

# **User Guide for Submitting Internal Bilateral Transactions Using SMS**

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# Contents

- 1. Overview ..... 5**
  - Web Application Access ..... 5**
    - Logging In..... 6
  - Business Rules and Timeline ..... 7**
- 2. SMS Layout..... 8**
  - Main Menu ..... 9**
  - Search Contract ..... 10**
    - Search Contract Web Page ..... 10
  - Create Contract..... 12**
    - Entering Contract Web Page ..... 13
    - Editing Contract Web Page ..... 16
    - Calendar Dialog Box..... 20
    - Party Search Dialog Box ..... 21
    - Location Search Dialog Box ..... 22
    - Schedule Helper Dialog Box..... 23
  - File Upload ..... 24**
    - Uploading IBT file. .... 24
  - File Download..... 25**
    - Downloading IBTs. .... 26
- 3. Tasks ..... 27**
  - Transactions..... 27**
    - Entering New IBT ..... 27
    - Checking the Status of an IBT ..... 36
    - Editing the End Date of an IBT ..... 37
  - Schedules..... 41**
    - Entering a Schedule ..... 41
    - Editing a Schedule..... 44
    - Searching for Pending IBTs and Schedules ..... 47
  - Confirming Contracts and Schedules..... 48**
    - Confirming Contracts..... 48
    - Confirming Schedules ..... 48

## Figures

Figure 1. Logging in to the SMS Application .....	6
Figure 2. Data Blocks in the Default Web Page .....	8
Figure 3. Main Menu .....	9
Figure 4. Search Contract Web Page.....	10
Figure 5. Entering Contract Web Page (1st Step) .....	12
Figure 6. Entering Contract Web Page (2 <sup>nd</sup> step).....	13
Figure 7. IBT Patterns .....	15
Figure 8. Editing Contract Web Page .....	16
Figure 9. ICAP Schedules Data Block.....	18
Figure 10. Calendar Dialog Box .....	20
Figure 11. Party Search Dialog Box .....	21
Figure 12. Location Search Dialog Box.....	22
Figure 13. Schedule Helper Dialog Box .....	23
Figure 14. File Upload Dialog Box.....	24
Figure 15. File Download Dialog Box .....	25

## Preface

### Purpose

This user guide is a reference document created for the specific purpose of transacting business associated with Internal Bilateral Transactions (IBTs) within the ISO New England (ISO) marketplace. This user guide is divided into two sections. The first part is called the Reference section and the second is called the Task section. The Reference part provides general concepts for using the Settlement Market System (SMS) application. The Task section goes into greater detail for completing specific tasks. In most instances, web page screen captures have been used to illustrate the explanations. The SMS application is mapped to the SMD Market database.

### Assumptions

An assumption has been made that the reader is familiar with using web-based applications and web-browser navigation. The market system user should have a good understanding of ISO Market Rules, Manuals, and other governing documents to properly use the SMS application to complete desired business transactions. Reference should also be made to any web-based training tools provided by ISO New England which are intended as extensions of SMD application User Guides.

### Change Summary

Revision	Transmittal #	Date	Comments
Draft	None	07/2002	Original [wll]
1.0	None	02/2003	Added new screen prints. Added MW pattern and file download definitions. [atosenko, drouрке]
1.1	None	09/02/2003	Two new status types of 'Term' and 'Cncl' have been added to <b>Section 3</b> <b>Tasks: Checking the</b> <b>Status of an IBT.</b> [atosenko, drouрке]
1.2	~~	02/07/2005	Edited for RTO language. [ghl]
1.3	None	07/18/2006	Updated for Ancillary Services Market Phase 2 Project [da, AT]
1.4	~~	08/30/2006	Removed Agent role.[da}
1.5	~~	04/17/2007	Added External ICAP Import transaction extension to the <i>Editing the</i> <i>End Date of an IBT</i> task in Section 3 [AT]

## User Guide for Submitting Internal Bilateral Transactions Using SMS

1.6	~~	05/20/2010	Added the FCM Load Obligation and FCM Supplemental Availability contract type [AT]
1.7	~~	11/16/2010	Added “Impacts Marginal Loss Revenue Allocation” check box to contract entry instructions. (LN)
1.8	~~	08/24/2011	Updated Tasks relating to the FCM Load Obligation transaction type. (MJG)
1.9	~~	05/09/2012	Updated Tasks relating to the FCM Supplemental Availability transaction type. (AT)

# 1. Overview

## Web Application Access

The SMS application is accessed through Internet facilities with the following web browser:

- Internet Explorer 6.x or greater supporting SSL 3.0 secured 128-bit encryption

Additional software and hardware requirements for accessing the ISO SMD marketplace are listed on the ISO web page at:

<http://www.iso-ne.com>

Users need to register with the Customer Service Department within ISO in order to submit, search for, and use the SMS application for the intention and purpose of taking part in the ISO SMD Marketplace.

Market system user registration and access begins by following instructions detailed in Section I of the Customer and Asset Management System (CAMS) User Guide available on the ISO web page at: [http://www.iso-ne.com/support/user\\_guides/index.html](http://www.iso-ne.com/support/user_guides/index.html).

Once registered, market system users will be provided with the link to access the SMD home page, which will then allow direct access to SMD software applications.

Access to the ISO Sandbox will be restricted to registered market system users only. Questions or inquires about market system access should be addressed to the Customer Service Department at ISO.

## Logging In

Once you have entered the appropriate web address, you can select the digital certificate that allows access to the SMS application. From there you can work with Internal Bilateral Transactions.

The following web page displays after the appropriate web address is entered into the web browser:

The screenshot displays the SMS Application interface. At the top, there are four buttons: "Search Contract", "Create Contract", "File Upload", and "File Download". Below these is a search section titled "Search For Existing Contract... User: VIU4". This section contains several search criteria with checkboxes and input fields:

- Contract ID
- Reference ID
- Start Date
- End Date
- Party
- FCM Resource
- Category
- Market
- Location
- Contract Status
- Schedule Status
- Schedule Pattern

Additional search options include a dropdown menu for "Energy Day Ahead" (with radio buttons for "Day Ahead", "Real Time", "Forward Reserve", and "Capacity"), and dropdown menus for "Pending By User" and "On-Peak 5x16". There are "Reset", "Refresh", and "Find" buttons at the bottom of the search section.

To the right of the search section is a "Schedules" section with a "No schedule" button.

Below the search section is a table titled "Contracts". The table has the following columns: ID, Market, Buyer, Seller, Effective Period, Status, and Schedules. The table is currently empty, and the number "1" is displayed below it.

The browser's status bar at the bottom shows "Trusted sites" and "100%" zoom.

Figure 1. Logging in to the SMS Application

## **Business Rules and Timeline**

The associated business rules and timeline can be found in the document *Market Rule 1* and the ISO New England Manuals.

## 2. SMS Layout

The SMS application is made up of four data blocks. The data blocks change dynamically based on the options selected.



Figure 2. Data Blocks in the Default Web Page

Data blocks in the SMS application are:

- a. **Main Menu** – Command Buttons
- b. **Schedules** data block – right side of the window
- c. **Search Contract/Contract** data block – upper left portion of the window
- d. **Contracts List** data block – lower left portion of the window

## Main Menu



**Figure 3. Main Menu**

The SMS application's main menu data block presents four options:

- a. **Search Contract** – Allows you to search for existing transactions.
- b. **Create Contract** – Used to create a new transaction.
- c. **File Upload** – Used to create a new transaction.
- d. **File Download** – Used to download transactions form **Search Contract** results.

## Search Contract

The data blocks in the SMS application display slightly different information depending on what action is being taken. The following figure shows how the application typically appears after clicking the Search Contract button in the main menu.

### Search Contract Web Page

Fields commonly used in the search process are identified by callouts.

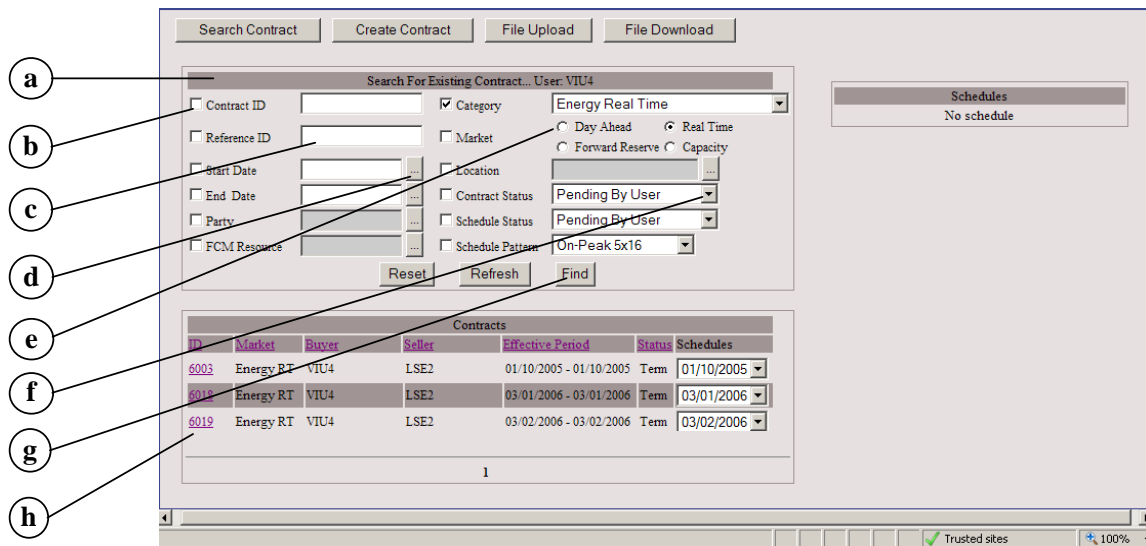


Figure 4. Search Contract Web Page

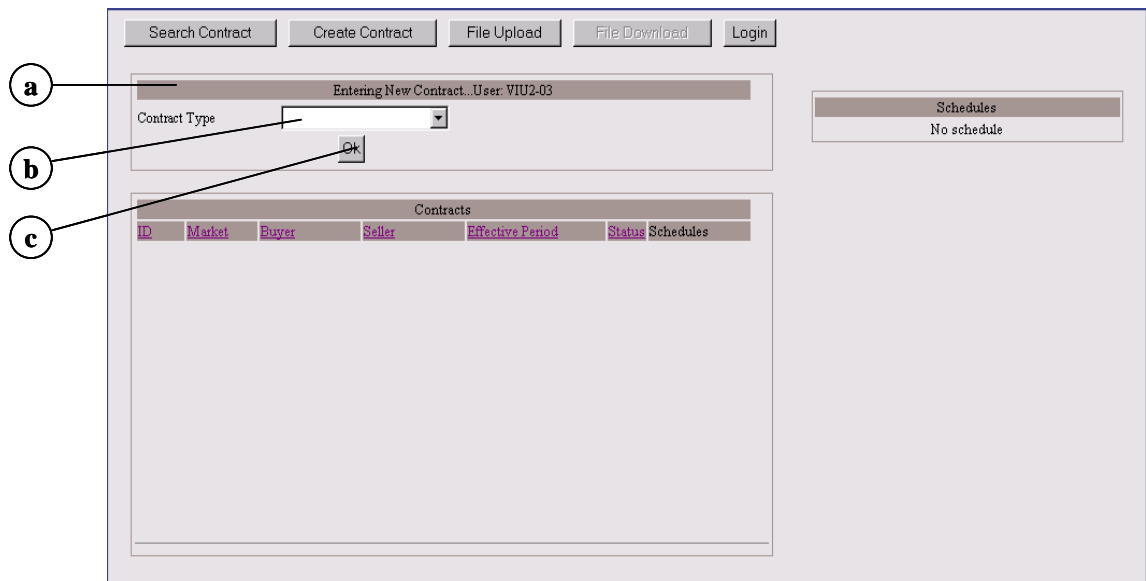
The following fields are typically used after clicking the Search Contract button on the main menu. Buttons or text boxes not relevant to the task are grayed out.

- Status Message** – Indicates the action being taken is searching for Existing Contract.
- Check Boxes** – When checked, specifies the type of information you are searching for.
- Text Boxes** – Permits you to type in a related description of what you are searching for.
- Ellipsis Buttons** – Each accesses a dialog box to speed up data entry of the field. See *Dialog Boxes*.
- Radio Buttons** – Option buttons help you to filter what you are searching for.
- Drop-Down List Boxes** – List boxes filter the description of what you are searching for.
- Reset, Refresh, or Find Buttons** – Reset button allows you to re-enter search values. The Refresh button allows you to repeat the search. The Find button initiates the search.

- h. **Contracts List Search Results** – Lists transactions found in the search. Clicking a Contract ID number in the list permits review or editing of the contract and schedule. Clicking a column name permits sorting of the search results by the column name.

## Create Contract

The following figure shows how the application typically appears after clicking the Create Contract button.



**Figure 5. Entering Contract Web Page (1st Step)**

- a. **Status Message** – Indicates the current action. In this case, the action is Entering New Contract.
- b. **Contract Type Drop-Down List Box** – Field from which you select the type of transaction you are entering. You can choose from:
  - Energy Day Ahead (Automatically carries forward into Real Time)
  - Energy Real Time
  - Regulation Real Time
  - Load Real Time
  - ICAP Internal (Commitment periods prior to June 1, 2010)
  - ICAP External (Commitment periods prior to June 1, 2010)
  - Forward Reserve TMNSR
  - Forward Reserve TMOR
  - FCM Load Obligation (Commitment period beginning June 1, 2010)
  - FCM Supplemental Availability (Commitment period beginning June 1, 2010)
- c. **Ok Button** – Accepts selections and prompts the next web page display.

## Entering Contract Web Page

Once you have selected the contract type, the display changes as shown in the following figure:

The screenshot shows a web form titled "Entering Energy Real Time Contract - User: VTIU4". At the top, there are navigation tabs: "Search Contract", "Create Contract", "File Upload", and "File Download". The form is divided into several sections:

- Start Date and End Date:** Two text boxes with ellipsis buttons (callout b).
- Other Party:** A text box with an ellipsis button (callout c).
- Other Party Is:** Radio buttons for "Seller" and "Buyer" (callout c).
- Impacts Marginal Loss Revenue Allocation:** A checked checkbox (callout k).
- Reference:** A text box (callout e).
- Location:** A text box with an ellipsis button (callout f).
- Fixed MW:** A text box (callout g).
- Pattern:** A dropdown menu set to "Flat" (callout h).
- Confirm Type:** Radio buttons for "Contract Only" and "Schedule" (callout i).
- Buttons:** "Print", "Submit", and "Reset" buttons (callout d).
- Contracts Table:** A table with columns: ID, Market, Buyer, Seller, Effective Period, Status, Schedules. Callout j points to the table area.
- Schedules:** A section titled "Schedules" with the text "No schedule" (callout a).

Figure 6. Entering Contract Web Page (2<sup>nd</sup> step)

- Status Message** – Indicates action currently being taken is Entering New Energy Contract.
- Start Date and End Date Text Boxes or Ellipsis Button** – Allows entry of start and end dates of the transaction using the text boxes or the ellipsis button. The ellipsis button opens the Calendar dialog box. See *Dialog Boxes*.
- Other Party Ellipsis Button, and Option Buttons** – Permits entry of which party you are using with the ellipsis button. This button opens the Party Search dialog box (see *Dialog Boxes*). The option button specifies whether the other party is a seller or buyer.
- Print, Submit, and Reset Command Buttons** – The Print button sends the contract screen to your local printer. The Submit button submits your new transaction to the database. The Reset button allows you to start over if you choose not to submit the transaction.
- Reference Text Box** – Available field for the participant to document the transaction.
- Location Ellipsis Button** – Allows you to access the Location Search dialog box (see *Dialog Boxes*) where you can choose zone, node, or hub locations.

- g. **Fixed MW Check Box and Text Box** – Used only when the Confirm Type in the following field is Contract Only. Text box allows you to enter a fixed MW amount for the entire contract duration.
  - h. **Pattern Box** – The Pattern box allows you to enter an on-peak/off-peak pattern for the entire contract duration using the MW amount entered into the Fixed MW Text Box. Internal Bilateral Transactions patterns are:
    - On-Peak 5 by 16 – on-peak hours during the week (HE 08 to HE 23) – If a NERC Holiday falls within this time period, none of the hours for the holiday will be included.
    - On-Peak 2 by 16 – on-peak hours for an off-peak day (HE 08 to HE 23) – If a NERC Holiday falls within this time period, only on-peak hours for the holiday will be included.
    - Off-Peak 5 by 8 – off-peak hours for weekdays during the week (HE 24 to HE 07) – If a NERC Holiday falls within this time period, none of the hours for the holiday will be included.
    - Off-Peak 7 by 8 – off-peak hours every day of the week (HE 24 to HE 07) including weekends – If a NERC Holiday falls within this time period, only the off-peak hours of the holiday will be included.
    - Off-Peak 2 by 24 – off-peak hours of the weekends (HE 01 to HE 24)
- Off-Peak 5 by 8 & 2 by 24 – off-peak hours included for weekdays and weekends (weekday – HE 24 to HE 07 & weekends – HE 01 to HE 24) – If a NERC Holiday falls within this time period, include all hours of the holiday.

The following figure shows the IBT Patterns definitions when the 'Help' button is clicked.

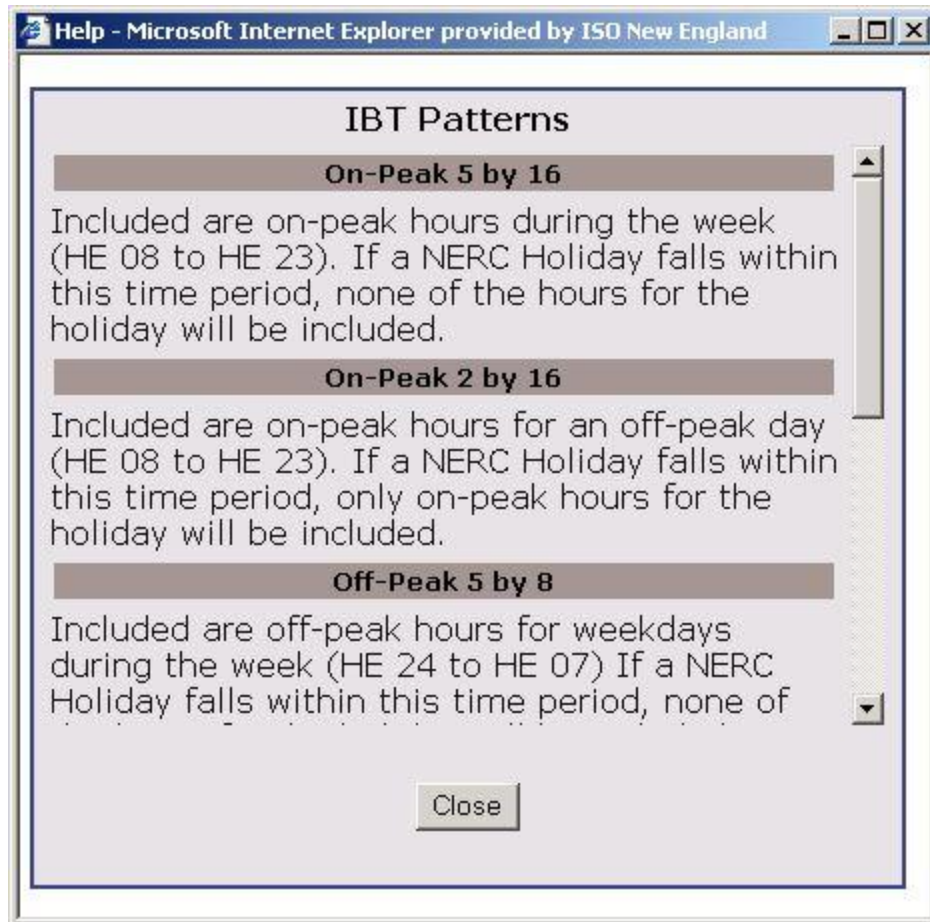


Figure 7. IBT Patterns

**Note: The Reserve Market only uses the on-Peak 5 by 16 Pattern.**

- i. **Confirm Type Option Buttons** – If the Contract Only button is selected, only the contract skeleton needs to be confirmed, not the schedule. Thus, a schedule change would not need to be confirmed by the other party. If the Schedule button is selected, both the contract skeleton and the schedule must be confirmed by the other party. The Confirm Type option is not applicable for ICAP External contract.
- j. **Contracts List Data Block** – Data block showing the details of the transaction after its successful submittal. In this list you can view the Contract ID, Market Service, Buyer, Seller, Effective Period, and Status (New, Pending, or Confirmed). The Schedules column is filled when you create the related schedule.
- k. **Impacts Marginal Loss Revenue Allocation Check Box** – Check box indicating if the contract impacts the Loss Revenue allocation for Energy Day Ahead and Energy Real Time type contracts only. The default value is checked. If checked the contract will be included in the calculation of the Marginal Loss Revenue Load Obligation used for the allocation of Loss Revenues. If unchecked the contract will be excluded from this calculation. This functionality applies only to Energy Day Ahead and Energy Real Time contracts and is effective for contracts with a start date on or after 01/01/2011.

## Editing Contract Web Page

Once a new contract skeleton has been entered, you can create the contract's schedule. Clicking a Contract ID in the Contracts list data block activates the Editing Contract web page where you can create schedules. In addition to entering schedules, the Editing Contract web page displays when you are editing contract and schedules.

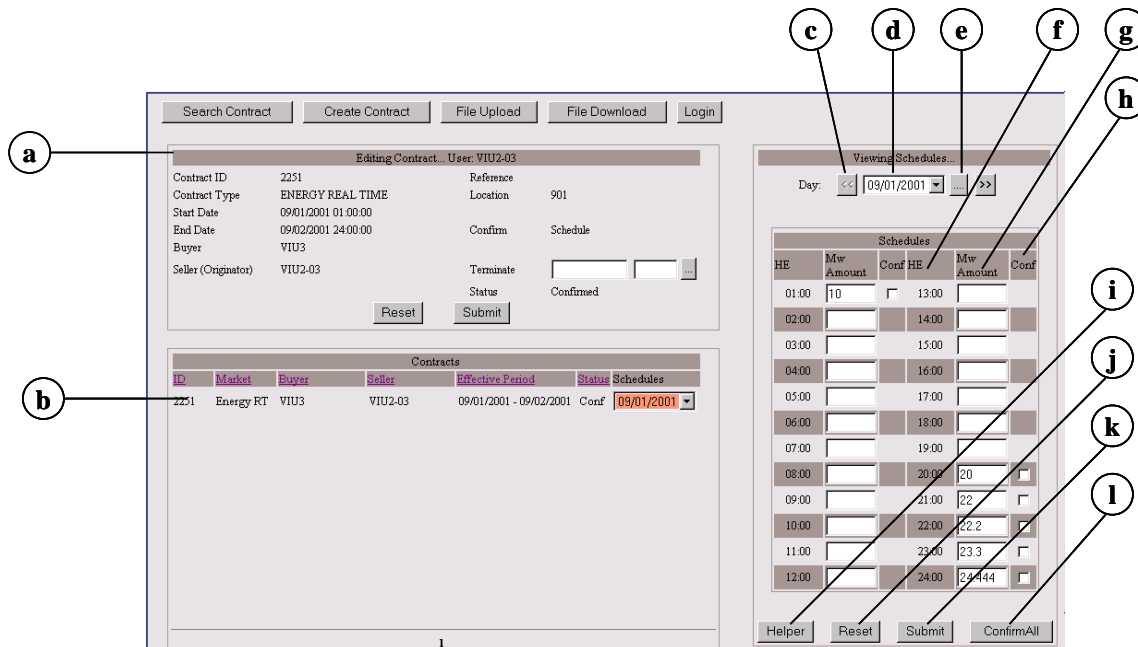


Figure 8. Editing Contract Web Page

- a. **Status Message** – Indicates action currently being taken. In this case, the action is Editing Contract. This web page displays whenever a contract in the Contracts list data block is selected.
- b. **Contracts list** – The selected contract's schedule appears in the Schedules data block.
- c. **Arrow Buttons** – Used to move the date backward or forward.
- d. **Date Drop-Down List Box** – Allows you to choose the date of the schedule.
- e. **Ellipsis Button** – Opens the Calendar dialog box to assist with date creation.
- f. **Hour Ending Column** – Static box listing each hour of the day (hour ending time).
- g. **MW Amount Column** – Text boxes where MW amounts for each hour are displayed and can be edited.
- h. **Confirm Column** – Fields indicating that the date, time, and MW amount have been confirmed. The column will display an "N" (No) for all schedule times pending by the other party. A check box will display for any schedules you must confirm. A "Y" (Yes) will display when the schedule time is confirmed.
- i. **Helper Button** – Opens the Schedule Helper dialog box where you can quickly enter times and MW amounts. (See *Dialog Boxes*.)
- j. **Reset Button** – Resets the schedule fields if you wish to clear the fields.

- k. **Submit Button** – Enters the MW amounts and times into the database. You must click the Submit button after entering schedule information.
- l. **Confirm All Button** – Button not used until contract has been confirmed and a check box appears in the Confirm column. The check box displays for schedules you must confirm. Instead of confirming each time individually with each check box, you have the option of confirming all hours as once using this button.

### ICAP Schedules Data Block

The Schedules data block for most contract types appears as shown in the previous figure. The Schedules data block for the ICAP contract type, however, only allows you to set MW amounts by month, as shown in the following figure.

Viewing Schedules...		
Contract 2756		
Schedules		
Month	Mw Amount	Confirm
January	<input type="text" value="110"/>	N
February	<input type="text" value="112"/>	N
March	<input type="text"/>	N
April	<input type="text"/>	N
May	<input type="text"/>	N
June	<input type="text"/>	N
July	<input type="text"/>	N
August	<input type="text"/>	N
September	<input type="text"/>	N
October	<input type="text"/>	N

Reset Submit

Figure 9 ICAP Schedules Data Block

The Contract ID selected in the Contracts list is shown at the top of the Schedules data block.

- a. **Month Column** – Displays the month of the contract’s schedule.
- b. **MW Amount Column** – Text boxes where the total MW amount for the month can be entered or edited.

- c. **Confirm Column** – Fields indicating the month and MW amount has been confirmed. The column displays an “N” (No) for all schedule times pending by the other party. A check box displays for any schedules you must confirm. A “Y” (Yes) displays when the schedule is confirmed.
- d. **Reset Button** – Resets the schedule fields if you wish to clear the fields.
- e. **Submit Button** – Enters the MW amounts and times into the database. You must click the Submit button after entering schedule information.

## Dialog Boxes

An ellipsis button opens all of the following dialog boxes except the Schedule Helper. The Schedule Helper dialog box opens when you click the Helper button in the Schedules data block. Each dialog box is available to assist with the process of entering information.

### Calendar Dialog Box

The ellipsis button next to the Start Date and End Date fields in the Transactions data block opens the Calendar dialog box, as shown in the following figure. This dialog box can also be accessed from the ellipsis button in the Schedules data block when entering or editing schedules, or from the ellipsis button next to the Terminate field when editing a contract.

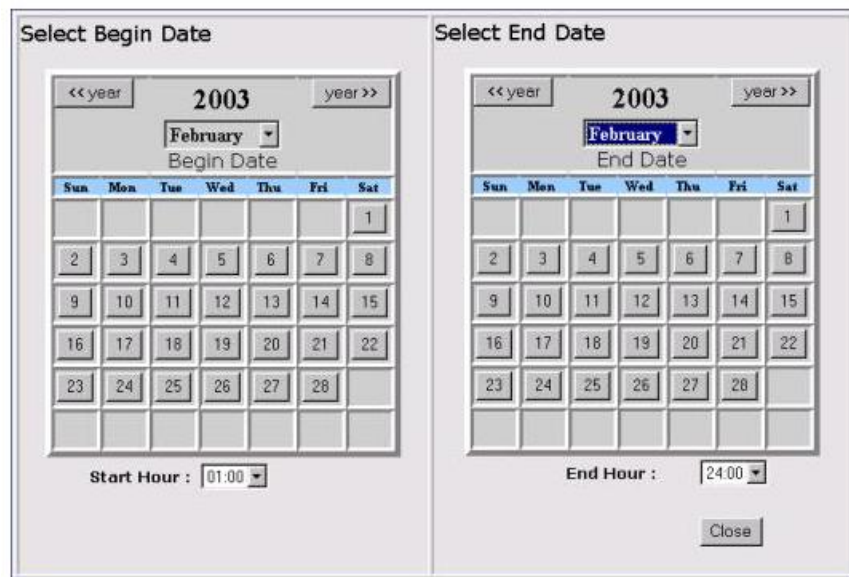


Figure 10. Calendar Dialog Box

## Party Search Dialog Box

The ellipsis button next to the Other Party field in the Entering Contract Web Page opens the Party Search dialog box, as shown in the following figure.

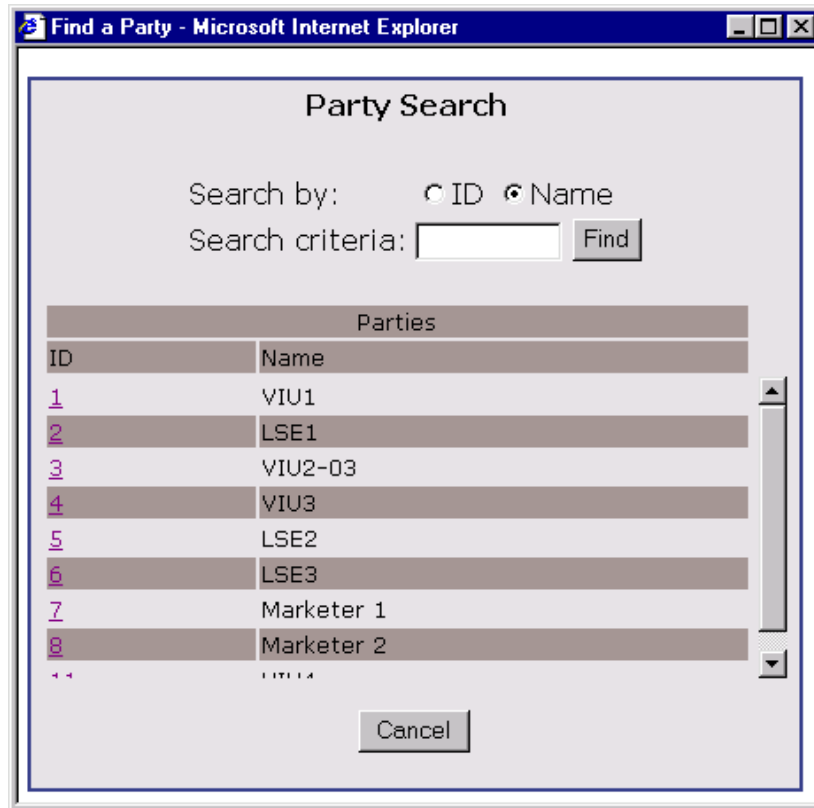


Figure 11 Party Search Dialog Box

### Location Search Dialog Box

The ellipsis button next to the Location field in the Entering Contract Web Page opens the Location Search dialog box, as shown in the following figure.



Figure 12. Location Search Dialog Box

### Schedule Helper Dialog Box

The Schedule Helper dialog box is displayed when you click the Helper button in the Schedules data block for all contract types except ICAP. The dialog box is used to enter hours and MW amounts, as shown in the following figure.

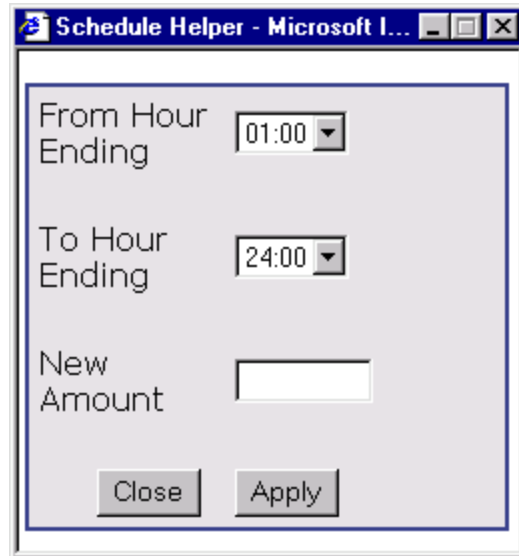


Figure 13. Schedule Helper Dialog Box

## File Upload

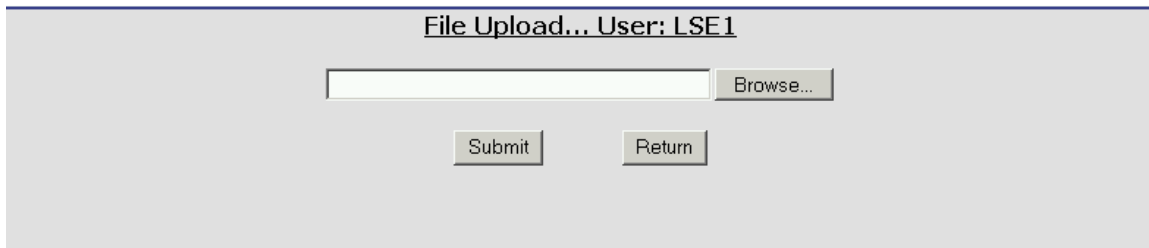
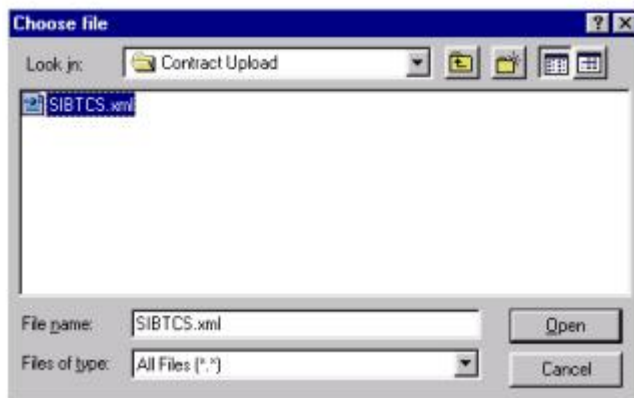


Figure 14. File Upload Dialog Box

### Uploading IBT file.

#### To upload an IBT file:

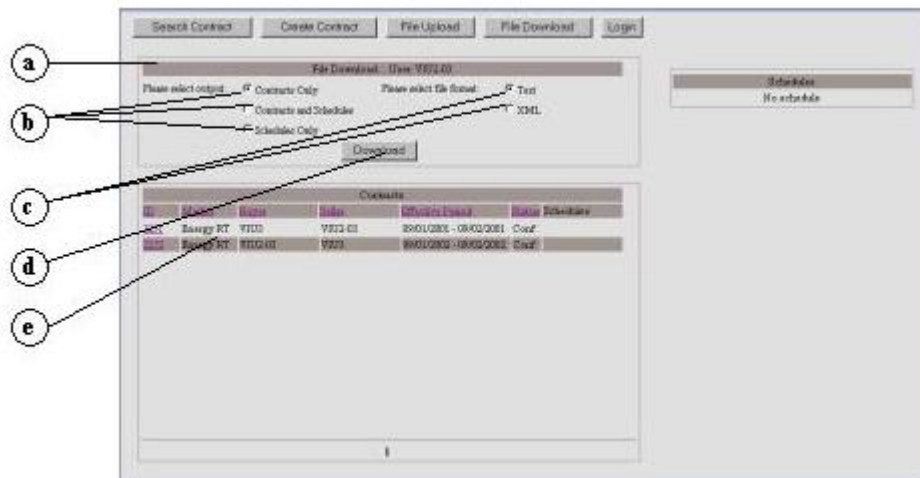
1. Click the **File Upload** button on the Main Menu for the File Upload web page to display.
2. Type the file path and name in the text window, or click the **Browse** button to select a file to upload from the Choose File window. Double click on the selected file. The file path and name appears in the File Upload text window.



**Note:** Only CSV, txt or xml file types are allowed for upload. The associated file formats can be found in the document *Contract Upload File Formats* located at: [http://www.iso-ne.com/support/tech/file\\_formats/up\\_dwn\\_frmts/index.html](http://www.iso-ne.com/support/tech/file_formats/up_dwn_frmts/index.html).

3. Click the **Submit** button. A message confirming the successful upload of the file will appear below.
4. Repeat Step 2 and 3 for as many files as you wish to upload.
5. Click the **Return** button to return to the **Default Web Page**. The uploaded transactions will display in the Contracts List data block on the lower left of the page.

## File Download



**Figure 15. File Download Dialog Box**

**Note:** Only CSV, txt or xml file types are allowed for download. The associated file formats can be found in the document *IBT Download File Formats* located at [http://www.iso-ne.com/support/tech/file\\_formats/up\\_dwn\\_frmts/index.html](http://www.iso-ne.com/support/tech/file_formats/up_dwn_frmts/index.html).

The File Download Dialog box is displayed when you select the File Download button on the Main Menu.

- a. **Status Message** – Indicates action currently being taken. In this case, the action is File Download. This web page displays whenever the File Download button on the Main Menu is selected.
- b. **Radio Buttons** – Used to select contract output desired.
- c. **Radio Buttons** – Used to select file format for download.
- d. **Download Button** – Used to create file of selected contracts into the selected file format.
- e. **Contract List Data Block** – Contains contract information either from entering new contracts data or search results for existing contract data.

## Downloading IBTs.

### To download an IBT file:

1. In order to enable the **File Download** button on the Main Menu you must either search for existing contracts or enter new ones. This will create a list of contracts in the **Contract List Data Block**.
2. Click the **File Download** button on the Main Menu for the File Download web page to display.
3. Select the radio button for the contract output type.
4. Select the radio button for the file format you would like the download file to be.
5. Click the **Download** button. A window box will appear that asks if you would like to save the file or view the file. Choose whichever you would like.

## 3. Tasks

### Transactions


This section focuses on tasks surrounding transactions.

#### Entering New IBT

##### To enter a new IBT:

1. Click the **Create Contract** button for the Entering Contract web page to display.
2. Select the appropriate **Contract Type** from the drop-down list box. Options are:
  - Energy Day Ahead (automatically carries forward into Real Time)
  - Energy Real Time
  - Regulation Real Time
  - Load Real Time
  - Installed Capacity (ICAP) Internal
  - ICAP External (For an External ICAP Sale must have an ownership of the active and partially or fully de-listed asset. Settlement Only Generators (SOG) is not eligible.)
  - Forward Reserve TMNSR (Ten Minutes Non Spinning Reserves)
  - Forward Reserve TMOR (Thirty Minutes Operating Reserves)
  - FCM Load Obligation
  - FCM Supplemental Availability

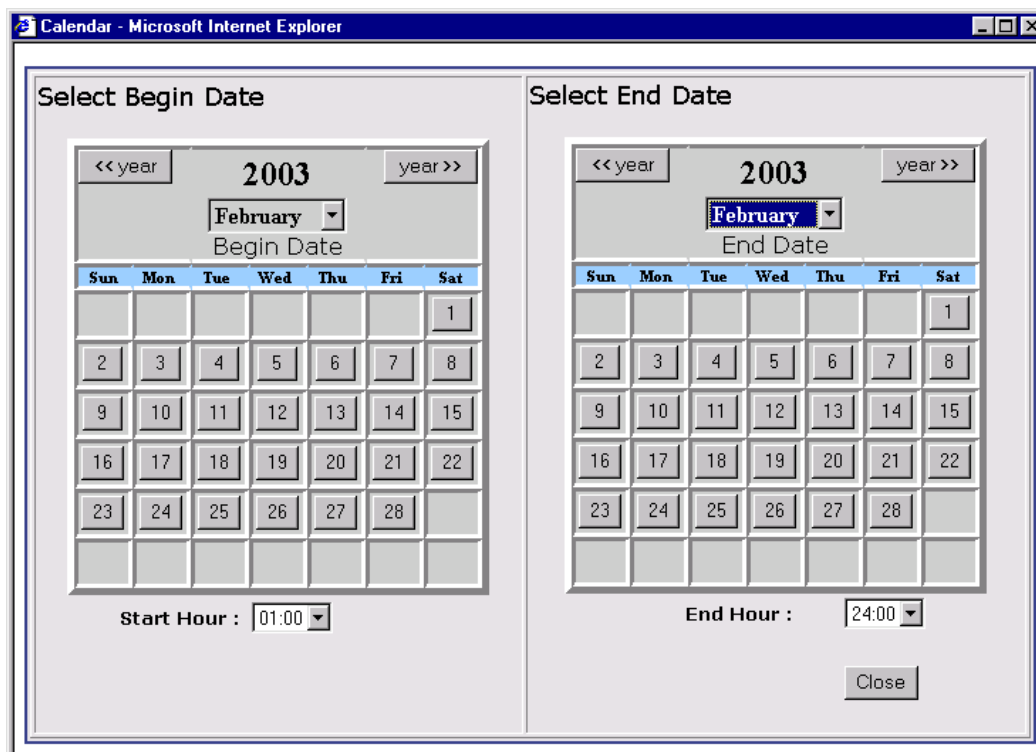
**Note: Effective for** Commitment periods beginning June 1, 2010, **the ICAP Internal and ICAP External new contract entry is unavailable.**

3. Click **Ok**. The fields in the Entering Contract web page change so that you can enter the framework of the transaction (contract skeleton).
4. Click the ellipsis button  next to the **Start Date** fields to open the **Calendar** dialog box, or manually enter the dates and times. The date is formatted as MM/DD/YYYY.

The forward slash automatically appears. The time is formatted as 00:00. The colon does not automatically appear. Note that the times are hour ending.

Note: Only one year in advance is allowed for all transactions except FCM Load Obligation transactions. A FCM Load Obligation transaction can be entered for all commitment periods for which a Forward Capacity Auction has cleared. A transaction length is due to software or Market Rule constraints.

- Day Ahead/Real Time/Forward Reserve - up to 6 Months
  - ICAP with Schedule - up to 12 months
  - ICAP with Fixed MW - up to 24 months
  - FCM Load Obligation - up to 12 months within one Capacity Commitment Period
  - FCM Supplemental Availability - up to 1 calendar month
5. In the Calendar dialog box, select the appropriate year using the **Year** arrows to select the begin date. (Only one year in advance for all transactions.)




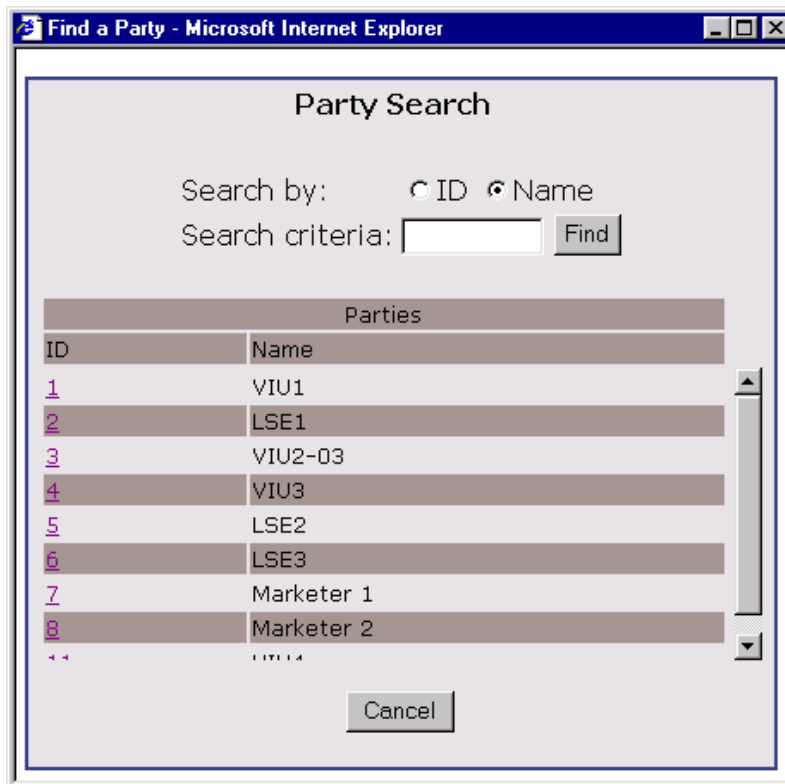
6. Select the Month from the drop-down list box (in the Calendar dialog box).
7. Select the Begin Date by clicking the desired date on the calendar (in the Calendar dialog box).
8. Select the hour from the Start Hour drop-down list box. (e.g., 01:00. This is the hour ending time.)
9. Select the Year, Month, End Date, and End Hour.

10. Click the **Close** button in the Calendar dialog box. The date fields in the Entering Contract web page are automatically filled with this information.
11. If you are entering an FCM Load Obligation contract, selecting the Commitment Period will set the Contract Start and End Date for the remaining months in the Commitment Period.

**Note:** When there are less than twelve months available in the Commitment Period, you will also receive a prompt message detailing the remaining months currently available.


12. If you are entering an FCM Supplemental Availability contract go to Step 20.

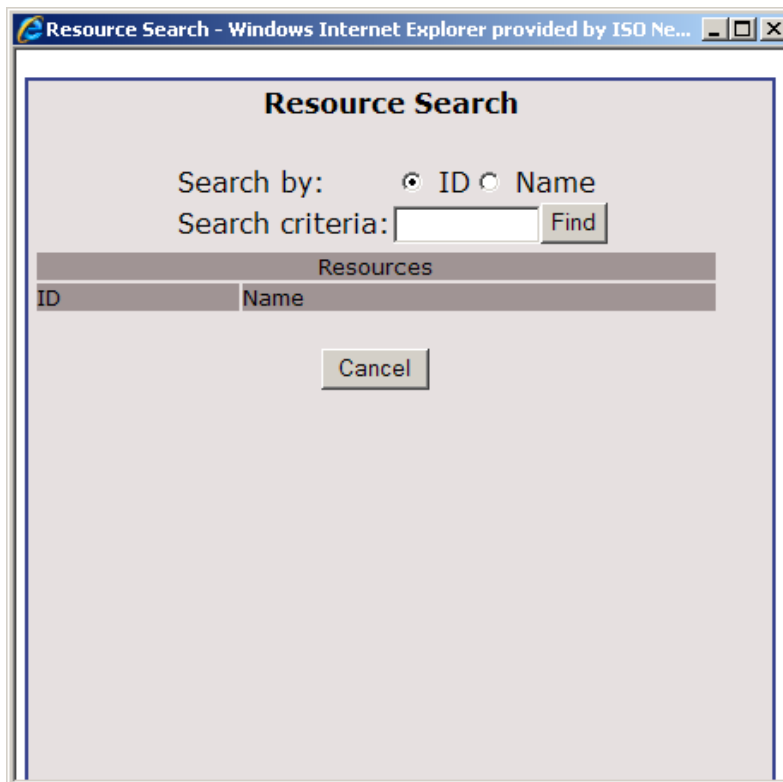
Otherwise, click the helper button  next to the **Other Party** field to open the **Party Search** dialog box.




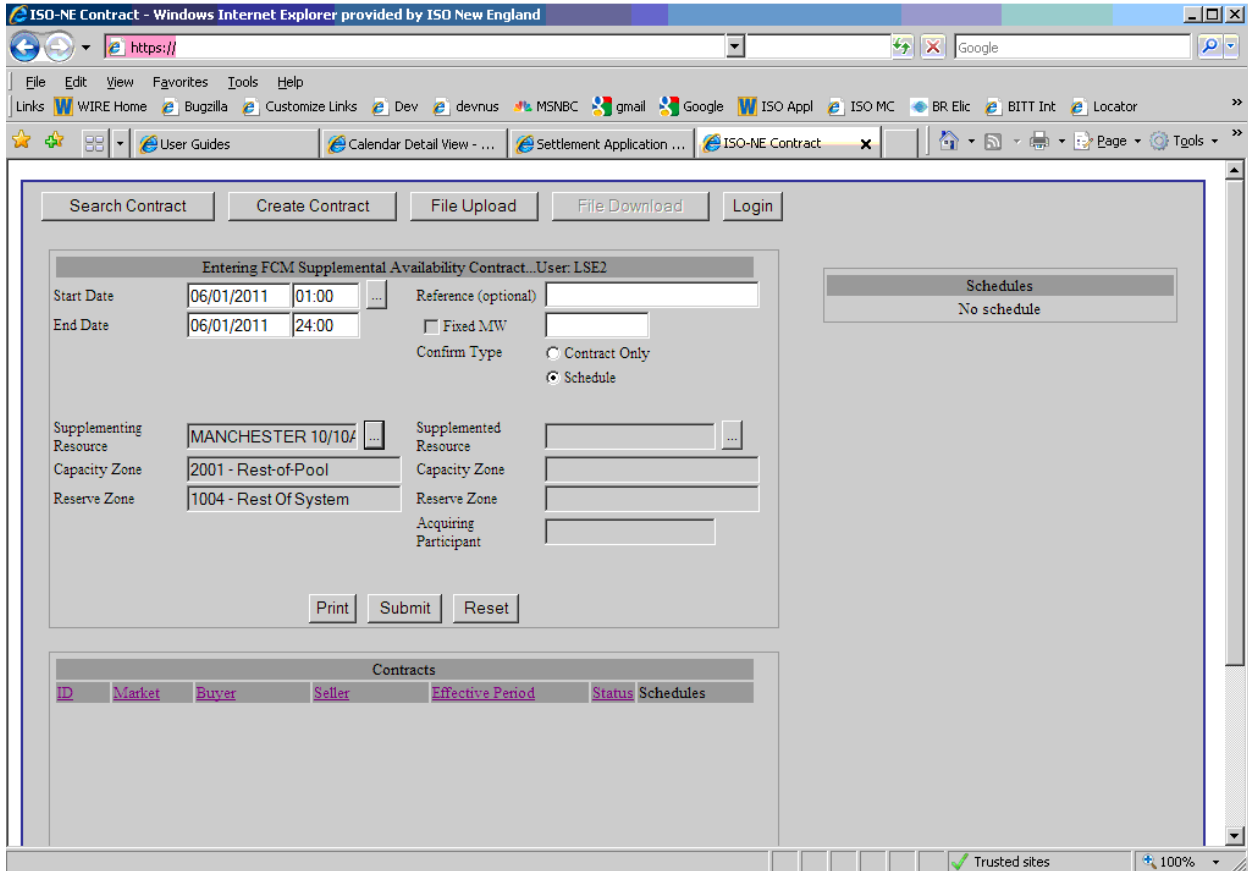
13. Click the appropriate **Search by** option button (ID or Name) in the Party Search dialog box.
14. Enter the ID or Name of the party in the **Search Criteria** field. (The field is case sensitive.)
15. Click the **Find** button. The results of the search display in the lower half of the Party Search dialog box.
16. Click the **ID** number of the party. The Party Search dialog box closes and the Other Party field on the Entering Contract web page is automatically filled with this information.
17. Select the **Seller** or **Buyer** option button to describe the other party.
18. If you are entering an Energy Day Ahead or Energy Real Time contract the Impacts Marginal Loss Revenue Allocation checkbox will default to checked. If checked, the


contract will be included in the calculation of the Marginal Loss Revenue Load Obligation used for the allocation of Loss Revenues. If unchecked the contract will be excluded from this calculation. This functionality is effective for contracts with a start date on or after 01/01/2011.

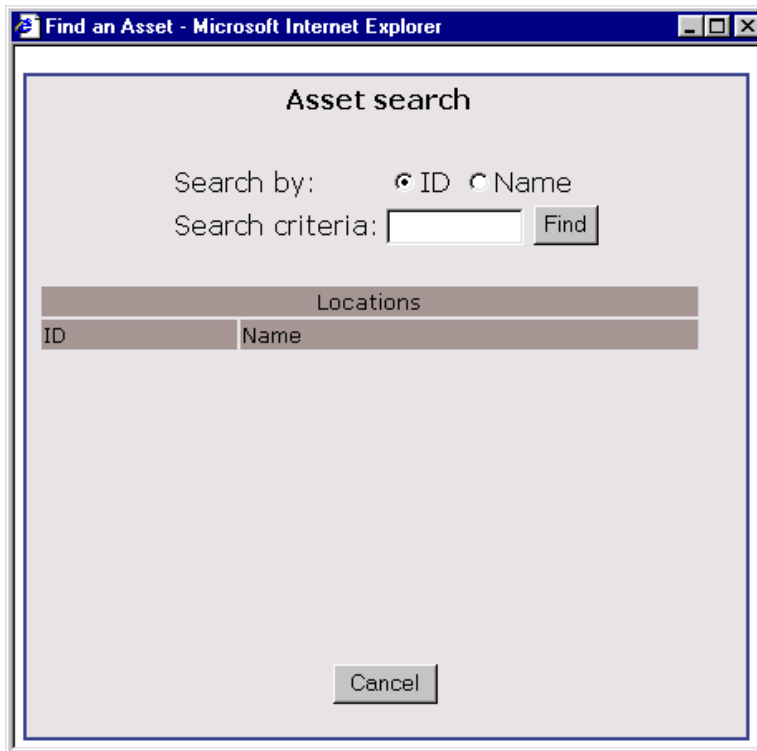
19. If you are entering an FCM Load Obligation contract select the **Transferring Participant** or **Acquiring Participant** option button to describe the other party.
20. If you are entering an FCM Supplemental Availability contract click the helper button  next to the **Supplementing Resource** field to open the **Resource Search** dialog box.




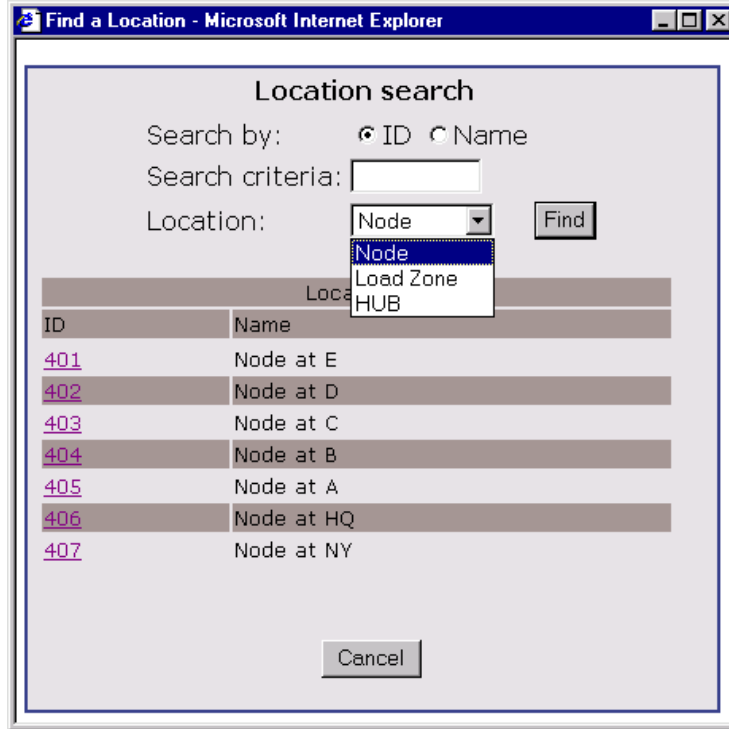
21. Select the **ID** or **Name** option button based on what you wish to search by.
22. Enter the appropriate information in the **Search Criteria** text box (in the Resource Search dialog box).
23. Select the **Resource** from the drop-down list box. Any Resource that appears on the list is a non-intermittent, non-settlement-only generation resource that at the contract interval is designated as a supplemental resource and does not appear as the Supplemented Resource on another confirmed contract. The Transferring Participant must be the Lead Participant for the resource on midnight of the first day of the contract month.
24. If you are entering an FCM Supplemental Availability contract click the helper button  next to the **Supplemented Resource** field to open the **Resource Search** dialog box.



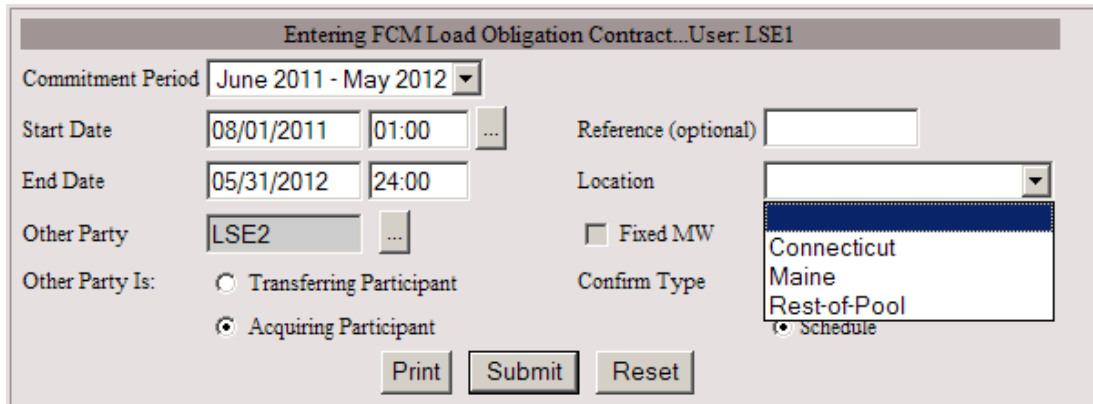
25. Select the **ID** or **Name** option button based on what you wish to search by, or click the Find button to get a complete list of available resources and go to Step 27.
26. Enter the appropriate information in the **Search Criteria** text box (in the Resource Search dialog box).
27. Select the **Resource** from the drop-down list box. Any Resource that appears on the list is a generation resource that resides in a Capacity Zone and Reserve Zone that is not import-constrained in relation to the contract Supplemented Resource location and at the contract interval does not appear as the Supplemented Resource on another confirmed contract.
28. Enter information in the **Reference** text box to document the transaction. This text box is for your own use and accepts up to 25 characters. Any character except the comma is accepted.
29. If you are entering an FCM Supplemental Availability contract go to Step 41. If you are entering an ICAP External Sale contract click the helper button  next to the **Asset** field to open the **Asset Search** dialog box.



30. Select the **ID** or **Name** option button based on what you wish to search by.
31. Enter the appropriate information in the **Search Criteria** text box (in the Asset Search dialog box).
32. Select the **Asset** from the drop-down list box. Any Asset that appears on the list is a generating unit that is 100% owned by a Seller of the contract and is not designated to be an ICAP Resource.
33. Click the helper button  next to the **Location** field to open the **Location Search** dialog box.



34. Select the **ID** or **Name** option button based on what you wish to search by.
35. Enter the appropriate information in the **Search Criteria** text box (in the Location Search dialog box).
36. If you are entering the FCM Load Obligation contract click the **Location** drop-down list box



37. Select the **Location** from the drop-down list box. For energy contracts, the settlement location is a Node, Load Zone, or Hub. For a load contract, the settlement location is a Load Zone or Hub. If you submit a transaction for a load that has a location other than a Load Zone or Hub, you will receive an error message. For ICAP External contracts the settlement location is an External Node. For Forward Reserve TMNSR and TMOR contracts the settlement location is a Reserve Zone. For FCM Load Obligation contract the location is a Capacity Zone.

**Note:** A location is not selected for a Regulation Real Time or ICAP Internal transaction. The field is filled with static text. For FCM Supplemental Availability contract the settlement location – Capacity Zone - as well as the reference Reserve Zone, is system generated based upon the contract Supplementing Resource selection.

38. Click the **Find** button in the Location Search dialog box. The results of the search display in the lower half of the dialog box.
39. Click the desired **ID** number. The Location Search dialog box will close and the Location field is automatically filled on the Entering Contract web 40. Select the **Contract Only** or **Schedule** option button for the Confirm Type. If you are entering an External ICAP transaction, the default is **Contract Only** and the button is not displayed.
41. **Contract Only** means that the other party only needs to confirm the transaction data (Contract skeleton). One party could make a schedule change without the other party confirming the change.
42. **Schedule** means that the transaction, schedule, and any other changes need to be confirmed by the other party.
43. If you selected **Contract Only** in the previous step, you have the following options for scheduling hourly (monthly for ICAP) MW amount values:
44. **Fixed MW** check box **is not checked**. The MW amounts for each hour will be submitted separately for each day of the transaction. For ICAP transactions, the MW amounts are submitted on a monthly basis.

**Note:** If you are entering an ICAP External Purchase (Import) contract, the **Fixed MW** check box **is checked and static**. Scheduling of MW is not allowed for such transactions.

45. **Fixed MW** check box **is checked**; On-Peak/Off-Peak **Pattern** selected **is FLAT** (default). Enter a figure in the corresponding text box. The entered MW value will be applied for each hour of the transaction. For ICAP transactions, the MW amount will be applied to each month.
46. **Fixed MW** check box **is checked**; On-Peak/Off-Peak **Pattern** selected is one of the following: On-Peak 5x16, On-Peak 2x16, Off-Peak 5x8, Off-Peak 7x8, Off-Peak 2x24, Off-Peak 5x8 + 2x24. Click on the question mark next to the **Pattern** label to find out which hours of each day of the transaction will be filled with the entered fixed MW amount.

**Note:**

- Pattern is not applied to ICAP and FCM transactions.
  - Only On-Peak 5x16 applied to Forward Reserve.
47. If you are entering an ICAP External Purchase contract select the **Transaction Type: Unit** or **Control Area** option button. For a Sale contract the button is defaulted to **Unit** and static.
  48. For an ICAP External Purchase contract enter a figure in the **EFORD** text box. It must be a numeric value containing no more that 3 figures before the decimal point and up to 4 figures after the decimal point. For a Sale contract the **EFORD** box is disabled.

49. Click the **Submit** command button. A dialog box displays with the ID number of the transaction submitted.



50. Click **OK**.

**Note:** The only way to void the transaction at this point is to change the End Date to the same as the Start Date. See the task Editing the End Date of an IBT for more information.

## Checking the Status of an IBT

### To check the status of an IBT:

1. After submitting a contract you have created, refer to the contracts list data transaction details. Click the appropriate number in the **Contract ID** column.
2. Check the **Status** column in the transactions list data block to learn the status of the transaction. Possible results are:
  - New – The transaction has been entered by either party of the transaction and is pending by the opposite party to confirm.
  - Conf – The other party has acknowledged the transaction or a modification (edit) to the transaction.
  - Pend – The transaction has been edited by either party of the transaction and is pending by the opposite party to confirm.
  - Term – The transaction has been terminated (shortened) by either party of the transaction and the opposite party has confirmed the termination date.
  - Cncl – Either party of the transaction at the start date has canceled the transaction and the termination date has been confirmed by the opposite party or confirmed automatically if it's previous Status was New.
3. Check the **Schedules** column to learn the status of schedules. Possible results are:
  - Confirmed – The other party has acknowledged the transaction. The cell background color is white.
  - Pending – One of the contract parties has not confirmed the transaction. (The cell will remain an orange color until confirmation is received or submitted by you.)

Contracts						
ID	Market	Buyer	Seller	Effective Period	Status	Schedules
2716	Energy RT	LSE1	VIU1	10/22/2002 - 10/28/2002	New	
2717	Energy RT	VIU1	LSE1	10/23/2002 - 10/29/2002	New	
2719	Regulation	VIU1	LSE3	01/19/2003 - 01/19/2003	Conf	01/19/2003 ▾

## Editing the End Date of an IBT

You can only edit the **End Date** of a contract (terminate the contract) if the Other Party has confirmed the contract skeleton, or if you are the originator of the contract and canceling it by entering a new end date, that equals to Begin Date of the contract.

**Note:** For ICAP External Purchase (Import) Contract only, you may edit the **End Date** by entering and submitting an **extension** date. Terminated or ended contract cannot be extended.

In order to get to the Editing Contract web page, refer to the Contracts List data block on the lower left of the page. This area shows the transaction details. Click the appropriate number in the **Contract ID** column.

### To shorten the end date of an IBT (terminate or cancel contract):

1. In the **Terminate** field in the Editing Contract web page, enter a new end date of the contract.

Editing Contract... User: LSE1			
Contract ID	47848	Reference	
Contract Type	ENERGY DAY AHEAD	Location	901
Start Date	07/01/2007 01:00:00	MW Amount	22.500
End Date	12/31/2007 24:00:00	Confirm	Contract Only
Buyer	LSE1		
Seller (Originator)	VIU1	Terminate	12/22/2007 01:00 ...
		Status	Confirmed
		Reset	Submit

2. Click the **Submit** button in the Editing Contract web page. A confirmation message will display.



3. Click **OK** to acknowledge.

**To lengthen the end date of an ICAP External Purchase transaction (extend contract):**

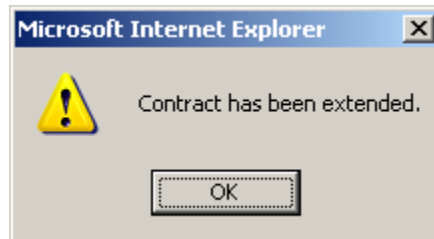
1. In the **Extend Until** field in the Editing Contract web page, enter a new end date of the contract.

The screenshot shows a web page titled "Editing Contract... User: VIU1". It contains a table of contract information:

Contract ID	47822	Reference	
Contract Type	ICAP EXTERNAL	Location	407
Start Date	03/01/2007 01:00:00	MW Amount	70.000
End Date	02/29/2008 24:00:00		
Buyer (Originator)	VIU1	Extend Until	04/30/2008 24:00
Seller	NBPP	Terminate	
Asset ID	(CONTROL_AREA)	Status	Confirmed
EFORd	50.0000		

At the bottom of the form are two buttons: "Reset" and "Submit".






2. Click the **Submit** button in the Editing Contract web page. A confirmation message will display.



3. Click **OK** to acknowledge.

## Searching for an IBT

### To search for an IBT:

1. Click the **Search Contract** button in the Main Menu data block to display the Search Contract web page.
2. Select the check box next to one or more items you wish to search for and fill in related information where necessary in the Transactions data block. Options include:
  - Contract ID.
  - Reference ID.
  - Start Date. (An ellipsis button  is available.)
  - End Date. (An ellipsis button  is available.)
  - Party. (An ellipsis button  is available.)
  - FCM Resource. (An ellipsis button  is available.)
  - Contract Type. Select one of the following from the drop-down list box.
    - Energy Day Ahead
    - Energy Real Time
    - Regulation Real Time
    - Load Real Time
    - ICAP Internal
    - ICAP External
    - Forward Reserve TMNSR
    - Forward Reserve TMOR
    - FCM Load Obligation
    - FCM Supplemental Availability
  - Market. Select one of the following radio buttons.
    - Day Ahead
    - Real Time
    - Forward Reserve
    - Capacity
  - Location. (An ellipsis button  is available.)
  - Contract Status. Select one of the following from the drop-down list box.
    - Pending By User
    - Pending By Other Party

- Pending Termination
  - Pending All
  - Pending History
  - Confirmed All
  - Confirmed Termination
  - Confirmed History
  - Schedule Status. Select one of the following from the drop-down list box.
    - Pending By User
    - Pending By Other Party
    - Pending All
    - Confirmed All
3. Click the **Reset** button in the Search Contract web page if you need to restore previous search criteria.
  4. Click the **Find** command button in the Search Contract web page. Existing transactions will display in the Contracts List data block on the lower left of the page.
  5. Click the **Refresh** command button in the Search Contract web page if you need to repeat the search with the same search criteria.
  6. Under **Contract ID** in the Contracts List data block, select the transaction you are interested in. You can now edit the transaction if desired.

## Schedules

This section focuses on tasks related to schedules.

### Entering a Schedule


#### To enter a schedule:

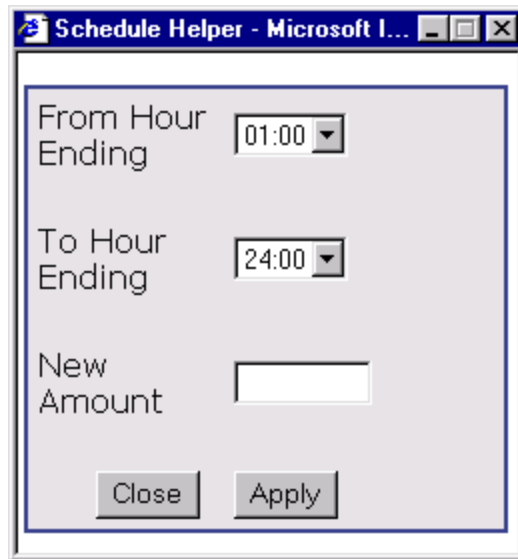
1. From the Contracts List web page, select the desired transaction in the **Contract ID** column. The transaction's schedule will display in the Schedules data block on the right side of the web page.

Viewing Schedules...

Day: << 03/24/2003 ... >>

Schedules					
HE	Mw Amount	Conf	HE	Mw Amount	Conf
01:00	<input type="text"/>		13:00	<input type="text"/>	
02:00	<input type="text"/>		14:00	<input type="text"/>	
03:00	<input type="text"/>		15:00	<input type="text"/>	
04:00	<input type="text"/>		16:00	<input type="text"/>	
05:00	<input type="text"/>		17:00	<input type="text"/>	
06:00	<input type="text"/>		18:00	<input type="text"/>	
07:00	<input type="text"/>		19:00	<input type="text"/>	
08:00	<input type="text"/>		20:00	<input type="text"/>	
09:00	<input type="text"/>		21:00	<input type="text"/>	
10:00	<input type="text"/>		22:00	<input type="text"/>	
11:00	<input type="text"/>		23:00	<input type="text"/>	
12:00	<input type="text"/>		24:00	<input type="text"/>	

2. Select the date using the Date drop-down list box, ellipsis button , or arrow lists <<>>.
3. Enter individual MW amounts manually or click the **Helper** command button at the bottom of the Schedules data block to fill in the bulk hours of the transaction. Using the drop-down list boxes or manual entry, complete the **From Hour Ending** and **To Hour Ending** fields. Also, enter the appropriate information in the **New Amount** field.



4. Click the **Close** button to close the Schedule Helper dialog box.

5. From the Schedules data block on the right side of the page, click **Submit**.

**Note:** You must click the Submit button for the MW amounts to be entered into the database.

6. When a confirmation message displays, click **OK to acknowledge**. The **Confirm** column in the Schedules data block will display an "N" (No) until the opposite party confirms the schedule. If the opposite party confirms the schedule, a "Y" (Yes) will display in the Confirm column. If the contract skeleton had been entered with a "Contract Only" confirmation level and had been confirmed, the schedule will be confirmed automatically when submitted.

**To enter a schedule (ICAP):**

1. From the Contracts List web page, select the appropriate transaction in the **Contract ID** column. The transaction’s schedule will display in the Schedules data block on the right side of the web page.

Viewing Schedules...

Contract:2359

Schedules		
Month	Mw Amount	Confirm
September	<input type="text"/>	N
October	<input type="text"/>	N
November	<input type="text"/>	N
December	<input type="text"/>	N
January	<input type="text"/>	N
February	<input type="text"/>	N
March	<input type="text"/>	N
April	<input type="text"/>	N
May	<input type="text"/>	N
June	<input type="text"/>	N
July	<input type="text"/>	N

2. Enter a MW amount for each month in the **Mw Amount** text box.
3. Click the **Submit** button.
4. When a confirmation message displays, click **OK**.

The **Confirm** column in the Schedules data block will display an “N” (No) until the opposite party confirms the schedule. If the opposite party confirms the schedule, a “Y” (Yes) will display in the Confirm column. A “Contract Only” schedule does not need to be confirmed by the other party.

## Editing a Schedule

### To edit a schedule:

1. From the Contracts List web page, select the transaction you wish to edit in the **Contract ID** column. The transaction's schedule will display in the Schedules data block on the right side of the web page.

Viewing Schedules...

Day: << 09/02/2002 ▾ ... >>

Schedules					
HE	Mw Amount	Conf	HE	Mw Amount	Conf
01:00	<input type="text"/>		13:00	15	<input type="checkbox"/>
02:00	<input type="text"/>		14:00	15	<input type="checkbox"/>
03:00	<input type="text"/>		15:00	15	<input type="checkbox"/>
04:00	<input type="text"/>		16:00	15	<input type="checkbox"/>
05:00	<input type="text"/>		17:00	15	<input type="checkbox"/>
06:00	<input type="text"/>		18:00	15	<input type="checkbox"/>
07:00	<input type="text"/>		19:00	15	<input type="checkbox"/>
08:00	15	<input type="checkbox"/>	20:00	15	<input type="checkbox"/>
09:00	15	<input type="checkbox"/>	21:00	15	<input type="checkbox"/>
10:00	15	<input type="checkbox"/>	22:00	15	<input type="checkbox"/>
11:00	15	<input type="checkbox"/>	23:00	15	<input type="checkbox"/>
12:00	15	<input type="checkbox"/>	24:00	<input type="text"/>	

2. Select the date using the **Date** drop-down list box, ellipsis button , or arrow lists <<>>.
3. Click the **Helper** command button at the bottom of the Schedules data block to edit the hours of the transaction in the **From Hour Ending** or **To Hour Ending** fields. Enter a desirable MW amount in the **New Amount** field. Click the **Apply** button. Click the **Close** button to close the Schedule Helper dialog box. Or, edit the individual MW amounts of the Schedule.
4. If the **Conf** column check boxes are available and you agree on the MW amounts submitted by Other Party, click on the **Confirm All** button to acknowledge the

- transaction, or check individual **Conf** check boxes to acknowledge the MW amounts that you agree upon.
5. Click the **Reset** button if you wish to restore the original Schedule state.
  6. From the Schedules data block on the right side of the page, click **Submit**.
- Note:** You must click the Submit button for the MW amounts to be entered into the database.
7. When the confirmation message “Schedule changed” displays, click **OK**.

The **Conf** column in the Schedules data block will display an “N” (No) and the edited MW amounts will not be in effect until the opposite party confirms the schedule. Then a “Y” (Yes) will display in the Confirm column. “Contract Only” schedule edits do not need to be confirmed by the other party.

**To edit a schedule (ICAP):**

1. From the Editing Contract web page, select the appropriate transaction in the **Contract ID** column of the Transactions List data block. The transaction's schedule will display in the Schedules data block on the right side of the web page.

Viewing Schedules...		
Contract:2210		
Schedules		
Month	Mw Amount	Confirm
July	<input type="text" value="70"/>	<input type="checkbox"/>
August	<input type="text" value="80"/>	<input type="checkbox"/>
September	<input type="text"/>	N
October	<input type="text"/>	N
November	<input type="text"/>	N

Reset    Submit    ConfirmAll

2. Enter the total MW amount for each month in the **Mw Amount** text box.
3. If the **Confirm** column check boxes are available and you agree on the MW amounts submitted by Other Party, click on the **Confirm All** button to acknowledge the transaction, or check individual **Confirm** check boxes to acknowledge the MW amounts that you agree upon.
4. Click the **Reset** button if you wish to restore the original Schedule state.
5. Click the **Submit** button. When the “Schedule changed” confirmation message displays, click **OK**.

The **Confirm** column in the Schedules data block will display an “N” (No) and the edited MW amounts will not be in effect until the opposite party confirms the schedule. Then a “Y” (Yes) will display in the Confirm column. “Contract Only” schedule edits do not need to be confirmed by the other party.

## Searching for Pending IBTs and Schedules

### To search for pending contracts that you need to confirm:

1. Click the **Search Contract** command button in the Search Contract web page.
2. Select the **Contract Status** check box.
3. Click the **Pending By User** option button.
4. Click the **Find** command button.

As a result, all IBTs that you need to confirm will display in the Contracts List data block. Proceed to the next step

5. Select the number under **Contract ID** in the Contracts List to confirm the transaction.

### To search for pending schedules that you need to confirm:

1. Click the **Search Contract** command button in the Search Contract web page.
2. Select the **Contract Status** check box. Click the **Confirmed All** option button.
3. Select the **Schedule Status** check box. Click the **Pending By User** option button.
4. Click the **Find** command button.

As a result, all IBTs that you need to confirm Schedules for will display in the Contracts List data block. Proceed to the next step

5. Select the number under **Contract ID** in the Contracts List to confirm the transaction schedule.

## Confirming Contracts and Schedules

Contract skeleton data must be confirmed before a schedule can be confirmed.

### Confirming Contracts

#### To confirm a contract:

1. Select the number of the transaction you are interested in from the **Contract ID** column in the Contracts List data block.
2. Select the **Confirm** check box in the Editing Contract data block.
3. Click the **Submit** command button in the Editing Contract block.

### Confirming Schedules

#### To confirm a schedule (except ICAP):

1. Select the number of the transaction you are interested in from the **Contract ID** column in the Contracts List data block.
2. Select the appropriate **Conf** check boxes next to each MW amount in the Schedules data block. Or, click the **Confirm All** button at the bottom of the Schedules data block to confirm all schedules. If needed, correct the MW amount by typing the correct number in the **MW Amount** text box.
3. Click the **Submit** button in the Schedules data block.

#### To confirm an ICAP schedule:

1. Select the number of the transaction you are interested in from the **Contract ID** column in the Contracts List data block.
2. Select the appropriate **Confirm** check boxes next to each monthly MW amount in the Schedules data block. Or, click the **Confirm All** button at the bottom of the data block to confirm all schedules. If needed, correct the MW amount by typing the correct number in the **MW Amount** text box.
3. Click the **Submit** button in the Schedules data block.