strike Price across Auction Months

Aggregations strike prices can be modified within the time frame for strike price management as specified on the DRIS Event Calendar (refer to Section 2.1), with the changes taking effect the first day of the month specified by the MP.

Pre-requisites

- The MP has one or more aggregations.

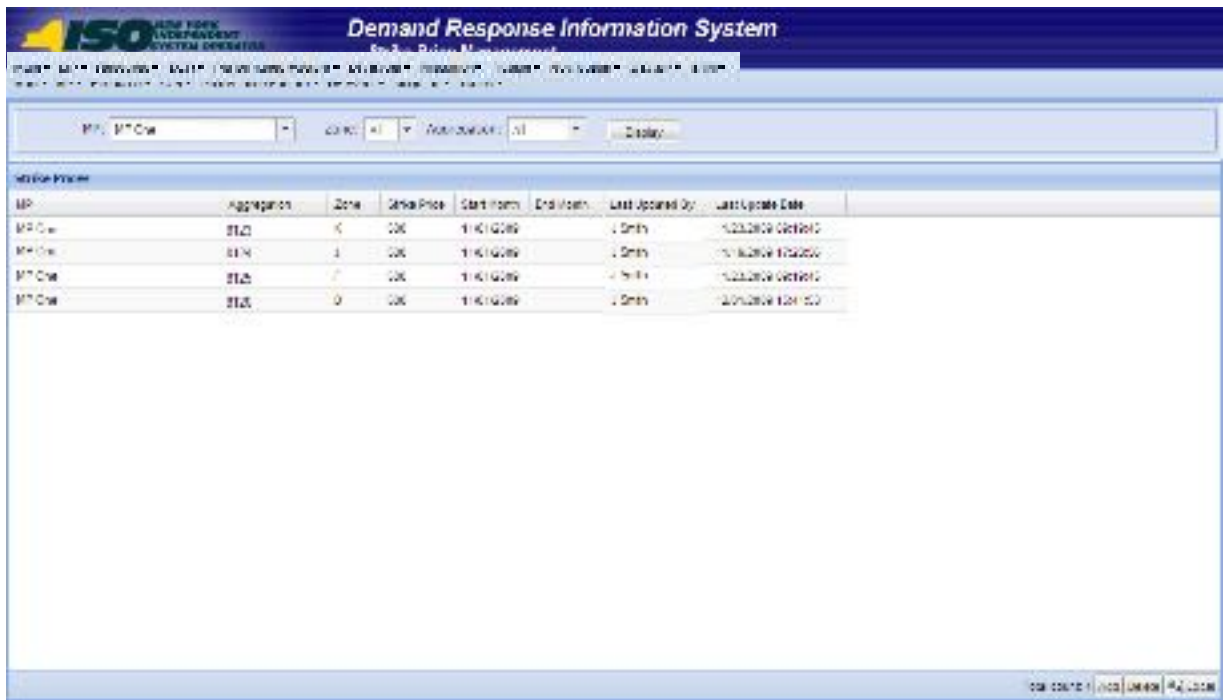
- The time frame for strike price management is open as specified on the DRIS Event Calendar (refer to Section 2.1)
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

 **To change a strike price**

1. From the **SCR** menu, choose **Strike Price Management**.

The system displays the Strike Price Management page, where the Strike Prices grid is populated with strike prices for all aggregations (see Figure 138).

Figure 138: Strike Price Management Page



MP	Aggregation	Zone	Strike Price	Start Month	End Month	Last Updated By	Last Update Date
MP One	0123	0	0.06	1/1/2019		J. Smith	12/23/2019 09:28:00
MP One	0124	0	0.06	1/1/2019		J. Smith	12/23/2019 09:28:00
MP One	0125	0	0.06	1/1/2019		J. Smith	12/23/2019 09:28:00
MP One	0126	0	0.06	1/1/2019		J. Smith	12/23/2019 09:28:00

2. Optionally, limit the scope of strike price data displayed by the system:
 - To have the system display strike price data for only those aggregations in a specific **Zone** and/or for a specific **Aggregation**, choose the applicable option(s)

from the corresponding search filter(s) near the top of the page, then proceed to step 3.

OR

- To have the system continue to display strike price data for all aggregations, proceed to step 3.

3. Click the **Display** button.

The Strike Prices grid below the filters refreshes to display strike price data for each aggregation meeting the criteria chosen at step 2, including the strike price itself, the month the price took effect (i.e., the *Start Month*), and, if applicable, the last month it was in effect (i.e., the *End Month*).

4. In the lower-right corner of the Strike Price Management page, click the **Add** button. The system displays the Create dialog box.

Figure 139: Dialog Box for Creating a Strike Price



5. In the Create dialog box (see Figure 139), choose the applicable **Start Month** and **Aggregation** from the corresponding drop-down filters, type the desired **Strike Price** in the corresponding field, then click **Create** button.

A meter indicating the progress of the creation process opens then closes, after which the system displays a message box confirming that the strike price was successfully added.

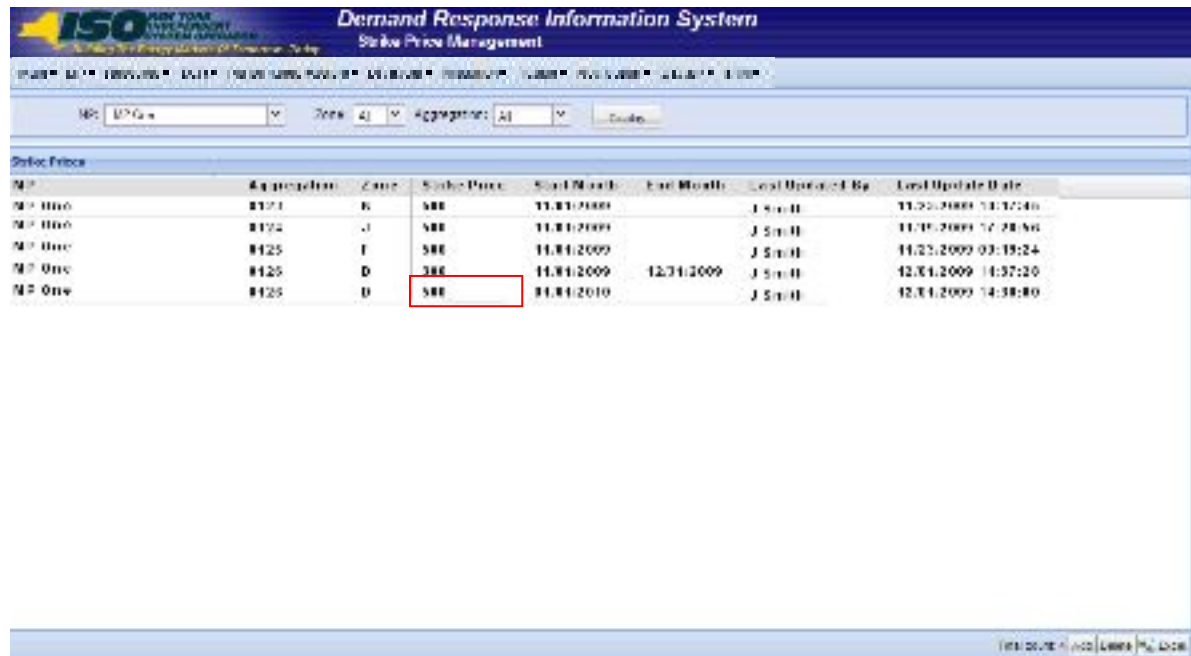
6. Click **OK** in the confirmation box.

The confirmation box closes, revealing that the system has taken the following actions (as illustrated in Figure 140):

- Added an entry to the Strike Prices grid for the new strike price and set that price to take effect the first day of the next month, as reflected in the *Start Month* column of the corresponding row (subject to conforming with the DRIS Event Calendar).
- Set the pre-existing strike price to expire on the last day of the current month, as reflected in the *End Month* column of the corresponding row in the Strike Prices grid.

Note: The data displayed in the Strike Prices grid can be downloaded in Excel format by clicking the **Excel** button in the lower-right corner of the page then via the displayed dialog box, taking the requisite steps to either open or save the file.

Figure 140: Strike Price Management Page Illustrating Change of an Aggregation Strike Price



MP	Aggregation	Zone	Strike Price	Start Month	End Month	Last Modified By	Last Update Date
MP One	R121	B	500	11.01.2009		J Smith	11.20.2009 13:17:46
MP One	R124	J	500	11.01.2009		J Smith	11.19.2009 12:28:56
MP One	R125	F	500	11.01.2009		J Smith	11.23.2009 03:19:24
MP One	R125	D	500	11.01.2009	12.31.2009	J Smith	12.01.2009 11:37:20
MP One	R125	D	500	11.01.2010		J Smith	12.01.2009 14:38:00

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 1.3, "Accessing the System").

To update a strike price

1. From the **SCR** menu, choose **Strike Price Management**.

The system displays the Strike Price Management page, where the Strike Prices grid is populated with strike prices for all aggregations.

2. Optionally, limit the scope of strike price data displayed by the system:

- To have the system display strike price data for only those aggregations within a specific **Zone** and/or for a specific **Aggregation**, choose the applicable option(s) from the corresponding search filter(s) near the top of the page, then proceed to step 3.

OR

- To have the system continue to display strike price data for all aggregations, proceed to step 3.

3. Click the **Display** button.

The Strike Prices grid below the filters refreshes to display strike price data for each aggregation meeting the criteria chosen at step 2, including the strike price itself, the month the price took effect (i.e., the *Start Month*), and, if applicable, the last month it was in effect (i.e., the *End Month*).

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 141).

Figure 141: Input Area for Updating a Previously Changed Strike Price



5. In the **Strike Price** input field, type the desired strike price.

6. Beneath the Strike Price field, click the **Update** button.

A meter indicating the progress of the update process opens then closes, after which the updated strike price is displayed in the *Strike Price* column of the row for the aggregation.

10.2.2.3. Deleting a Changed Strike Price

The MP can delete a changed strike price that has not yet taken effect, as long as the applicable time frame for strike price management is still designated as open according to the DRIS Event Calendar (refer to Section 2.1).

In processing such a change, DRIS removes the most recently designated strike price for the aggregation in question and nullifies the end date of the strike price that was in effect for that aggregation immediately prior to the most recently implemented change.

Pre-requisites

- The MP previously changed the strike price to take effect beginning with the next auction month, and the auction month in question is still designated as open for strike price management on the DRIS Event Calendar (refer to Section 2.1).
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

To delete a changed strike price

1. From the **SCR** menu, choose **Strike Price Management**.

The system displays the Strike Price Management page, where the Strike Prices grid is populated with strike prices for all aggregations.

2. Optionally, limit the scope of strike price data displayed by the system:
 - To have the system display strike price data for only those aggregations in a specific **Zone** and/or for a specific **Aggregation**, choose the applicable option(s) from the corresponding search filter(s) near the top of the page, then proceed to step 3.

OR

- To have the system continue to display strike price data for all aggregations, proceed to step 4.
3. Click the **Display** button.
The Strike Prices grid below the filters refreshes to display strike price data for each aggregation meeting the criteria chosen at step 2, including the strike price itself, the month the price took effect (i.e., the *Start Month*), and, if applicable, the last month it was in effect (i.e., the *End Month*).
 4. In the **Strike Prices** grid, click the row housing the previously changed strike price to be deleted.
 5. In the lower right corner of the Strike Price Management page, click the **Delete** button (refer to Figure 140).

A meter indicating the progress of the deletion process opens then closes, after which the previously changed strike price is removed from the Strike Prices grid, and the end date of the strike price that was in effect prior to the most recent change is nullified, as reflected in the *End Date* column of the row for the aggregation.

10.2.3. Viewing Aggregation Data

At any time, the MP may view aggregation data, ascertaining at a glance data for all *Enrolled* resources within the aggregation for the month.

Pre-requisites

- The MP has enrolled resources in the SCR program, as outlined under section 7.
- The MP representative performing the task is logged in to DRIS (see Section 1.3 "Accessing the System").

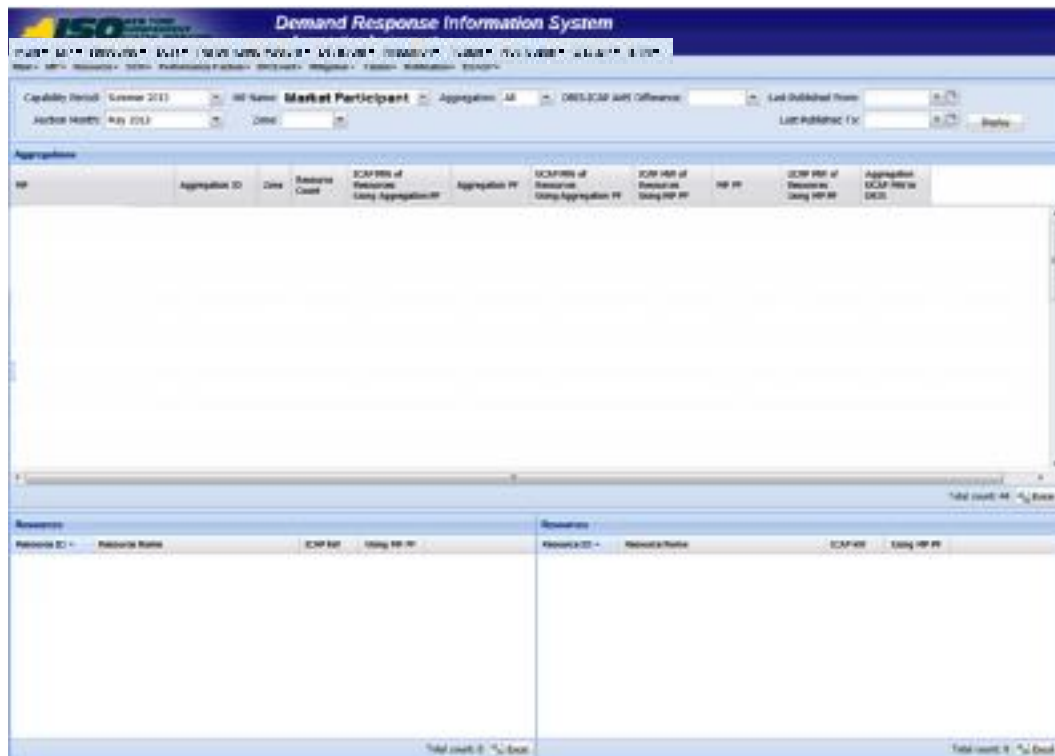
To view aggregation data

1. From the **SCR** menu, choose **Aggregation Assignment**.
The system displays the Aggregation Assignment page.
2. From the corresponding search filters near the top of the page, choose the **Capability Period** and **Auction Month** for which the system should display aggregation data.

3. Optionally, further limit the scope of aggregation data to be displayed by the system to a specific **Zone** by choosing the applicable option from the corresponding search filter near the top of the page.
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 142).

Note: The data displayed in the Aggregations grid can be downloaded by clicking the **Excel** button in the lower-right corner of the page, then via the displayed dialog box, taking the requisite steps to either open or save the file.

Figure 142: Aggregation Assignment Page



To view data for resources assigned to the aggregation

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

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 142).
7. From the **Aggregations** grid, click and drag to one of the panes in the lowermost frame the aggregation for which details will be viewed.

The system displays in the target pane all resources currently assigned to the aggregation and highlights the row in the Aggregations grid the same color as the title bar in the destination pane (see Figure 143).

The data displayed for each resource currently assigned to the aggregation includes the resource ID, resource name, resource ICAP kW, 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 143: Aggregation Assignment Page Showing Resources for an Aggregation

Aggregation	Market Participant	Capacity (MW)	UCAP (MW)	UCAP (MW)	UCAP (MW)	UCAP (MW)	UCAP (MW)	UCAP (MW)	UCAP (MW)	UCAP (MW)	
Market Participant		125	3	5	47,502	8,980	48,25	5,551	7,325	8,857	43.7

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.

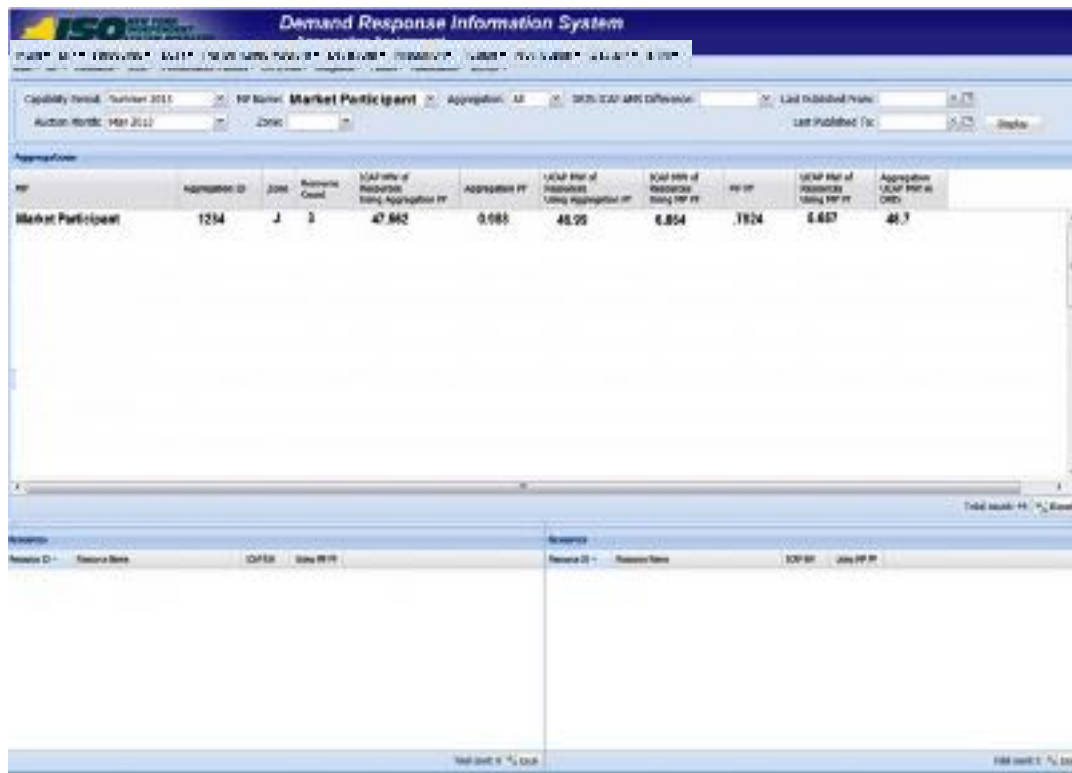
Pre-requisites

- 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 1.3, "Accessing the System").

To view aggregation performance factor 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, 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 144).
6. In addition, the following data is now made viewable: aggregation performance factor and aggregation UCAP MW in DRIS (see Figure 144).

Figure 144: Aggregation Assignment Screen Showing Aggregation Performance Factor and UCAP Value



Resource ID	Zone	Resource Count	UCAP Rate of Resources Using Aggregation FF	Aggregation FF	UCAP Rate of Resources Using Aggregation FF	UCAP Rate of Resources Using FF FF	FF FF	UCAP Rate of Resources Using FF FF	Aggregation UCAP Rate as ORD
Market Participant 1234	J	3	47.842	0.085	45.95	6.854	1924	6.657	46.7

10.2.3.2. Exporting Aggregation Performance Factor Details

DRIS makes aggregation performance factor details available for download, through the Aggregation Performance Factors Export. The Aggregation Performance Factors Export may be exported after the close of the SCR Enrollment period for the Capability Period and auction month, as specified on the DRIS Event Calendar (refer to Section 2.1).

Resource details viewable on the export include enrollment data and event or test response data used in the calculation of the aggregation performance factor for the Capability Period and auction month.

Resources that are *Pending* an enrollment request or have been placed *Under Review* by the NYISO, are not included in the calculation of the aggregation performance factor and will not appear on the Aggregation Performance Factors Export until the resource *Pending* or *Under Review* status is resolved.

Pre-requisites

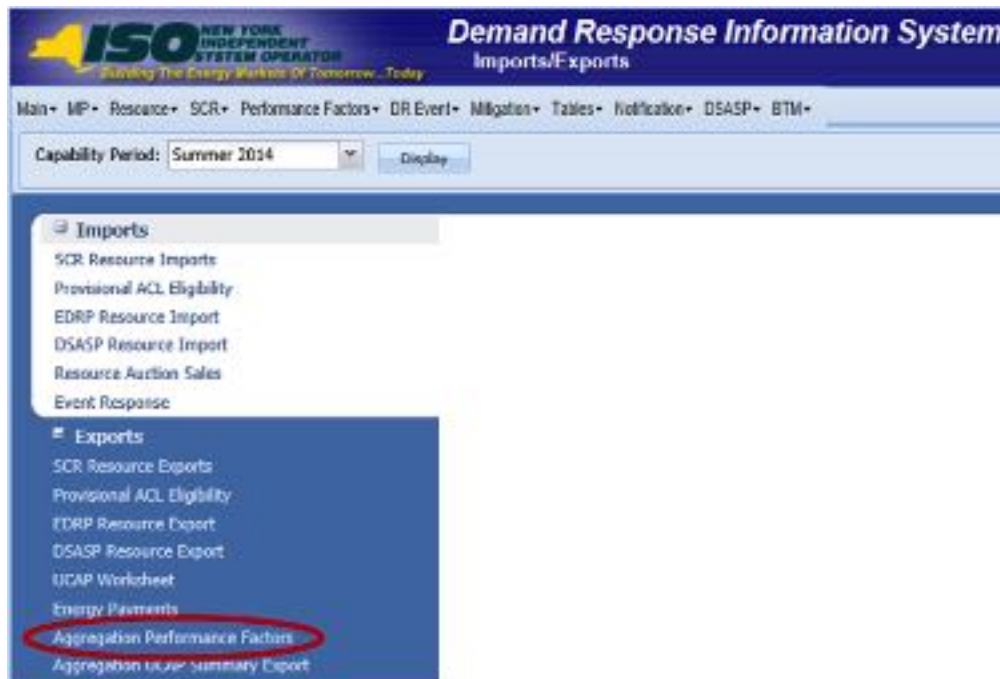
- The SCR enrollment period for the auction month for which the MP wants to export aggregation performance factor details has closed, according to the DRIS Event Calendar (refer to Section 2.1).
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

 **To export aggregation performance factor details**

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

The system displays the Imports/Exports page (see Figure 145).

Figure 145: Import/Export Page Showing Aggregation Performance Factors Export Option



8. 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.

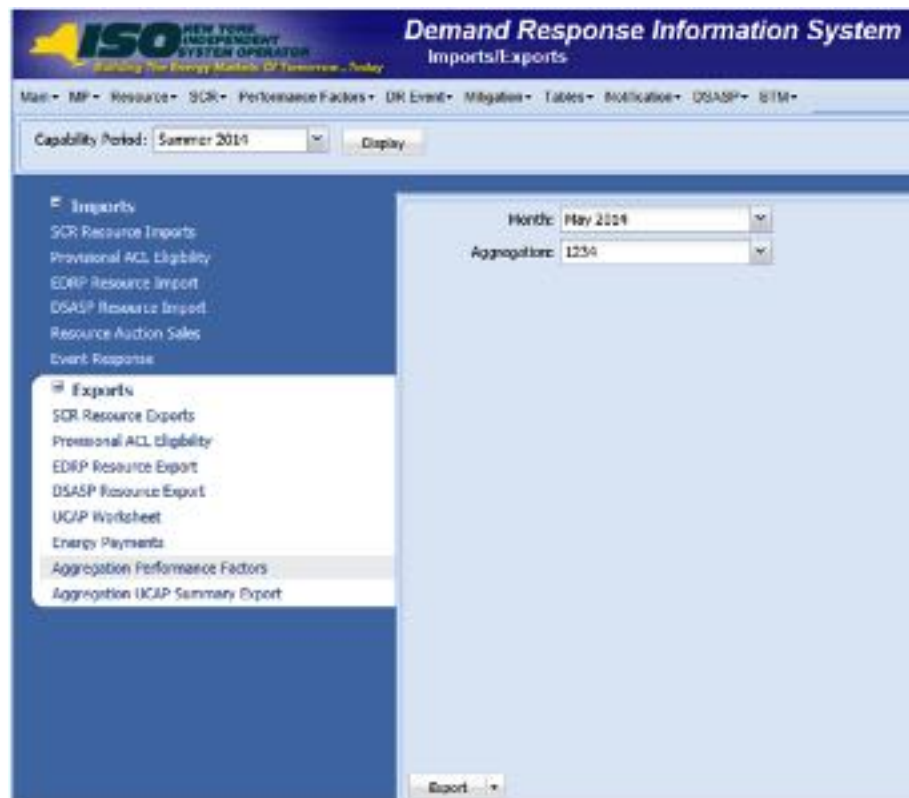
9. Beside the Capability Period filter, click the **Display** button.

The system makes available the middle frame.

9. Under the Exports heading in the left pane of the middle frame, choose **Aggregation Performance Factors**.

The system refreshes the right pane of the middle frame to display additional filters along with a button to initiate download of the file (see Figure 146).

Figure 146: Filters for Exporting an Aggregation Performance Factors File



10. From the corresponding filter in the right pane of the middle frame, choose the applicable **Month and Aggregation**.
11. Click the **Export** button, located in the lower-left corner of the right pane in the middle frame.

The system displays a dialog box via which the aggregation performance factors file can either be saved or opened.

12. Take the requisite steps to either save or open the aggregation performance factors file.

The aggregation performance factors file for the chosen Capability Period, month, and aggregation is either saved to the designated location or displayed on screen.

View aggregation performance factors export

1. The Aggregation Performance Factors export displays export header information in the form of the Capability Period, auction month, and aggregation ID for which the file was exported, in the upper left corner of the export (see Figure 147).
2. Displayed directly below the file header information is each Event and Event Date and Hour Beginning being evaluated for use in the aggregation performance factor calculation (see Figure 147).

Figure 147: Aggregation Performance Factors Export File

Aggregation ID		Capability Period							Auction Month		Aggregation ID	Aggregation Month	Aggregation Day	Aggregation Hour
Event Type	Event Date/HR	1	2	3	4	5	6	7	8	Agg ID	Agg Mth	Agg Day	Agg Hour	
00	01/21/2011 11:00													
Resource ID	01/21/2011 11:00	001000	001000	001000	001000	001000	001000	001000	001000	001000	01	21	11	
Resource ID	01/21/2011 11:00		264	115	50				50	45				
Resource Net AC	01/21/2011 11:00		264	226	115				50	324				
Resource AMC	01/21/2011 11:00													
Resource Capacity Factor	01/21/2011 11:00		C	C	E				3	3				
01	01/21/2011 11:00													
Resource ID	01/21/2011 11:00	001000	001000	001000	001000	001000	001000	001000	001000	001000	01	21	11	
Resource ID	01/21/2011 11:00									100				
Resource Net AC	01/21/2011 11:00									100				
Resource AMC	01/21/2011 11:00													
Resource Capacity Factor	01/21/2011 11:00									0				
02	01/21/2011 11:00													
Resource ID	01/21/2011 11:00	001000	001000	001000	001000	001000	001000	001000	001000	001000	01	21	11	
Resource ID	01/21/2011 11:00		10	260	115	50			50	415				
Resource Net AC	01/21/2011 11:00		600	C	160	70			500	3				
Resource AMC	01/21/2011 11:00									100				
Resource Capacity Factor	01/21/2011 11:00		3	C	C	80.4			500	3				

3. For each resource within the aggregation, the following enrollment data and event or test hourly response data is displayed (see Figure 148):

- *Resource ID*
- *Resource Declared Value:*
 - Test Hour = the maximum DV of the resource in the Capability Period
 - Event Hour = the DV of the resource enrollment for the month in which the event occurred
- *Resource NetACL:* ACL for the Capability Period, including any Shutdown kW or Incremental kW values for the auction month
- *Resource AMD:* metered kW of the resource for the event or test hour
- *Resource Capacity Reduction:*
 - Resources enrolled with a Response Type equal to C or B = Net ACL – AMD, when Capacity Reduction is negative set to zero
 - Resources enrolled with Response Type equal to G = AMD
- *Proxy Test Indicator:*
 - A row will be displayed when the Event Type is the First Performance Test in a Capability Period
 - Displays a "Y" indicating that the test record contains Proxy Values for the First Performance Test
 - Displays a "N" indicating the values are from the actual First Performance Test in a Capability Period

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

Figure 148: Aggregation Performance Factors Export File

Row	Event Type	Event Description	Resource 1	Resource 2	Resource 3	App MW	App AC	App MW	App Capacity	App Selection	App Rate	App Act	App Hour	App Act
1		Summer 2016												
2		Aggreg. 2016												
3		Aggregation 1254												
4		Event Type												
5		Event Description												
6	Level	06/17/2016 16:20	Resource 1	Resource 2	Resource 3	App MW	App AC	App MW	App Capacity	App Selection	App Rate	App Act	App Hour	App Act
7		Resource ID	10001	20002	30003	0.048	1.061	0.042	0.655	1.000	1		1	
8		Resource MW	75	1	255									
9		Resource Net AC	307	1	600									
10		Resource MW	307	1	200									
11		Resource Capacity Reduction	0	1	0									
12		Resource Priority Index	N		N									
13														
14	Event Type	06/18/2016 09:20												
15		Resource ID	10001	20002	30003	0.050	1.118	1.084	0.712	0.997	0		1	
16		Resource MW	150	118	450									
17		Resource Net AC	600	384	150									
18		Resource MW	480	300	300									
19		Resource Capacity Reduction	100	100	440									
20														
21														
22	Level	06/09/2016 14:20	Resource 1	Resource 2	Resource 3	App MW	App AC	App MW	App Capacity	App Selection	App Rate	App Act	App Hour	App Act
23		Resource ID	10001	20002	30003	0.15	1.020	0.015	1.154	1.000	1		1	
24		Resource MW	107	175	167									
25		Resource Net AC	300	300	600									
26		Resource MW	107	200	257									
27		Resource Capacity Reduction	250	100	100									
28		Resource Priority Index	N	Y	N									
29														
30														1.665

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 149).

Figure 149: Aggregation Performance Factors Export File

Event Type	Event Hour	Resource ID	Resource MW	Resource Capacity	Capacity Reduction	Hour	PF	Adjusted PF	Hour	PF	Adjusted PF
Test	00000000-0000	00001	20000	20000	0	0.945	1.000	0.945	0.000	1.000	1.000
		00002	100	100	0						
		00003	100	100	0						
		00004	100	100	0						
		00005	100	100	0						
		00006	100	100	0						
		00007	100	100	0						
		00008	100	100	0						
		00009	100	100	0						
		00010	100	100	0						
		00011	100	100	0						
		00012	100	100	0						
		00013	100	100	0						
		00014	100	100	0						
		00015	100	100	0						
		00016	100	100	0						
		00017	100	100	0						
		00018	100	100	0						
		00019	100	100	0						
		00020	100	100	0						
		00021	100	100	0						
		00022	100	100	0						
		00023	100	100	0						
		00024	100	100	0						
		00025	100	100	0						
		00026	100	100	0						
		00027	100	100	0						
		00028	100	100	0						
		00029	100	100	0						
		00030	100	100	0						

5. Additional hourly event or test values are displayed for the aggregation which include (see Figure 150):

- *Aggregation Raw PF* = Capacity Reduction MW of the aggregation for the event or test hour / Declared Value MW of the aggregation for the event or test hour
- *Aggregation Adjusted PF* =
 - Aggregation Raw PF for the Event/Test hour when the Aggregation Raw PF is less than or equal to 1
 - When the Aggregation Raw PF for the Event/Test hour is greater than 1, set to 1
- *Hour* = 1 indicates that the Capacity Reduction for that event or test hour is being used in the aggregation performance factor calculation
 - Event Hour is used in the calculation when the Capacity Reduction MW of the event hour is part of the block of the highest four contiguous Capacity Reduction MWs for the event
 - Test Hour: the two Capability tests are treated as one hour

Figure 150: Aggregation Performance Factors Export File

Test	Resource 1	Resource 2	Resource 3	Agg CV	Agg AC1	Agg AM1	Agg Capacity	Agg Capacity	Agg AC2	Hour	Agg PF
011526_4_1500	Resource 1	Resource 2	Resource 3	0.010	1.001	0.010	0.001	1.000	1		
	Resource DV	75	200								
	Resource MR.AC	300	300								
	Resource AM/D	300	300								
	Resource Capacity/Resuction	01	300								
	Resource Priority Test	Y		N							
011526_4_1500	Resource 1	Resource 2	Resource 3	0.020	1.075	1.001	0.712	0.800	0		
	Resource DV	100	170	400							
	Resource MR.AC	000	200	700							
	Resource AM/D	000	200	300							
	Resource Capacity/Resuction	000	150	400							
011526_4_1500	Resource 1	Resource 2	Resource 3	0.020	1.000	1.000	1.000	1.000	1		
	Resource DV	100	170	400							
	Resource MR.AC	000	200	700							
	Resource AM/D	000	200	300							
	Resource Capacity/Resuction	000	150	400							

6. The calculated aggregation performance factor is located in the lower right corner of the export (see Figure 151).

- $Agg\ PF = \frac{\text{Sum of the hourly Agg Adjusted PFs which are included (as indicated by a "1" in the Hour column)}}{\text{Sum of Hours}}$

Figure 151: Aggregation Performance Factors Export File

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	Scenario 2015													
2	Period 2015													
3	Aggregation 1234													
4														
5	Form Type	Form Data 123												
6														
7	Form	001-12345-1234	Resource 1	Resource 2	Resource 3	Agg. Net MW	Agg. Net MW	Agg. Net MW	Agg. Capacity Reduction MW	Agg. Res. PT	Agg. Adj. PT		Agg. Net PT	
8		Resource 1	10000	20000	30000	0.545	1.451	0.943	0.652	1.000	1		1	
9		Resource 2	20	0	0									
10		Resource Net ACI	100	0	0									
11		Resource ANU	300	0	0									
12		Resource Capacity Reduction	0	0	0									
13		Resource Priority Factor	0	0	0									
14														
15	Form	001-12345-1234	Resource 1	Resource 2	Resource 3	Agg. Net MW	Agg. Net MW	Agg. Net MW	Agg. Capacity Reduction MW	Agg. Res. PT	Agg. Adj. PT		Agg. Net PT	
16		Resource 1	10000	20000	30000	0.625	1.176	1.004	0.712	0.982	2		1	
17		Resource 2	100	175	175									
18		Resource Net ACI	500	350	0									
19		Resource ANU	400	300	0									
20		Resource Capacity Reduction	100	150	150									
21														
22														
23	Form	001-12345-1234	Resource 1	Resource 2	Resource 3	Agg. Net MW	Agg. Net MW	Agg. Net MW	Agg. Capacity Reduction MW	Agg. Res. PT	Agg. Adj. PT		Agg. Net PT	
24		Resource 1	10000	20000	30000	0.75	1.229	0.913	0.754	1.000	1		1	
25		Resource 2	100	175	175									
26		Resource Net ACI	500	350	0									
27		Resource ANU	320	200	0									
28		Resource Capacity Reduction	200	150	150									
29		Resource Priority Factor	0	0	0									
30														

10.2.3.3. Exporting Capability Period Summary of Aggregation UCAP Values

DRIS also makes available for download, a Capability Period summary of aggregation UCAP values, through the Aggregation UCAP Summary Export. The Aggregation UCAP Summary Export may be exported after the close of the SCR Enrollment period for the Capability Period and auction month, as specified on the DRIS Event Calendar (refer to Section 2.1).

Resources that are *Pending* an enrollment request or have been placed *Under Review* by the NYISO, are not included in the aggregation UCAP calculation for the specified auction month until the resource *Pending* or *Under Review* status is resolved.

Pre-requisites

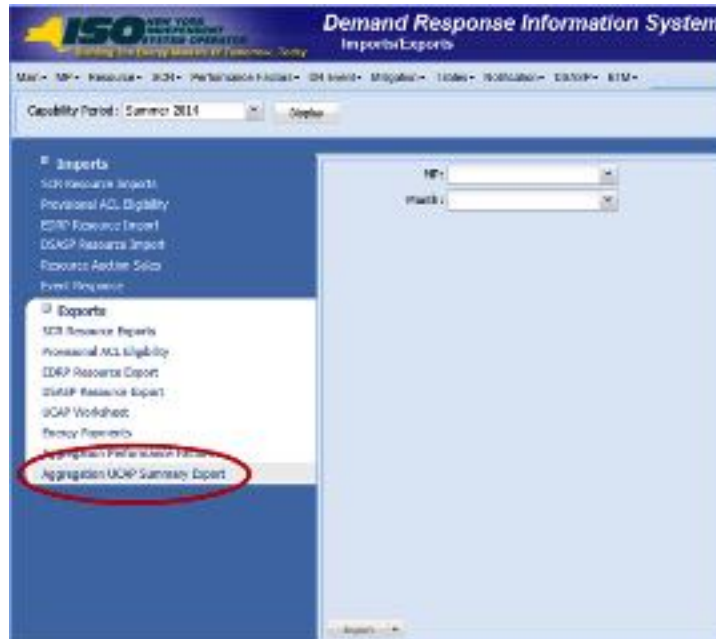
- The Aggregation Management period for the auction month for which the MP wants to export a summary of aggregation UCAP values has closed, according to the DRIS Event Calendar (refer to Section 2.1).
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

To export summary of aggregation UCAP values

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

The system displays the Imports/Exports page (see Figure 152).

Figure 152: Import/Export Page Showing Aggregation UCAP Summary Export



- 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.

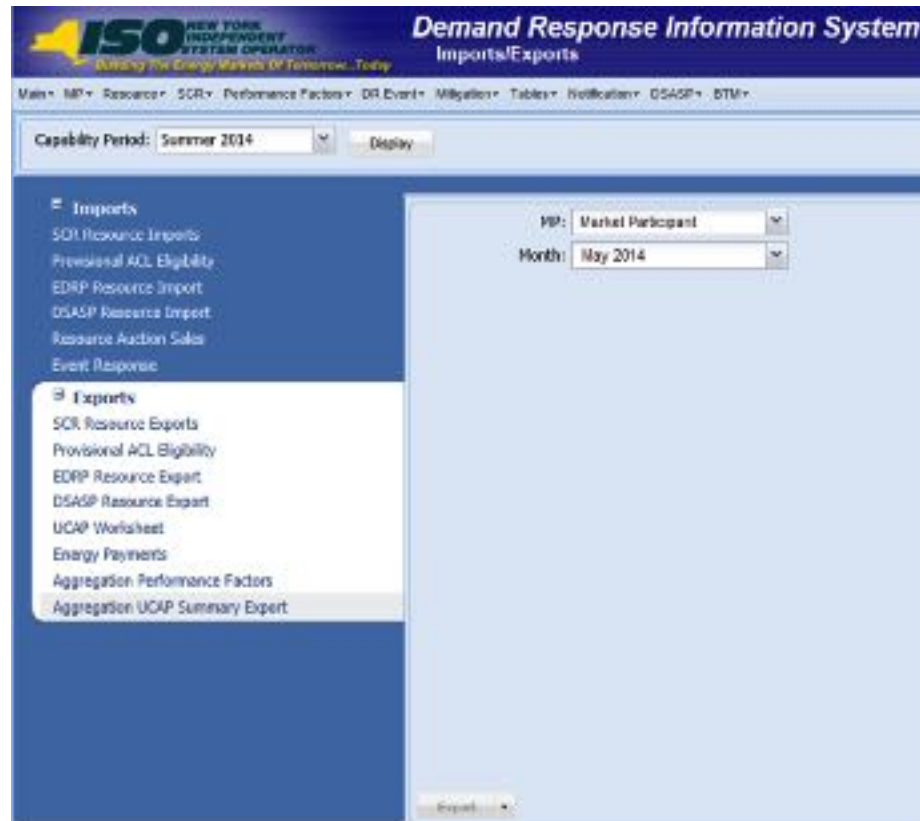
- Beside the Capability Period filter, click the **Display** button.

The system makes available the middle frame.

- Under the Exports heading in the left pane of the middle frame, choose **Aggregation UCAP Summary Export**.

The system refreshes the right pane of the middle frame to display additional filters along with a button to initiate download of the file (see Figure 153).

Figure 153: Filters for Exporting an Aggregation UCAP Summary Export



5. From the corresponding filter in the right pane of the middle frame, choose the applicable **Month**.
6. Click the **Export** button, located in the lower-left corner of the right pane in the middle frame.

The system displays a dialog box via which the aggregation performance factors file can either be saved or opened.

7. Take the requisite steps to either save or open the aggregation UCAP summary file.

The aggregation UCAP summary file for the chosen Capability Period and month is either saved to the designated location or displayed on screen.

View summary of aggregation UCAP values export

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 154).
2. Displayed below the header information is a row for each aggregation in the MP portfolio having a calculated UCAP value.

For each aggregation, the UCAP value is displayed for each auction month in the Capability Period up to and including the auction month for which the file was exported.

3. Additional information pertaining to the specific aggregations is displayed as:
 - *UCAP MW Difference*: change in UCAP MW from the selected auction month and the auction month prior to the selected auction month
 - *Under Review or Pending Resources*: displayed as an “X” when the aggregation includes any resources with a status of *Under Review* or *Pending* for the auction month selected.

Figure 154: Aggregation UCAP Summary Export File

	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	45	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 1.3, "Accessing the System").

To move resources between aggregations

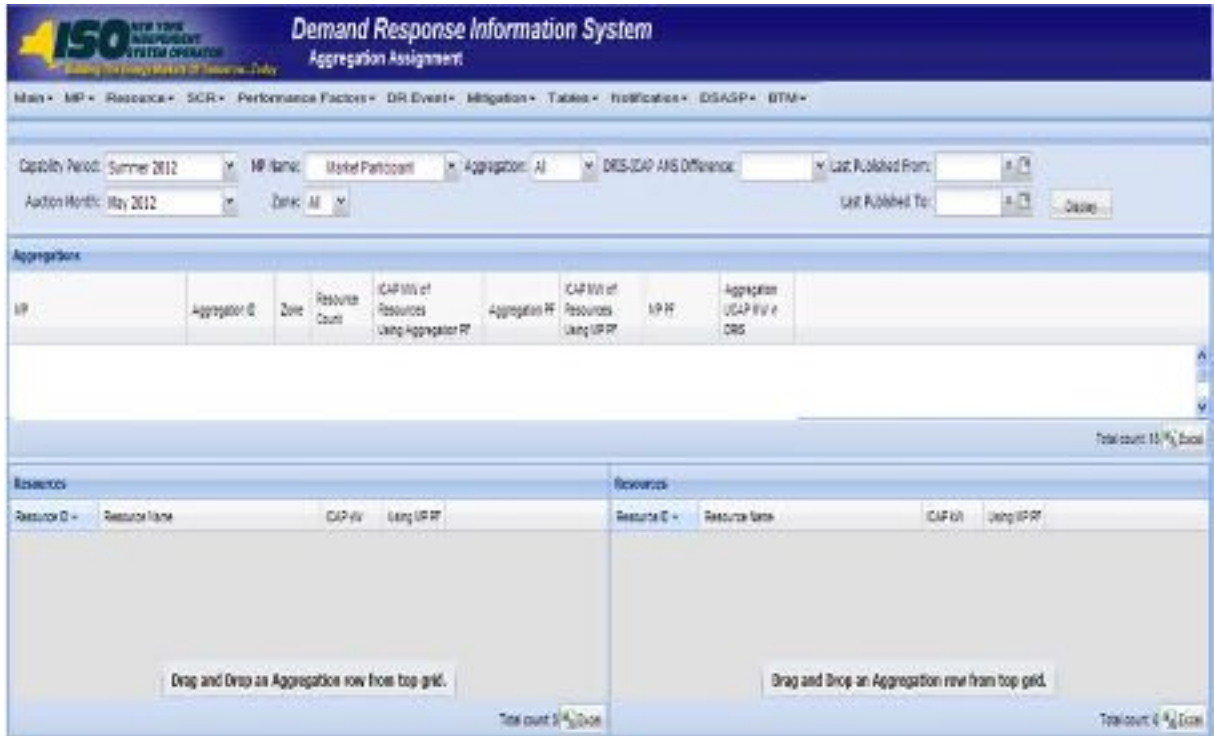
1. From the **SCR** menu, choose **Aggregation Assignment**.
The system displays the Aggregation Assignment page.
2. From the corresponding search filters near the top of the page, choose the applicable **Capability Period** and **Auction Month** (see Figure 155).

Note: Resources can be moved between aggregations only within the time frame established for aggregation management, as specified on the DRIS Event Calendar (refer to Section 2.1).

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 155: Aggregation Assignment Page as Initially Displayed



- 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, 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.

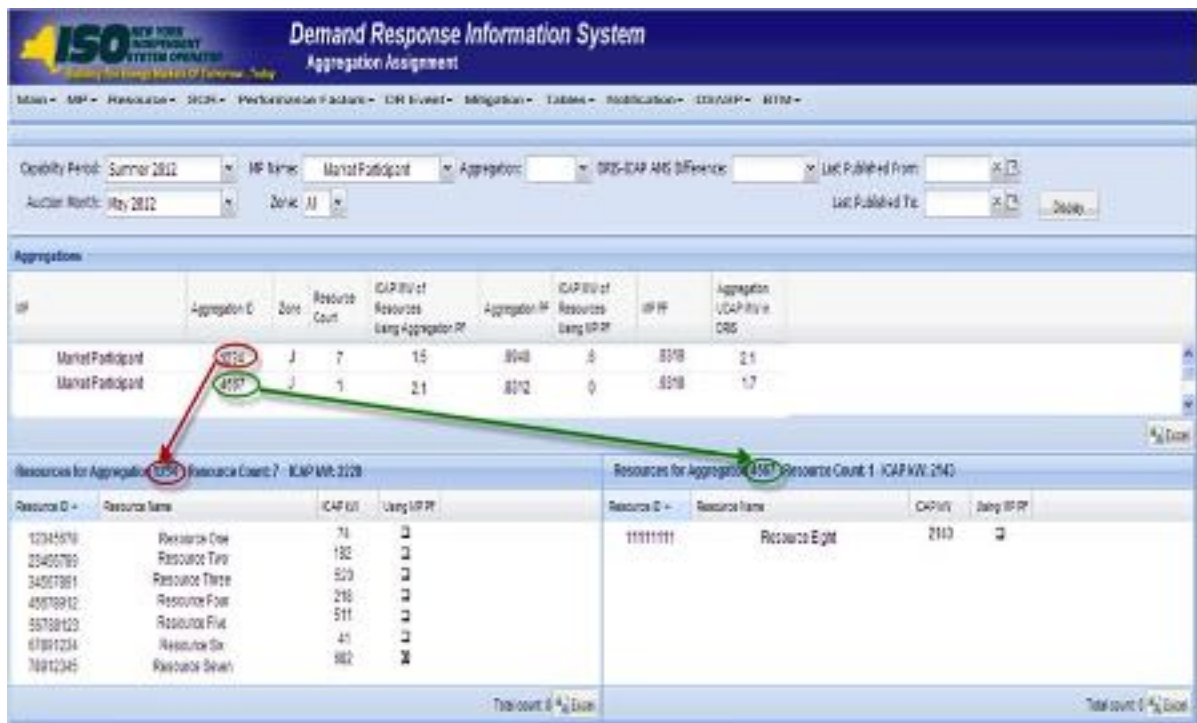
- From the **Aggregations** grid, click and drag to one of the panes in the lowermost frame the *first* aggregation between which resources are to be moved.

The system displays in the target pane all resources currently assigned to the aggregation and highlights the row in the Aggregations grid the same color as the title bar in the destination pane (see Figure 156).

- From the **Aggregations** grid, click and drag to the opposite pane in the lowermost frame the *second* aggregation between which resources are to be moved.

The system displays in the target pane all resources currently assigned to the aggregation and highlights the row in the Aggregations grid the same color as the title bar in the destination pane (see Figure 156).

Figure 156: Aggregation Assignment Page Post Preparation for Resource Reassignment



- In either the right or left pane of the lowermost frame, select all resources to be moved to the other chosen aggregation:
 - To select a single resource, click the corresponding listing.
 - To select multiple contiguous resources, click the listing for the first desired resource, press and hold the **SHIFT** key, click the listing for the last desired resource, then release the **SHIFT** key.
 - To select multiple non-contiguous resources, click the listing for the first desired resource, press and hold the **CTRL** key, click the listing for each remaining desired resource, then release the **CTRL** key.

The system highlights the selected resource listing(s).

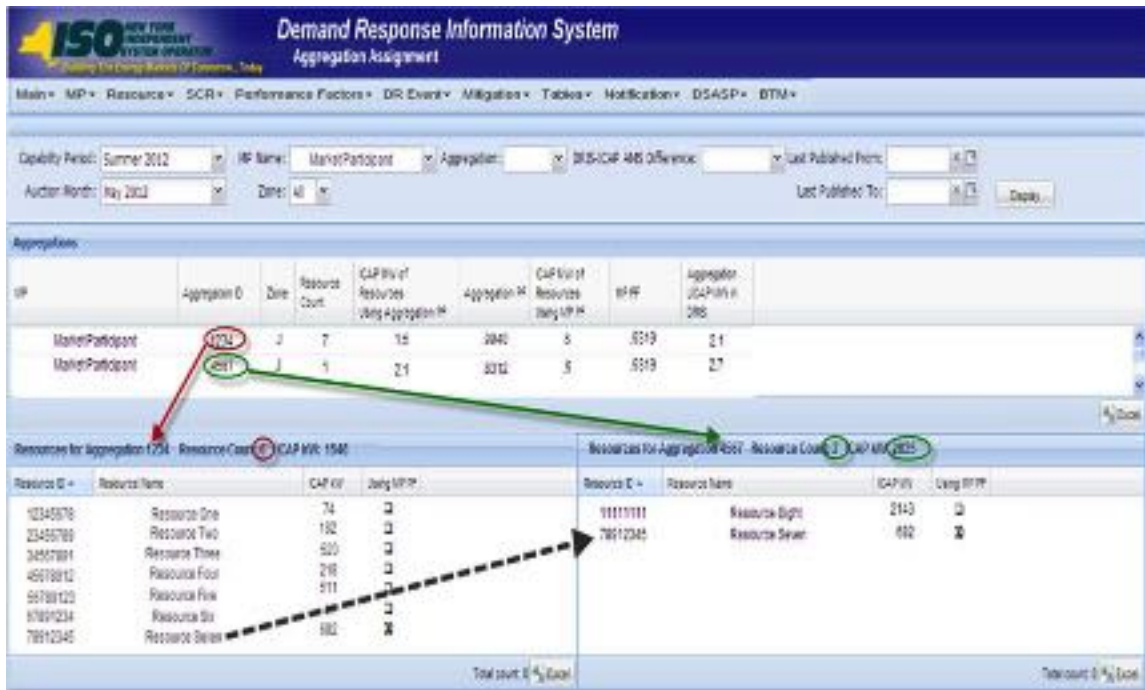
8. Move the resource(s) selected at step 7 from the current aggregation to the target aggregation by clicking and holding anywhere within the highlighted resource listings, dragging the mouse pointer to the opposite pane in the lowermost frame, then releasing the mouse button.

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 157).

The system will also automatically recalculate and display the summary aggregation values in the **Aggregation** grid for the count of resources, ICAP MW of resources using the aggregation performance factor, aggregation performance factor, ICAP MW of resource using the 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 157: Aggregation Assignment Post Resource Reassignment



10.2.5. Transfer of UCAP Values to ICAP AMS

Upon close of the aggregation management period for the upcoming auction month, as specified on the DRIS Event Calendar (refer to Section 2.1), DRIS automatically transfers the aggregation UCAP values for all Enrolled resources, to the ICAP AMS for use in the ICAP auction.

After the initial transfer of the aggregation UCAP values, Aggregation UCAP values that have changed (i.e., due to a change in the enrollment status of a resource or when a resource *Pending* request has been approved) are automatically transferred to the ICAP AMS.

Once Aggregation UCAP values are transferred to the ICAP AMS, additional information is made viewable on the DRIS Aggregation Assignment page:

- *Last Published to ICAPAMS*: Date and time UCAP value was saved in ICAP AMS.
- *UCAP MW from ICAP AMS*: Aggregation UCAP MW value as it appears in the ICAP AMS. This provides verification of the DRIS UCAP MW value that was saved in the ICAP AMS.

Pre-requisites

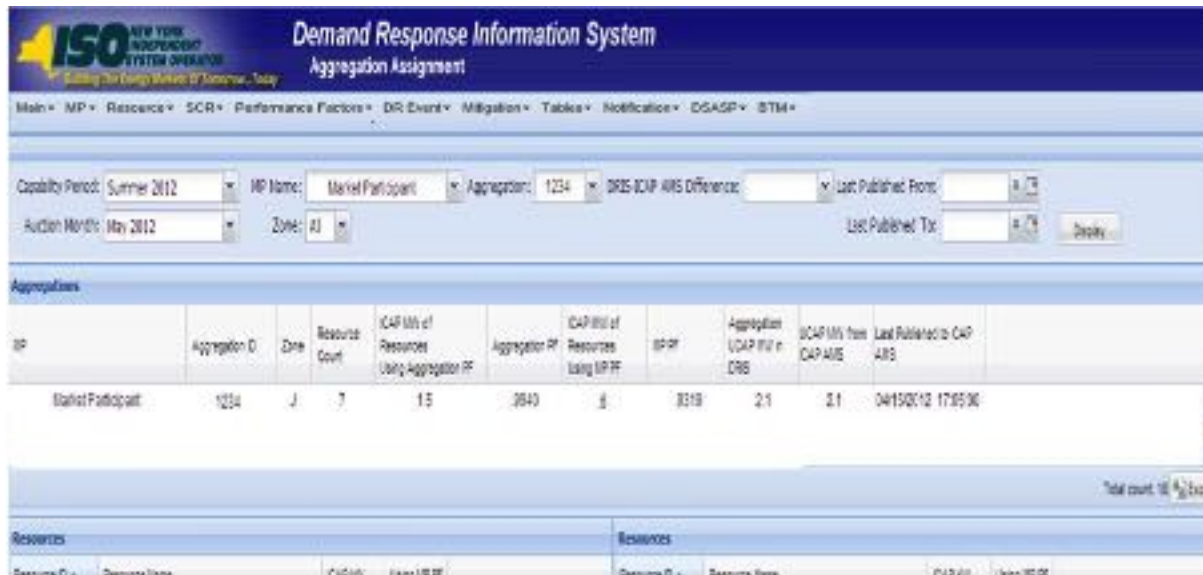
- The period for aggregation management in relation to the auction month for which the MP wants to view UCAP values transferred to ICAP AMS has ended according to the DRIS Event Calendar (refer to Section 2.1).

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

 **To view UCAP values transferred to ICAP AMS**

1. From the **SCR** menu, choose **Aggregation Assignment**.
The system displays the Aggregation Assignment page.
2. From the search filters near the top of the page, choose the **Capability Period** and **Auction Month**.
3. Optionally, further limit the scope of aggregation data to be displayed to a specific **Zone** by choosing the applicable option from the corresponding search filter near the top of the page.
4. Near the top of the page, activate the **Display** button.
The Aggregations grid below the filters refreshes to display data for each aggregation meeting the criteria chosen at steps 2 and 3, including the aggregation ID, Zone, resource count, and UCAP megawatts (see Figure 158).
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 158).

Figure 158: Aggregation Assignment Page Illustrating UCAP Values Transferred to ICAP AMS



Note: Beginning with the February 2012 ICAP auction month, the ICAP AMS Maintain DMNC page will no longer allow for manual entry of SCR PTID DMNC values. The MW value will be transferred from DRIS and displayed in ICAP AMS with the following data:

Effective Date: Effective auction month from DRIS.

Expiration Date: Last day of the Capability Period.

Date of Test: Date on which aggregation management closed in DRIS for the specified Effective Date.

Status: Will be set to Approved.

Last Updated By: Will be set to NYISO.

10.2.6. Viewing Aggregation Data Prior to Summer 2012

Aggregation UCAP values calculated prior to the Summer 2012 Capability Period are viewable in DRIS through the Aggregation Assignment – Pre Summer 2012 page. The UCAP Worksheet also remains available for the exporting of historical aggregation UCAP values calculated prior to the Summer 2012 Capability Period.

Pre-requisites

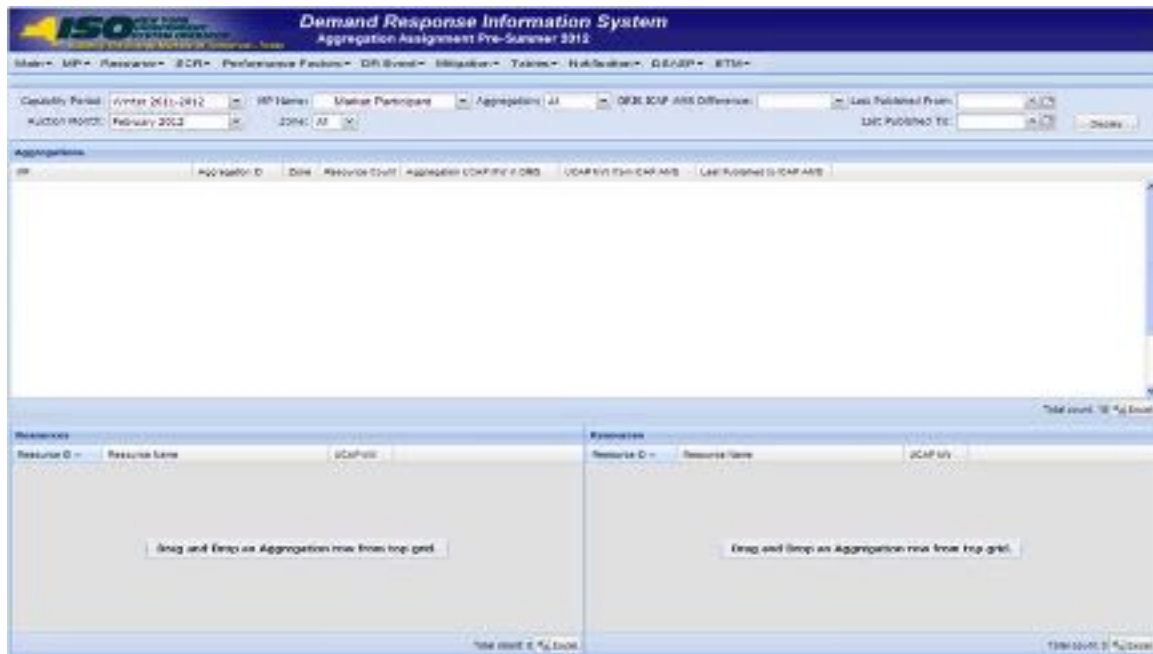
- The MP has enrolled resources in the SCR program, as outlined under Section 7.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

 **To view aggregation data prior to Summer 2012**

1. From the **SCR** menu, choose **Aggregation Assignment Pre-Summer 2012**.
The system displays the Aggregation Assignment Pre-Summer 2012 page.
2. From the corresponding search filters near the top of the page, choose the **Capability Period** and **Auction Month** for which the system should display aggregation data.
3. Optionally, further limit the scope of aggregation data to be displayed by the system to a specific **Zone** by choosing the applicable option from the corresponding search filter near the top of the page.
4. Near the top of the page, activate the **Display** button.
The Aggregations grid below the filters refreshes to display data for each aggregation meeting the criteria chosen at steps 2 and 3, including the aggregation ID, Zone, resource count and UCAP MW (see Figure 159)

Note: The data displayed in the Aggregations grid can be downloaded by clicking the **Excel** button in the lower-right corner of the page, then via the displayed dialog box, taking the requisite steps to either open or save the file.

Figure 159: Aggregation Assignment Pre-Summer 2012 Page



To view data for resources assigned to the aggregation prior to Summer 2012

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 160).
5. From the **Aggregations** grid, click and drag to one of the panes in the lowermost frame the aggregation for which details will be viewed.

- The system displays in the target pane all resources assigned to the aggregation and highlights the row in the Aggregations grid the same color as the title bar in the destination pane (see Figure 160).

The data displayed for each resource currently assigned to the aggregation includes the resource ID, resource name, and UCAP kW.

The summary data displayed for the aggregation includes the aggregation ID, resource count, and the total UCAP kW of the aggregation.

Figure 160: Aggregation Assignment Pre-Summer 2012 Page Showing Resources for an Aggregation

The screenshot shows the DRIS interface with the following data:

Aggregations Table:

Market Participant	Aggregation ID	2012 Resource Count	Aggregation BCP MW in DRD	UCAP kW for ICAP MW	Last Published to ICAP MW
Market Participant	1234	7	14.5	14.5	07/02/12 10:31:07

Resources for Aggregation 1234 - Resource Count: 7 - BCP: 14547 MW

Resource ID	Resource Name	UCAP kW
111111	Resource One	100
222222	Resource Two	100
333333	Resource Three	1000
444444	Resource Four	1000
555555	Resource Five	1000
666666	Resource Six	1000
777777	Resource Seven	100

Resources Table:

Resource ID	Resource Name	UCAP kW
Drop and Drag an Aggregation row from top grid then Drag and Drop Resources between this grid and Resource grid on left.		

10.2.6.1. Downloading UCAP Values Prior to Summer 2012

For resource and aggregation values prior to the Summer 2012 Capability Period, DRIS also makes aggregation UCAP values available for download, through the UCAP Export.

Resources that are subject to an Offer Floor will appear on the UCAP Export for the aggregation and can be found at the end of the list of resources along with their corresponding floor price.

Resources that are *Pending* an enrollment request or have been placed *Under Review* by the NYISO, will appear listed separately from their Aggregation on the UCAP Export. The Aggregation to which the resource(s) belongs will not have a total Aggregation UCAP MW listed on the UCAP Export until the resource *Pending* or *Under Review* status is resolved. A warning will appear at the top of the UCAP Export as, " Warning: One or more Aggregations contain a resource(s) with a *Pending* or *Under Review* Status. The UCAP MW values of these Aggregations are not listed on this export."

Note: Beginning with the Summer 2012 Capability Period, a summary of aggregation UCAP values may be exported through the Aggregation UCAP Summary Export (see section 10.2.3.3)

Pre-requisites

- The period for aggregation management in relation to the auction month for which the MP wants to download UCAP values has ended according to the DRIS Event Calendar (refer to Section 2.1).
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

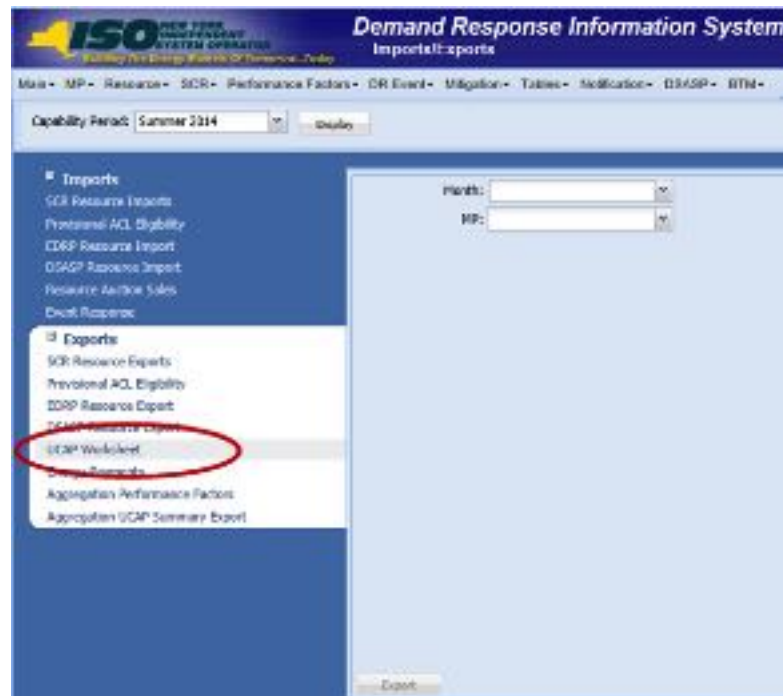
To download UCAP values

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

The system displays the Imports/Exports page (see Figure 161).

Figure 161: Import/Export Page Showing UCAP Worksheet Export

Option



- From the corresponding filter in the uppermost frame on the Imports/Exports page, choose the **Capability Period** encompassing the auction month for which UCAP values are to be downloaded.

Note: The system has UCAP values dating from Winter 2009 – 2010 forward.

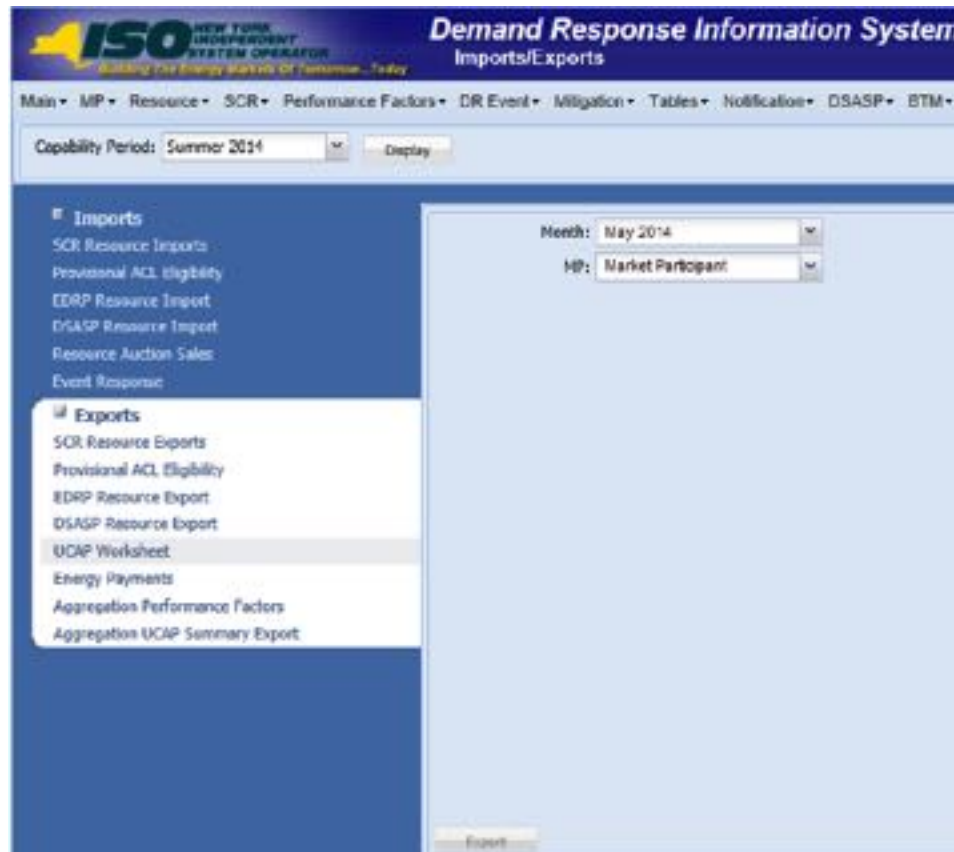
- Beside the Capability Period filter, click the **Display** button.

The system makes available the middle frame.

- Under the Exports heading in the left pane of the middle frame, choose **UCAP Worksheet**.

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 162).

Figure 162: Filters for Downloading a UCAP Worksheet File



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 UCAP worksheet file can either be saved or opened.

7. Take the requisite steps to either save or open the UCAP worksheet file.

The UCAP worksheet file for the chosen Capability Period and month is either saved to the designated location or displayed on screen.

Note: If the UCAP worksheet file is saved, it is named according to the convention *UCAP_[Auction Month]_[Auction Year]_[mm-dd-yyyy].csv*, where bracketed content is replaced with actual values to result in a file name such as *UCAP_March_2010_05-19-2010.csv*.

10.3. Viewing Aggregation and Resource Auction Sales

After the Spot Market Auction in the NYISO ICAP Market System has closed, Aggregation Auction Sales will be posted in DRIS. The aggregation sales can be viewed by various parameters and at varying levels of detail. In addition, the MPs have the opportunity to allocate partial sales to resources belonging to aggregations that sold a portion of their UCAP value in the Spot Market Auction.

10.3.1. Viewing Aggregation and Resource Auction Sales

Aggregation auction sales can be viewed by varying parameters in DRIS. When viewing aggregation auction sales, the MP must, at a minimum, specify a Capability Period and Month. The MP can further narrow the data the system displays by selecting the following additional parameter:

- Aggregation ID

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

- Aggregation ID
- Zone
- Auction sale MW (megawatt value of UCAP sold for the Aggregation, Capability Period, and Month, posted in DRIS from the ICAP Market System)
- Calculated MW (megawatt value of UCAP calculated by DRIS for the Aggregation, Capability Period, and Month, as reflected in the UCAP report exportable from DRIS)
- Assigned MW (megawatt value of the sum of kilowatt values allocated to resources within the Aggregation when the Aggregation has partial sales or no sales for the Capability Period and Month)

Pre-requisites

- The Spot Market Auction has closed and Auction Sales of zero or greater megawatts have been posted in DRIS for the Capability Period and auction month selected.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".

To view aggregation auction sales

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

The system displays the Summary of Aggregation Auction Sales page (see Figure 163).

- From the corresponding search filter(s) in the uppermost frame on the Summary of Aggregation Auction Sales page (see Figure 163), choose the **Capability Period** and the **Month** for which the system should display aggregation auction sales.

Figure 163: Summary of Aggregation Auction Sales Page Search Filters



- Optionally, further limit the scope of aggregation auction sales to be displayed by the system to only a specific **Aggregation ID** by choosing the applicable option from the corresponding search filter near the top of the page.
- Near the top of the Summary of Aggregation Auction Sales page, click the **Display** button.

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 164).

Figure 164: Summary of Aggregation Auction Sales Page Populated with Data

NP	Aggregation ID	Zone	Auction Sale MW	Calculated MW	Assigned MW
NYSE0 Market Participant	9222	J	145,900	145,105	
NYSE0 Market Participant	9233	A	8,900	114,800	
NYSE0 Market Participant	9234	F	34,900	35,101	
NYSE0 Market Participant	9255	B	9,300	5,899	
NYSE0 Market Participant	9277	C	44,900	46,370	

- 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 164).

To view resource auction sales

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

The system displays the Summary of Aggregation Auction Sales page (see Figure 163).

2. From the corresponding search filter(s) in the uppermost frame on the Summary of Aggregation Auction Sales page (see Figure 163), 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.

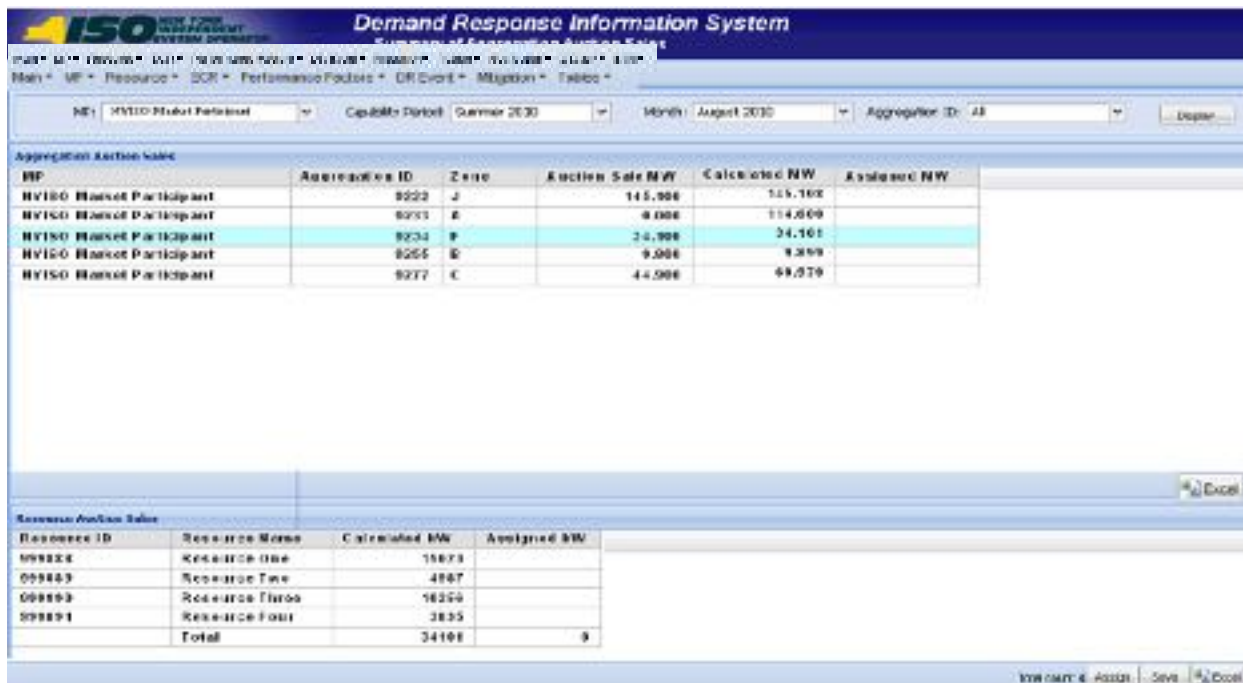
The system populates the Aggregation Auction Sales grid below the search filters with an entry for each aggregation meeting the criteria chosen at steps 2 and 3 (see Figure 164).

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 165).

Figure 165: Resource Auction Sales Frame Populated with Aggregation Resources from the

Aggregation Auction Sales Pane



Demand Response Information System

Menu: Home | Overview | My Profile | My Aggregations | My Resources | My Auctions | My Reports | My Settings | My Account | My Help | My Logout

Home | My Profile | My Aggregations | My Resources | My Auctions | My Reports | My Settings | My Account | My Help | My Logout

NYISO Market Participant | Capable Period: Summer 2020 | Month: August 2020 | Aggregation ID: 48 | Display

Aggregation Auction Sales

MP	Aggregation ID	Zero	Auction Sale MW	Calculated MW	Assigned MW
NYISO Market Participant	8222	J	145,988	145,162	
NYISO Market Participant	8223	K	8,888	114,809	
NYISO Market Participant	8234	P	24,988	24,161	
NYISO Market Participant	8255	D	9,988	9,359	
NYISO Market Participant	8277	C	44,988	44,079	

[Excel](#)

Resource Auction Sales

Resource ID	Resource Name	Calculated MW	Assigned MW
000001	Resource One	1573	
000002	Resource Two	487	
000003	Resource Three	1629	
000004	Resource Four	385	
	Total	3419	0

NYISO Market Participant | Save | [Excel](#)

10.4. Allocating Resource Partial Auction Sales

Upon close of the Spot Market Auction in the NYISO ICAP Market System, MPs have the opportunity to allocate resource sales to any Aggregations that had sales greater than zero but less than the full UCAP amount. This may be performed through the Resource Auction Sales import file or directly through the Summary of Aggregation Auction Sales page in DRIS.

Resource auction sales can be reported only within a pre-established time frame as provided in the DRIS Event Calendar. This limited Partial Sales Reporting period occurs in DRIS after the close of the Spot Market in the ICAP Market System and after Auction Sales have been posted in DRIS. During this time frame, partial sales may be initially allocated and then subsequently updated as often as necessary, provided that the calendar event for reporting has not closed.

Only aggregations having sales greater than zero but less than the full UCAP value can be reported. All resources within the partially sold aggregation must be reported even if one or more of the resources within the aggregation are assigned a zero as the amount sold.

Aggregations having zero sales cannot report partial sales. Resources within an aggregation with zero sales will automatically be assigned zero as the UCAP amount sold.

After the close of the DRIS Partial Sales Reporting Calendar Event, any unreported partially sold Aggregation will use the full DRIS Calculated UCAP amount of each resource in the Aggregation for performance factor calculations.

Note: Aggregations that are fully sold, and therefore do not require partial sales reporting, will display a UCAP value in the *Auction Sale MW* column that matches the corresponding value in the *Calculated UCAP MW* column to the nearest tenth of a decimal.

Aggregations that are unsold, and therefore do not require partial sales reporting, will display a zero UCAP value in the *Auction Sale MW* column.

Aggregations that are partially sold, and therefore may have partial sales allocated, will display a UCAP value in the *Auction Sale MW* column less than the corresponding value in the *Calculated UCAP MW* column (see Figure 164).

Pre-requisites

- Auction sales in relation to the auction month for which the MP wants to report partial sales have been posted in DRIS.
- The period for Partial Sales Reporting in relation to the auction month for which the MP wants to report partial sales is open on the DRIS Event Calendar (refer to Section 2.1).
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

10.4.1. Creating a Resource Auction Sales File

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

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 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 166 and Figure 167, 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 166: Sample Resource Auction Sales File in .XLS or .XLSX Format

	A	B	C	D	E
1	Auction Month = 08/01/2010&				
2	Resource ID	Resource Name	Aggregation ID	Resource kW Sales	
3	999888	Resource One	9277	9697	
4	999889	Resource Two	9277	15807	
5	999890	Resource Three	9277	13310	
6	999891	Resource Four	9277	6086	
7					

Figure 167: Sample Resource Auction Sales File in .CSV Format

```

Auction Month = 08/01/2010&, ,
Resource ID, Resource Name, Aggregation ID, Resource kW sales
999888, Resource One, 9277, 9697
999889, Resource Two, 9277, 15807
999890, Resource Three, 9277, 13310
999891, Resource Four, 9277, 6086
    
```

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 168 and Figure 169 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 either http://www.nyiso.com/public/markets_operations/market_data/icap/index.jsp (in the **Forms** folder) or http://www.nyiso.com/public/markets_operations/market_data/demand_response/index.jsp (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 168: 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 ImportFile header.

Figure 169: 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.

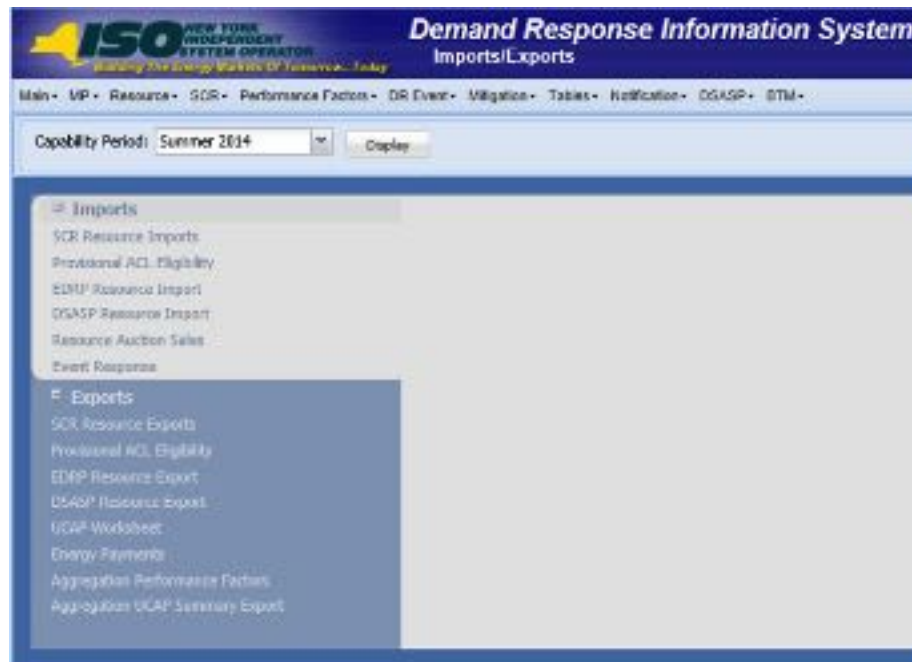
10.4.2. Importing the Resource Auction Sales File

 **To import a resource auction sales file**

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

The system displays the Imports/Exports page (see Figure 170).

Figure 170: 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.

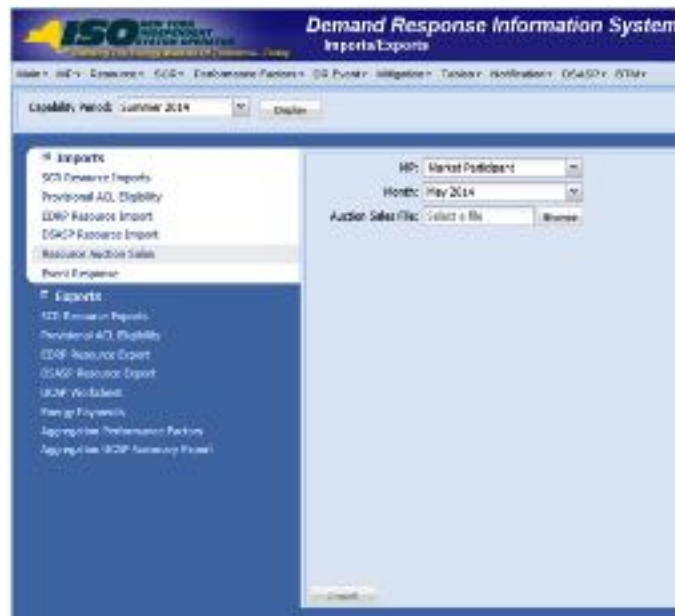
3. Beside the Capability Period filter, click the **Display** button.

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 171).

Figure 171: 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 172).
9. Review the import results and proceed accordingly, as outlined in Section 10.4.3.

Figure 172: Sample Import Summary Dialog Box for Auction Sales

Summary

Import Type: 1049_RESOURCE_AUCTIONSALES
 File Name: MP_CRM_PV465_09_Dec2013.xls
 Start Time: 12/17/2014 14:05:00
 End Time: 12/17/2014 14:05:00

Records Created: 2
 Records Added: 2
 Records Exception: 0
 Records General Alerts: 0
 Records Pending: 0
 Records Potential Mitigation: 0
 Records Payment: 0
 Records No Change: 0

Message:

Exceptions

Id	Value	Exception Code	Blank

Page 1 of 1 | Excel

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 173).

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 173: Sample Exceptions Report for Resource Auction Sales File Import

A	B	C	D	E
File Name: MP_Rep_Export_2016_01_01.csv				
MP Name: MP_Rep				
Unit				
Linked Type	OAD_RESOURCE_AUCTION_SALES			
Upload Period	Week 20160101			
Start Date of Import	20160101 12:44:11 EST			
End Date of Import	20160101 12:44:26 EST			
Records in File		1		
Records Loaded		0		
Records Pending Approval		0		
Records With Exception		1		
Records With Exception Payment		0		
Records With Exception Unit		0		
Records With Exception Unit-Res		0		
Details of	Through Type	Field	Value	Signal Message
10 Resource ID/Status	Location	Resource ID/Status	0000	Resource cost of 0.0000 must be greater than the Res Cost of 0.0000
11 Aggregation ID	Frequency	Aggregation ID	0000	Resource cost of 0.0000 must be greater than the Res Cost of 0.0000

Pre-requisite

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

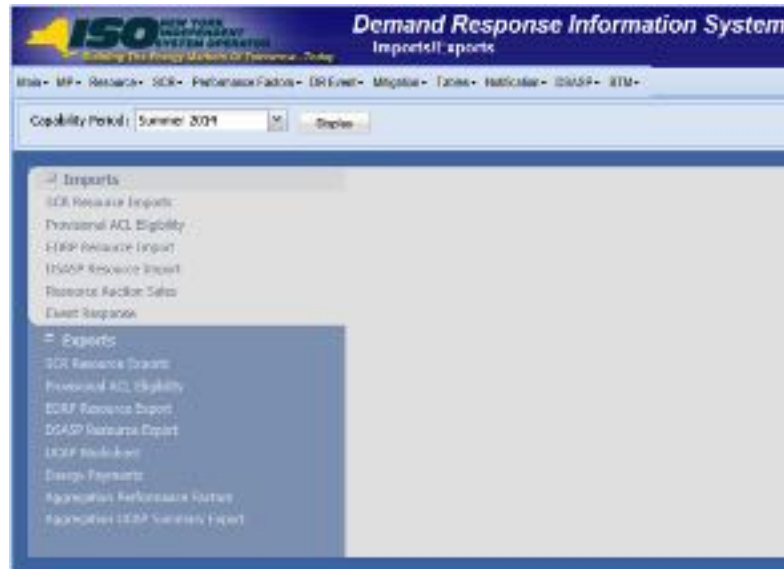


To access the import activity report and manage related errors

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

1. From the **Main** menu, choose **Imports/Exports**.
The system displays the Imports/Exports page (see Figure 174).

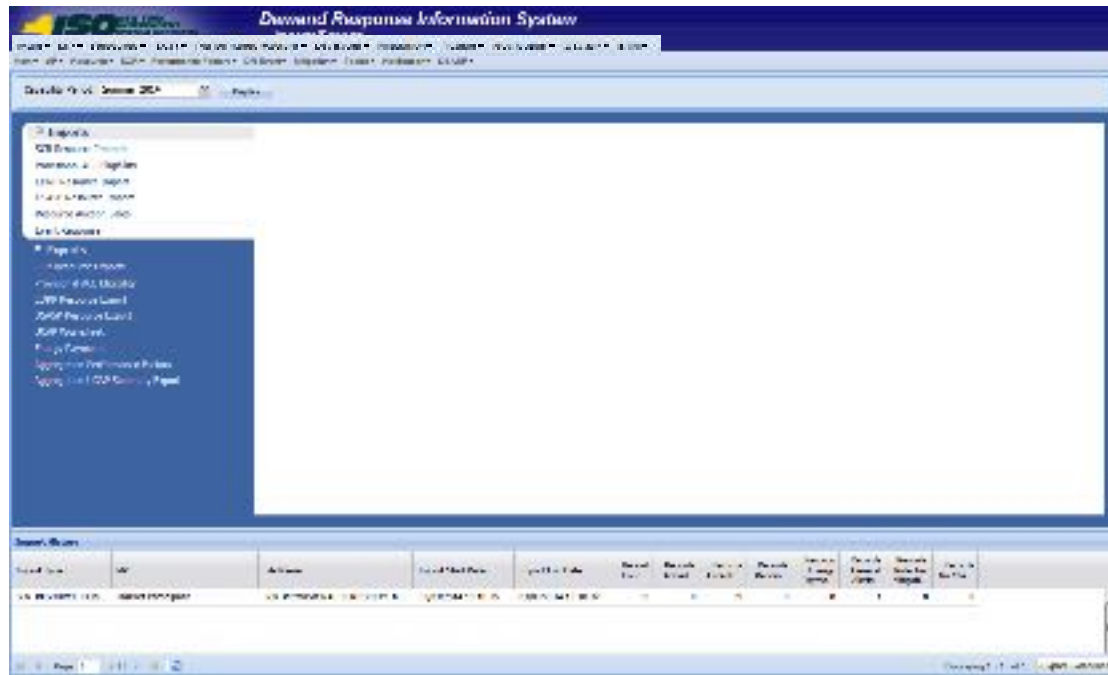
Figure 174: Import/Exports Page



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

The Import History frame at the bottom of the page refreshes to display a grid listing each import event for the chosen Capability Period (see Figure 175).

Figure 175: Populated Import History Grid on Imports/Exports Page



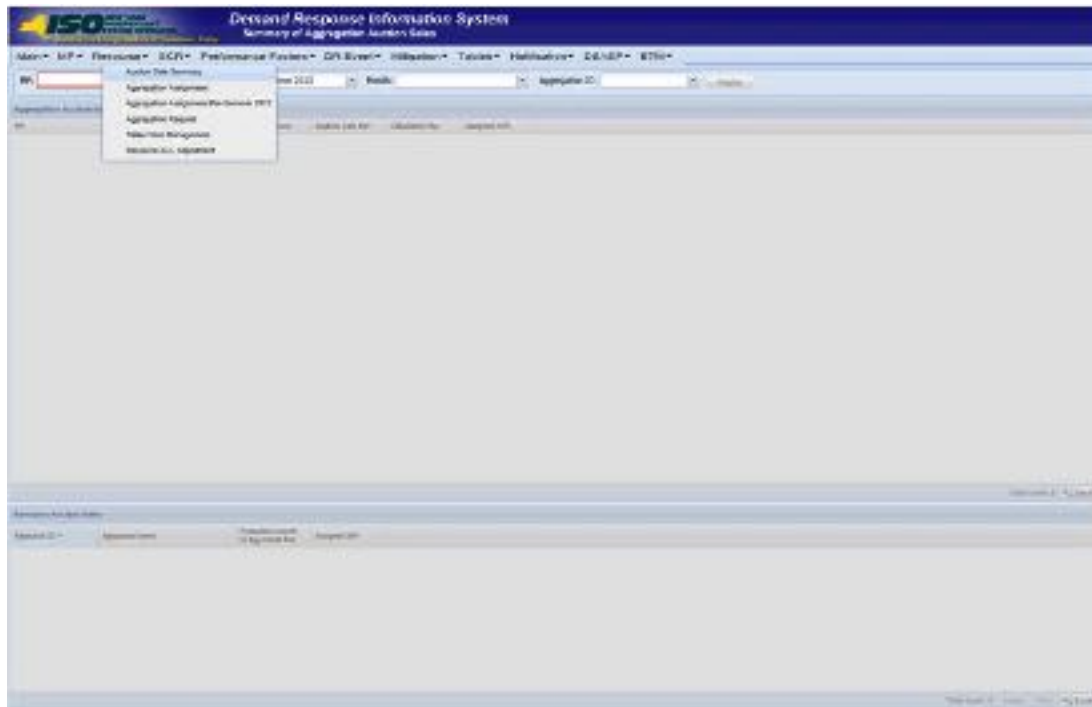
4. In the **Import History** grid, select the entry for the import event that generated the exception(s).
5. In the lower-right corner of page, click the **Export Exceptions** button.
The system displays a dialog box via which the import report can be saved or opened.
6. Take the requisite steps to either 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 176).

Figure 176: 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 177).
9. Type directly in the **Assigned kW** field to update the partial value sold for the resource.

Figure 177: Highlighted Row Housing the Resource for which Partial Sales will be Assigned

The screenshot shows the 'Demand Response Information System' interface. The main table displays resource information with columns for 'Resource ID', 'Name', 'Assigned kW', 'Calculated kW', and 'Assigned kW'. The last row is highlighted in light blue. Below this table is a summary table with columns for 'Resource ID', 'Assigned kW', 'Calculated kW', and 'Assigned kW'. The last row of the summary table is also highlighted in light blue.

Resource ID	Name	Assigned kW	Calculated kW	Assigned kW
8121	8121	145.00	145.00	
8122	8122	0.00	1.00	
8124	8124	0.00	14.00	
8125	8125	0.00	0.00	
8127	8127	0.00	0.00	

Resource ID	Assigned kW	Calculated kW	Assigned kW
8121	145.00	145.00	
8122	0.00	1.00	
8124	0.00	14.00	
8125	0.00	0.00	
Total	145.00	160.00	0.00

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.

Note: 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 **Note:** Figure 178).

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

Figure 178: Partial Resource Sales Summed at the Aggregation

The screenshot displays the 'Demand Response Information System' interface. At the top, there are navigation tabs and a search bar. Below the search bar, there are filters for 'MP: NYISO Market Participant', 'Capacity Date: Summer 2010', 'Month: August 2010', and 'Aggregation ID: All'. The main content area is divided into two tables.

Aggregation Auction Sales Table:

MP	Aggregation ID	Zone	Stacked Sub-MW	Calculated MW	Assigned MW
NYISO Market Participant	9272	J	115,193	115,193	
NYISO Market Participant	9233	A	8,899	114,899	
NYISO Market Participant	9234	E	74,193	74,191	
NYISO Market Participant	9265	B	8,899	8,899	
NYISO Market Participant	9277	C	44,899	48,979	44,899

Resource Auction Sales Table:

Resource ID	Resource Name	Calculated kW	Assigned kW
500008	Resource One	13204	9007
000008	Resource Two	21654	15207
500009	Resource Three	18204	13309
500011	Resource Four	7796	8095
	Total	66970	44000

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

Figure 179: 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 180).

Figure 180: Validate Mitigated Auction Sales Page Populated with Data

Auction ID	Auction Name	Month	Auction Type	Status	Capacity (MW)	Start Date	End Date	Other Columns
100001	Example 1	Jan 2012	MF 20%	20%	100	1/1	1/31	...
100002	Example 2	Feb 2012	MF 20%	20%	100	2/1	2/28	...
100003	Example 3	Mar 2012	MF 20%	20%	100	3/1	3/31	...
100004	Example 4	Apr 2012	MF 20%	20%	100	4/1	4/30	...

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

- From the **Resource** menu, choose **Monthly Details**.
The system displays the Resource Monthly Details page.
- From the corresponding search filters in the uppermost frame on the Resource Monthly Details page (see Figure 181), 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 181: Resource Monthly Details Page Search Filters



- 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 182).

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 182: 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 Transmission Owner add-back kW values, DADRP add-back kW values and DSASP baseline kW values for the resource
- View resources which have a Provisional ACL shortfall

Resource Provisional ACL verification data must be imported into DRIS within a pre-established time frame as specified on the DRIS Event Calendar (refer to Section 2.1).

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

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 take an additional action in the form of, for example, correcting exceptions (i.e., data errors, changes, or omissions) that prevent import of some or all data.

Note: Reporting resource Provisional ACL verification data through the Provisional ACL Verification import file in DRIS is the **only** means by which resource Provisional ACL verification data will be accepted by the NYISO. The imported data will be used for both the calculation of the resource ACL and the determination of a shortfall based on the resource Verified ACL and the resource Provisional ACL previously imported on the resource enrollment during the selected Capability Period.

10.6.1. Downloading the Provisional ACL Verification File

Reporting of resource Provisional ACL verification data is initiated via MP import to DRIS of the NYISO provided Excel (.xlsx or .xls) file. Importing of Provisional ACL verification data for multiple resources is initiated at one time.

Pre-existing resource data in the file format required for reporting to the system can be downloaded from DRIS by the MP. The MP can then use the file to create a properly structured and formatted file containing resource Provisional ACL data for subsequent reporting to DRIS.

Pre-requisites

- Data for the MP's resources already exist in the system.
- The MP representative performing the task is logged in to DRIS (see section 1.3, "Accessing the System").

To download the Provisional ACL verification file

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

The system displays the Imports/Exports page (see Figure 183).

Figure 183: 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.

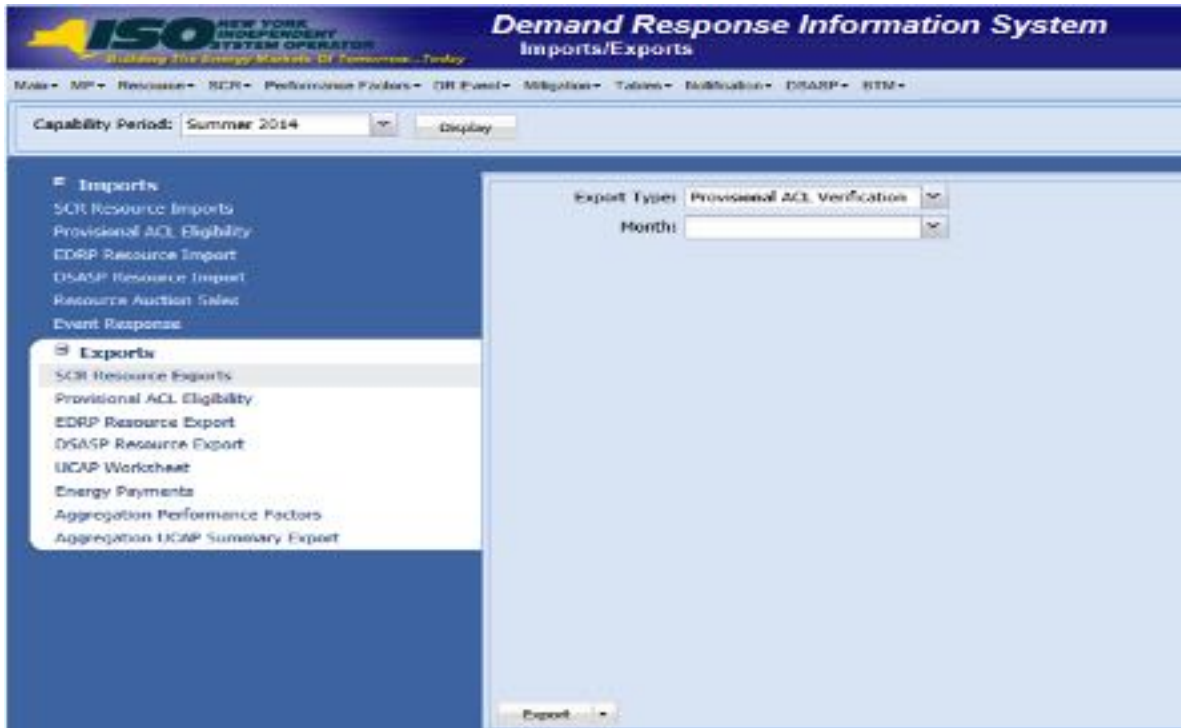
The system makes available the middle frame.

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 184).

Figure 184: 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 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 185, the file must contain header data in the form of Capability Period and DR program. The file must also contain a separate tab for each zone. Each zonal tab must contain the header data.

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

Figure 185: Sample Provisional ACL Verification File in Excel

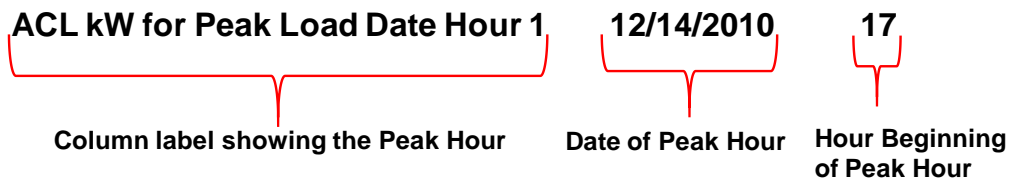
Resource ID	Resource Name	TU Account Name	Meter Install/Dis Date	Zone	ACL kW for Peak Load Date Hour 1	ACL kW for Peak Load Date Hour 2	ACL kW for Peak Load Date Hour 3	ACL kW for Peak Load Date Hour 4	ACL kW for Peak Load Date Hour
20527	Resource Four	T45576421058	4/23/2011	J					

- ◆ 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 186: Detail of ACL kW Column Label

Resource ID	Resource Name	TU Account Name	Zone	ACL kW for Peak Load Date Hour 1	ACL kW for Peak Load Date Hour 2	ACL kW for Peak Load Date Hour 3	ACL kW for Peak Load Date Hour 4	ACL kW for Peak Load Date Hour
20527	Resource Four	T751757657	J	12/14/2010 17	12/14/2010 16	12/15/2010 17	01/24/2011 18	12/15/20

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 187 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 188 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 187: Rules for Successful Processing of Provisional ACL Verification Import File

Attribute	Rule	Error Message
CapabilityPeriod	The CapabilityPeriod in the header must match that chosen via the system interface.	CapabilityPeriod < CapabilityPeriod > in the Import File header does not match the CapabilityPeriod 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, CapabilityPeriod and Program, must appear on each zonal tab within the Excel file.	

Figure 188: 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	<p>The account number assigned by the Transmission Owner.</p> <p>The account number assigned by the Transmission Owner must be reported into DRIS with the letter <i>T</i> preceding the account number. For example, if the account number is <i>5436789</i>, it must be reported on the import file to DRIS as <i>T5436789</i>.</p> <p>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).</p> <p>When the POD ID assigned by the Transmission Owner is preceded by an <i>R</i> or an <i>N</i>, do not precede the POD ID with the letter <i>T</i>. For example, if the POD ID is <i>R5436789</i> it must be reported on the import file to DRIS as <i>R5436789</i>.</p> <p>Can only be numbers, letters, or a combination of the two; dashes, spaces between numbers/letters, or any odd characters are not allowable.</p>

Provisional ACL Verification Field Name	Column in Import File	Field Format	Description and Rule(s)
Meter Installation Date	D	Date MM/DD/YYYY	Date on which the resource meter was installed.
Zone	E	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	F	Numeric Up to 7 digits before decimal and 1 digit after decimal	<p>The kW meter value for the resource for the specified CapabilityPeriod SCR Load Zone Peak Hour.</p> <p>Enter an ACL kW value for each CapabilityPeriod SCR Load Zone Peak Hour occurring from the resource meter installation date through the end of the CapabilityPeriod.</p> <p>The ACL kW cell should remain blank for each CapabilityPeriod SCR Load Zone Peak Hour occurring prior to the resource meter installation date,</p>
<p>Note: Continue with a separate column for each of the Top 40 Load Zone Peak Hours. The ACL kW column labels begin with "F" and end with "AS".</p>			
ACL kW for Peak Load Date Hour 40 MM/DD/YYYY HH	AS	Numeric Up to 7 digits before decimal and 1 digit after decimal	<p>The kW meter value for the resource for the specified CapabilityPeriod SCR Load Zone Peak Hour.</p> <p>Enter an ACL kW value for each CapabilityPeriod SCR Load Zone Peak Hour occurring from the resource meter installation date through the end of the CapabilityPeriod.</p> <p>.</p> <p>The ACL kW cell should remain blank for each CapabilityPeriod SCR Load Zone Peak Hour occurring prior to the resource meter installation date,</p>

10.6.3. Importing the Provisional ACL Verification File

After creating a properly structured, formatted, and populated Provisional ACL verification file, the MP must import the file to DRIS as the next step in reporting resource Provisional ACL verification data

Note: Upon initial import of the resource Provisional ACL verification file, DRIS will calculate the resource ACL and any associated Provisional ACL shortfalls for resources in the file which pass all validations. The individual resource ACL details, Verified ACL, and shortfall will be saved in the system with an *Approved* status.

Pre-requisites

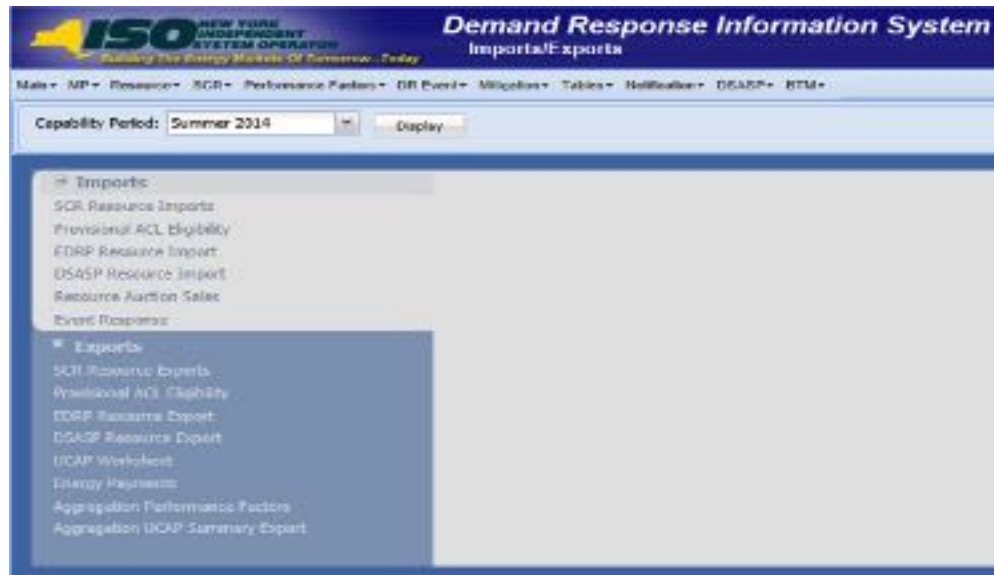
- The DRIS Event Calendar indicates that the time period for importing Provisional ACL verification data is open for performing this task (refer to Section 2.1).
- The MP has created a properly structured, formatted, and populated .xlsx or .xls file for upload of resource Provisional ACL verification data to the system, as outlined under Section 10.6.1.
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

To import the Provisional ACL Verification File

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

The system displays the Imports/Exports page (see Figure 189).

Figure 189: 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.

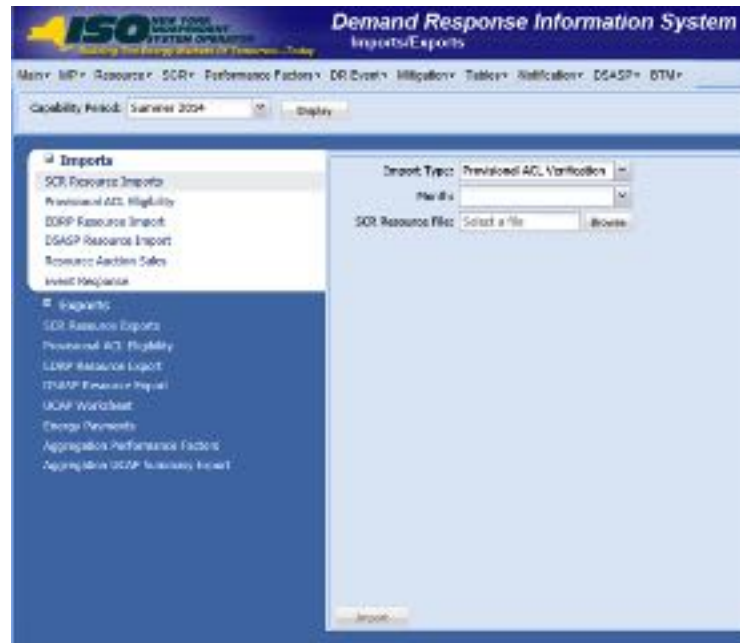
The system activates the middle frame and populates the lowermost frame with a list of import events for the Capability Period chosen at step 2.

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 190).

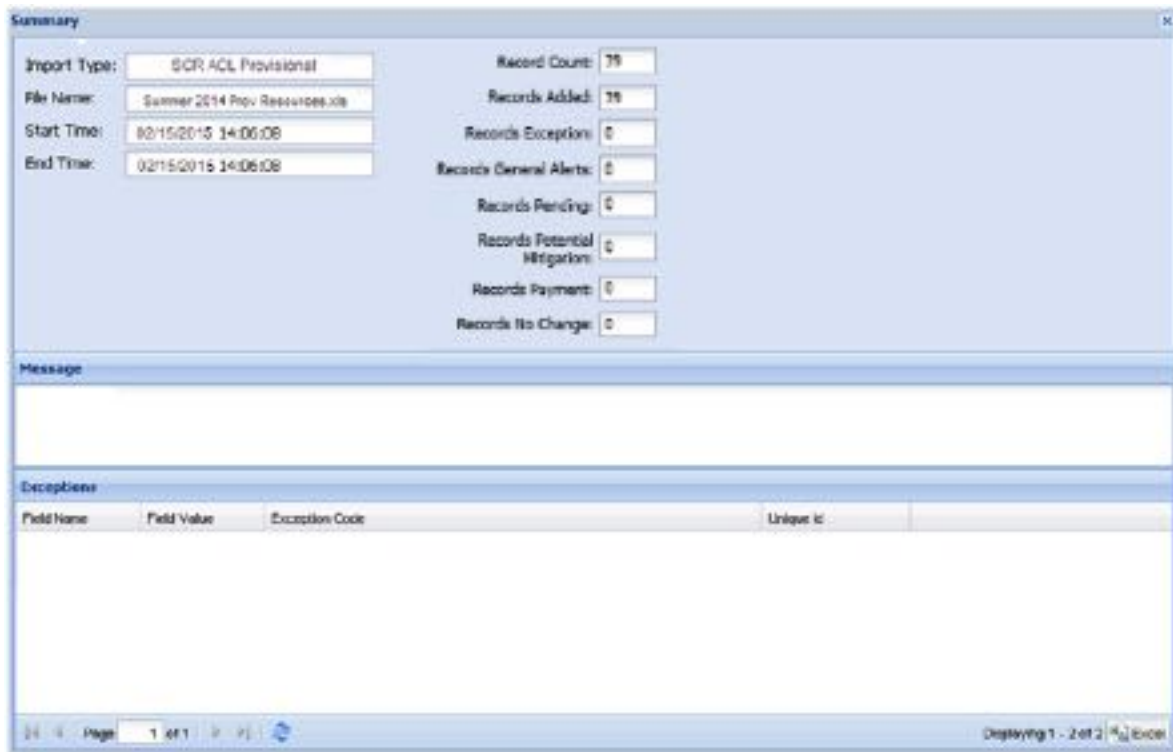
Figure 190: Import/Export Page Displaying Input Components

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 191).
10. Review the import results and proceed accordingly, as outlined under Section 10.6.4.

Figure 191: 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 192).

Note: If instead of similar information to that illustrated in Figure 191 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 192: Sample Results Report for Provisional ACL Verification File Import

	A	B	C	D	E
1	File Name	Summer 2014 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 08:00:00 EDT			
8	End Date of Import	02/15/2014 14:00:00 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

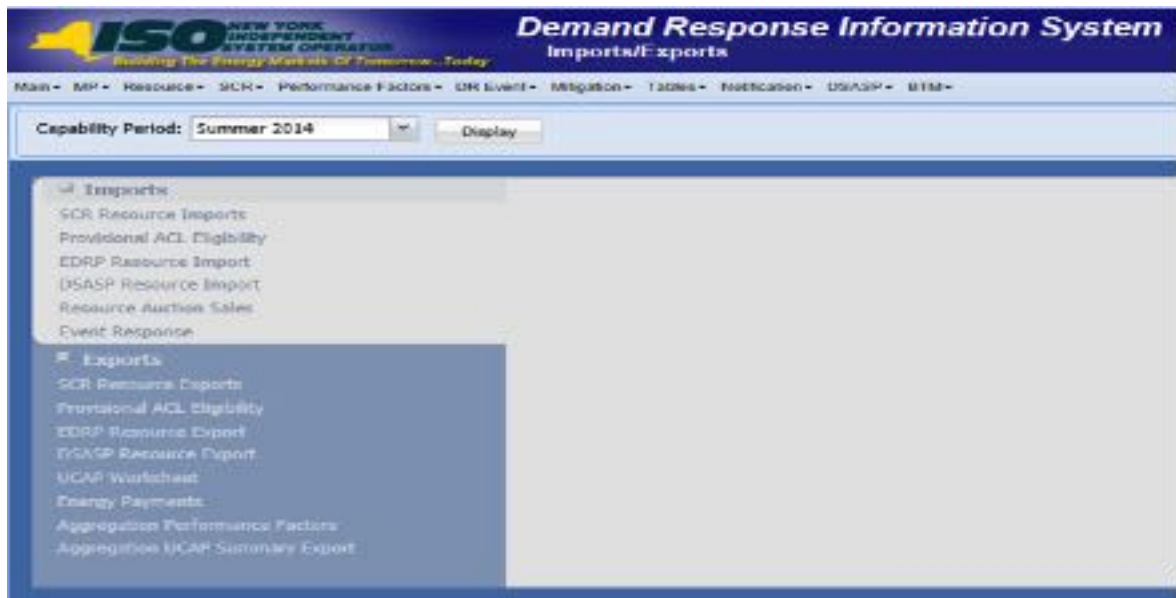
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

To access the import activity report and manage related errors

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

The system displays the Imports/Exports page (see Figure 193).

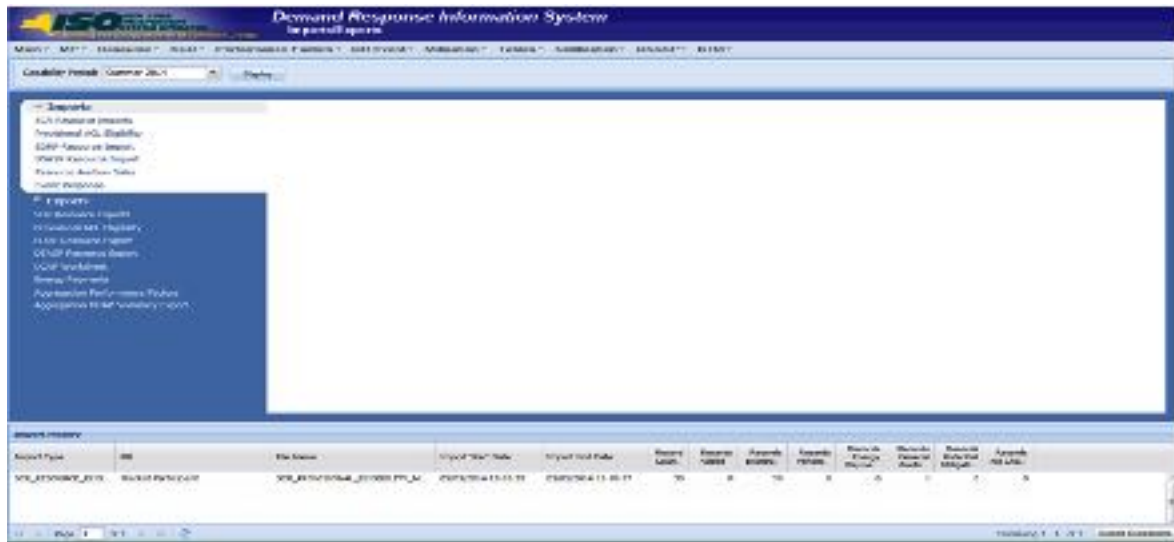
Figure 193: Import/Export Page as Initially Displayed



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 194).

Figure 194: 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/DADRP add-back kW and DSASP baseline kW values. (TO/DADRP add-back kW and DSASP baseline kW values do not apply to the calculation of the resource Verified ACL for the Summer 2011 ACL verification data, DADRP add-back kW and DSASP baseline kW values do not apply to the calculation of the resource Verified ACL prior to Summer 2014 ACL verification data.)
- *Raw Shortfall kW*: The difference between the Net ACL kW and the Verified ACL kW fields of the resource for the Capability Period and month selected
- *UCAP Equivalent of Shortfall kW*: The UCAP equivalent of the Raw Shortfall kW
- *Auction Sales kW*: The resource auction sales for the Capability Period and month selected
- *AMD*: The lowest Actual Metered Demand of the resource from all event and test hours in which the resource performed in the Capability Period selected (Displays for resources enrolled with a Provisional ACL prior to Summer 2014)
- *Applicable Shortfall kW*: The kW value of the shortfall based on the Provisional ACL Shortfall Calculation, for the Capability Period and month selected

 **To view resource Provisional ACL verification data**

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

The system displays the Provisional ACL page.

2. From the corresponding search filters in the uppermost frame on the Provisional ACL page (see Figure 195), 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 195: Provisional Summary Page Search Filters



- 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 196).

Figure 196: Provisional Summary Page Illustrating Resource Information for Provisional ACL Verification Data

Resource ID	Resource Name	Account Number	Enroll Month	Capacity Period	MP Name	Zone	Provisional ACL kW	Shedding kW	Net Provisional ACL kW	Verified ACL kW	Flow Shedding kW	Load Equivalent of Sheddable kW	Enroll Date (Y)
123456789	Resource 1	3321854887	September 2014	Summer 2014	Market Particip	2	1394	490	1394	1206	88	177	
123456789	Resource 1	3321854887	August 2014	Summer 2014	Market Particip	2	1394	490	1394	1206	88	177	
123456789	Resource 1	3321854887	July 2014	Summer 2014	Market Particip	2	1394	490	1394	1206	88	177	
123456789	Resource 1	3321854887	June 2014	Summer 2014	Market Particip	2	1394	490	1394	1206	88	177	
123456789	Resource 1	3321854887	May 2014	Summer 2014	Market Particip	2	1394	490	1394	1206	88	177	
123456789	Resource 1	3321854887	October 2014	Summer 2014	Market Particip	2	8670	0	8670				

- Optionally, 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 197).

Figure 197: Provisional Summary Page Illustrating Additional ACL Details

Resource ID	Resource Name	Market Profile	Calculation Basis	Capability Period	DR Name	Zone	Provisional kW	Submission	DR Provisional kW	Actual kW	Total kW	DR Provisional kW	Actual kW
12748700	Resource 1	4221554877	Aggregated	Resource 1	Market 1	Zone 1	100	100	100	100	100	100	100
12748701	Resource 2	4221554877	Aggregated	Resource 2	Market 2	Zone 2	100	100	100	100	100	100	100
12748702	Resource 3	4221554877	Aggregated	Resource 3	Market 3	Zone 3	100	100	100	100	100	100	100
12748703	Resource 4	4221554877	Aggregated	Resource 4	Market 4	Zone 4	100	100	100	100	100	100	100
12748704	Resource 5	4221554877	Aggregated	Resource 5	Market 5	Zone 5	100	100	100	100	100	100	100

10.6.6. Viewing Resource Provisional ACL Verification Details

The Provisional ACL Verification Details displays the ACL details of the resource imported by the Market Participant and the TO add-back kW, DADRP add-back kW and DSASP baseline kW values imported by the Transmission Owner for the Capability Period SCR Load Zone Peak Hour. The system displays the following information for the selected resource ACL data:

- Status
- Submittal date
- Verified ACL
- Capability Period SCR Load Zone Peak Hour date and hour beginning
- ACL kW
- TO add-back kW
- TO add-back Reporting TO
- DADRP add-back kW
- DSASP baseline kW
- Total kW
- Used in ACL calculation indicator
- Calculation Basis
- Verified ACL kW

Note: Upon initial import of the resource Provisional ACL verification file, DRIS will calculate the resource ACL for resources in the file which pass all validations. The resource ACL is calculated using the ACL kW value imported by the MP and any TO add-back, DADRP add-back or DSASP baseline kW values imported by the TO or the NYISO. The individual resource ACL details and Verified ACL will be saved in the system with an *Approved* status. Any resource which receives a Provisional ACL shortfall kW based on the Provisional ACL Shortfall Calculation performed in DRIS will be identified as having a shortfall.

To view Provisional ACL verification details

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

The system displays the Provisional ACL page.

2. From the corresponding search filters in the uppermost frame on the Provisional ACL page (see Figure 198), 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 198: 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 199).

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 199: Provisional Summary Page Illustrating Resource Information for Provisional ACL Verification Data

Resource ID	Resource Name	Account Number	Action Month	Capacity Period	MP Name	Date	Provisional ACL Left	Available Left	Net Provisional ACL Left	Verified ACL Left	Item Month/Day	ICSIPEquivalent of Available Left	Action Selection
123456789	Resource 1	3321854007	September 2014	Summer 2014	Partial Particip		286	300	114	136	1/0	177	C
123456789	Resource 1	3321854007	August 2014	Summer 2014	Partial Particip		286	300	114	136	1/0	177	C
123456789	Resource 1	3321854007	July 2014	Summer 2014	Partial Particip		286	300	114	136	1/0	177	C
123456789	Resource 1	3321854007	June 2014	Summer 2014	Partial Particip		286	300	114	136	1/0	177	C
123456789	Resource 1	3321854007	May 2014	Summer 2014	Partial Particip		286	300	114	136	1/0	177	C
123456789	Resource 1	3321854007	October 2014	Summer 2014	Partial Particip		8732	0	8732				C

- 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 200).

Figure 200: Provisional Summary Page Illustrating Additional ACL Details

Resource ID	Resource Name	Account Number	Auction Month	Capacity Period	MP Name	Zone	Provisional ACL kW	Shortfall kW	Net Provisional ACL kW	Verified ACL kW	New Shortfall kW	UCAP Equivalent of Shortfall kW	Auction Sales MW
123456789	Resource 1	3321554897	September 2014	Summer 2014	Market Participant	1	1000	100	1100	1200	100	177	177
123456789	Resource 1	3321554897	August 2014	Summer 2014	Market Participant	1	1000	100	1100	1200	100	177	177
123456789	Resource 1	3321554897	July 2014	Summer 2014	Market Participant	1	1000	100	1100	1200	100	177	177
123456789	Resource 1	3321554897	June 2014	Summer 2014	Market Participant	1	1000	100	1100	1200	100	177	177
123456789	Resource 1	3321554897	May 2014	Summer 2014	Market Participant	1	1000	100	1100	1200	100	177	177
123456789	Resource 1	3321554897	October 2014	Summer 2014	Market Participant	1	1000	0	1000	1200	200	177	177

Resource ID	Peak Load Data and MW	ACL kW	TO Add Back kW	Reporting TO	LDRP Add-back kW	DADRP Baseline kW	TDRP kW	Load to ACL Calculation	Calculation Base	Verified ACL kW
123456789	06/29/2014 12:00:00	1200	75	CRD	0	1175	1275	0	ACL + TO	1200
123456789	06/29/2014 14:00:00	1200	0		0	1200	1200	0	ACL + (DADRP)	1200
123456789	07/01/2014 18:00:00	1200	0		0	1200	1200	0	ACL	1200
123456789	07/01/2014 18:00:00	1200	0		0	1200	1200	0	ACL	1200
123456789	07/01/2014 17:00:00	1200	0		0	1200	1200	0	ACL	1200
123456789	07/01/2014 16:00:00	1200	0		0	1200	1200	0	ACL	1200
123456789	07/01/2014 15:00:00	1200	0		0	1200	1200	0	ACL	1200
123456789	07/01/2014 14:00:00	1200	0		0	1200	1200	0	ACL	1200
123456789	07/01/2014 13:00:00	1200	0		0	1200	1200	0	ACL	1200
123456789	07/01/2014 12:00:00	1200	0		0	1200	1200	0	ACL	1200

10.7. Managing Incremental ACL Resource Enrollments & Verification Data

For those MPs with resources enrolled with an Incremental ACL in the selected Capacity Period and month, DRIS provides the means to perform the following:

- Download a properly formatted file to use as a template for reporting resource Incremental ACL verification data
- Import resource Incremental ACL verification data
- View imported resource Incremental ACL verification data, including applicable Transmission Owner add-back kW values, DADRP add-back kW values and DSASP baseline kW values for the resource
- View resources which have an Incremental ACL shortfall

Resource Incremental ACL verification data must be imported into DRIS within a 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 take an additional action in the form of, for example, correcting exceptions (i.e., data errors, changes, or omissions) that prevent import of some or all data.

Note: Reporting resource Incremental ACL verification data through the Incremental ACL Verification import file in DRIS is the **only** means by which resource Incremental ACL verification data will be accepted by the NYISO. The imported data will be used for both the calculation of the resource ACL and the determination of a shortfall based on the resource Verified ACL and the resource Incremental ACL previously imported on the resource enrollment during the selected Capability Period and month.

10.7.1. Downloading the Incremental ACL Verification File

Reporting of resource Incremental ACL verification data is initiated via MP import to DRIS of the NYISO provided Excel (.xlsx or .xls) file. Importing of Incremental ACL verification data for multiple resources is initiated at one time.

Pre-existing resource data in the file format required for reporting to the system can be downloaded from DRIS by the MP. The MP can then use the file to create a properly structured and formatted file containing resource Incremental ACL data for subsequent reporting to DRIS.

Pre-requisites

- Data for the MP's resources already exist in the system.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

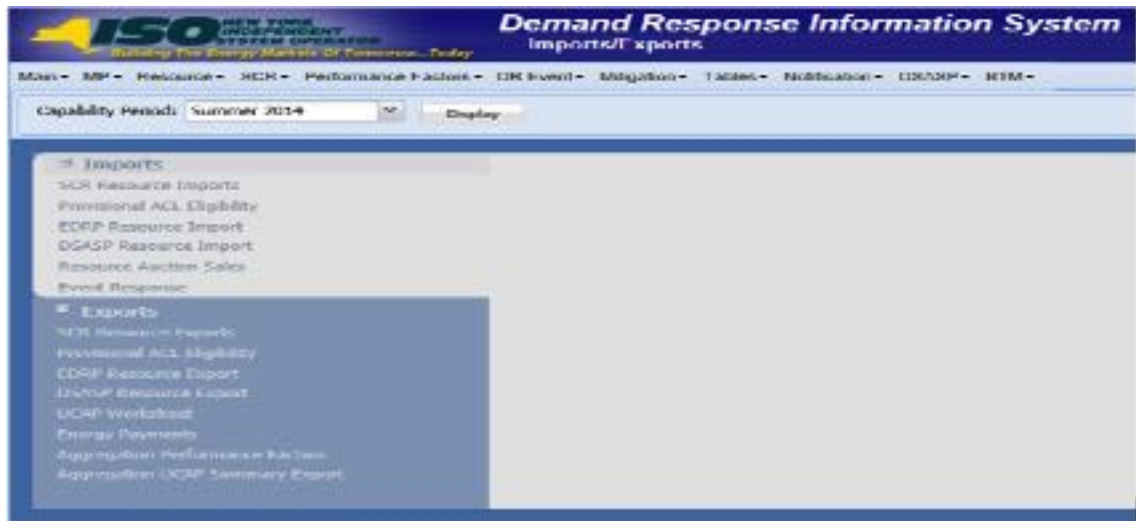


To download the Incremental ACL verification file

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

The system displays the Imports/Exports page (see Figure 183).

Figure 201: 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.

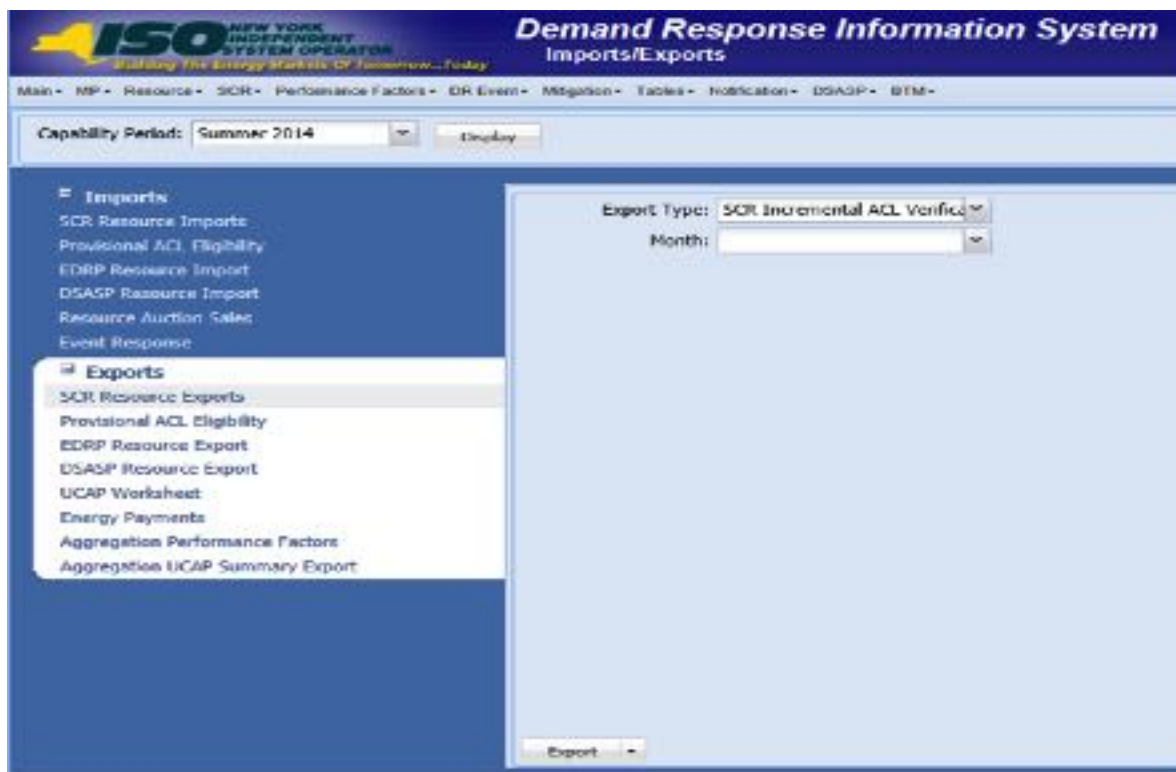
The system makes available the middle frame.

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 202).

Figure 202: 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
- 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 204.

The MP is required to provide the 40 kW values for each resource in the file for all of the specified Monthly SCR Load Zone Peak Hours which occur in the month which the individual resource was enrolled with an Incremental ACL.

As illustrated by the sample Incremental ACL verification file in Figure 203, the file must contain header data in the form of Capability Period and DR program.

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

Figure 203: Sample Incremental ACL Verification File in Excel

Resource ID	Resource Name	TO Account Num	Zone	Month	Hour 1	Hour 2	Hour 3	Hour 4	Hour 5	Hour 6
4	123456789 Resource 1	3456789123	J	October 2014						
5	123456789 Resource 1	3456789123	J	September 2014						
6	123456789 Resource 1	3456789123	J	August 2014						
7	123456789 Resource 1	3456789123	J	July 2014						
8	123456789 Resource 1	3456789123	J	June 2014						
9	123456789 Resource 1	3456789123	J	May 2014						
10	654321098 Resource 2	9876543210	J	October 2014						
11	654321098 Resource 2	9876543210	J	September 2014						
12	654321098 Resource 2	9876543210	J	August 2014						
13	654321098 Resource 2	9876543210	J	July 2014						
14	654321098 Resource 2	9876543210	J	June 2014						
15	654321098 Resource 2	9876543210	J	May 2014						

- 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 204: 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 205 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 206 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 205: Rules for Successful Processing of Incremental ACL Verification Import File

Attribute	Rule	Error Message
CapabilityPeriod	The CapabilityPeriod in the header must match that chosen via the system interface.	CapabilityPeriod < CapabilityPeriod > in the Import File header does not match the CapabilityPeriod selected.
Program	The program in the header must be equal to SCR .	Program <Program> in the Import File header must be SCR.
Multiple Tabs	<p>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.</p> <p>The two header rows, CapabilityPeriod and Program, must appear on each zonal tab within the Excel file.</p>	

Figure 206: 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	<p>The account number assigned by the Transmission Owner.</p> <p>The account number assigned by the Transmission Owner must be reported into DRIS with the letter <i>T</i> preceding the account number. For example, if the account number is <i>5436789</i>, it must be reported on the import file to DRIS as <i>T5436789</i>.</p> <p>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).</p> <p>When the POD ID assigned by the Transmission Owner is preceded by an <i>R</i> or an <i>N</i>, do not precede the POD ID with the letter <i>T</i>. For example, if the POD ID is <i>R5436789</i> it must be reported on the import file to DRIS as <i>R5436789</i>.</p> <p>Can only be numbers, letters, or a combination of the two; dashes, spaces between numbers/letters, or any odd characters are not allowable.</p>
Zone	D	Text 1 character	The letter of the LBMP Zone where the resource facility is located.

Incremental ACL Verification Field Name	Column in Import File	Field Format	Description and Rule(s)
Month and Year	E	Alpha – Numeric MMMM/YYYY	The month and year of enrollment for the resource with an Incremental ACL.
Hour 1 MM/DD/YYYY HH	F	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.
<p>Note: Continue with a separate column for each of the Top 40 Load Zone Peak Hours. The ACL kW column labels begin with "F" and end with "AS".</p>			
Hour 40 MM/DD/YYYY HH	AS	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

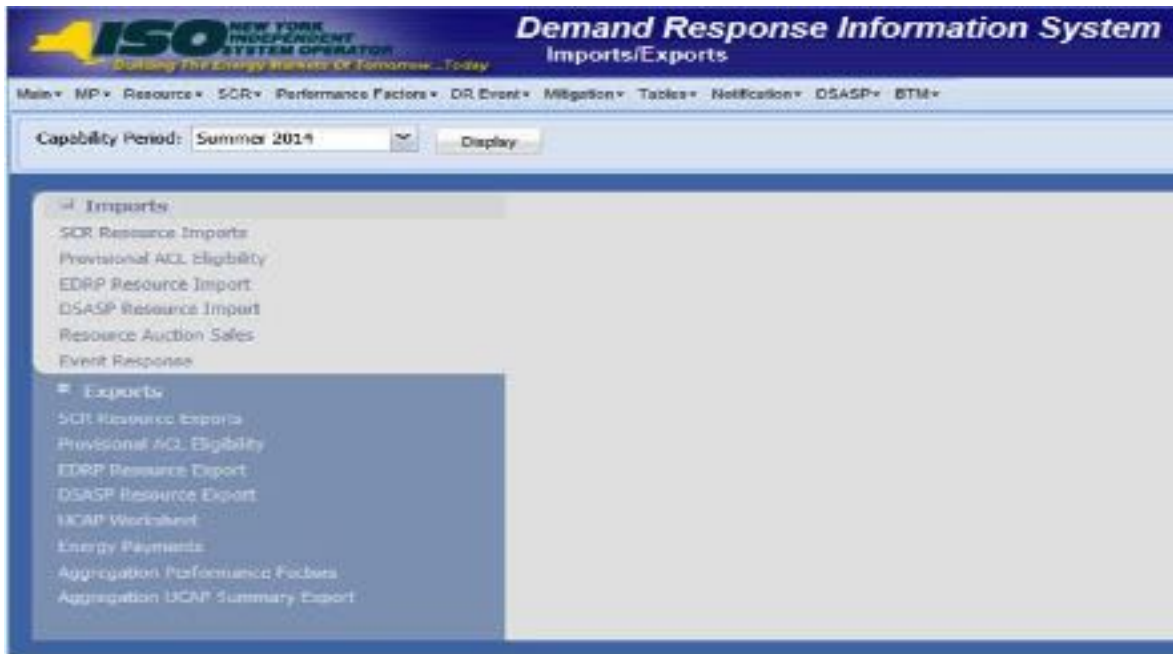
- The DRIS Event Calendar indicates that the time period for importing Incremental ACL verification data is open for performing this task (refer to section 2.1).
- The MP has created a properly structured, formatted, and populated .xlsx or .xls file for upload of resource Incremental ACL verification data to the system, as outlined under Section 10.7.2.
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

To import the Incremental ACL Verification File

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

The system displays the Imports/Exports page (see Figure 207).

Figure 207: Import/Export Page as Initially Displayed



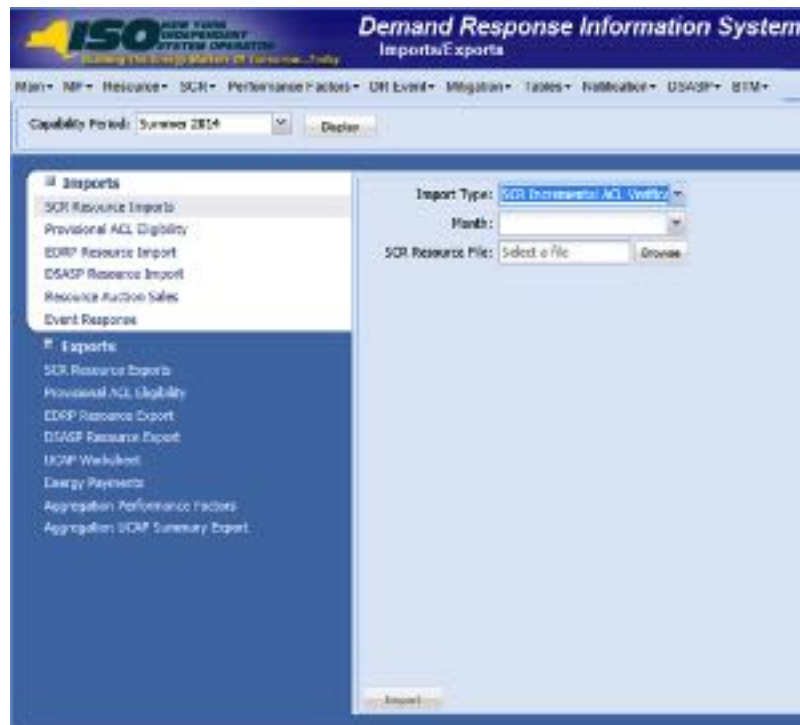
2. From the corresponding filter near the top of the page, choose the **Capability Period** for which Incremental ACL verification data is being imported.
3. Beside the Capability Period filter, click the **Display** button.

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 190).

Figure 208: 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.

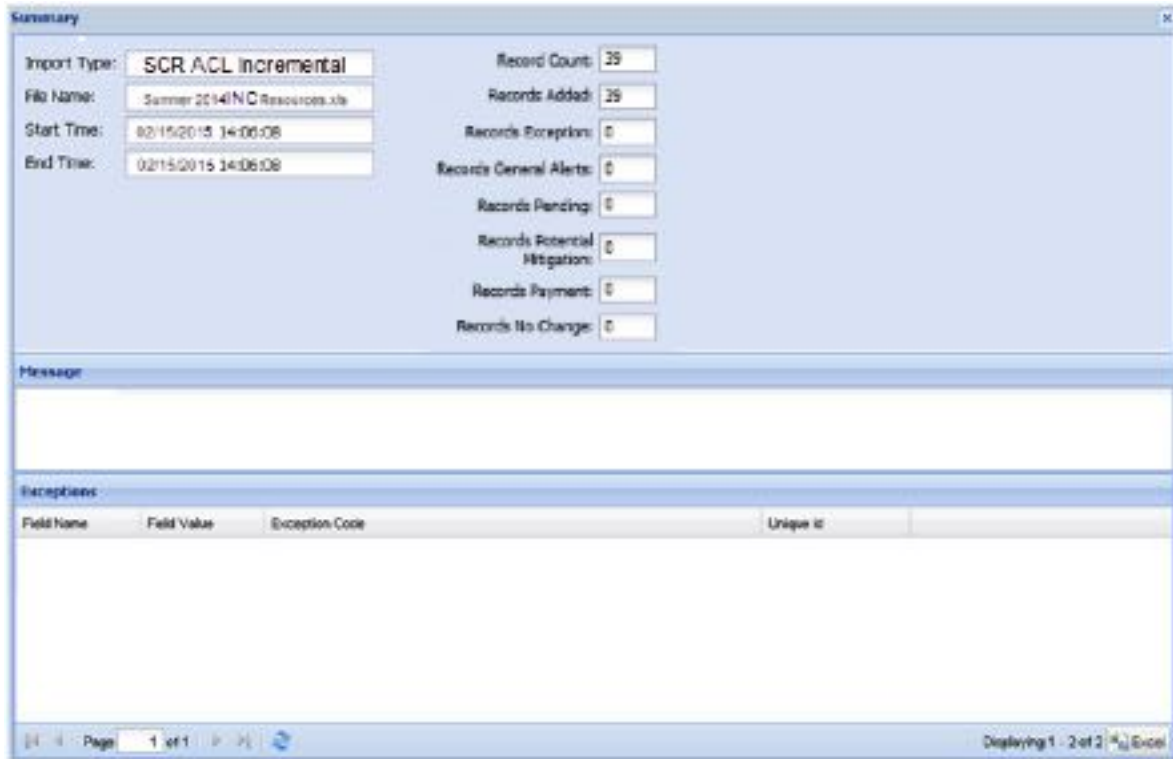
The File Upload dialog box closes, and the system populates the SCR Resource File field in the right pane of the middle frame with the name of the chosen file.

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 209).

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

Figure 209: Sample Import Summary Dialog Box for Incremental ACL Verification Import



Field Name	Field Value	Exception Code	Unique ID

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 210).

Note: Figure 209 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 210: 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 1.3, "Accessing the System").

To access the import activity report and manage related errors

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

The system displays the Imports/Exports page (see Figure 211).

Figure 211: 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 212).

Figure 212: 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/DADRP add-back kW and DSASP baseline kW values.
- *Raw Shortfall kW*: The difference between the Net ACL kW and the Verified ACL kW fields of the resource for the Capability Period and month selected
- *UCAP Equivalent of Shortfall kW*: The UCAP equivalent of the Raw Shortfall kW
- *Auction Sales kW*: The resource auction sales for the Capability Period and month selected
- *Applicable Shortfall kW*: The kW value of the shortfall based on the Incremental ACL Shortfall Calculation, for the Capability Period and month selected.

 **To view resource Incremental ACL verification data**

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

The system displays the Incremental ACL page.

2. From the corresponding search filters in the uppermost frame on the Incremental ACL page (see Figure 213), 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 213: Incremental Summary Page Search Filters



- 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 214).

Figure 214: Incremental Summary Page Illustrating Resource Information for Incremental ACL Verification Data

Resource ID	Resource Name	Account Number	Auction Month	Capability Period	Name	Zone	AC MW	Season Var	Incremental Var	Setpoint	Monthly ACL	Verified ACL	Verified ACL Var	Resource ID
123456789	Market Participant	12345678901	October 2014	Summer 2014	Market Participant	J	5000	0	2000	5000	0	0	220	123456789
123456789	Market Participant	12345678901	September 2014	Summer 2014	Market Participant	J	5000	0	2000	5000	0	0	150	123456789
123456789	Market Participant	12345678901	August 2014	Summer 2014	Market Participant	J	5000	0	2000	5000	0	0	180	123456789
123456789	Market Participant	12345678901	July 2014	Summer 2014	Market Participant	J	5000	0	2000	5000	0	0	200	123456789
123456789	Market Participant	12345678901	June 2014	Summer 2014	Market Participant	J	5000	0	2000	5000	0	0	180	123456789
123456789	Market Participant	12345678901	May 2014	Summer 2014	Market Participant	J	5000	0	2000	5000	0	0	180	123456789

- Optionally, 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 215).

Figure 215: Incremental Summary Page Illustrating Additional ACL Details

Resource ID	Resource Name	Account Number	Action Point	Dispatch Period	Market	Date	ACL kW	Submission kW	Incremental kW	Net ACL kW	Monthly ACL kW	Verified ACL Base	Verified ACL kW	Bar Plot
123456789	Resource 1	1001123456	Native SCR	Summer 2014	Market Participant	June 2014	8000	0	8000	8000	0	0	8000	0
123456789	Resource 1	1001123456	Supplemental	Summer 2014	Market Participant	June 2014	5000	0	5000	5000	0	0	5000	0
123456789	Resource 1	1001123456	July 2014	Summer 2014	Market Participant	July 2014	8000	0	8000	8000	1000	0	8000	0
123456789	Resource 1	1001123456	June 2014	Summer 2014	Market Participant	June 2014	8000	0	8000	8000	1200	0	8000	0
123456789	Resource 1	1001123456	May 2014	Summer 2014	Market Participant	May 2014	8000	0	8000	8000	1200	0	8000	0

Resource ID	Peak Load Date and Hour	ACL kW	TO Add-back kW	Reporting TO	DADRP Add-back kW	DSASP Baseline kW	Total kW	Used in ACL Calculation	Calculation Basis	Monthly ACL kW	Comments

10.7.6. Viewing Resource Incremental ACL Verification Details

The Incremental ACL Verification Details displays the ACL details of the resource imported by the Market Participant and the TO add-back, DADRP add-back and DSASP baseline kW values imported by the Transmission Owner for the Monthly SCR Load Zone Peak Hour. The system displays the following information for the selected resource ACL data:

- Status
- Submittal date
- Verified ACL
- Monthly Period SCR Load Zone Peak Hour date and hour beginning
- ACL kW
- TO add-back kW
- TO add-back Reporting TO
- DADRP add-back kW
- DSASP baseline kW
- Total kW
- Used in ACL calculation indicator
- Calculation Basis
- Monthly ACL kW

Note: Upon initial import of the resource Incremental ACL verification file, DRIS will calculate the resource ACL for resources in the file which pass all validations. The resource ACL is calculated using the ACL kW value imported by the MP and any TO add-back, DADRP add-back or DSASP baseline kW values imported by the TO or the NYISO. The individual resource ACL details and Monthly ACL will be saved in the system with an *Approved* status. Any resource which receives an Incremental ACL shortfall kW based on the Incremental ACL Shortfall Calculation performed in DRIS will be identified as having a shortfall.

To view Incremental ACL verification details

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 216), 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 216: 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 217).

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 217: Incremental Summary Page Illustrating Resource Information for Incremental ACL Verification Data

Resource ID	Resource Name	Account Number	Auction Month	Capability Period	MP Name	Zone	ACL ID	Shutdown	Incremental MW	Bid ACL ID	Monthly ACL ID	Verified ACL Base	Verified ACL ID	Raw Shorthal
123456789	Resource 1	3387123454	October 2014	Summer 2014	Market Particip	J	1000	0	1000	6000	0	0	0	0.00
123456789	Resource 1	3387123454	September 2014	Summer 2014	Market Particip	J	1000	0	1000	6000	700	0	0	0.00
123456789	Resource 1	3387123454	August 2014	Summer 2014	Market Particip	J	1000	0	1000	6000	600	0	0	0.00
123456789	Resource 1	3387123454	July 2014	Summer 2014	Market Particip	J	1000	0	1000	6000	800	0	0	0.00
123456789	Resource 1	3387123454	June 2014	Summer 2014	Market Particip	J	1000	0	1000	6000	1200	0	0	0.00
123456789	Resource 1	3387123454	May 2014	Summer 2014	Market Particip	J	1000	0	1000	6000	200	0	0	0.00

- 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 218).

Figure 218: Incremental ACL Summary Page Illustrating Additional ACL Details

Resource ID	Peak Load (MW and kW)	ACL ID	TO Add'l kW	Reporting TO	EISMP Add'l kW	EISMP Baseline kW	Total kW	Used in ACL Calculation	Calculation Rate	Monthly ACL ID	Comments
123456789	01060204 10000.00	1000			7999.9	8099.9	0	(V)	ACL - DACKP	1000	
123456789	01060204 10000.00	1000			1000	1000	0	(V)	ACL	5000	
123456789	01060204 10000.00	1000			1000	1000	0	(V)	ACL	5000	
123456789	01060204 10000.00	1000			1000	1000	0	(V)	ACL	5000	
123456789	01060204 10000.00	1000			1000	1000	0	(V)	ACL	5000	
123456789	01060204 10000.00	1000			1000	1000	0	(V)	ACL	5000	
123456789	01060204 10000.00	1000			1000	1000	0	(V)	ACL	5000	
123456789	01060204 10000.00	1000			1000	1000	0	(V)	ACL	5000	
123456789	01060204 10000.00	1000			1000	1000	0	(V)	ACL	5000	
123456789	01060204 10000.00	1000			1000	1000	0	(V)	ACL	5000	
123456789	01060204 10000.00	1000			1000	1000	0	(V)	ACL	5000	

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.

- From the corresponding search filters in the uppermost frame on the Change of Status page (see Figure 233), 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 219: Change of Status Details Page Search Filters

- 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 234).

Figure 220: Change of Status Details Page Illustrating Resource Information for Change of Status Data

Resource ID	Resource Name	Asset Name	Active Month	Capability Period	Date	AQ	Incident	POC	Change of Status Type	Has Month Demand	Has Shutdown	VOP Eligible	Active Size	Applicable	Reporting	Reported
ECR00075	Condenser-1	1CC7046	April 2014	Spring 2014	1	100	0	100	None	0	0	0	0	0	0	0

- 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.

- The system populates additional resource data in the lower frame, where additional resource reported Change of Status Shutdown kW details are displayed (see Figure 235).

Figure 221: 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 222), 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 222: 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 223).

Figure 223: Change of Status Summary Page Illustrating Resource Information for Change of

Status Shutdown kW Data



The screenshot shows the DRIS interface with the following data in the Resource Change of Status grid:

Resource ID	Resource Name	Asset Number	Asset Name	Capability Period	Zone	AC Unit	Resource Shutdown kW	Resource Shutdown kW	Change of Status Type	Resource Period ID	Resource Period ID	Asset Status ID	Asset Status ID	Reporting Date	Reported By
02857876	Condenserless 1	101000000	August 2014	Summer 2014	1	000	0	170	Resource					8/20/14	DRIS

- 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 224).

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

Figure 224: Change of Status Summary Page Illustrating Additional Details

Resource ID	Reporting Date	Reporting Type	Enrolled In	Start Date	End Date	Apr 2014	May 2014	Jun 2014	Jul 2014	Aug 2014	Sep 2014	Oct 2014
12452/210	08/28/2014	Reported	MP	08/28/14	09/04/14	0	0	0	150	0	0	0
12452/210	08/28/14	Reported	MP	08/28/14	09/04/14	0	0	0	0	150	150	150
Summary						0	0	0	150	150	150	150

10.8.3. Reporting the Change of Status Data after the Close of Enrollment

Reporting of resource Change of Status Shutdown kW data for an auction month(s) for which partial sales has closed is initiated via manual entry into DRIS through the resource Change of Status screen. Reporting of Change of Status data is required to be initiated one resource at a time.

Resource enrollment data as imported by the MP for the resource for the Capability Period and month(s) selected will be displayed alongside the Change of Status Shutdown kW information as reported after the close of partial sales. The MP may update the resource Change of Status Shutdown kW data at any time into DRIS after the close of partial sales, up until the deadline specified in the DRIS Event Calendar. If the MP is reporting a Change of Status condition that is in effect for the current Capability Period and that extends into the next Capability Period, DRIS will allow the user to report a Change of Status Shutdown kW for all applicable months of the current Capability Period after the close of enrollment for the first auction month of the next Capability Period and prior to the close of the current Capability Period.

At the time of reporting a Change of Status Shutdown kW for month(s) in the selected Capability Period, the MP user will be required to enter the following:

- *Reporting Type:* The type of Change of Status which was reported (Enrolled or Reported)
- *Begin Effective Date:* The begin effective date of the Change of Status
- *End Effective Date:* The end effective date of the Change of Status

- *Change of Status Shutdown kW, by month:* The kW value of the applicable decrease in capacity to be reduced from the resource ACL in the month and Capability Period being reported

Pre-requisites

- Resource should have been enrolled with the MP for at least one month in the Capability Period selected.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

To report the Change of Status Shutdown kW data

1. From the **Performance Factors** menu, choose **Change of Status**.

The system displays the Change of Status page.

2. From the corresponding search filters in the uppermost frame on the Change of Status page (see Figure 225), 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 225: 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 226).

Figure 226: Change of Status Details Page Illustrating Resource Information for Change of Status Data

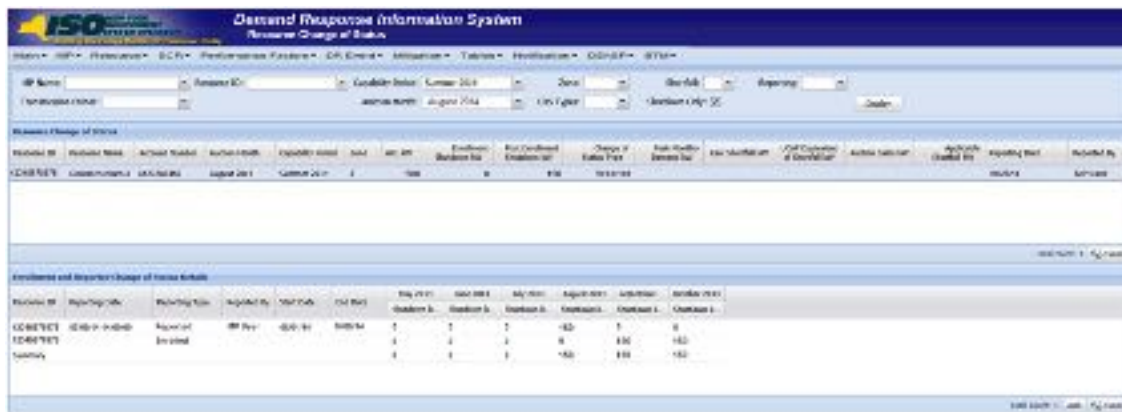


4. View details of the resource Change of Status data by clicking the corresponding row in the Change of Status Summary grid.

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 227).

Figure 227: 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 228).

Figure 228: 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 229, the reporting functionality must contain all editable fields which fall within the date range.

Figure 229: Change of Status Reporting Fields

Personal and Reported Change of Status Details											
Resource ID	Reporting Date	Reporting Type	Reported By	Start Date	End Date	May 2014	June 2014	July 2014	August 2014	September	October 2014
						Shutdown kwh	Shutdown kwh	Shutdown kwh	Shutdown kwh	Shutdown kwh	Shutdown kwh
123456789	06/06/2014 15:00:00	Reported	me			0	0	0	0	0	0
123456789	06/06/2014 15:00:00	Reported	me			0	0	0	0	0	0

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 230).

Figure 230: Change of Status Shutdown kW Reported as Zero, Outside of Date Range

Personal and Reported Change of Status Details											
Resource ID	Reporting Date	Reporting Type	Reported By	Start Date	End Date	May 2014	June 2014	July 2014	August 2014	September	October 2014
						Shutdown kwh	Shutdown kwh	Shutdown kwh	Shutdown kwh	Shutdown kwh	Shutdown kwh
123456		Reported				0	0	0	0	0	0
123456	06/06/2014 15:00:00	Reported	me	06/06/2014	07/01/2014	0	0	0	0	0	0

In order for the Change of Status reporting functionality to be successfully processed by DRIS, the data must meet pre-defined rules. Figure 232 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 231: Change of Status Shutdown kW Reported and Saved

Shutdown ID	Shutdown Date	Shutdown Type	Expected Sp	Plan Date	Plan Date	June 2014	July 2014	July 2014	Aug of 2014	September	October 2014
						Shutdown kW	Shutdown kW	Shutdown kW	Shutdown kW	Shutdown kW	Shutdown kW
123456		Control				0	0	0	240	240	240
123456	06/18/2014 19:15:10	Reported	14.018	06/18/2014	11/15/2014	0	0	0	3	208	280
Summary						0	0	0	0	348	380

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 232: Rules Specific to Resource Data in Change of Status Verification File

Note: Enrolling Resources.

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	<p>The reporting type as selected by the user.</p> <p>User may select from either <i>Enrolled</i> or <i>Reported</i>.</p> <p>For resources removing an existing Change of Status Shutdown kW value, select <i>Enrolled</i> and enter a value of zero.</p> <p>For resources adding or editing an existing Change of Status Shutdown kW value, select <i>Reported</i> and enter a value greater zero.</p> <p>Must be provided.</p>
Begin Effective Date	D	Alpha – Numeric MM/DD/YYYY	Y	<p>The day on which the Change of Status began.</p> <p>Must be earlier in the calendar year than the End Effective Date.</p> <p>Must be provided.</p>
End Effective Date	E	Alpha – Numeric MM/DD/YYYY	Y	<p>The day on which the Change of Status ends.</p> <p>Must be provided.</p>

Change of Status Reporting Field Name	Column in Entry Row	Field Format	Editable (Y/N)	Description and Rule(s)
Shutdown KW	F	Numeric Up to 7 digits	Y	<p>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.</p> <p>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.</p> <p>For resources with a Calculated ACL value less than 500 kW, must be zero.</p> <p>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.</p>
Peak Monthly Demand KW	F	Numeric Up to 7 digits	N	<p>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.</p>

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	
<p>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.</p>	<ol style="list-style-type: none"> 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; <ol style="list-style-type: none"> a. Reporting type of “Reported”. b. Start Date of the Change of Status. c. End date of the Change of Status. d. The Change of Status Shutdown kW value for the months of September and October for which the partial sales window has passed. 5. User saves entries. 6. User manages any error messages which may have occurred. 7.

10.9. Viewing Resource Shortfall kW Summary Data

For those MPs with resources enrolled with either a Change of Status, Incremental ACL and/or a Provisional ACL in a selected Capability Period and month, DRIS provides the means to perform the following:

- View concurrent resource Shortfall kW data for the Capability Period and month selected
 - View resource Change of Status Shortfall kW data
 - View resource Incremental ACL Shortfall kW data
 - View resource Provisional ACL Shortfall kW data
- View Shortfall kW data denoted as attributable to the *Greatest Deficiency*

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

1. Report any applicable resource Change of Status data into DRIS
2. Report any applicable resource Verification data attributable to an enrollment with either an Incremental ACL or Provisional ACL

Note: Reporting resource Change of Status data through the Change of Status screen in DRIS is the **only** means by which resource Change of Status data will be accepted by the NYISO after the close of enrollment of an Auction Month and up to the deadline specified in the DRIS Event Calendar. The verification data for resources enrolled with either an Incremental ACL or Provisional ACL in the same Capability Period occurs during the reporting window for verified metered load data as specified on the DRIS Event Calendar.

10.9.1. Viewing Shortfall kW Data

Viewing resource Shortfall kW data provides the MP with a snapshot of the resource calculated shortfalls for each enrollment type of Change of Status, Incremental ACL and/or Provisional ACL, across a Capability Period. Only one type of Shortfall kW will be denoted as the “*Greatest Deficiency*” on this screen.

Resource Shortfall kW data is displayed by Capability Period and month and includes the following:

- *Shortfall Type:* The Shortfall Type is the resource enrollment type associated with the Capability Period and month selected for which a shortfall was determined. The Shortfall Types include Change of Status, Incremental ACL and Provisional ACL
- *Used In Greatest Deficiency:* This indicator will be marked as checked for the monthly records associated with the Shortfall Type determined to have the Greatest Deficiency in the Capability Period.
- *Applicable Shortfall kW:* The kW value at which the resource has incurred a shortfall based on the “Reported” or “Unreported” Change of Status Shortfall, the Incremental ACL Shortfall or the Provisional ACL shortfall, for the Capability Period and month selected.

To view resource Shortfall kW data

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

The system displays the Resource Shortfall Summary page.

- From the corresponding search filters in the uppermost frame on the Resource Shortfall Summary page (see Figure 233), 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 233: Resource Shortfall Summary Page Search Filters



- 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 234).

Figure 234: Resource Shortfall Summary page Illustrating Resource Information for Capability Period Shortfall kW Data



- Optionally, view details of the resource Shortfall Summary detailed reporting data by clicking the corresponding row in the grid to expand the record.
- The system expands the record within the frame, where additional resource Shortfall kW summary information are displayed (see Figure 235).

Figure 235: Resource Shortfall Summary Page Illustrating Expanded Reported Details

Resource	Resource Name	Account Number	Market Month	Capacity Period	Date	Shortfall Type	Used in Greater Deficiency	Available Shortfall
All Resources for 123456 - All Markets Participation								
12346	Warehouse 1	R061501208	December 2014	Summer 2014	J	Provisional	100	100
12346	Warehouse 1	R061501208	August 2014	Summer 2014	J	Incremental	100	100
12346	Warehouse 1	R061501208	July 2014	Summer 2014	J	Provisional	100	100
12346	Warehouse 1	R061501208	June 2014	Summer 2014	J	Provisional	100	100
12345	Warehouse 1	R061501208	May 2014	Summer 2014	J	Incremental	100	100
12345	Warehouse 1	R061501208	October 2014	Summer 2014	J	Provisional	100	0

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 236).

Figure 236: Resource Shortfall Summary Page, Other Page Navigation

Resource	Resource Name	Account Number	Market Month	Capacity Period	Date	Shortfall Type	Used in Greater Deficiency	Available Shortfall
All Resources for 123456 - All Markets Participation								
12346	Warehouse 1	R061501208	December 2014	Summer 2014	J	Provisional	100	100
12346	Warehouse 1	R061501208	August 2014	Summer 2014	J	Incremental	100	100
12346	Warehouse 1	R061501208	July 2014	Summer 2014	J	Provisional	100	100
12345	Warehouse 1	R061501208	May 2014	Summer 2014	J	Incremental	100	100
12345	Warehouse 1	R061501208	May 2014	Summer 2014	J	Provisional	100	100
12346	Warehouse 1	R061501208	October 2014	Summer 2014	J	Incremental	100	0

11. Performing DSASP-Specific Tasks

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

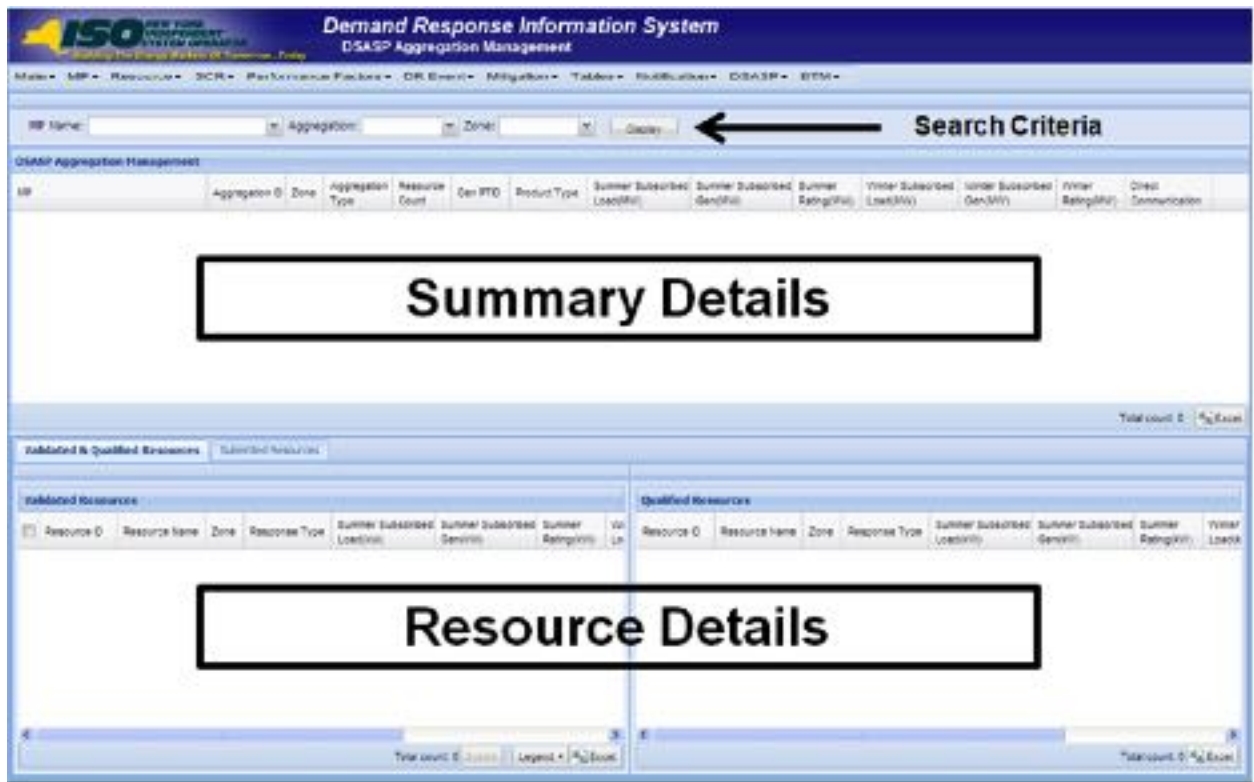
- Viewing DSASP Aggregations
- Managing DSASP Aggregations
- Submitting DSASP Aggregations for Market Participation
- Viewing current and historical DSASP Submittals

11.1. Viewing DSASP Aggregations

Viewing DSASP Resources that are aggregations of an individual DSR or a grouping of DSRs involves both summary and detailed views of the DSASP Resource and the Demand-Side Resources which comprise the aggregation (see Figure 237). Some or all of the following details can be viewed from the DSASP Aggregation Management screen within DRIS:

- DSASP Aggregation summary details
- Demand-Side Resource details
- Demand-Side Resource Statuses

Figure 237: DSASP Aggregation Management Screen



When viewing DSASP Aggregations and Demand-Side Resources within a DSASP Aggregation, the MP is not required to initially select search criteria, after navigating to the page.

11.1.1. Viewing DSASP Aggregation Management Summary Details

Viewing DSASP Resources that are aggregations of an individual DSR or a grouping of DSRs is the first step in viewing DSASP Demand-Side Resource details and Managing DSASP Aggregations. Performing search functionality from the DSASP Aggregation Management screen allows the MP User to select and view DSASP Aggregations in greater detail.

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

- Aggregation
- Zone

Regardless of viewing scope, the system displays data for each DSASP Resource, by Aggregation ID ascending.

DSASP Aggregation

- MP Name
- Aggregation ID
- Zone
- Aggregation Type
- Resource Count
- Gen PTID
- Product Type
- Summer Subscribed Load (kW)
- Summer Subscribed Gen (kW)
- Summer Rating (MW)
- Winter Subscribed Load (kW)
- Winter Subscribed Gen (kW)
- Winter Rating (MW)
- Direct Communication

Note: In the DSASP menu the selection of "Aggregation Management" will navigate the user to the DSASP Aggregation Management screen which provides the user the ability to view and manage DSASP Aggregations. This screen will be viewable upon MP registration as a DSASP Provider and will begin to populate once the first successful DSASP Import has occurred.

Note: Upon the successful import of the first Demand-Side Resource of a DSASP Resource, the DSASP Aggregation ID will be automatically generated by DRIS.

Note: When the first import of DSASP Demand-side Resources occurs for a DSASP Aggregation containing an individual or group of DSRs, the summary level details displayed will be limited to *MP Name, Aggregation ID, Zone and Aggregation Type* (see Figure 238). Once the Demand-Side Resources within the aggregation have been Qualified for Market Participation, the remaining summary field values will populate.

Figure 238: DSASP Aggregation Management Summary

MP	Aggregation ID	Zone	Aggregation Type	Resource Count	Dev PTD	Product Type	Summer Subscribed Load (kW)	Summer Subscribed Gen (kW)	Summer Peak (kW)	Winter Subscribed Load (kW)	Winter Subscribed Gen (kW)	Winter Peak (kW)	Email Communication
Market Participant	1000	C	2 - Group										
Market Participant	1001	F	2 - Group										
Market Participant	1002	I	3 - Group										
Market Participant	1003	F	1 - Individual										

Pre-requisites

- The MP is registered in MIS to participate in the DSASP program, as a DSASP Provider.
- The DSASP Provider representative performing the task has been assigned the DRIS Web UI MP Read-Only or the DRIS Web UI MP User privilege.
- The DSASP Provider representative performing the task is logged in to DRIS (see section 1.3, "Accessing the System").


To view summary data for DSASP Aggregations

1. From the **DSASP** menu, choose **Aggregation Management**.
The system displays the DSASP Aggregation Management page.
2. From the corresponding search filter(s) in the uppermost frame on the DSASP Aggregation Management page (see Figure 239), choose the **search filters** for which the system should display DSASP Resources.

Figure 239: DSASP Aggregation Management Search Filters

3. Near the top of the DSASP Aggregation Management page, click the **Display** button.

The system populates the DSASP Aggregation summary grid below the search filters with data for those aggregations, containing either an individual or a group of DSRs, meeting the criteria chosen in step 2.

Note: The system will display one entry per DSASP Aggregation, depending on the defined criteria. Entries in the *DSASP Aggregation Management summary* grid are displayed in ascending order based on the Resource ID.
To refresh the DSASP Aggregations grid so that it displays up-to-date information, click the  button in the grid status bar.

4. Optionally, download the DSASP Aggregation Management summary data by clicking the Excel button in the lower right-hand corner of the screen, just below the summary grid.

A file containing enrollment details for all enrollments matching the criteria specified in step 2 is saved to the designated location.

11.1.2. Viewing Demand-Side Resources within a DSASP Aggregation

Viewing Demand-Side Resources within a DSASP Aggregation containing either an individual or group of DSRs is the second step in viewing DSASP Demand-Side Resource details and managing DSASP Aggregations. Performing search functionality from the DSASP Aggregation Management screen allows the MP User to view and select DSASP Aggregations in greater detail. Once a DSASP Aggregation has been selected, the Aggregation details grid on the lower half of the DSASP Aggregation Management screen will populate with two tabs displaying the details of Validated and Qualified Demand-Side Resources and/or Submitted Demand-Side Resources within the selected aggregation. (see Figure 240). Additionally, there is a DSASP Enrollment Status of Separated which can only be viewed from the DSASP Enrollment Details screen (see Viewing DSASP Resource Enrollment Details Section 8.1.4).

Figure 240: DSASP Resource Enrollment Statuses

Status	Begin Effective Date	End Effective Date
<p>Validated</p>	<p>A new Validated record is created when:</p> <ul style="list-style-type: none"> • The resource is initially imported successfully into DRIS • Each time an update to the resource is imported successfully into DRIS 	<p>The Validated record remains active until:</p> <ul style="list-style-type: none"> • An update is imported into DRIS which creates a new Validated record • The resource is Separated from the Market Participant portfolio
<p>Submitted</p>	<p>A new Submitted record is created when:</p> <ul style="list-style-type: none"> • The resource is included in the submission of the Aggregation to either become or remain part of the Qualified Aggregation • The resource is currently part of the Qualified Aggregation and is being submitted for removal from the Qualified Aggregation (this <u>does not</u> remove the resource from a Validated Status in the aggregation) 	<p>The Submitted record remains active until:</p> <ul style="list-style-type: none"> • The Submitted Aggregation becomes Qualified • The submission of the aggregation is Canceled
<p>Qualified</p>	<p>A new Qualified record is created when:</p> <ul style="list-style-type: none"> • The Submitted Aggregation becomes Qualified <u>and</u> the resource was submitted to either become or remain part of the Qualified Aggregation 	<p>The Qualified record remains active until:</p> <ul style="list-style-type: none"> • The resource was submitted on a subsequent Submission of the Aggregation to remain part of the Qualified Aggregation and a new Qualified record has been created for the resource based on the new Submission of the Aggregation becoming Qualified • The resource was submitted on a subsequent Submission of the Aggregation to be removed from the aggregation and the new Submission of the Aggregation becoming Qualified • The resource is Separated from the MP portfolio
<p>Separated</p>	<p>A new Separated record is created when:</p> <ul style="list-style-type: none"> • The resource is Separated from the DSASP Provider Portfolio 	<p>The Separated record remains active until:</p> <ul style="list-style-type: none"> • The resource is re-enrolled with the DSASP Provider in DSASP

Dependent on viewing scope, the system displays data for each Demand-Side Resource within a DSASP Aggregation, by Resource ID ascending.

Displayed for Enrollment Status Type

DSASP Demand-Side Resource	Validated	Submitted	Qualified
▪ Resource ID	Y	Y	Y
▪ Resource Name	Y	Y	Y
▪ Zone	Y	Y	Y
▪ Response Type	Y	Y	Y
▪ Summer Subscribed Load(kW)	Y	Y	Y
▪ Summer Subscribed Gen(kW)	Y	Y	Y
▪ Summer Rating (kW)	Y	Y	Y
▪ Winter Subscribed Load(kW)	Y	Y	Y
▪ Winter Subscribed Gen(kW)	Y	Y	Y
▪ Winter Rating(kW)	Y	Y	Y
▪ Reliability Enrollment Indicator	Y	N	N

Note: In the DSASP Aggregation details grid in the lower half of the screen, there will be a separate pane for each of the three DSASP Enrollment Statuses, *Validated*, *Qualified* and *Separated*. The *Validated* and *Qualified* tab will appear immediately below the summary grid on the top half of the screen, while the *Submitted* tab must be selected (see Figure 241).

Note: The Reliability Enrollment Indicator, on the *Validated* tab, will appear checked when the Demand-Side Resource is enrolled in either the SCR or EDRP program, with any MP.

Note: The *Validated* record for a Demand-Side Resource may appear checked or highlighted, based on changes in status and/or enrollment values (see Figure 242).

Figure 241: DSASP Aggregation Demand-Side Resource Details

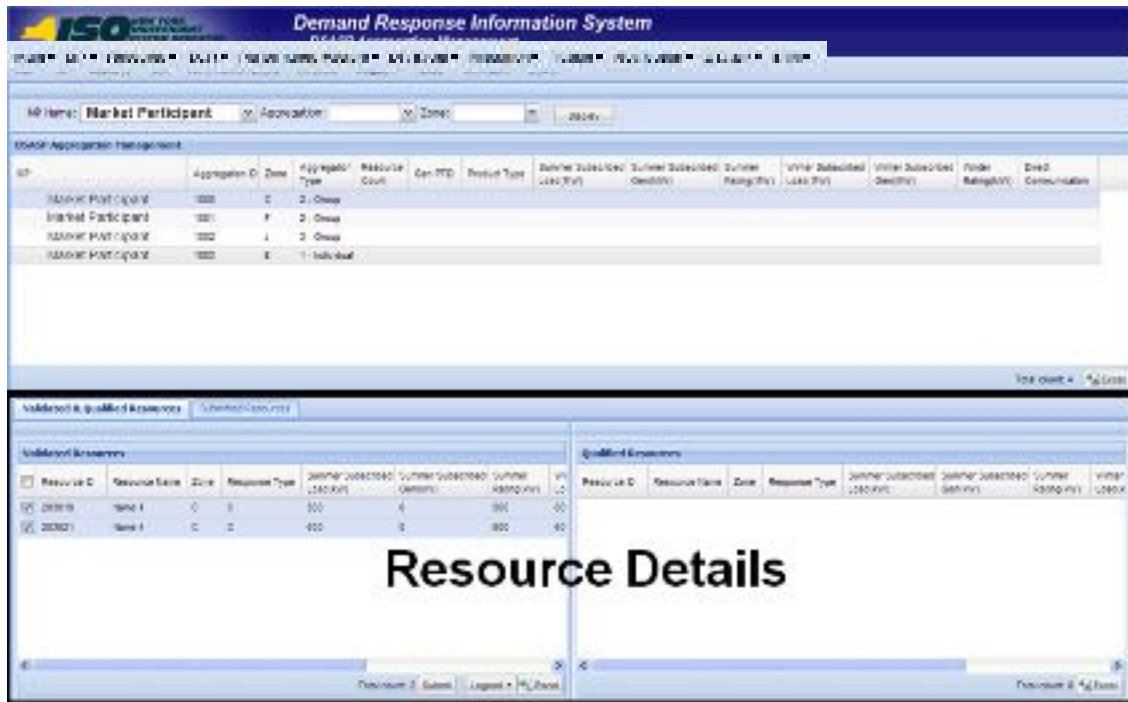
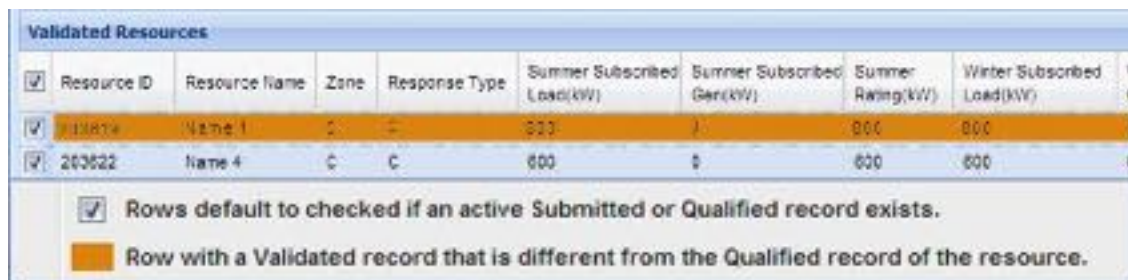


Figure 242: Validated Demand-Side Resources (Checked and Highlighted)



Pre-requisites

- The MP is registered in MIS to participate in the DSASP program, as a DSASP Provider.
- The DSASP Provider representative performing the task has been assigned the DRIS Web UI MP Read-Only or the DRIS Web UI MP User privilege.
- The DSASP Provider representative performing the task has selected an aggregation from the DSASP Aggregation Management screen.
- The DSASP Provider representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

 **To view DSASP Aggregation Demand-Side Resource Details**

1. From the **DSASP Aggregation Management summary grid**, choose a **DSASP Aggregation**.

The system displays the Demand-Side Resource details in the corresponding *Validated and Qualified Resources and/or Submitted Resources* tabs.

2. Near the bottom of the DSASP Aggregation Management page, the MP User clicks the desired **DSASP Enrollment Status Tab for viewing**.
3. The system will display one entry per Demand-Side Resource, in the Validated, Qualified, and Submitted panes of the screen based on the enrollment status(es) of the resources as defined by the criteria in Figure 240.
4. Optionally, download the appropriate enrollment status detail data by clicking the Excel button in the lower right-hand corner of the corresponding pane, just below the grid.

A file containing enrollment details for all enrollments matching the criteria specified in the search criteria for the DSASP Aggregation selected is saved to the designated location.

11.2. Managing DSASP Aggregations

The DSASP Provider has the ability to move a DSASP Demand-Side Resource from one enrollment status to another, with the goal of either adding the resource to a Qualified DSASP Aggregation or removing the resource from a Qualified DSASP Aggregation, whether an aggregation of an individual DSR or group of DSRs. The DSASP Provider can submit a *Validated* Demand-Side Resource to become part of the Qualified aggregation which will create a *Submitted* record for the Demand-Side Resource viewable on the Submitted Resources tab. The DSASP Provider has the option to also select resources which are *Qualified* to be removed from the aggregation. These tasks can be done only when there is no active enrollment status of *Submitted* for the aggregation.

Managing DSASP Aggregations containing either an individual DSR or a group of DSRs involves selecting and de-selecting the *Validated* resource enrollment records from the Validated Resources pane of the screen for the purpose of moving the Demand-Side Resource either in or out of the selected aggregation.

Managing a DSASP Aggregation successfully will result in the DSASP Provider choosing to Submit the selected resources which generates a DSASP Resource Report (see Section 11.2.3).

Managing a DSASP Aggregation involves:

- Selecting a *Validated* resource record for updates or addition to a *Qualified* DSASP Aggregation.
- De-Selecting a *Validated* resource record for removal from a *Qualified* DSASP Aggregation.
- Submitting *Validated* resources for addition, updates or removal in a DSASP Aggregation.
- Generating a DSASP Resource Report

Note: In the lower left pane of the DSASP Aggregation Management screen, Validated resources may appear checked or un-checked, as well as highlighted, based on the resource enrollment status and the Validated resource record values as compared to the Qualified resource record values (see Figure 242).

Note: Completely removing a DSASP Demand-Side Resource from a DSASP Provider Portfolio requires the action of first removing the *Qualified* resource from the aggregation and then separating the resource from the DSASP Provider Portfolio on the DSASP Enrollment Details screen (see Figure 111).

11.2.1. Adding or Updating a Validated Demand-Side Resource for the Qualified DSASP Aggregation

The DSASP Provider has the ability to select a *Validated* resource in the Validated Resources pane of the DSASP Aggregation Management screen for the purpose of either adding the Demand-Side Resource to the *Qualified* DSASP Aggregation or updating the Demand-Side resource within the Qualified aggregation, containing either an individual or a group of DSRs, when changes to the Demand-Side Resource have been imported into DRIS.

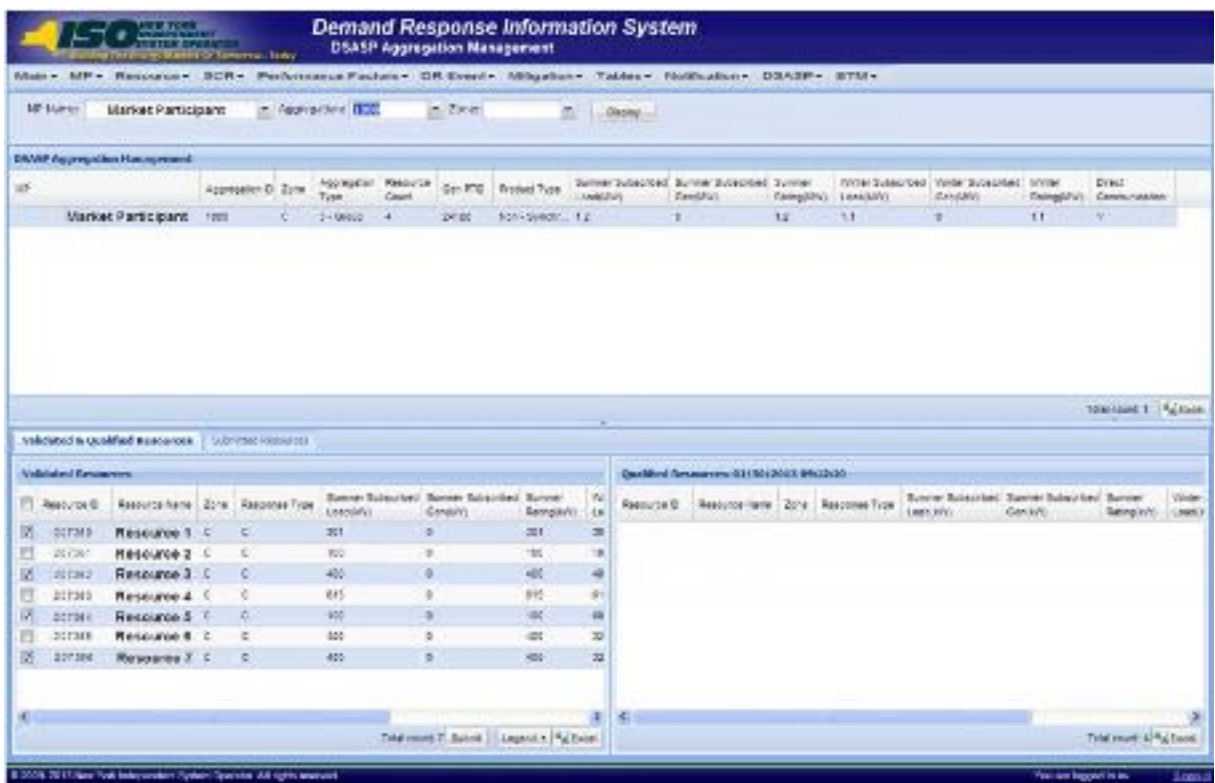
Pre-requisites

- The MP has enrolled Demand-Side Resource(s) in the DSASP program, as a DSASP Provider, as outlined under Section 7.
- The DSASP Provider representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The DSASP Provider representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

 **To select Validated Demand-Side Resources for adding or updating**

1. From the **DSASP** menu, choose **Aggregation Management**.
The system displays the DSASP Aggregation Management page.
2. From the corresponding search filters near the top of the page, the DSASP Provider has the option to choose either the applicable **Aggregation ID** or **Zone** (see Figure 239).

Figure 243: DSASP Aggregation Management Page as Initially Displayed with only Validated Demand-Side Resources



3. Near the top of the page, activate the **Display** button.
The DSASP Aggregation Management grid below the filters refreshes to display data for each DSASP Aggregation meeting the criteria chosen at step 2, including the DSASP Aggregation field values found in Section 11.1.1.
4. From the **DSASP Aggregation Management** grid, select the DSASP Aggregation which the MP will manage.

The system displays a record for each Demand-Side Resource for the selected DSASP Aggregation within the appropriate enrollment status panes (see Figure 240 and Section 11.1.2).

5. From the **Validated Resources** pane, select the *Validated* resources which will be added or updated for the *Qualified* DSASP Aggregation.

The DSASP Provider has the option to select or select all from the upper most check box in the lower left pane.

Note: The system will display *Qualified* Demand-Side Resources only if a *Qualified* DSASP Aggregation currently exists. If no *Qualified* DSASP Aggregation exists for the Aggregation ID, the right most *Qualified* Resource pane will be empty (see Figure 244).

If a *Qualified* DSASP Aggregation exists, the associated Demand-Side Resources will populate in the *Qualified* Resources pane (See Figure 245)

Figure 244: DSASP Demand-Side Resources with a Validated Record and no Qualified Record



Figure 245: DSASP Demand-Side Resources with a Validated Record and a Qualified Record



- Repeat step 5, until all Demand-Side Resources are selected as desired for addition or update in the *Qualified* DSASP Aggregation.

Note: Resources with no updates, which the DSASP Provider chooses to keep as part of the *Qualified* aggregation, must remain checked to be included in the submission of the aggregation.

Note: The individual Demand-Side Resources which comprise the DSASP Aggregation do not require seasonal reduction capability for both Capability Periods but the aggregate of the Demand-Side Resources which form the DSASP Aggregation must provide greater than 1MW of capacity in **BOTH** the Winter and Summer Capability Periods.

- To finalize the choice of selected *Validated* Demand-Side Resources for the DSASP Aggregation, the DSASP Provider must click Submit in the lower right corner of the *Validated Resources* pane.

DRIS will calculate and validate the Demand-Side Resources at the aggregate level for consideration in the *Qualified* DSASP Aggregation

When all validations at the aggregate level are successful, DRIS will create a *Submitted* record for each Demand-Side Resource included in the aggregation and create an export of the DSASP Resource Report to be included with the DSASP Resource Registration Packet (see Section 11.2.3).

Note: If a DSASP Aggregation Submittal is generated in error, it must be canceled by calling the NYISO Stakeholder Services at 518-356-6060. When calling, have the Aggregation ID and Submittal ID associated with the Submission.

Note: Demand-Side Resources can be added or removed (checked or unchecked) as part of the same submittal for the DSASP Aggregation.

11.2.2. Removing a Validated Demand-Side Resource from the Qualified DSASP Aggregation

The DSASP Provider has the ability to select a *Validated* Demand-Side Resource in the Validated Resources pane of the DSASP Aggregation Management screen for the purpose of removing the Demand-Side Resource from the *Qualified* DSASP Aggregation.

Pre-requisites

- The MP has enrolled resources in the DSASP program, as a DSASP Provider, as outlined under section 7.
- The DSASP Provider representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The DSASP Provider organization has a *Qualified* DSASP Aggregation in DRIS.
- The DSASP Provider representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

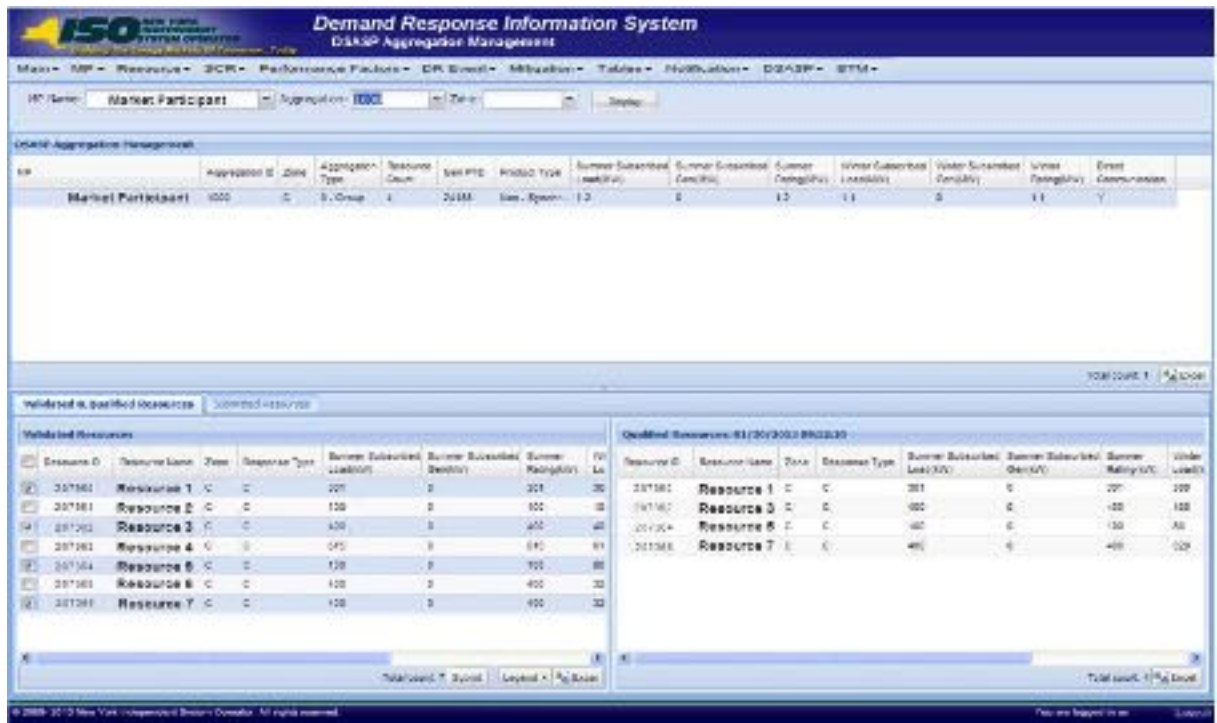
To select Validated Demand-Side Resources for removal

1. From the **DSASP** menu, choose **Aggregation Management**.

The system displays the DSASP Aggregation Management page.

- From the corresponding search filters near the top of the page, the DSASP Provider has the option to choose either the applicable **Aggregation ID** or **Zone** (see Figure 239).

Figure 246: DSASP Aggregation Management Page as Initially Displayed with both Validated and Qualified Demand-Side Resources



- Near the top of the page, activate the **Display** button.
The DSASP Aggregation Management grid below the filters refreshes to display data for each DSASP Aggregation meeting the criteria chosen at step 2, including the DSASP Aggregation field values found in Section 11.1.1.
- From the **DSASP Aggregation Management** grid, select the DSASP Aggregation which the DSASP Provider will manage.
The system displays a record for each Demand-Side Resource for the selected DSASP Aggregation within the appropriate enrollment status panes (see Figure 240 and Section 11.1.2).

Note: In the lower left pane of the DSASP Aggregation Management screen, *Validated* Demand-Side Resources may appear checked or un-checked, as well as highlighted, based on the resource enrollment status and the *Validated* resource record values as compared to the *Qualified* resource record values (see Figure 242).

Note: Completely removing a DSASP Demand-Side Resource from a DSASP Provider Portfolio requires the action of first removing the *Qualified* resource from the aggregation and then separating the resource from the DSASP Provider portfolio on the DSASP Enrollment Details screen (see Figure 111).

- From the **Validated Resources** pane, de-select the *Validated* Demand-Side Resources which will be removed from the *Qualified* DSASP Aggregation.

The DSASP Provider has the option to select or select all from the upper most check box in the lower left pane.

Note: The system will display *Qualified* Demand-Side Resources only if a *Qualified* DSASP Aggregation currently exists. If no *Qualified* DSASP Aggregation exists for the Aggregation ID, the right most *Qualified* Resource pane will be empty. In this instance, there will be no Demand-Side Resources to remove from the DSASP Aggregation (see Figure 247).

Note: If a *Qualified* DSASP Aggregation exists, the associated Demand-Side Resources will populate in the *Qualified* Resources pane. Only the *Validated* resource records which also have a *Qualified* resource record can be de-selected for removal from the DSASP Aggregation (see Figure 248).

Figure 247: DSASP Demand-Side Resources with a Validated Record and no Qualified Record

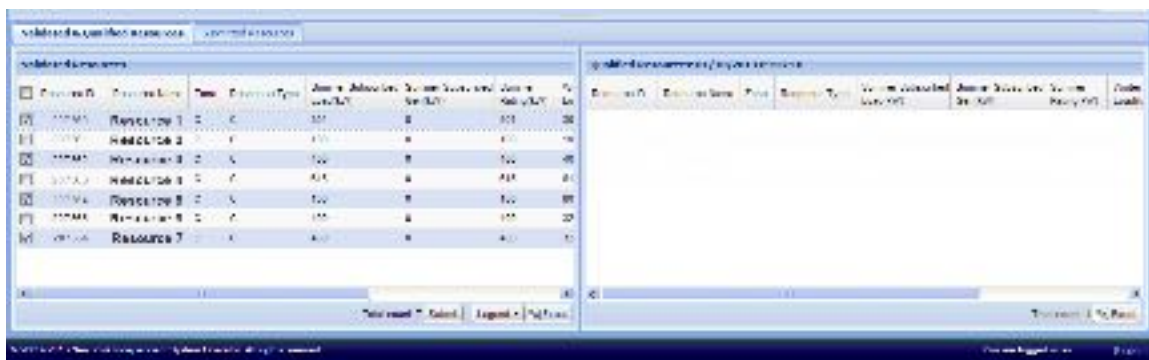


Figure 248: DSASP Demand-Side Resources with a Validated Record and a Qualified Record

Resource ID	Resource Name	Date	Resource Type	Winter Capacity (MW)	Summer Capacity (MW)	Status
11111	Resource 1	1/1/2020	DR	100	100	Validated
11112	Resource 2	1/1/2020	DR	100	100	Validated
11113	Resource 3	1/1/2020	DR	100	100	Validated
11114	Resource 4	1/1/2020	DR	100	100	Validated
11115	Resource 5	1/1/2020	DR	100	100	Validated
11116	Resource 6	1/1/2020	DR	100	100	Validated
11117	Resource 7	1/1/2020	DR	100	100	Validated

Resource ID	Resource Name	Date	Resource Type	Winter Capacity (MW)	Summer Capacity (MW)	Status
11118	Resource 1	1/1/2020	DR	100	100	Qualified
11119	Resource 2	1/1/2020	DR	100	100	Qualified
11120	Resource 3	1/1/2020	DR	100	100	Qualified
11121	Resource 4	1/1/2020	DR	100	100	Qualified
11122	Resource 5	1/1/2020	DR	100	100	Qualified

- Repeat step 5, until all Demand-Side Resources are de-selected as desired for removal from the *Qualified* DSASP Aggregation.

Note: The individual Demand-Side Resources which comprise the DSASP Aggregation do not require seasonal reduction capability for both Capability Periods but the aggregate of the Demand-Side Resources which form the DSASP Aggregation must provide greater than 1MW of capacity in **BOTH** the Winter and Summer Capability Periods.

Note: When removing Demand-Side Resources from the DSASP Aggregation, the aggregation must maintain 1MW or greater of reduction capability for **BOTH** the Winter and Summer Capability Periods. If the DSASP Aggregation is no longer able to maintain these limits, all Demand-Side Resources are required to be de-selected for removal from the aggregation.

- To finalize the choice of de-selected *Validated* Demand-Side Resources for removal from the DSASP Aggregation, the DSASP Provider must click Submit in the lower right corner of the *Validated Resources* pane.

DRIS will calculate and validate the individual Demand-Side Resources at the aggregate level for consideration in the *Qualified* DSASP Aggregation.

When all validations at the aggregate level are successful, DRIS will create a *Submitted* record for each Demand-Side Resource to be removed from the aggregation and create an export of the DSASP Resource Report to be included with the DSASP Resource Registration Packet (see Section 11.2.3).

Note: If a DSASP Aggregation Submittal is generated in error, it must be canceled by calling the NYISO Stakeholder Services at 518-356-6060. When calling, have the Aggregation ID and Submittal ID associated with the Submission.

Note: Demand-Side Resources can be added or removed (checked or unchecked) as part of the same submittal for the DSASP Aggregation.

11.2.3. DSASP Resource Report

DSASP Providers will be given the option to open or save the DSASP Resource Report after successfully submitting Demand-Side Resources for the DSASP Aggregation. Attaching Sections 1 and 2 of the DRIS generated DSASP Resource Report to the DSASP Resource Registration Packet is required when it is the first submission and *Qualification* of the DSASP Resource. The DRIS DSASP Resource Report and the DSASP Resource Registration Packet must be sent to Registration in the NYISO Member Relations Department as part of the DSASP Resource registration process.

After the first successful submission and *Qualification* of the DSASP Resource, subsequent DRIS DSASP Resource Report Sections 1 and 2, generated based on the addition of a new Demand-Side Resources, updates to existing Demand-Side Resources, or removal of Demand-Side Resources, are required to be sent to Registration in the NYISO Member Relations Department. The DSASP Resource Registration Packet is not required to be sent with each subsequent DRIS DSASP Resource Report.

The subsequent DRIS DSASP Resource Report serves as a DSASP Resource update form for the following changes to the initial DSASP Aggregation; changes to the count of Demand-Side Resource, changes to capacity of the DSASP Aggregation and changes to market segment information.

The DRIS DSASP Resource Report Section 3 is to be retained by the DSASP Provider.

Note: The DSASP Resource Report is initially generated and viewable from the DSASP Aggregation Management screen when the DSASP Provider elects to submit a DSASP Aggregation for Qualification (see Managing DSASP Aggregations Section 11.2). Historical DSASP Resource Reports can be accessed from the DSASP Submittals screen (see Viewing DSASP Submittals Section 11.3).

11.2.3.1. DSASP Resource Report Section 1

The DSASP Resource Report Section 1 is populated with all *Validated* Demand-Side Resources which are either being added to or updated for the DSASP Resource. This section will populate when the DSASP Resource Report is generated and is required to be sent with Section 2 of the DSASP Resource Report to Registration in the NYISO Member Relations Department.

Figure 249: DSASP Resource Report Section 1 Fields

DSASP Resource Report Section 1	Responsible Entity for Populating Information	
	DRIS	MP
▪ Submittal ID	Y	N
▪ DSASP Aggregation ID	Y	N
▪ Generator PTID	Y	N
▪ DRIS Resource ID	Y	N
▪ Resource Name	Y	N
▪ Zip Code	Y	N
▪ TO Account #	Y	N
▪ Seasonal Total MWs	Y	N
▪ Change From Inception	Y	N
▪ Change From Last	Y	N
▪ Provider Name	N	Y
▪ Provider Signature	N	Y
▪ Provider Company Name	N	Y
▪ Date Signed	N	Y

Figure 250: DSASP Resource Report Section 1 Example

NYISO - Values will be populated by the DSASP Provider and will be included in the DSASP Report.

DSASP Aggregation Submittal Report

Date: 03/27/2023

Page 1 of 2

Submittal ID	035
DSASP Agg ID	004
Generator ID	002

DSASP Resource ID	Resource Name	ID Code	DSASP Unit	Summer kW	Winter kW
002	002	005	002	005	002

	Summer	Winter
kw	005	002
Change From Input?	005	002
Change From Unit?	005	002

Includes file for on line judge of DSASP Aggregation Submittal Report.

Authorized DSASP Demand Reduction Provider Signature	To be completed by DSASP Provider	Date Signed	To be completed by DSASP Provider
Authorized DSASP Demand Reduction Provider Signed Name	To be completed by DSASP Provider	DSASP Demand Reduction Provider Company Name	To be completed by DSASP Provider

Includes Company Name Signed name and Signature, No Labels, NYISO, US Energy Information Administration, NY 12122

Note: Section 1 of the DSASP Resource Report is required to be sent to Registration in the NYISO Member Relations Department when the DSASP Provider submits a DSASP Aggregation.

Note: If a DSASP Aggregation Submittal is generated in error, it must be canceled by calling the NYISO Stakeholder Services at 518-356-6060. When calling, have the Aggregation ID and Submittal ID associated with the Submission.

11.2.3.2. DSASP Resource Report Section 2

The DSASP Resource Report Section 2 is populated with the DSASP Resource Type, Bid Privileges and Unit Commitment Parameters. This section will populate when the DSASP Resource Report is generated and is required to be sent with Section 1 of the DSASP Resource Report to Registration in the NYISO Member Relations Department.

Figure 251: DSASP Resource Report Section 2 Fields

DSASP Resource Report Section 2	Responsible Entity for Populating Information	
	DRIS	MP
▪ Submittal ID	Y	N
▪ DSASP Aggregation ID	Y	N
▪ Generator PTID	Y	N
▪ DSASP Aggregation Type	Y	N
▪ DSASP Product Type	Y	N
▪ Seasonal MW Ratings	Y	N
▪ Physical Min Gen	N	Y
▪ Response Rates	N	Y
▪ Appropriate DAM Flags	N	Y
▪ Appropriate RTM Flags	N	Y
▪ Provider Name	N	Y
▪ Provider Signature	N	Y
▪ Provider Company Name	N	Y
▪ Date Signed	N	Y

Figure 252: DSASP Resource Report Section 2 Example

DRES = Value will be populated by DRES
All others to be filled out by DSASP Provider

DSASP Resource Submittal

Date: 05/07/2014
Page: 2 of 2

Resource Type, Bid Privileges and Unit Commitment Parameters
 Submittal ID: DRES

Part 2: DSASP Demand Side Resources Reporting: DRES Form
 DSASP Agg ID: DRES
 Generator FIDIC: DRES

DSASP Aggregation Type: DRES	DSASP Provider Type: DRES		
Generator Units	Min. Spins	DAWA	RTM
Summer MW Rating	DRES	Thermal Energy	*
Winter MW Rating	DRES	10 min Spin	*
Physical min Gen (MW)	*	30 min Spin	*
Emergency Response Rate (MW/Min)	*	10 min Non-Sync	+
Max Regulation Response Rate (MW/Min)	*	30 min Non-Sync	+
Normal Response Rate (MW/Min)	*	Regulation Control	+
*subject to review upon bid issue			

Authorized DSASP Demand Reduction Provider Signature	To be completed by DSASP Provider	Data Signed	To be completed by DSASP Provider
Authorized DSASP Demand Reduction Provider Printed Name	To be completed by DSASP Provider	DSASP Demand Reduction Provider Signature Name	To be completed by DSASP Provider

Items completed and signed from: **Member Relations**, **Exits**, **Energy Treatment**, **Registration**, **NYISO**

* To be completed by DSASP Provider
If not applicable enter "N/A"

Note: Section 2 of the DSASP Resource Report is required to be sent to Registration in the NYISO Member Relations Department when the DSASP Provider submits a DSASP Aggregation.

Note: If a DSASP Aggregation Submittal is generated in error, it must be canceled by calling the NYISO Stakeholder Services at 518-356-6060. When calling, have the Aggregation ID and Submittal ID associated with the Submission.

11.2.3.3. DSASP Resource Report Section 3

The DSASP Resource Report Section 3 is populated with all *Qualified* Demand-Side Resources which are being removed from the DSASP Aggregation. This section will populate when the DSASP Resource Report is generated and one or more Demand-Side Resources are being removed from the *Qualified* aggregation. The DSASP Resource Report Section 3 is **NOT** required and should not be sent with Sections 1 & 2 of the DSASP Resource Report. The DSASP Provider is required to maintain the DSASP Resource Report Section 3 for the records of the organization.

Figure 253: DSASP Resource Report Section 3 Fields

DSASP Resource Report Section 1	Responsible Entity for Populating Information	
	DRIS	MP
▪ Submittal ID	Y	N
▪ DSASP Aggregation ID	Y	N
▪ Generator PTID	Y	N
▪ DRIS Resource ID	Y	N
▪ Resource Name	Y	N
▪ Zip Code	Y	N
▪ TO Account #	Y	N
▪ Resource Summer kW	Y	N
▪ Resource Winter kW	Y	N
▪ Seasonal Aggregation MW	Y	N

Figure 254: DSASP Resource Report Section 3 Example

DRIS - Value will be populated by DRIS

Demand-Side Resource Removal Summary					Date: 06/27/2018
					Submittal ID: DRIS
					DSASP Agg ID: DRIS
					Generator P/E ID: DRIS
*These Resources will be removed from this Aggregation					
DRIS Resource ID	Resource Name	Zip Code	ID Account #	Summer kW	Winter kW
DRIS	DRIS	DRIS	DRIS	DRIS	DRIS
Total MW Being Removed:				Summer DRIS	Winter DRIS

*Do not include this form with the DSASP Resource Report submitted to the NYISO
Please keep this document for your own records.

Note: Section 3 of the DSASP Resource Report is not required, and should not be sent to Registration in the NYISO Member Relations Department when the DSASP Provider submits a DSASP Resource Aggregation. The DSASP Provider must retain the DSASP Resource Report Section 3 for the records of the organization.

Note: If a DSASP Aggregation Submittal is generated in error, it must be canceled by calling the NYISO Stakeholder Services at 518-356-6060. When calling, have the Aggregation ID and Submittal ID associated with the Submission.

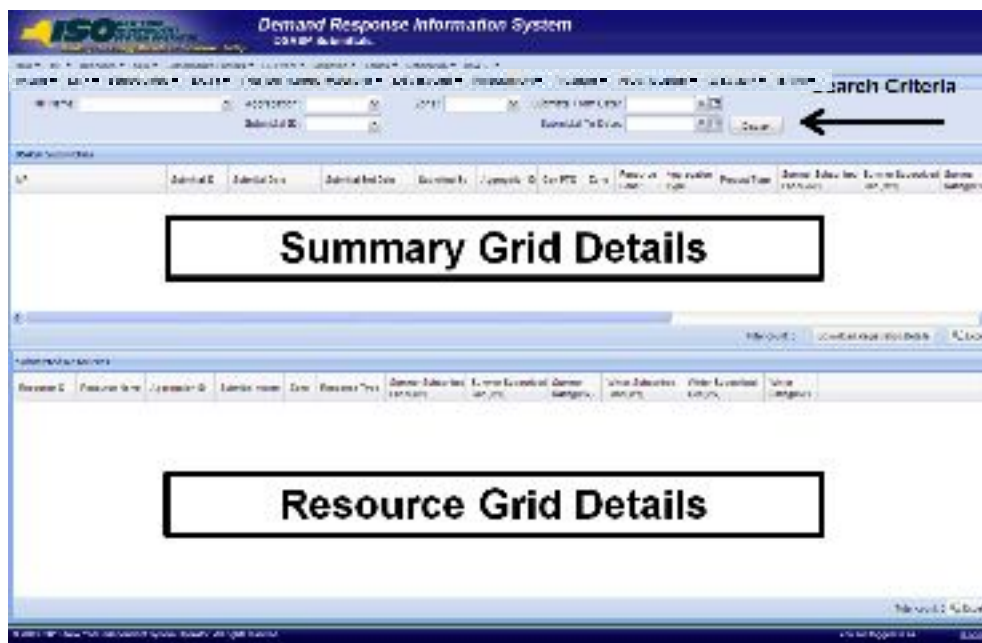
11.3. Viewing DSASP Submittals

Viewing DSASP Submittals involves both summary and detailed views of the DSASP Aggregation, as it existed at the time of submission. DSASP Providers can view the DSASP Submittals summary grid which displays data at the aggregation level or Submitted Resources grid which displays details of the Demand-Side Resources which were included as part of the Qualified aggregation or which were included to be removed from the Qualified aggregation at the time of the

submission. (see Figure 255). Some or all of the following details and functions can be accessed from the DSASP Submittals screen within DRIS:

- Aggregation Submittal Summary
- Demand-Side Resource Submittal Details
- Demand-Side Resource Submittal Action
- Download Historical DSASP Resource Reports

Figure 255: DSASP Submittals Screen



When viewing DSASP Submittals and Demand-Side Resources within a DSASP Submittal, the DSASP Provider is not required to initially select search criteria, after navigating to the page.

11.3.1. Viewing DSASP Aggregation Submittal Summary

Viewing DSASP Submittals at the aggregation level, containing either an individual DSR or a group of DSRs, is the first step in viewing summary data of the aggregation at the time it was submitted for Qualification and downloading previously generated DSASP Resource Reports. Performing search functionality from the DSASP Submittals screen allows the DSASP Provider to view and select DSASP Aggregations to view additional details of the Demand-Side Resources within the aggregation.

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

- Aggregation
- Zone
- Submittal ID
- Submittal From Date
- Submittal To Date

Regardless of viewing scope, the system displays data for each DSASP Submittal, by Submittal ID descending.

DSASP Submittals

- MP Name
- Submittal ID
- Submittal Date
- Submittal End Date
- Submitted By
- Aggregation ID
- Gen PTID
- Zone
- Resource Count
- Aggregation Type
- Product Type
- Summer Subscribed Load(kW)
- Summer Subscribed Gen(kW)
- Summer Rating (MW)
- Winter Subscribed Load(kW)
- Winter Subscribed Load(kW)
- Winter Rating (MW)
- Direct Communication
- Canceled Flag

DSASP Submittals

- Last Update Time
- Last Updated By

Note: In the DSASP menu the selection of "Submittals" will navigate the user to the DSASP Submittals screen which provides the ability to view DSASP Aggregations at a snapshot in time, as they existed for a submission. This screen will be viewable upon MP registration as a DSASP Provider and will begin to populate once the first DSASP Submittal has occurred.

Note: In the *Submittal End Date* field column, a populated value signifies that the Submittal has been closed out, either due to becoming *Qualified* and participating in the market or by being *Canceled* at the request of the DSASP Provider or by the NYISO (see Figure 256).

Note: When the first Submittal occurs for a DSASP Aggregation, the summary level details displayed will not include the *Submittal End Date*, *Gen PTID* and *Canceled* fields. These field values will populate once the DSASP Aggregation has become *Qualified* or the submission has been *Canceled*, (see Figure 256).

Figure 256: DSASP Submittals

ID	Aggregation ID	Aggregation Name	Aggregation Type	Aggregation Status	Aggregation Description	Aggregation Start Date	Aggregation End Date	Aggregation Load (MW)	Aggregation Load (MW)	Aggregation Load (MW)	Aggregation Load (MW)
Market Participant 45	45142015104710		MP User	4515				1.5	1.5	1.5	1.5
Market Participant 45	45142015104710		MP User	4515				1.5	1.5	1.5	1.5

Pre-requisites

- The MP is registered in MIS to participate in the DSASP program, as a DSASP Provider.
- The DSASP Provider representative performing the task has been assigned the DRIS Web UI MP Read-Only or the DRIS Web UI MP User privilege.
- The MP DRIS Web UI MP User has selected and submitted a DSASP Aggregation
- The DSASP Provider representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

To view DSASP Submittals summary data

1. From the **DSASP** menu, choose **Submittals**.

The system displays the DSASP Submittals page.


- From the corresponding search filter(s) in the uppermost frame on the DSASP Submittals page (see Figure 257), choose the **search filters** for which the system should display DSASP Aggregations.

Figure 257: DSASP Submittals Search Filters



- Near the top of the DSASP Submittals page, click the **Display** button.
The system populates the DSASP Submittals summary grid below the search filters with data for those DSASP Aggregations meeting the criteria chosen in Step 2.

Note: The system will display one entry per DSASP Submittal, depending on the defined criteria. Entries in the *DSASP Submittals summary* grid are displayed in ascending order based on the Submittal ID.

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

- Optionally, download the DSASP Submittals summary data by clicking the Excel button in the lower right-hand corner of the screen, just below the summary grid.
A file containing enrollment details data for all enrollments matching the criteria specified in step 2 is saved to the designated location.
- Additionally, optionally, the DSASP Provider has the ability to download the DSASP Resource Report represented by the selected DSASP Submittal data by highlighting the desired DSASP Aggregation and Submittal ID and then clicking the DSASP Resource Report button in the lower right-hand corner of the screen, just below the summary grid (see Figure 258).

A file containing the DSASP Resource Report for the selected record, as it existed at the time of submission, is saved to the designated location.

Figure 258: Download DSASP Resource Report



11.3.2. Viewing Demand-Side Resources within a DSASP Submittal

Viewing Demand-Side Resources within a DSASP Submittal allows the DSASP Provider to view the Demand-Side Resource details as they existed at the time of submittal. Performing search functionality from the DSASP Submittals screen allows the DSASP Provider to view and select DSASP Aggregations in greater detail. Once a DSASP Aggregation has been selected, the Submitted Resources grid on the lower half of the DSASP Submittals screen will populate with the aggregation details.

In addition to the field values for the Demand-Side Resources, the DSASP Provider can also view the specific action that was taken on each Demand-Side Resource for the selected Submittal (see Figure 259).

Figure 259: DSASP Submittal Action

Submittal Action	Definition
Add	When a <i>Qualified</i> DSASP Enrollment record does not exist for the resource.
Update	When a <i>Qualified</i> DSASP Enrollment record exists for the resource and a field value has been modified.
No Change	When a <i>Qualified</i> DSASP Enrollment record exists for the resource and there are no field value modifications.

<u>Remove</u>	When a <i>Qualified</i> DSASP Enrollment record exists for the resource and it has been selected for removal from the DSASP Aggregation.
<u>Separated</u>	When the resource has been separated from the DSASP Provider Portfolio.

The system displays data for each Demand-Side Resource within the aggregation, by Resource ID ascending.

Submitted Demand-Side Resource

- Resource ID
- Resource Name
- Aggregation ID
- Submittal Action
- Zone
- Response Type
- Summer Subscribed Load(kW)
- Summer Subscribed Gen(kW)
- Summer Rating (kW)
- Winter Subscribed Load(kW)
- Winter Subscribed Gen(kW)
- Winter Rating(kW)

Figure 260: DSASP Submitted Resources Details

Resource ID	Resource Name	Aggregation ID	Submittal Action	Zone	Response Type	Summer Subscribed Load(kW)	Summer Subscribed Gen(kW)	Summer Rating(kW)	Winter Subscribed Load(kW)	Winter Subscribed Gen(kW)	Winter Rating(kW)
20183	Home 1	1001	add	E	C	300	0	300	300	0	300
20184	Home 4	1001	add	X	C	300	0	300	300	0	300

Pre-requisites

- The MP is registered in MIS to participate in the DSASP program, as a DSASP Provider.
- The DSASP Provider representative performing the task has been assigned the DRIS Web UI MP Read-Only or the DRIS Web UI MP User privilege.
- The DSASP Provider representative performing the task has selected a DSASP Submittal from the DSASP Submittals screen.
- The DSASP Provider representative performing the task is logged in to DRIS (see section 1.3, "Accessing the System").



To view DSASP Submittal details for an aggregation

1. From the **DSASP Submittals summary grid**, choose a DSASP Aggregation **Submittal**. The system displays the Submitted Resources details in the corresponding *Submitted Resources* grid.
2. Optionally, download the Submitted Resources details data by clicking the Excel button in the lower right-hand corner of the corresponding tab, just below the grid. A file containing Submitted enrollment details data for all enrollments matching the criteria specified in the search criteria for the DSASP Aggregation selected is saved to the designated location.

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

For NYISO's Reliability Programs, Demand Response Events and Tests consist of receiving Event Notifications, reporting expected curtailment values by zone or subload pocket and reporting resource load reduction data following the event or test.

DRIS Event Notification provides the means to perform the following:

- Receive Event Notifications for events and performance tests
- View Event Notifications requiring an expected curtailment value
- Report expected curtailment values by zone or subload pocket
- View summary data of a specific event or test notification
- Receive and acknowledge Event Notifications for Communication Tests

For those MPs with resources that curtailed load in response to a Demand Response Event or Test, DRIS provides the means to perform the following:

- View details of a specific event or test
- Report and view resource responses to an event or test
- View resource payment details for an event or test
- Export payment details for an event or test

12.1. Receiving Event Notifications

Market Participants will be notified of Demand Response events, SCR performance tests, and communication tests through an email message and an automated phone message.

Before an MP organization can receive Event Notifications, the following criteria must be met:

The MP organization must have set up and assigned one or more Event-Responder Contacts in DRIS for the specific DR program (see Section 6)

Managing Market Participant Organization Contacts”).

- The MP must have enrolled resources for the Capability Period and auction month in one or more zones or subload pockets indicated on the Event Notification.
- An MP organization participating in the SCR program must establish an Event-Responder Contact for both the SCR and EDRP programs to ensure receipt of Event Notifications in auction months when an SCR resource has zero auction sales and is converted to an EDRP resource.

Note: Only contacts within DRIS with a contact type association of Event-Responder will receive Event Notifications of Demand Response events, SCR performance tests, and communication tests called by the NYISO.

As illustrated in Figure 261 and Figure 262, 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 261).

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 262).

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 261: 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 518-358-6060.

Figure 262: Example Phone Message for SCR 2-Hour Activation

- ◆ *Phone Caller ID:* 518-356-6060
- ◆ *Phone Introduction:*
 - *“This is a message from the New York ISO”*
- ◆ *Phone Message Content:*

Special Case Resources are needed today starting at **14:00** and ending at **18:00**. Special Case Resources located in zones **G, I, J, K** are subject to this notice. Each Responsible Interface Party must respond within one hour in accordance with separate email instructions. Participation in this event is mandatory for each Special Case Resource sold during 05/2012 and load reduction achieved by each Special Case Resource during this event is expected to be at the value of the KWs sold. This constitutes an official Special Case Resource **Event Activation 2 Hour notice**. If any questions arise concerning this Special Case Resource Event 2 Hour notice please contact NYISO Customer Relations at 518-356-6060.

12.2. Viewing Event Notifications Requiring an Expected Curtailment Response

After MPs have received an Event Notification, which requires a response in the form of an expected curtailment value, the Event Notification is viewable in DRIS.

Event Notifications which require an expected curtailment value include:

- All NYISO and TDRP Events with the Message Type of:
 - Day-Ahead Advisory
 - In-Day Advisory
 - 2-Hour Activation
 - Immediate Activation
- SCR Performance Test 1 and SCR Performance Test 2 with the Message Type of:
 - Day-Ahead Advisory
 - 2-Hour Activation

Viewing Event Notifications requiring an expected curtailment value provides the MP with a snapshot of notifications that may be narrowed by the following parameters:

- Capability Period
- Events from date
- Notification type
- Message type
- Program
- Zone or Subload Pocket
- Include Expired

The system initially displays all notifications for the current Capability Period. The following data is displayed for each notification:

- Capability Period
- Notification type
- Notice sent date/time
- Message type
- Program
- Event start date/time

- Event end date/time
- Zone(s) or Subload pocket(s)
- Response expiration date/time
- Notification created by

Pre-requisites

- The MP representative performing the task is logged in to DRIS (see section 1.3, "Accessing the System").
- An Event Notification requiring an expected curtailment value exists in DRIS.

 **To view an Event Notification requiring an expected curtailment value**

1. From the **Notification** menu, choose **Respond**.

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 263), 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.

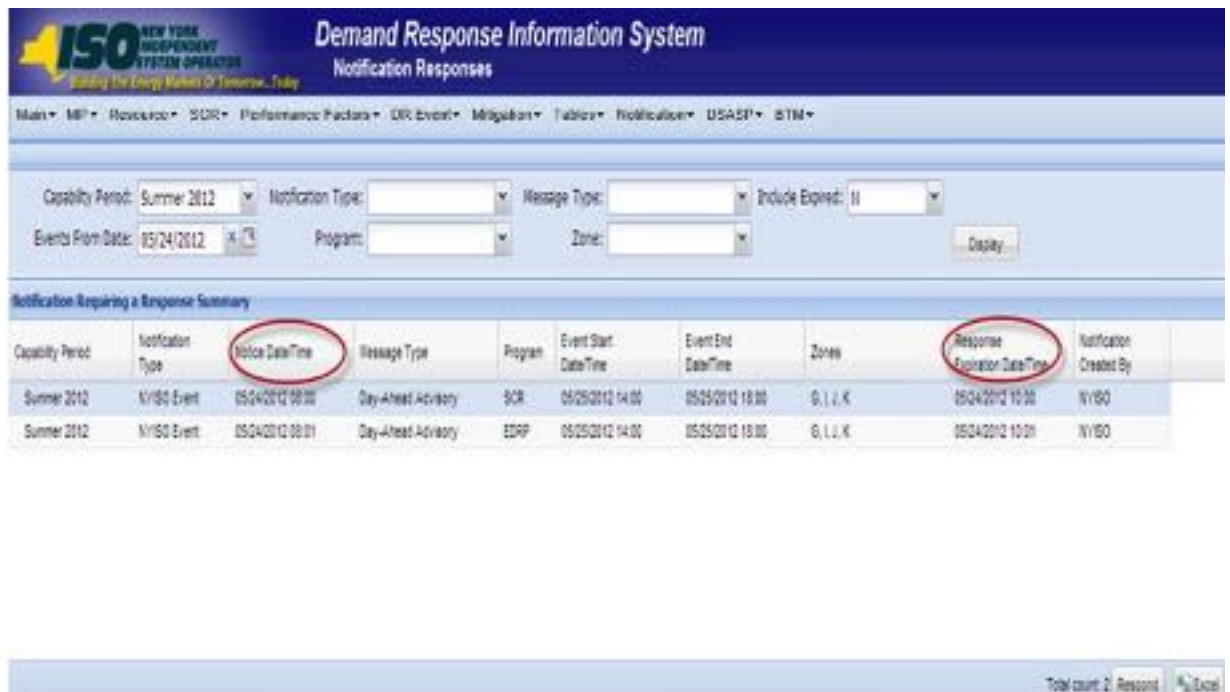
Figure 263: Notification Responses Page Search Filters



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 264).

Figure 264: Notification Responses Page Populated with Data



Capacity Period	Notification Type	Notice DateTime	Message Type	Program	Event Start DateTime	Event End DateTime	Zones	Response Expiration DateTime	Notification Created By
Summer 2012	N/ISO Event	05/24/2012 10:00	Day-Ahead Advisory	SCR	05/25/2012 14:00	05/25/2012 18:00	G, I, J, K	05/24/2012 10:00	N/ISO
Summer 2012	N/ISO Event	05/24/2012 00:01	Day-Ahead Advisory	EDP	05/25/2012 14:00	05/25/2012 18:00	G, I, J, K	05/24/2012 10:01	N/ISO

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.

- 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 265).

Figure 265: Notification Responses Frame Populated with Expected Curtailment Values

12.3. Responding to Event Notifications Requiring an Expected Curtailment Value

Market Participants should respond through DRIS with the expected curtailment values for each zone or subload pocket indicated in the Event Notification for which resources are enrolled.

The Response Expiration Date/Time of the Event Notification specifies at what time expected curtailment values will no longer be accepted into DRIS. The Response Expiration Date/Time is determined by the Notice Sent Date/Time (see Figure 264). Market Participants will have one hour to respond with expected curtailment values for all event and performance test notifications which require a response.

Market Participants may update expected curtailment values to an Event Notification multiple times prior to the Response Expiration Date/Time. The zonal or subload pocket expected curtailment value with the most recent submittal date will be saved in DRIS.

Once the Response Expiration Date/Time has passed, MPs will not be able to enter an expected curtailment value for the Event Notification.

Note: Market Participants and their resources are expected to reduce load during the hours of the Event even if the MP has not entered the expected curtailment values before the Response Expiration Date/Time. Reporting of the expected curtailment values in response to an Event Notification does not modify the actual load reduction that is expected of the resource during the actual hours of the event.

Note: MPs will receive a separate Event Notification for Events that are either extended or terminated early from the original event end time for one or more of the zones or subload pockets on the original Event Notification. MPs will not respond with expected kW curtailment values to Events that are extended or terminated early. The MP expected kW curtailment value from the original Event Notification will be used as the MP expected kW curtailment value for Events which are extended.

Pre-requisites

- The MP organization is registered in MIS on the date that the event or test occurs.
- The MP organization is enrolled in DRIS in the DR program and Capability Period for which the event or test occurs.
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").
- The MP organization must have enrolled resources for the Capability Period and auction month in one or more zones or subload pockets indicated on the Event Notification.
- The Event Notification to which the MP is responding has not yet expired.

To respond to an Event Notification

1. From the **Notification** menu, choose **Respond**.

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 266), 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 266: Notification Responses Page Search Filters

The screenshot shows the top section of the 'Demand Response Information System' interface. It features a navigation menu with items like 'Main', 'MP', 'Resource', 'SCR', 'Performance Factors', 'DR Event', 'Mitigation', 'Tables', 'Notification', 'DSASP', and 'BTM'. Below the menu are search filters: 'Capability Period' (dropdown), 'Notification Type' (dropdown), 'Message Type' (dropdown), 'Include Exired' (checkbox), 'Events From Date' (calendar icon), 'Program' (dropdown), and 'Zone' (dropdown). A 'Display' button is located to the right of the 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 267).

Figure 267 : Notification Responses Page with Notification Selected for Responding with Expected Curtailment Values

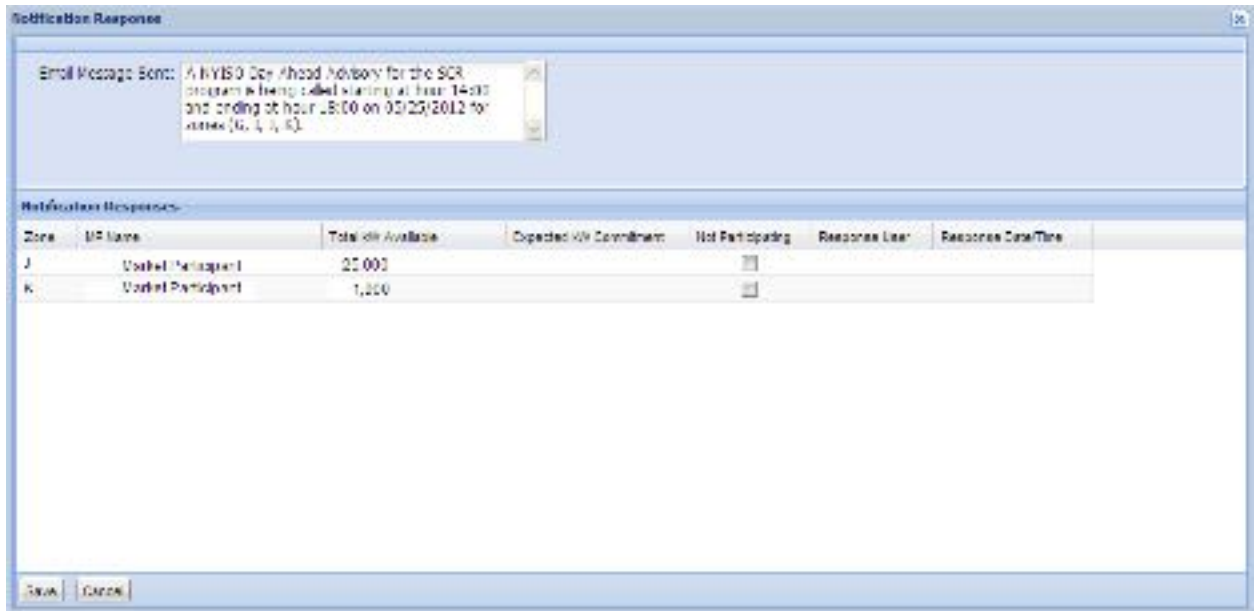
The screenshot shows the same interface as Figure 266, but with search filters updated to 'Summer 2012'. Below the filters is a table titled 'Notification Requiring a Response Summary'. The table has columns for Capability Period, Notification Type, Notice DateTime, Message Type, Program, Event Start DateTime, Event End DateTime, Zones, Response Expiration DateTime, and Notification Created By. Two rows of data are visible. At the bottom right, a 'Total count: 2' is shown next to a 'Respond' button, which is circled in red. An 'Excel' icon is also present.

Capability Period	Notification Type	Notice DateTime	Message Type	Program	Event Start DateTime	Event End DateTime	Zones	Response Expiration DateTime	Notification Created By
Summer 2012	NYISO Event	05/24/2012 08:00	Day-Ahead Advisory	SCR	05/25/2012 14:00	05/25/2012 18:00	G, I, J, K	05/24/2012 18:00	NYISO
Summer 2012	NYISO Event	05/24/2012 08:01	Day-Ahead Advisory	EDP	05/25/2012 14:00	05/25/2012 18:00	G, I, J, K	05/24/2012 18:01	NYISO

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 267).

- 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 268).

Figure 268: Notification Response Window



- To enter the expected curtailment value for each zone or subload pocket click the Expected kW Commitment field to make it editable (see Figure 269) and type in the numeric value of expected curtailment in kW increments (see Figure 270).

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.

- 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 270).

Figure 269: Notification Response Window with Expected kW Commitment field made Editable

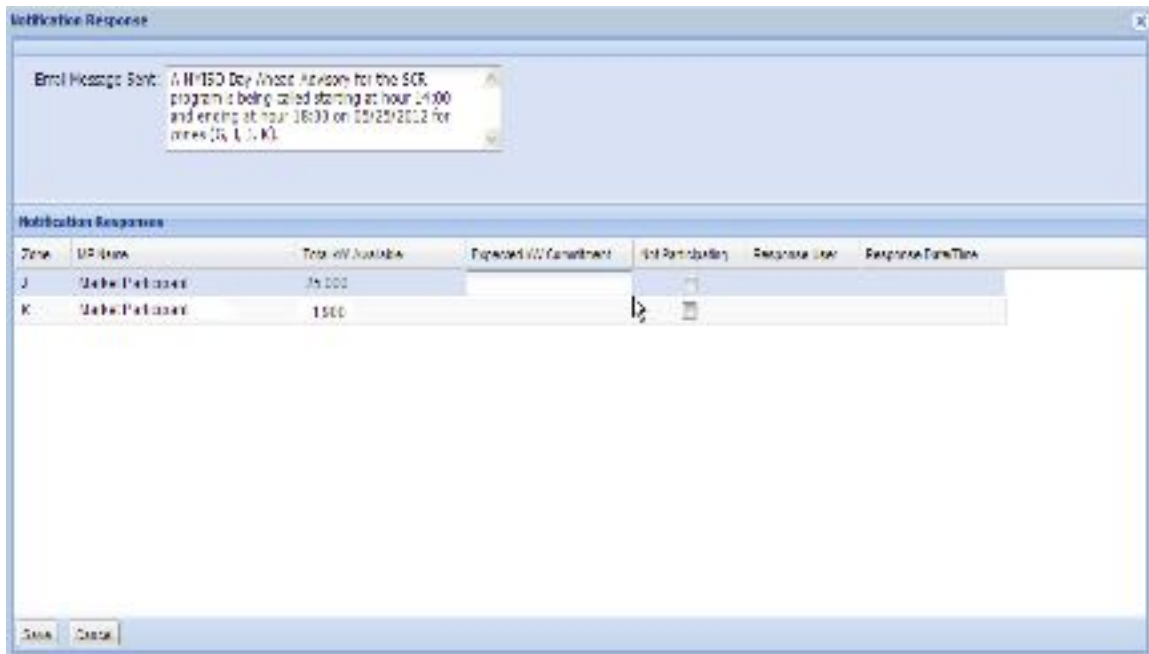
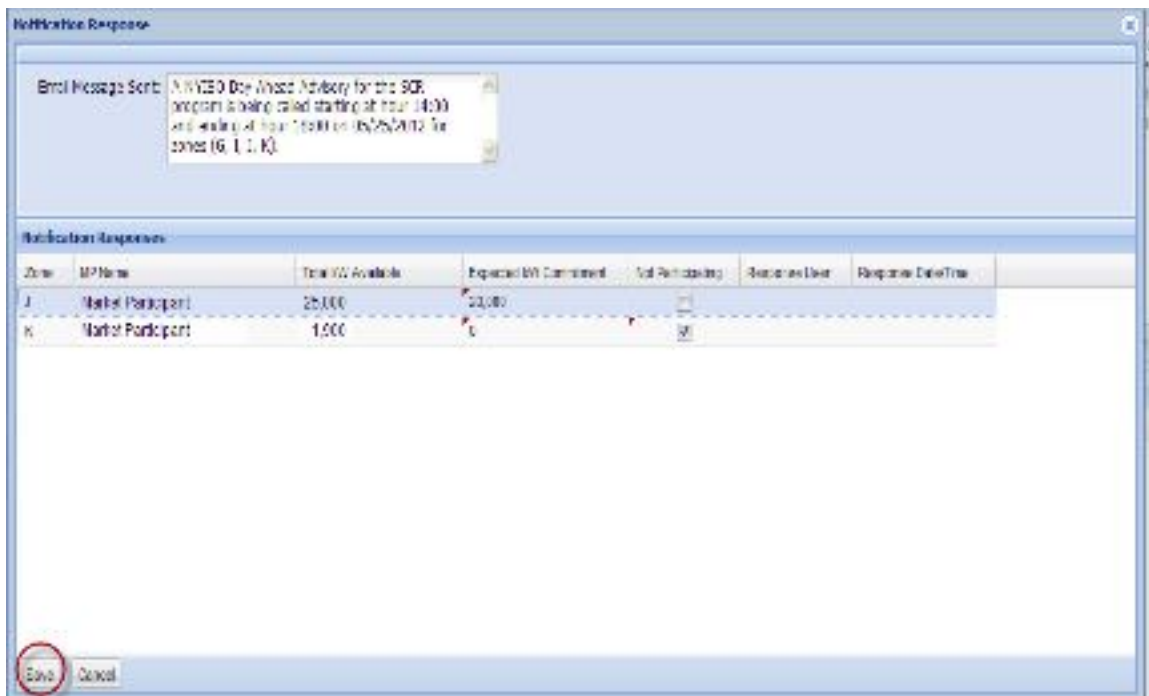
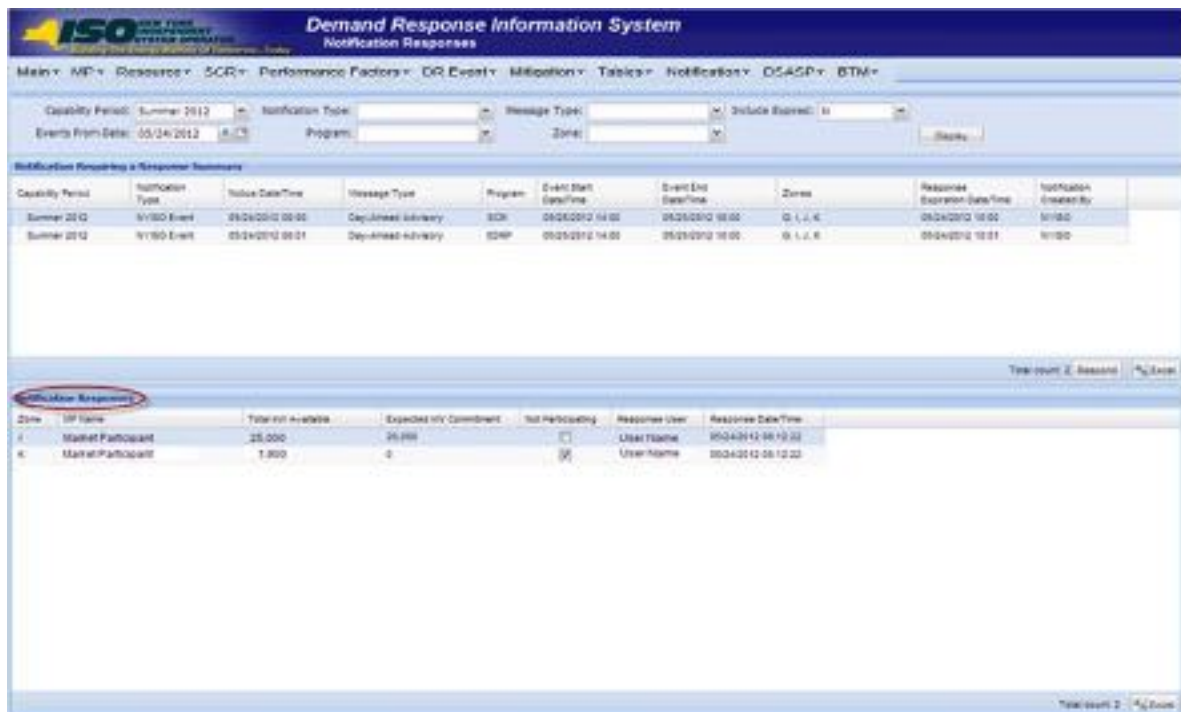


Figure 270: Notification Response Window with Expected kW Commitment Values



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 270).
9. View the saved responses to the Event Notification from the lowermost area of the Notification Responses page (see Figure 271).

Figure 271: Notification Responses Frame Populated with Expected Curtailment Values



12.4. Viewing Event Notifications

Market Participants can view summary information for event, SCR performance test, and communication test notifications issued by the NYISO. This allows for viewing of all notifications, including those for which the MP was not eligible to participate.

Viewing Event Notifications provides the MP with a snapshot of notifications which may be narrowed by the following parameters:

- Capability Period
- Events from date
- Notification type

- Message type
- Program
- Zone or Subload Pocket

The system initially populates the Events from Date with the system date and displays all notifications that have an Event End Date that occurs on or after the system date. The following data is displayed for each notification:

- Capability Period
- Notification type
- Notice date/time
- Message type
- Program
- Event start date/time
- Event end date/time
- Zone(s) or Subload pocket(s)
- Response expiration date/time
- Notification created by

Pre-requisites

- The MP representative performing the task is logged in to DRIS (see section 1.3, "Accessing the System").
- An Event Notification exists in DRIS.

To view an Event Notification

1. From the **Notification** menu, choose **Summary**.

The system displays the Notification Summary page with search criteria defaulted to initially display all Event Notifications with an Event End Date that occurs on the system date.

2. To further narrow or expand the display of Event Notifications, from the corresponding search filters in the uppermost frame on the Notification Summary page (see Figure 272), 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.

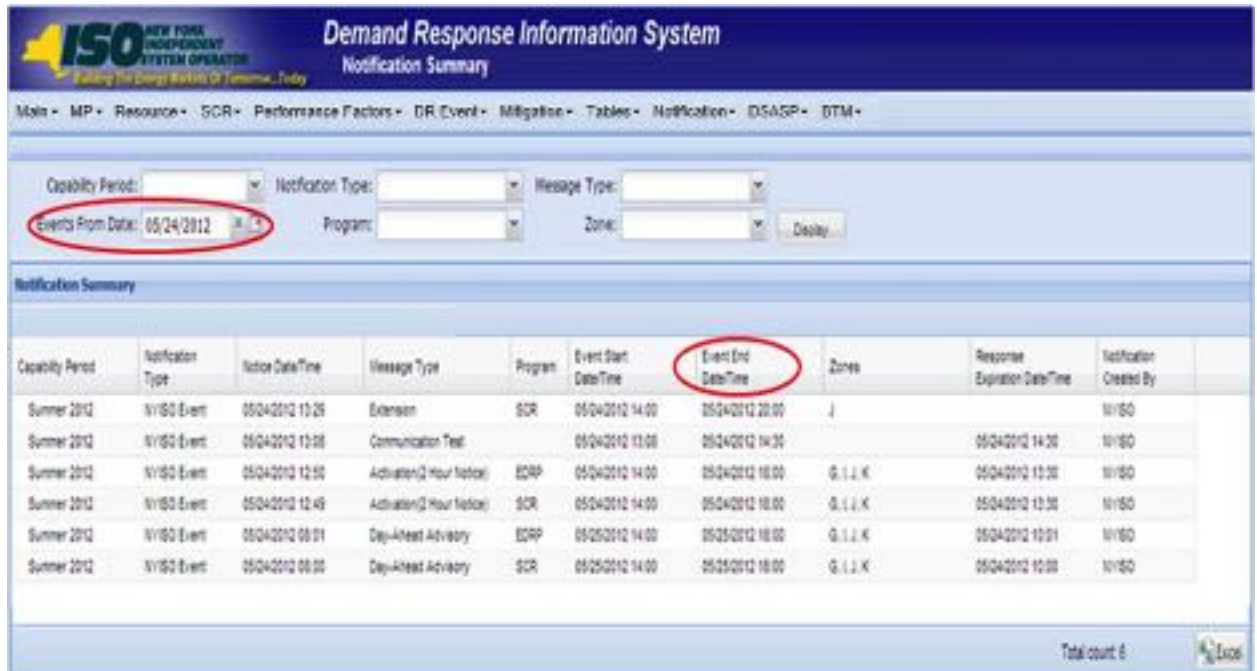
Figure 272: Notification Summary Page Search Filters



- 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 273).

Figure 273: Notification Summary Page Populated with Data



Capability Period	Notification Type	Notice Date/Time	Message Type	Program	Event Start Date/Time	Event End Date/Time	Zone	Response Expiration Date/Time	Notification Created By
Summer 2012	NYISO Event	05/24/2012 13:26	Extension	SCR	05/24/2012 14:00	05/24/2012 20:00	J		NYISO
Summer 2012	NYISO Event	05/24/2012 13:28	Communication Test		05/24/2012 13:08	05/24/2012 14:35		05/24/2012 14:20	NYISO
Summer 2012	NYISO Event	05/24/2012 12:50	Activation(2 Hour Notice)	EDRP	05/24/2012 14:00	05/24/2012 18:00	G, I, J, K	05/24/2012 13:30	NYISO
Summer 2012	NYISO Event	05/24/2012 12:49	Activation(2 Hour Notice)	SCR	05/24/2012 14:00	05/24/2012 18:00	G, I, J, K	05/24/2012 13:30	NYISO
Summer 2012	NYISO Event	05/24/2012 09:01	Day-Ahead Advisory	EDRP	05/25/2012 14:00	05/25/2012 18:00	G, I, J, K	05/24/2012 10:01	NYISO
Summer 2012	NYISO Event	05/24/2012 09:00	Day-Ahead Advisory	SCR	05/25/2012 14:00	05/25/2012 18:00	G, I, J, K	05/24/2012 10:00	NYISO

Note: The Notification Summary page defaults to display all Event Notifications with an Event End Date that occurs on or after the system date.

12.5. Receiving and Acknowledging Communication Tests

A Communication Test is a notification which provides for testing of the Event Notification process. The test allows for MPs to verify receipt of communications from the NYISO through email and phone and verify the ability of the MP organization to access DRIS to respond to a notification.

After MPs have received a Communication Test which requires an acknowledgement of receipt in DRIS, the Event Notification is viewable in DRIS.

Before an MP organization can receive a Communication Test, the following criteria must be met:

The MP organization must have set up and assigned one or more Event-Responder Contacts in DRIS for the specific DR program (see section 6)

Managing Market Participant Organization Contacts”).

Additionally, the email Communication Test will indicate the “From” email address as edrp-scr@nyiso.com and display a “Subject” line announcing that it is a Communication Test (see Figure 274).

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 275).

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 274: 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 275: Example Phone Message for Communication Test

- *Phone Caller ID:* 518-356-6060
- *Phone Introduction:*
 - *“This is a message from the New York ISO”*
- *Phone Message Content:*

This is a **communications test** of the Demand Response Emergency Notification System for Emergency Demand Response Program resources and Special Case Resources in Zones A through K. This communication test is used to verify that all Event Responder contacts in the Demand Response Information System are receiving e-mail and phone messages. Individual resources are not required to respond. Please have one representative from your organization respond within one hour in accordance with separate email instructions. If any questions arise concerning this communications test please contact NYISO Customer Relations at 518-356-6060.

Pre-requisites to view a Communication Test

- The MP representative performing the task is logged in to DRIS (see section 1.3, "Accessing the System").
- A Communication Test requiring an acknowledgement exists in DRIS.

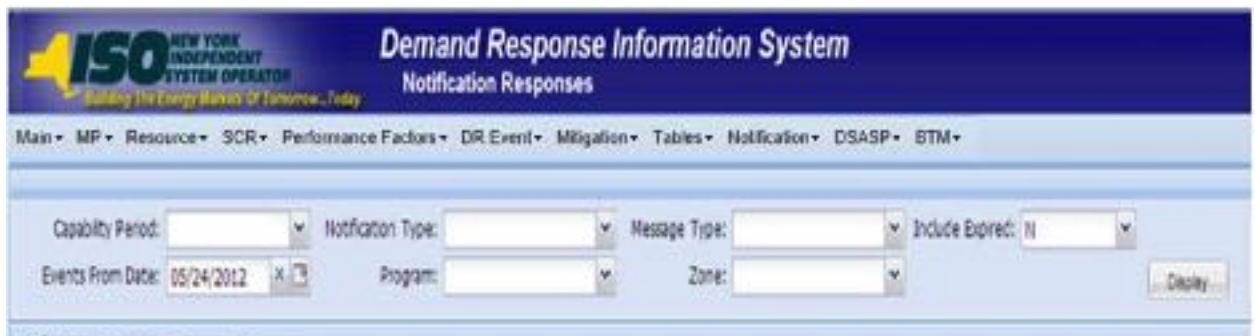
 **To view a Communication Test**

1. From the **Notification** menu, choose **Respond**.

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 276), 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 276: Notification Responses Page Search Filters

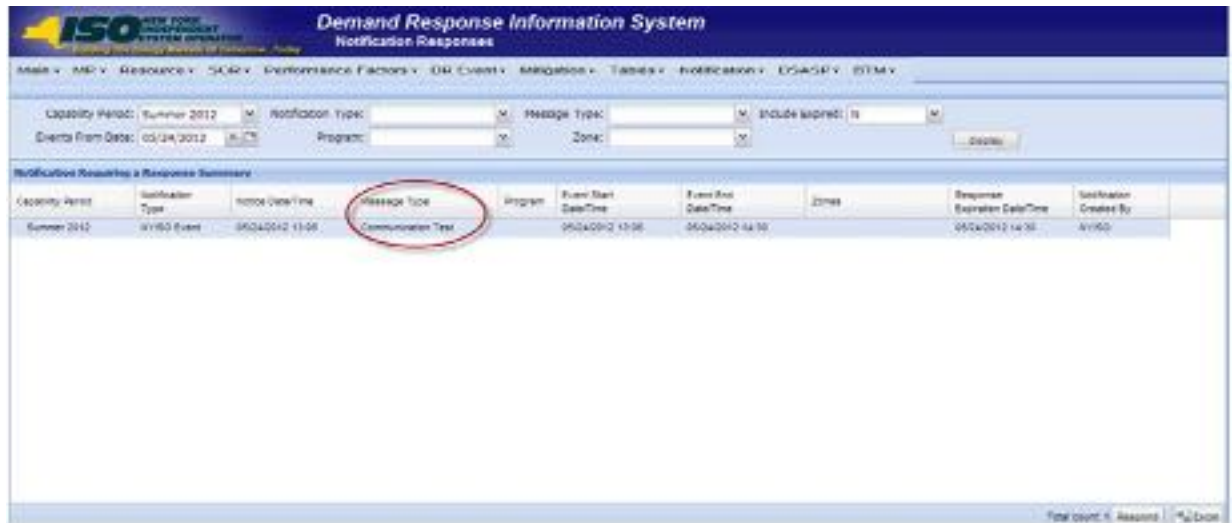


3. Near the top of the Notification Responses page, click the **Display** button.

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 277).

4. A Communication Test can be identified by viewing the Message Type of the Event Notification (see Figure 277). Communication Tests will have no associated program or zone(s) or subload pocket(s).

Figure 277: Notification Responses Page with Communication Test



Pre-requisites to respond to a Communication Test

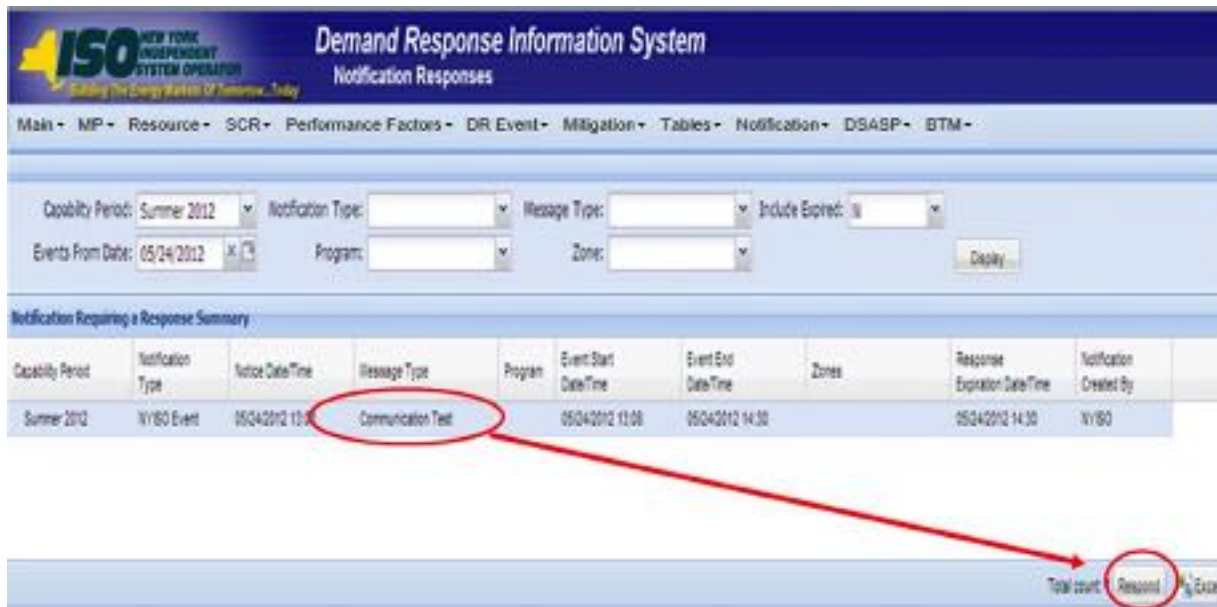
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").
- A Communication Test requiring an acknowledgement exists in DRIS.
- The Communication Test the MP is acknowledging has not yet expired.

To respond to a Communication Test

1. From the Notification Responses page, select the row housing the Communication Test notification and click the **Respond** button in the lower-right corner of the frame to initiate the Notification Response window (see Figure 278).

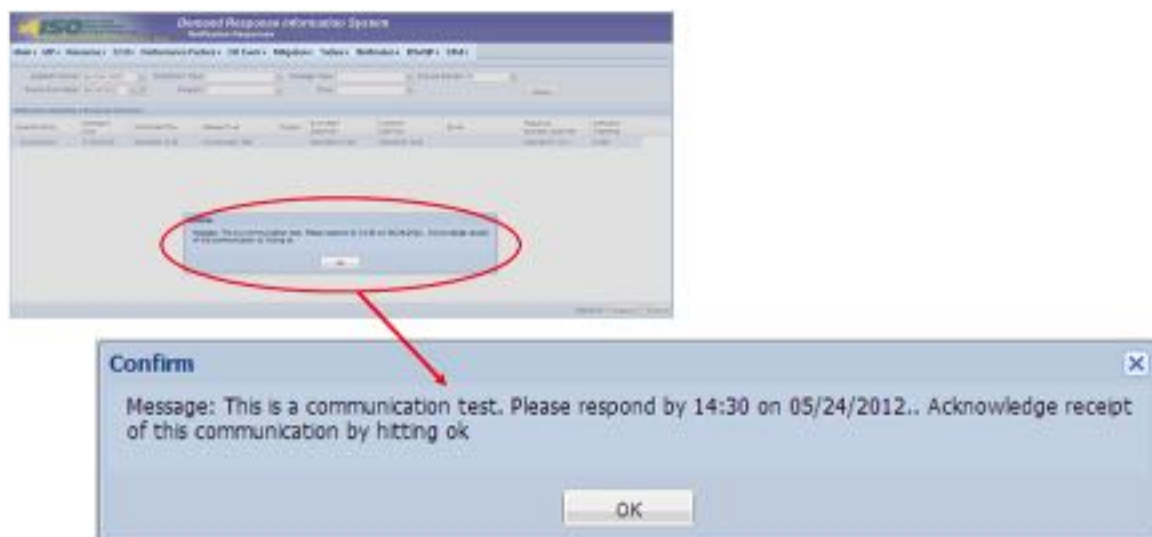
Figure 278: Notification Responses Page with Communication Test Selected for Responding with

Acknowledgement



2. A Confirm Message window appears requesting acknowledgement of receipt of the Communication Test (see Figure 279). Click **OK** to acknowledge receipt as a response to the Communication Test.

Figure 279: Communication Test Acknowledgement Confirmation Window

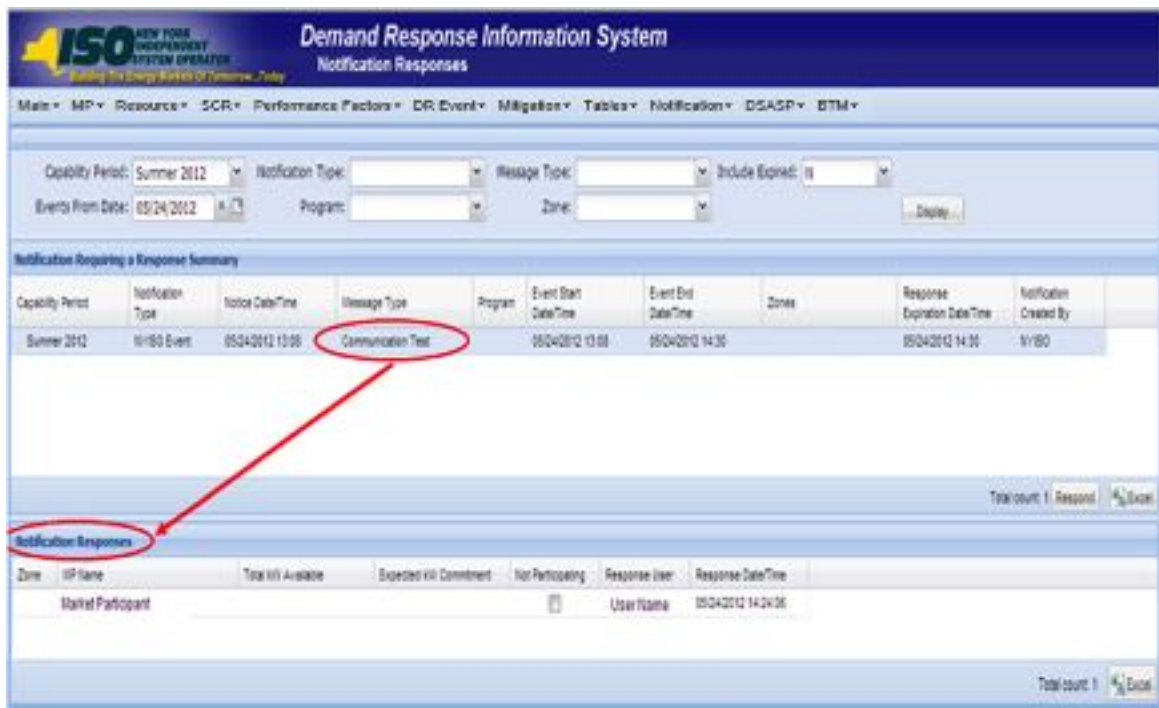


3. DRIS returns to the Notification Responses screen and refreshes to display the Notification Responses frame in the lowermost area of the page with the acknowledgement of the

Communication Test displayed with the Response User and Response Date/Time saved (see Figure 280).

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 280: Notification Responses Frame Populated with Communication Test Acknowledgement



12.6. Viewing Event or Test Details

Once the event or test has taken place, the following details about the event will be made available for viewing in DRIS. These details will be used in ascertaining proper resource response data for import into DRIS.

- *Capability Period:* Capability Period in which the event or test occurred
- *Event Type:* Designation of the event as NYISO Event, Test, or TDRP Event
- *Program:* SCR or EDRP
- *Event Start Date:* The Start Date and Time of the event
- *Event End Date:* The End Date and Time of the event

- *Zones*: The zones and percentages or subload pockets and percentages called for the event
- *First Hour of Payment*: The first resource response hour that will be accepted for payment, Hour Beginning
- *Last Hour of Payment*: The last resource response hour that will be accepted for payment, Hour Beginning
- *First Hour of Performance*: The first resource response hour that will be accepted for the purpose of performance calculation, Hour Beginning
- *Last Hour of Performance*: The last resource response hour that will be accepted for the purpose of performance calculation, Hour Beginning
- *CBL Start Date*: The first date of the date range that may be used as a resource CBL Date when reporting the resource response to the event
- *CBL End Date*: The last date of the date range that may be used as a resource CBL Date when reporting the resource response to the event
- *Response Submittal End Date*: The last date when resource responses will be accepted, as an import into DRIS, for the event

Note: A null value displayed in the *First Hour of Performance* and the *Last Hour of Performance* indicates an event for which there was no day-ahead notice. The performance of SCR resources in an event for which there was no day-ahead notice will not be used in the calculations of the SCR resource performance factor. However, metered kW values are still required for all event hours on the event response import file when reporting resource data for event payments for an event for which there was no day-ahead notice.

 **To view event or test details**

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 281), choose from any combination of **Capability Period, Month, Event Type, Program** and/or **Zone** for which the system should display events or tests.

Figure 281: 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 282).

Figure 282: Summary of Demand Response Events Page Populated with Data



Capability Period	Event Type	Program	Event Start Date	Event End Date	Zones	First Hour of Payment	Last Hour of Payment	First Hour of Performance	Last Hour of Performance	CIL Start Date	CIL End Date	Response Submit/End Date
Summer 2013	NYISO Event	SCR	10/09/2013 06:15	10/09/2013 14:15	A, B, C, D, E, F, G, H, I, J, K	18/09/2013 09:00	18/09/2013 14:00	18/09/2013 09:00	18/09/2013 14:00	09/09/2013	10/09/2013	01/01/2011 15:00
Summer 2013	NYISO Event	SDPP	08/19/2013 06:00	08/19/2013 16:00	F	08/19/2013 05:00	08/19/2013 18:00	08/19/2013 05:00	08/19/2013 18:00	07/19/2013	08/08/2013	12/01/2010 15:00
Summer 2013	Test	SCR	08/03/2013 14:00	08/03/2013 15:00	A, B, C, D, E, F, G, H, I, J, K	08/03/2013 14:00	08/03/2013 14:00	08/03/2013 14:00	08/03/2013 14:00	07/04/2013	08/01/2013	11/05/2010 19:00

12.7. Managing Resource Responses to an Event or Test

Resource responses to an event or test must be imported into DRIS within a pre-established time frame. This limited response acceptance period occurs up to and including seventy five days from the event or test date as specified on the DRIS Event Calendar (refer to Section 2.1).

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

1. Create a correctly structured, formatted, and populated event response file
2. Import the event response file to DRIS
3. Review and manage as necessary the results of the import process

Task 3 immediately preceding may require the MP take an additional action in the form of, for example, correcting exceptions (i.e., data errors, changes, or omissions) that prevent import of some or all data.

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

12.7.1. Creating an Event Response File

Resource responses to an event or test for the purposes of payment processing and/or for future performance calculations is initiated via MP import to DRIS of a comma-separated value (.csv) file or an Excel (.xlsx or .xls) file. Responses from multiple resources may be initiated 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 283, the .csv or .xlsx or .xls file must contain header data in the form of the event type, DR program, and event start date and time. The file must also contain a set of data for each resource response to the event or test and may contain column headings.

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 284: 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 285: 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.
Performance Only Flag	C	Text 1 character	If Resource response is to be used for Performance calculations only, enter an X into the Performance Only Flag field and the CBL Date, CBL Include Indicator, and CBL kW fields remain blank. If Resource response is to be used for both Payment and Performance calculations, leave the Performance Only field blank.
CBL Date 1	D	Date MM/DD/YYYY	Customer Baseline calculation date 1.
CBL Include Indicator 1	E	Text 1 character	If CBL Date 1 is included in the CBL calculation, enter a Y into the CBL Indicator 1 field. If CBL Date 1 is not included in the CBL calculation, enter an N into the CBL Indicator 1 field.
CBL Date 2	F	Date MM/DD/YYYY	Customer Baseline calculation date 2.

CBL Include Indicator 2	G	Text 1 character	If CBL Date 2 is included in the CBL calculation, enter a Y into the CBL Indicator 2 field. If CBL Date 2 is not included in the CBL calculation, enter an 'N' into the CBL Indicator 2 field.
CBL Date 3	H	Date MM/DD/YYYY	Customer Baseline calculation date 3.
CBL Include Indicator 3	I	Text 1 character	If CBL Date 3 is included in the CBL calculation, enter a Y into the CBL Indicator 3 field. If CBL Date 3 is not included in the CBL calculation, enter an N into the CBL Indicator 3 field.
CBL Date 4	J	Date MM/DD/YYYY	Customer Baseline calculation date 4.
CBL Include Indicator 4	K	Text 1 character	If CBL Date 4 is included in the CBL calculation, enter a Y into the CBL Indicator 4 field. If CBL Date 4 is not included in the CBL calculation, enter an N into the CBL Indicator 4 field.
CBL Date 5	L	Date MM/DD/YYYY	Customer Baseline calculation date 5.
CBL Include Indicator 5	M	Text 1 character	If CBL Date 5 is included in the CBL calculation, enter a Y into the CBL Indicator 5 field. If CBL Date 5 is not included in the CBL calculation, enter an N into the CBL Indicator 5 field.
CBL Date 6	N	Date MM/DD/YYYY	Customer Baseline calculation date 6.
CBL Include Indicator 6	O	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	P	Date MM/DD/YYYY	Customer Baseline calculation date 7.
CBL Include Indicator 7	Q	Text 1 character	If CBL Date 7 is included in the CBL calculation, enter a Y into the CBL Indicator 7 field. If CBL Date 7 is not included in the CBL calculation, enter an N into the CBL Indicator 7 field.
CBL Date 8	R	Date MM/DD/YYYY	Customer Baseline calculation date 8.

CBL Include Indicator 8	S	Text 1 character	If CBL Date 8 is included in the CBL calculation, enter a 'Y' into the CBL Indicator 8 field. If CBL Date 8 is not included in the CBL calculation, enter an 'N' into the CBL Indicator 8 field.
CBL Date 9	T	Date MM/DD/YYYY	Customer Baseline calculation date 9.
CBL Include Indicator 9	U	Text 1 character	If CBL Date 9 is included in the CBL calculation, enter a 'Y' into the CBL Indicator 9 field. If CBL Date 9 is not included in the CBL calculation, enter an 'N' into the CBL Indicator 9 field.
CBL Date 10	V	Date MM/DD/YYYY	Customer Baseline calculation date 10.
CBL Include Indicator 10	W	Text 1 character	If CBL Date 10 is included in the CBL calculation, enter a '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	X through AU	Numeric Up to 6 digits before decimal and 1 digit after decimal	Resource hourly CBL calculation for each event hour.
Metered kW Begin Hour 0 through Metered kW Begin Hour 23	AV through BS	Numeric Up to 6 digits before decimal and 1 digit after decimal	Resource hourly metered load for each event hour.

Note: Two Event Response Import templates are available for download from the NYISO Website. The first template is used for a 24- or 23-hour day and has 24 hours for the CBL kW and Metered kW hours fields. The second template has 25 hours for the CBL kW and Metered kW hours fields. This second template lists "Begin Hour 2" twice in the template.

12.7.2. Importing the Event Response File

After creating a properly structured, formatted, and populated event response file, the MP must import the file to DRIS as the next step in the process to report resource responses to an event or test.

Pre-requisites

- The MP organization was registered in MIS on the date that the event or test occurred.

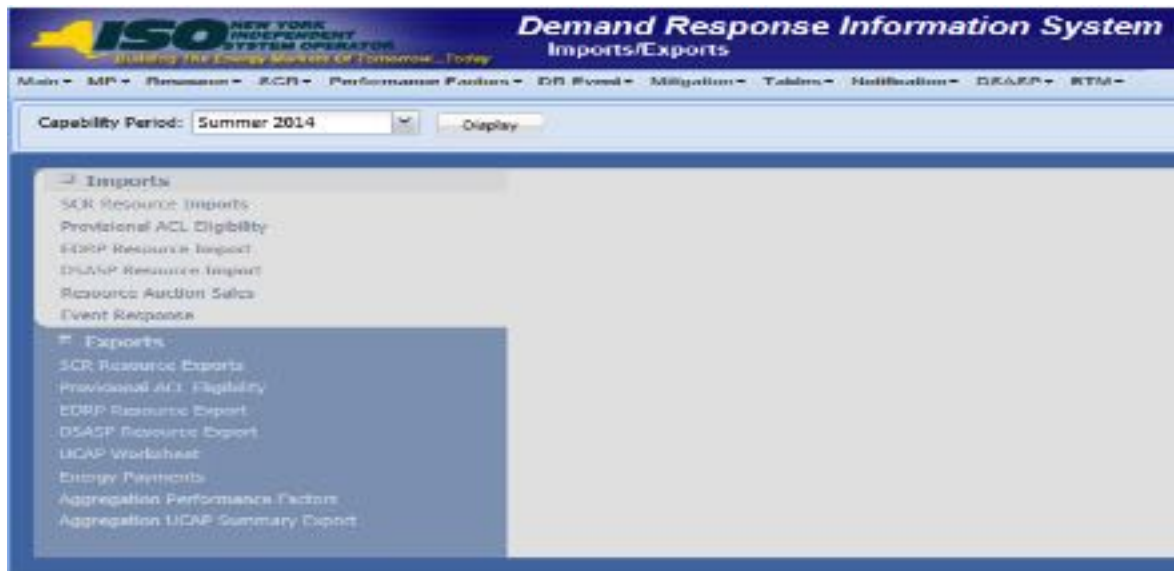
- The MP organization was enrolled in DRIS in the DR program and Capability Period for which the event or test occurred.
- The DRIS Event Calendar indicates that the event or test for which the MP intends to import resource responses is open for performing this task (refer to Section 2.1).
- The MP has created a properly structured, formatted, and populated .csv or .xlsx or .xlsx file for upload of resource event response data to the system, as outlined under Section 12.7.1.
- The MP representative performing the task has been assigned the DRIS Web UI MP User privilege.
- The MP representative performing the task is logged in to DRIS (see Section 1.3, "Accessing the System").

 **To import an event response file**

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

The system displays the Imports/Exports page (see Figure 286).

Figure 286: Import/Export Page as Initially Displayed

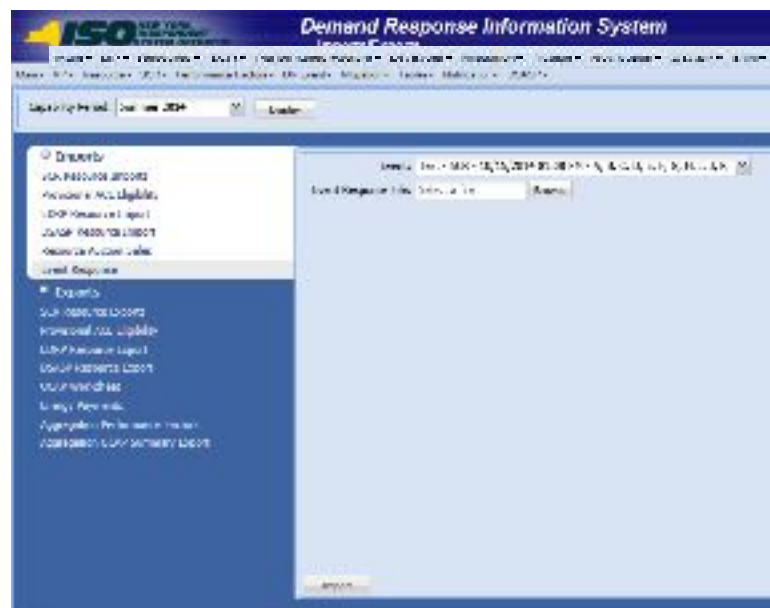


2. From the corresponding filter near the top of the page, choose the **Capability Period** in which the event occurred.
3. Beside the Capability Period filter, click the **Display** button.

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 287).

Figure 287: Import/Export Page Displaying Input Components Specific to Event Responses



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.

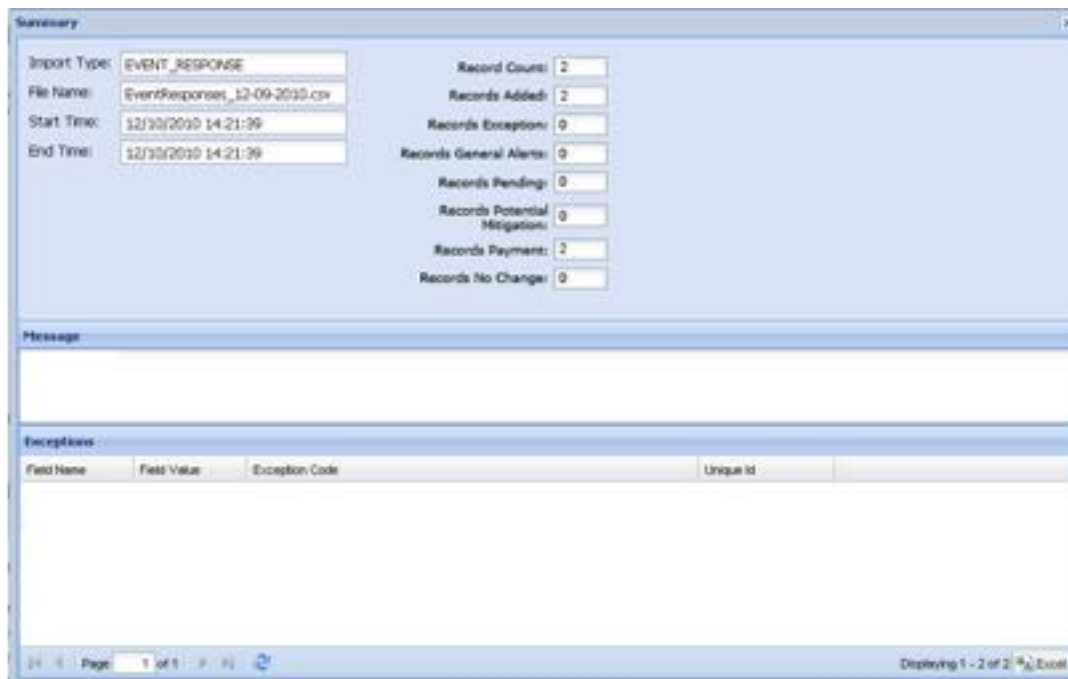
8. Click the **Import** button, located in the lower-left corner of the right side of the middle frame.

The system displays a dialog box summarizing the results of the import process (see Figure 288).

9. Review the import results and proceed accordingly, as outlined under Section 12.7.3.

Note: Records Payment indicates the number of resource responses to an event or test accepted into DRIS for possible energy payment. Any resource responses indicated as Performance Only in the event response import file will not be included in the Records Payment count.

Figure 288: Sample Import Summary Dialog Box for Resource Event Responses



12.7.3. Rectifying Resource Response Exceptions

Once the MP initiates import of the event response file, DRIS evaluates the file and displays a Summary dialog box detailing a number of statistics (see Figure 288). 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 288, the *Message* pane in the Summary dialog box displayed by the system indicates that the import failed, no resource response data will be imported. In order to proceed with the event response import process in this case, the MP must rectify the errors in the file header, as outlined in the *Exceptions* pane of the dialog box, and report the revised file containing data for all resources. Section 12.7.1, provides guidance on creating a properly structured and formatted event response file

If the data for one or more resources in the event response file contain exceptions (i.e., data errors, changes, or omissions) that prevent one or more responses from being imported to the system, the import results report details each exception on a separate line and identifies for each exception the resource ID of the record containing the exception, the specific field containing the exception, the value supplied in the field containing the exception, and a message specifying the nature of the exception (see Figure 289). 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 289: Sample Import Results Report for an Event Response File Import

	A	B	C	D	E
1	File Name	Scenario-11-732011.xls			
2	MP Name	NYISO Market Participant			
3	User	MP User			
4	Upload Type	EMERGENCY RESPONSE			
5	Reporting Period	Winter 2010/2011			
6	Upload Month				
7	Start Date of Import	1/22/2010 10:00:45 EST			
8	End Date of Import	1/22/2010 10:00:47 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 Entered	Message
18	Message ID: 095659	Exception	Max kW 1	-300.6	Max kW for hour 11 must be greater than or equal to 0
19	Message ID: 095670	Exception	DR kW	-30	DR 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 1.3, "Accessing the System").

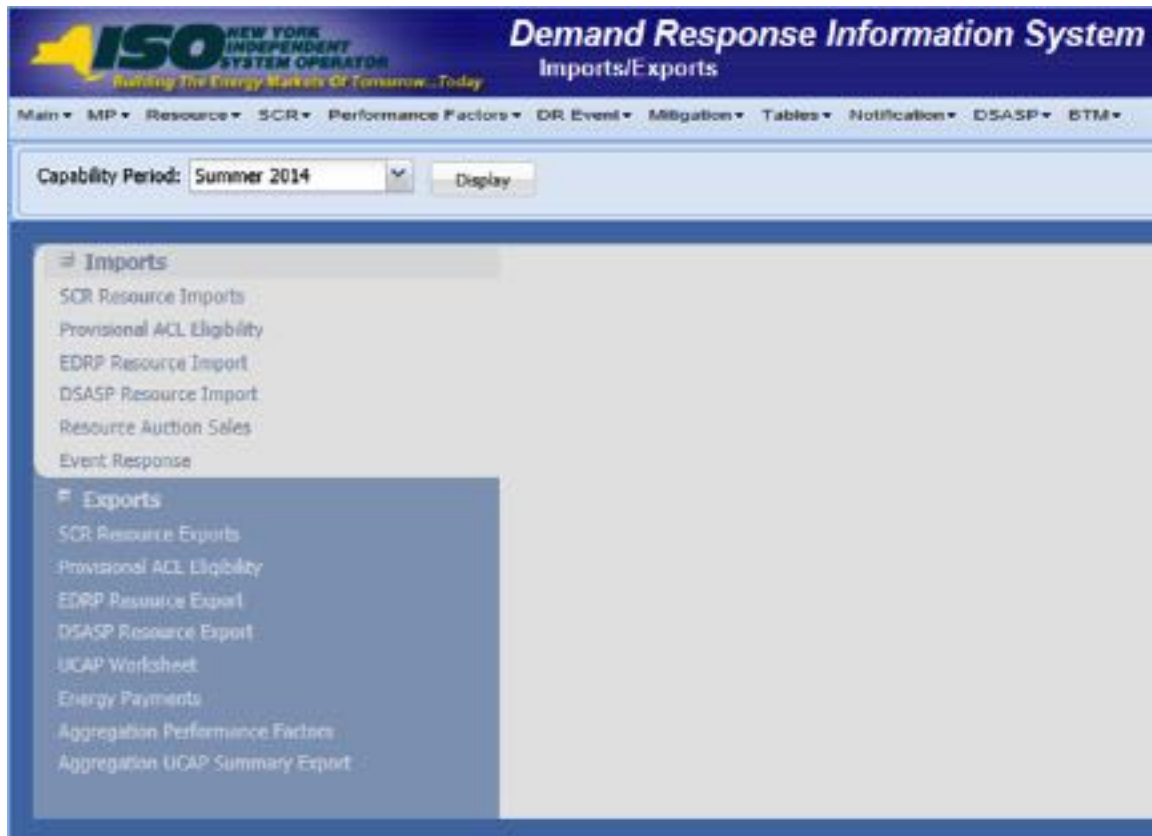
To access the import report and manage related errors

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

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

The system displays the Imports/Exports page (see Figure 290).

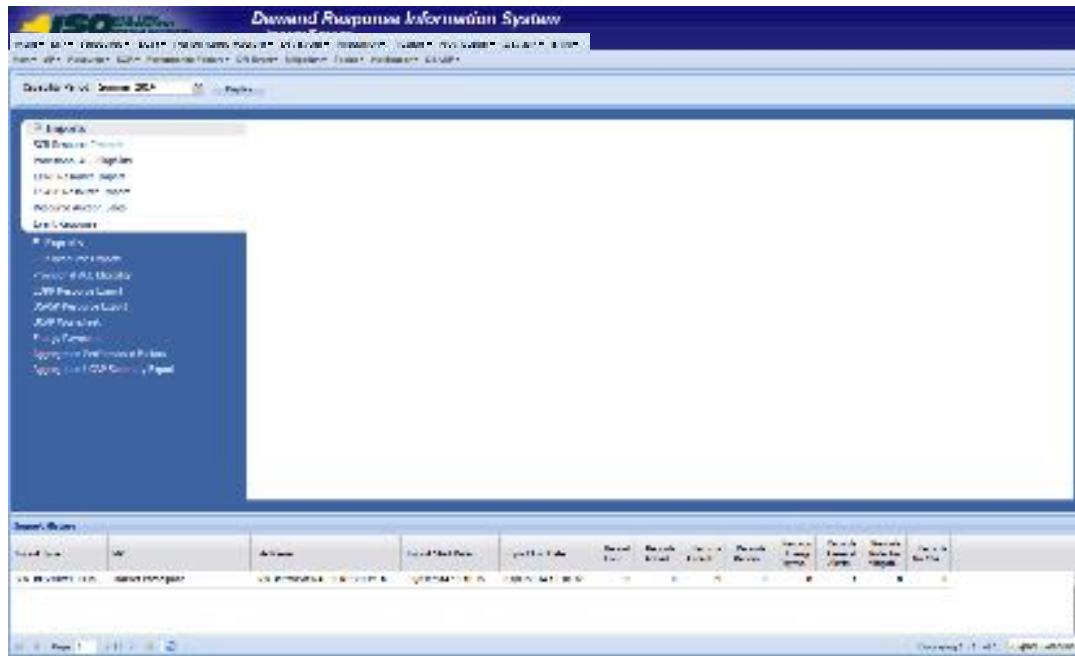
Figure 290: Imports/Exports Page



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 291).

Figure 291: Populated Import History Grid on Imports/Exports Page



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

12.7.4. Viewing Resource Responses to an Event or Test

Once the MP has successfully imported resource responses to an event or test, the response data can be viewed at varying levels of detail. In addition, MPs can monitor when a resource response that was reported for payment has been processed, billed, and invoiced. Finally, DRIS provides for downloading event payment details for viewing payment data by a specific event or test.

Resource responses can be viewed at varying levels of detail in DRIS. The MP can view resource responses by:

- summary,
- hourly detail, or
- event or test.

12.7.4.1. Viewing a Summary of Resource Responses

Viewing resource responses at a summary level provides the MP with a snapshot of the response to a specific event or test.

When viewing resource responses at the summary level, the MP must, at a minimum, specify a Capability Period and an event or test, or select a specific resource for which to view event or test data.

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

- Zone
- Aggregation
- Response status

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

- Event, which includes Event Type, Program, Start Date and Time, Zones, and Zonal percentages
- Resource ID
- Resource name
- Program
- Aggregation ID
- Proxy Test indicator
- Provisional ACL indicator
- Incremental ACL indicator
- Response status
- Reason for under review

- Status comments
- Submittal date
- Reported by
- Performance only indicator
- Prepared for settlements indicator
- Invoiced indicator
- Small customer aggregation indicator

Pre-requisites

- The MP has imported resource responses to an event or test.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".

 **To view a summary of resource responses**

1. From the **DR Event** menu, choose **Event Response Details**.
The system displays the Event Response Details page.
2. From the corresponding search filter(s) in the uppermost frame on the Event Response Details page (see Figure 292), choose the **Capability Period** and **Event** and/or the **Resource ID** for which the system should display resource responses.

Figure 292: 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 293).





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 ().

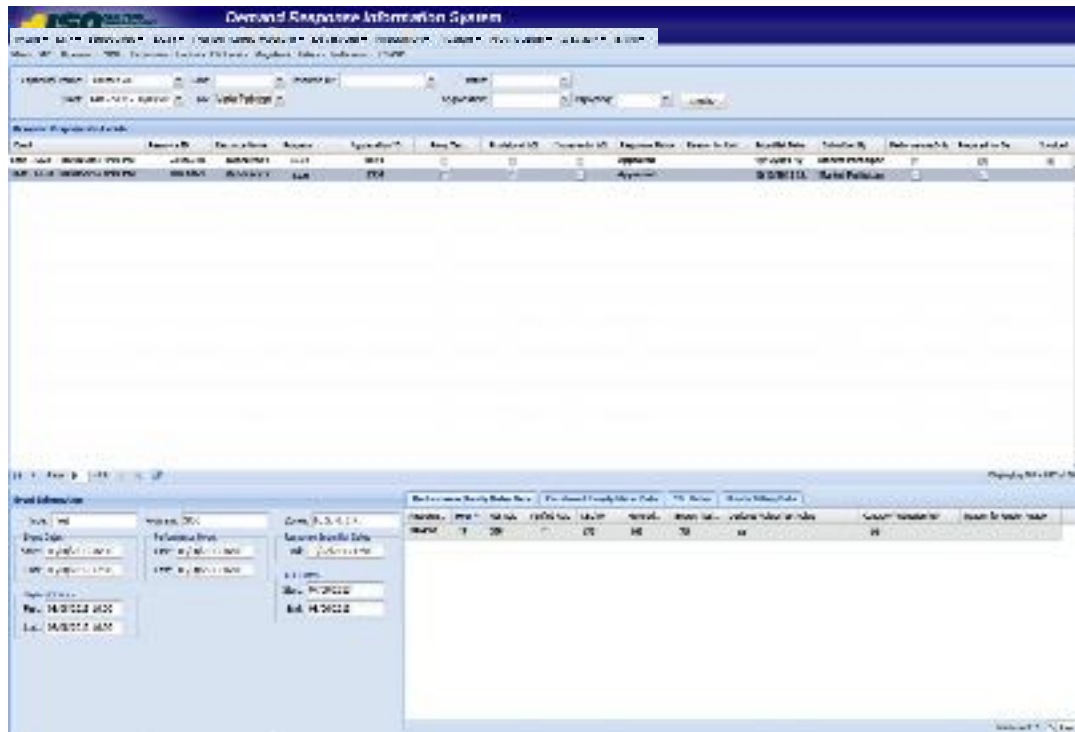
Figure 293: Event Response Details Page Populated with Data



- 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 294).

Figure 294: Event Response Details Page with Additional Details Visible



12.7.4.2. Viewing Hourly Resource Response Details

In viewing resource responses by detail, the MP can see comprehensive response data, including details pertaining to the specific event or test, broken down by resource for each hour of the event or test.

This data is visible in a two-pane frame at the bottom of the Event Response Details page, in the form of *Event Information* displayed on the left and *Hourly Meter Data, CBL Dates, and Hourly Billing Data* displayed on the right (see Figure 294).

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 data which uses APMD data will continue to be viewable to the MP for Capability Periods prior to Summer 2011.

- Performance Hourly meter data
 - Resource ID
 - Hour beginning of the event
 - Net APMD, which is the result of APMD less any Shutdown kW value (prior to Summer 2011)
 - Net ACL, which is the result of ACL including any Shutdown kW value (Summer 2011 and greater) and Incremental ACL kW value (Summer 2014 and greater) or the Verified ACL kW for resources enrolled with a Provisional ACL or Incremental ACL for the period of the event selected
 - Verified ACL indicator
 - CBL kW value
 - Metered kW
 - Energy reduction kW
 - Declared value
 - Capacity Reduction kW

- Reason for under review
- Enrollment Hourly meter data
 - Resource ID
 - Hour beginning of the event
 - Net APMD, which is the result of APMD less any Shutdown kW value (prior to Summer 2011)
 - Net ACL, which is the result of ACL including any Shutdown kW value (Summer 2011 and greater) and Incremental ACL kW value (Summer 2014 and greater)
 - CBL kW value
 - Metered kW
 - Energy reduction kW
 - Declared value
 - Reason for under review
- CBL dates
 - Date
 - Included indicator
- Hourly billing data
 - Settlement kW
 - Zonal LBMP
 - Net energy payment
 - Adjusted for program overlap indicator
 - Con invoice version

The *Enrollment Hourly Meter Data* tab will represent the primary view of event response data for the user until the window for importing Verified ACL data opens for the Capability Period of the event type selected. At this point, the *Performance Hourly Meter Data* tab representing updated meter data will become the primary view. For resources enrolled with a Provisional ACL or Incremental ACL for the month of the event selected, the value displayed in the **Net ACL** field will represent the Verified ACL of the resource and all capacity reduction calculations will be updated and based off of this value.

Pre-requisites

- The MP has imported resource responses to an event or test.
- The MP has logged in to DRIS, as outlined under section 1.3, "Accessing the System".

To view hourly resource response details by event

1. From the **DR Event** menu, choose **Event Response Details**.

The system displays the Event Response Details page.

2. From the corresponding search filter(s) in the uppermost frame on the Event Response Details page (see Figure 295), choose, at a minimum, the **Capability Period** and **Event** and/or the **Resource ID** for which the system should display resource responses.

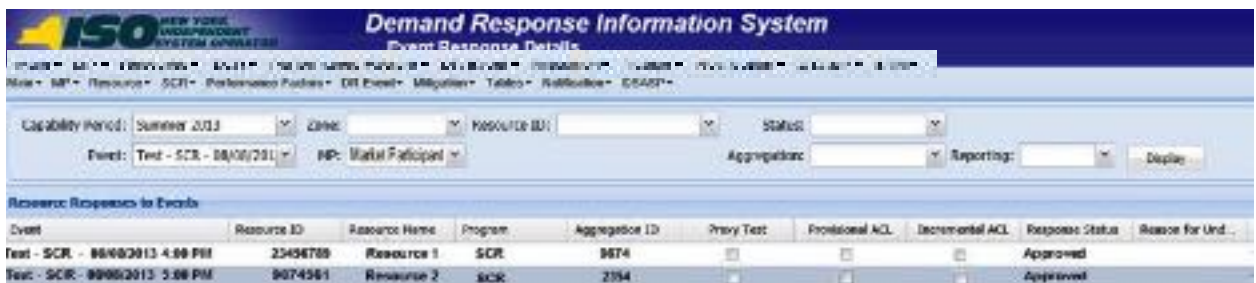
Figure 295: Event Response Details Page Search Filters



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 296).

Figure 296: Event Response Details Page Populated with Data

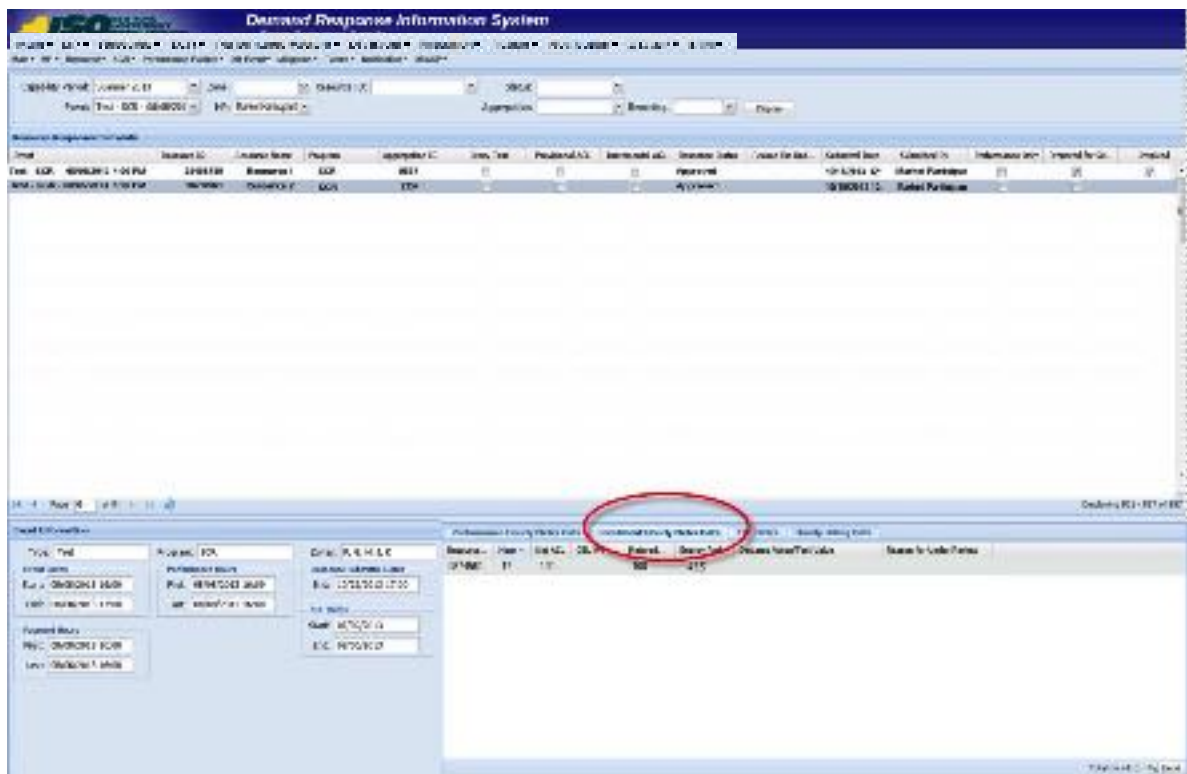


Note: Upon initial import of the resources responses to events or tests file, DRIS will calculate the resource response data in the file which pass all validations. After performance factors are calculated for the following equivalent Capability Period resources which did not have event or test responses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

- 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 297).

Figure 297: 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 298 or Figure 299).

Figure 298: Event Response Details Page with Performance Hourly Meter Data Tab Enabled

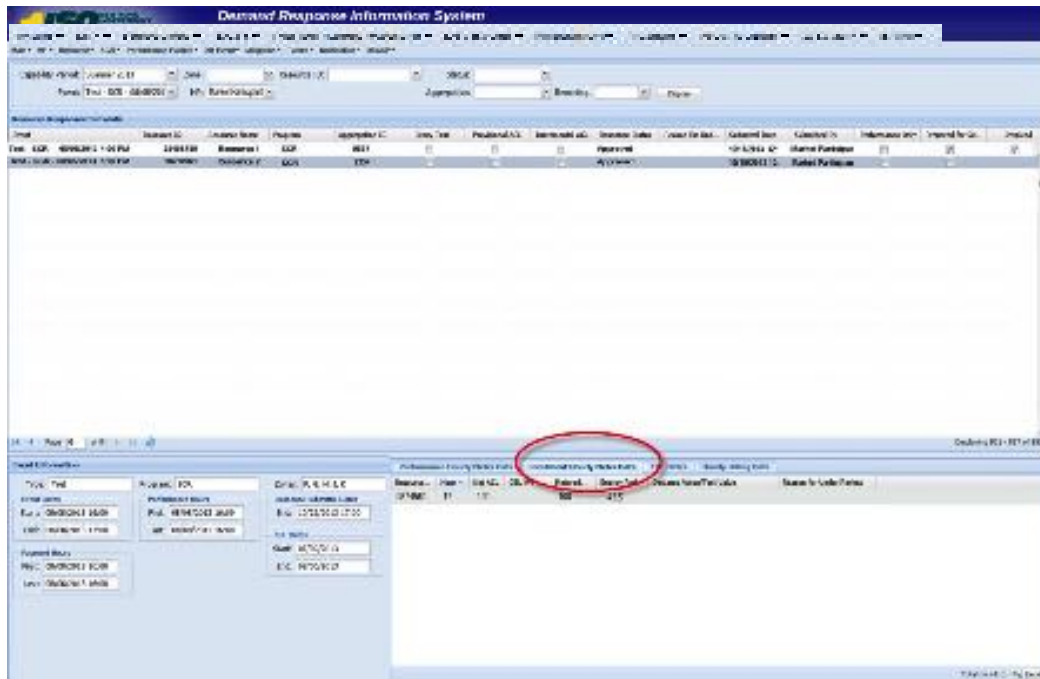
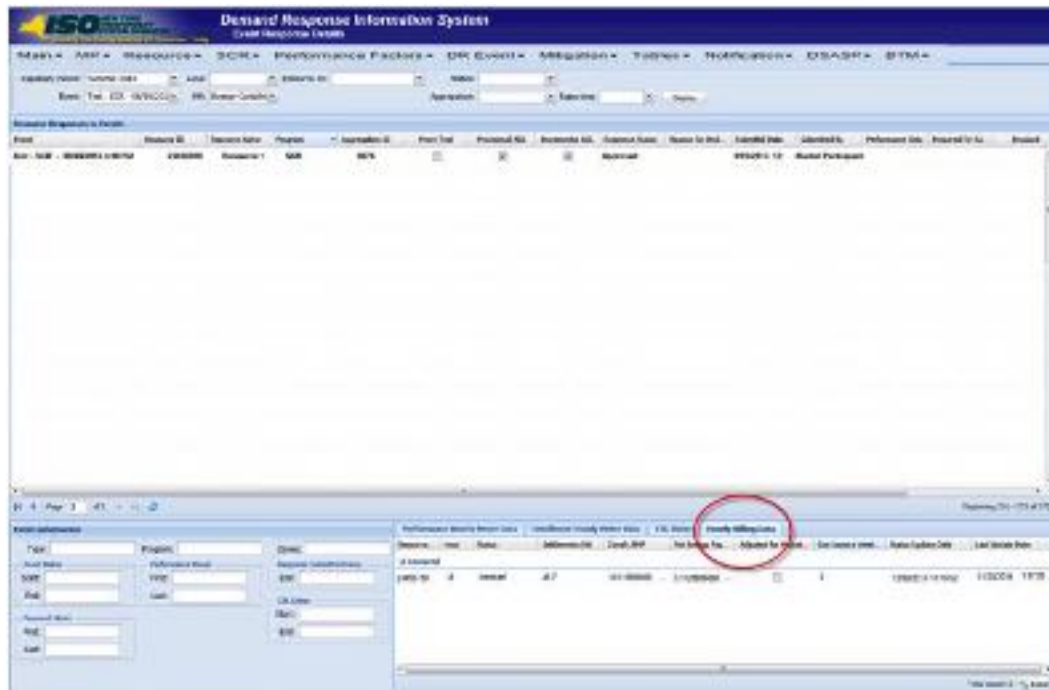


Figure 299: Event Response Details Page with Hourly Billing Data Tab Enabled before the

Verification Window Opens and the Performance Hourly Meter Data Tab is Available



12.7.5. Monitoring Results of the Event Response Import

Upon completion of the event response import, each resource response receiving no exceptions on import will receive one of the following Response Statuses:

- Approved
- Under Review

The NYISO may also assign one of the following Response Statuses to an imported response record:

- Denied
- Approved
- Under Review

Responses with an Approved status reported for payment have completed all requirements for payment processing and require no further action by the MP. Responses with an Approved status reported for performance only have also completed all requirements for processing and require no further action by the MP.

Responses with an Under Review status, regardless of reporting for payment, performance, or both, require that further action be taken by the NYISO in evaluating the reported resource data. The reason(s) a specific resource response was placed under review can be found on the Event Response Details page (see Figure 300 and Figure 301).

Reasons for Under Review are shown at the response summary level, when applicable to the resource response as a whole, and at the hourly level, when applicable to only a specific hour(s) of the event response. Regardless of a record being placed under review for the entire resource response or only a specific hour(s), the resource response will not be processed for payment or performance until the response receives an Approved status by the NYISO.

Additionally, a resource response may receive a Denied status by the NYISO, which prevents the response from being processed for payment or performance.

Pre-requisites

- The MP has imported resource responses to an event or test.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".

 **To view resource event response status**

1. From the **DR Event** menu, choose **Event Response Details**.
The system displays the Event Response Details page.
2. From the corresponding search filter(s) in the uppermost frame on the Event Response Details page (see Figure 300), choose, at a minimum, the **Capability Period** and **Event** and/or the **Resource ID** for which the system should display resource responses.

Figure 300: Event Response Details Page Search Filters



3. Near the top of the Event Response Details page, click the **Display** button.

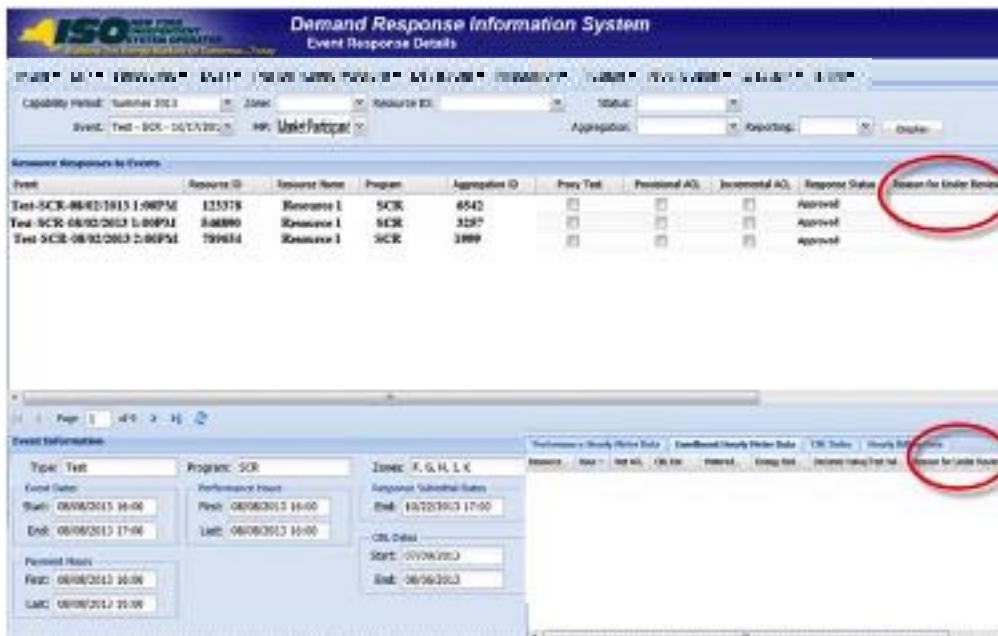
The system populates the Resource Responses to Events grid below the search filters with an entry for each resource response meeting the criteria chosen at step 2 (see Figure 301).

Figure 301: Event Response Details Page Highlighting Response Status and Reason for Under Review



4. 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 301).
5. View the hourly level Reason for Under Review by clicking the corresponding row in the Resource Responses to Events grid and viewing the displayed Hourly Meter Data tab (see Figure 302).

Figure 302: Event Response Details Page Highlighting Reason for Under Review at the Hourly Level on the Hourly Meter Data Tab



12.7.6. Monitoring Results of Event Responses Reported for Payment

Resource responses to an event or test reported for purposes of payment may be monitored at the summary or payment detail levels. The Resource Responses to Events summary view provides knowledge as to when a specific resource response record has been Prepared for Settlements by the NYISO and when the same record has been Invoiced by the NYISO Consolidated Invoice system.

The Hourly Billing Data view provides specific Payment Statuses as the resource response moves through the NYISO payment process. Payment Statuses that can be assigned to a resource response include the following:

- *Prepared for Settlements:* The event or test for which the resource response has been reported has been processed for payment by the NYISO and is waiting to be billed.
- *Billed:* The resource response has been processed by the NYISO settlement system, payment data is visible on the Billing Details tab in DRIS, and the response is waiting to be invoiced.
- *Invoiced:* The resource response has been processed by the NYISO Consolidated Invoice system, received an invoice number, and has completed the payment process.
- *Resettlement Copy:* A copy of the resource response has been made, post invoicing, for use in the event that the date of the event or test requires re-spinning by the NYISO payment process.
- *Pulled:* An updated resource response record for the resource, event, and MP has been Prepared for Settlements, causing an existing Prepared for Settlements, Billed, or Resettlement Copy to be pulled from the invoicing process and replaced with the newest version.
- *Canceled:* The resource response record has not yet reached the Billed stage of the payment process and has been removed from the payment process by the NYISO.

Pre-requisites

- The MP has imported resource responses to an event or test for payment.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System."

To view resource event response payment status

1. From the **DR Event** menu, choose **Event Response Details**.

The system displays the Event Response Details page.

- From the corresponding search filter(s) in the uppermost frame on the Event Response Details page (see Figure 303), choose, at a minimum, the **Capability Period** and **Event** and/or the **Resource ID** for which the system should display resource responses.

Figure 303: Event Response Details Page Search Filters



- 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 304).

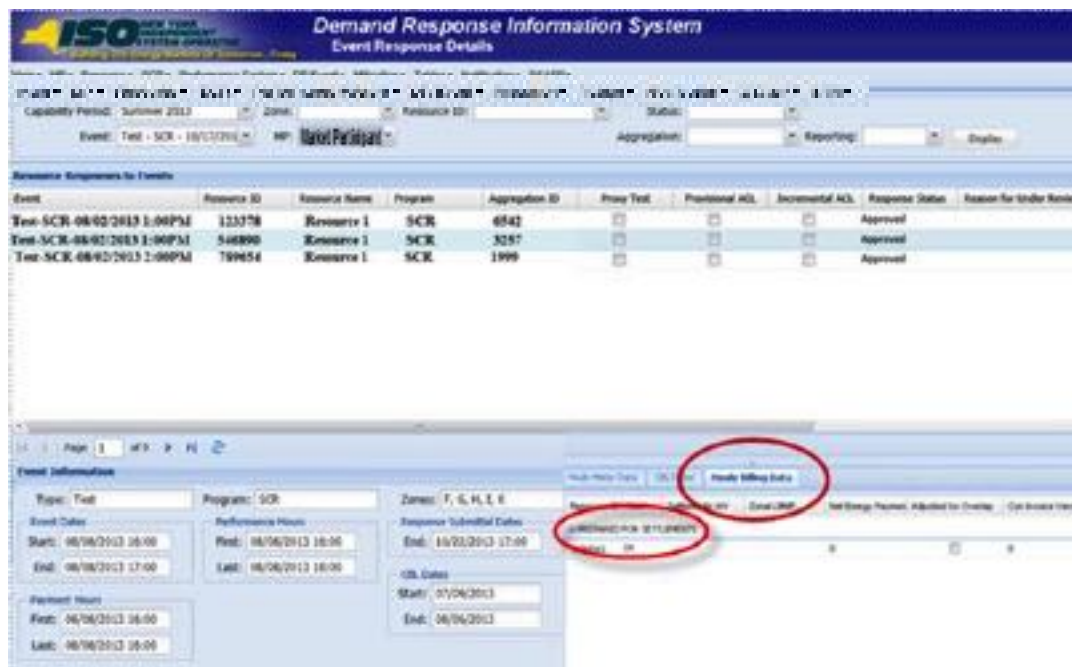
Figure 304: Event Response Details Page Highlighting Response Status Indicators



- 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 304).

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 305).

Figure 305: Event Response Details Page Highlighting Response Status on the Hourly Billing Data Tab



12.7.7. Downloading Energy Payment Details

Energy payment details are viewable via a download initiated from the DRIS Imports/Exports page. Payment details, based on reported and processed resource responses to an event or test, can be exported by selecting a specific event or test. Resource responses must have a Payment Status of Invoiced to appear on the energy payment export. The following data is provided for each resource on the energy payment export:

- Resource ID
- Resource name
- TO account number
- Aggregation ID
- Strike price
- Zone
- CBL MW for each event hour
- Load MW for each event hour
- Performance MW for each hour
- LBMP for each event hour

- LBMP payment for each event hour
- Total LBMP payment for the resource for the event
- Total BPCG payment for the resource for the event
- Total payment for the resource for the event

Pre-requisites

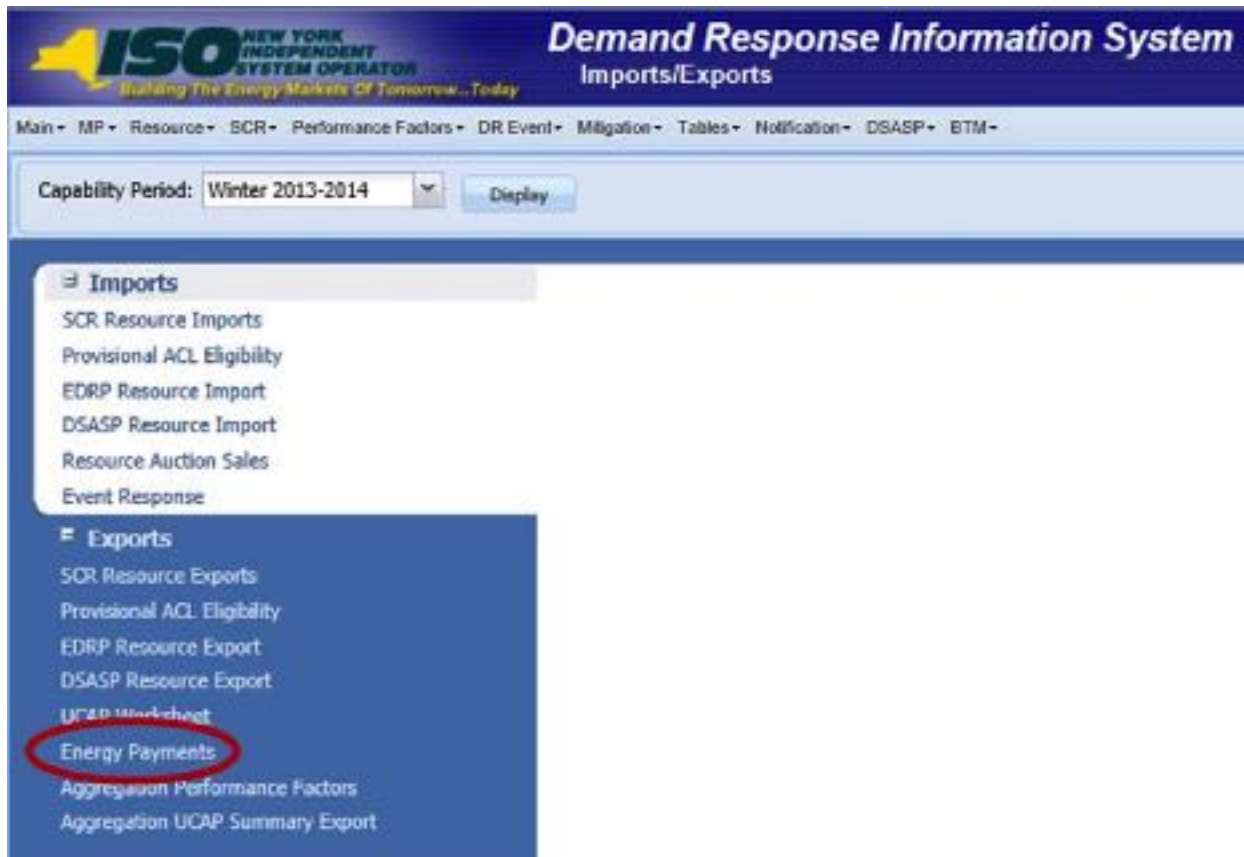
- The MP has imported resource responses to an event or test for payment.
- The resource responses for the event selected have been processed for payment and the responses have received a payment status of Invoiced.
- The MP has logged in to DRIS, as outlined under Section 1.3, "Accessing the System".

To download Energy Payment details

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

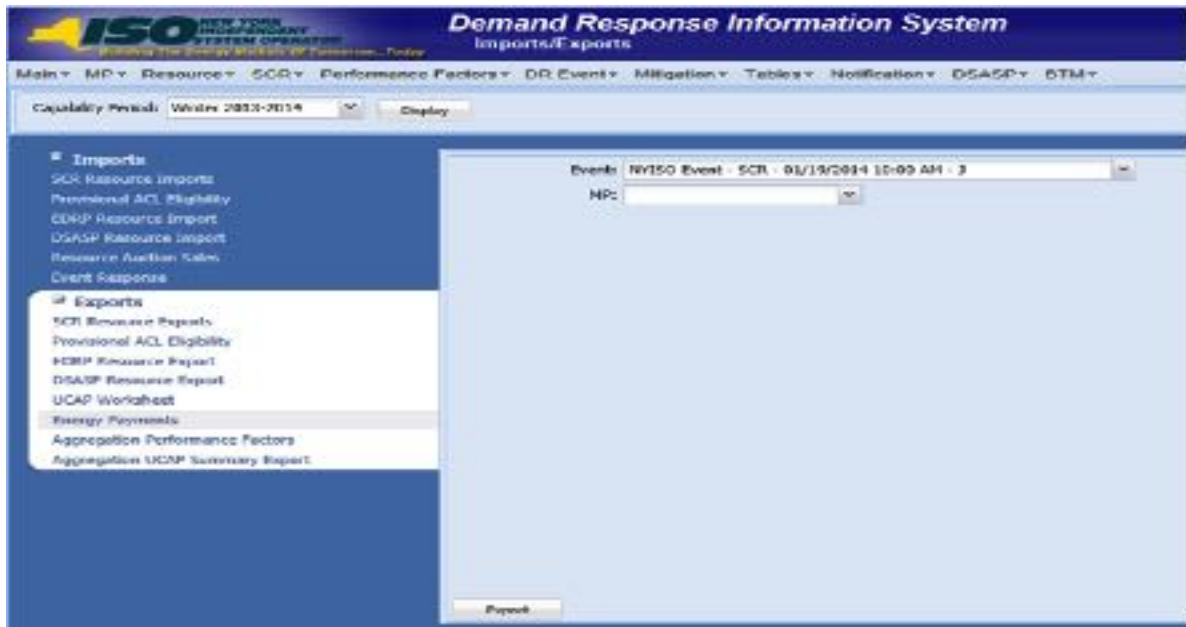
The system displays the Imports/Exports page (see Figure 306).

Figure 306: 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 307).

Figure 307: 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*

13. Viewing Behind-the-Meter Net Generation Resource related Information

A BTM:NG Resource's Average Coincident Host Load (ACHL) and all related data will reside in DRIS and is able to be viewed by Market Participants who register BTM:NG Resources. For BTM:NG Resources that are participating in the NYISO Capacity market, once a Resource's ACHL has been calculated for a Capability Year by DRIS, the NYISO's ICAP Automated Market System (AMS) will use the ACHL to calculate the Average Host Load (AHL) used to determine the Resource's Net-ICAP.

BTM:NG Resource viewing screens show:

- BTM:NG Resource peak Load hours once they have been imported into DRIS, and
- the Resource's ACHL on the Enrollment screen

Note: For the purposes of the DRIS screens "BTM" refers specifically to "BTM:NG" Resources.

13.1. Viewing BTM:NG Resource Peak Load Hours

The NYISO will provide the BTM:NG Resource peak Load hours for each Capability Year. The BTM:NG Resource peak Load hours are the top forty (40) NYCA peak Load hours that occurred in the prior Summer Capability Period and the Winter Capability Period immediately prior to that.

The Peak Load Hours screen displays the BTM:NG Resource peak Load hours imported into DRIS by the NYISO for each Capability Year. The data displayed includes:

- Date Hour: This is the Date and Hour Beginning of each of the top 40 NYCA peak Load hours, and
- NYCA Rank: the rank (from 1 to 40) of each of the top 40 NYCA peak Load hours

Pre-requisites

- The Market Participant performing the task is logged in to DRIS (see section 1.3, "Accessing the System").

To view the BTM:NG Resource peak Load hours

1. From the menu, choose "Peak Load Hours" (see Figure 308).
2. The system displays the BTM Peak Load Hours page.

Figure 308: Dropdown options from Home Page - Peak Load Hours



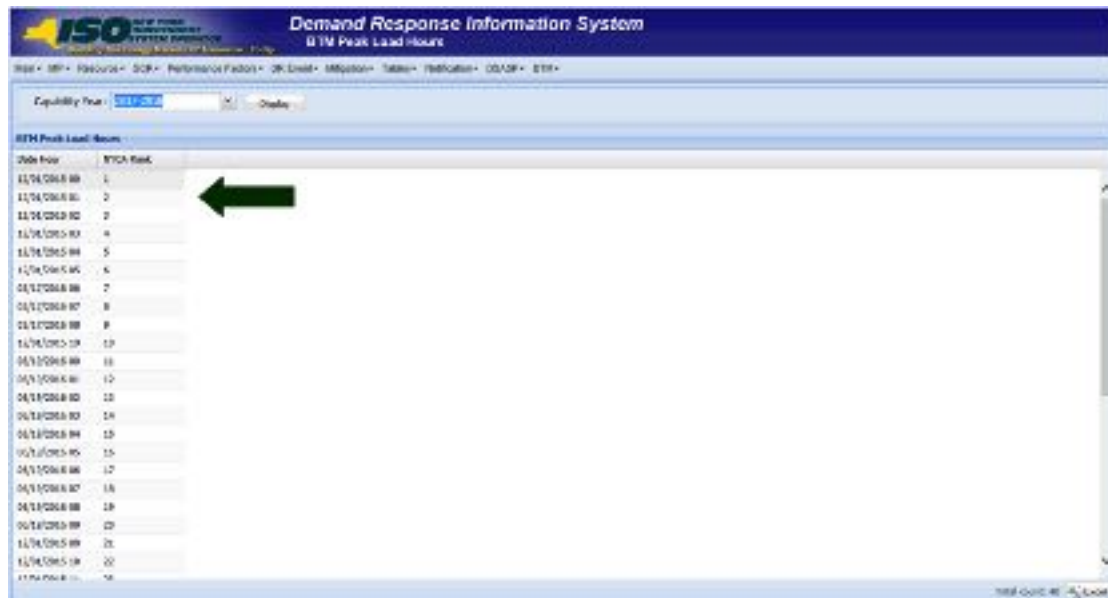
3. Select "Capability Year" from the dropdown and click "Display" button (see Figure 309).

Figure 309: 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 12 (see Figure 310).
5. The hours displayed are by NYCA rank ascending.

Figure 310: BTM Peak Load Hours



Note: The MP may export the report directly from the BTM Peak Load Hours page by clicking the **Excel** button in the lower right-hand corner of the dialog box then taking the requisite steps to either open or save the corresponding file.

13.2. Viewing BTM:NG Resource Enrollment

The BTM Enrollment screen is composed of three inter-related grids: BTM Enrollment Summary, BTM Enrollment History and ACHL Hourly Details.

The **BTM Enrollment Summary** grid allows the Market Participant to view the ACHL for a BTM:NG Resource for each month of enrollment in the NYISO's markets.

The **BTM Enrollment History** grid shows the MP all prior ACHL values (if any) for the month selected in the BTM Enrollment Summary grid.

The **ACHL Hourly Details** grid shows the hourly Host Load data that has been used to calculate the selected ACHL record in the BTM Enrollment History grid.

Pre-requisites

- The Market Participant performing the task is logged in to DRIS (see section 1.3, "Accessing the System").

To view BTM:NG Resource Enrollment

1. From the BTM menu, choose "Enrollment"

Figure 311: 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.

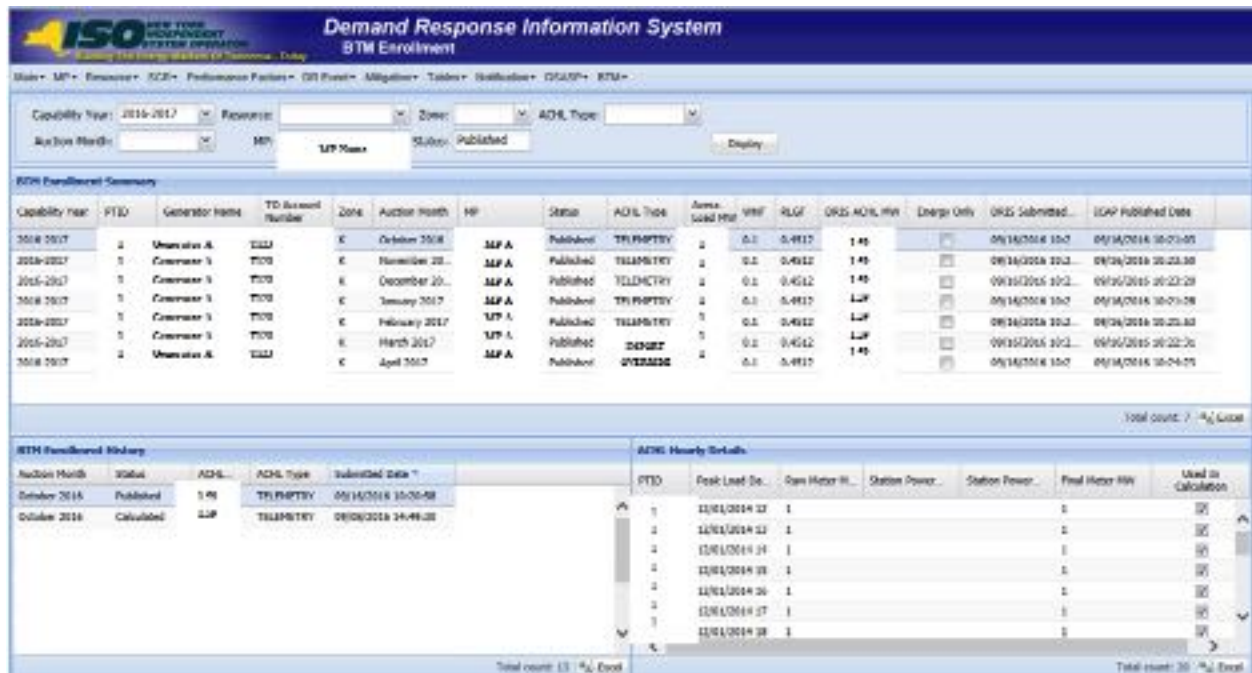
Figure 312: BTM Enrollment Search Filter



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 313: 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.