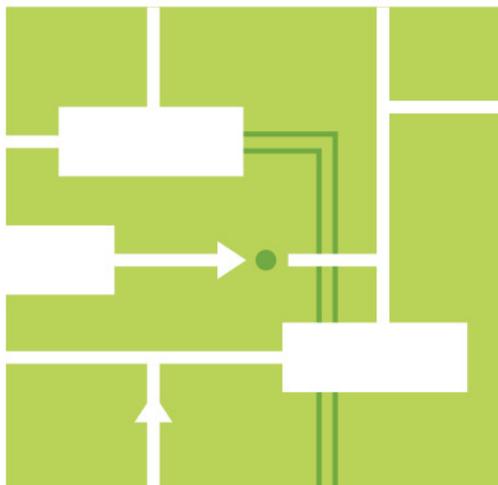
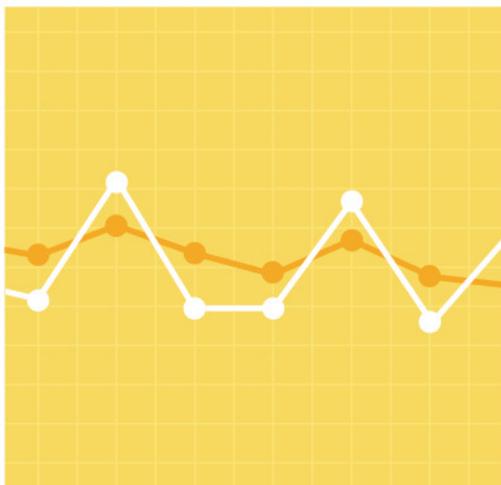




# User Guide for the Forward Capacity Market Annual Reconfiguration Transactions

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Monthly Market Operations

ISO-NE PUBLIC



## Important Notice

- This User Guide is provided as a service to facilitate participation in the Annual Reconfiguration Transactions (ART). ISO New England's (The ISO) administration of the ART contracts is governed by the Transmission, Markets and Services Tariff (the "Tariff") as filed with the Federal Energy Regulatory Commission. The ISO endeavors to ensure that the information in this User Guide is accurate, but in the event of any inconsistency between this User Guide and the Tariff, the Tariff shall govern. Furthermore, this User Guide does not address all of the issues and requirements associated with participation in the Annual Reconfiguration Transactions. For these reasons, it is important that any party participating in an ART carefully review the relevant portions of the Tariff.
- Examples in this User Guide do not constitute advice to participants.
- Each participant to an ART contract is responsible for assessing the reliability and relevance of any information provided in the User Guide and/or in the Forward Capacity Market Annual Reconfiguration Transactions User Interface.

# Preface

## *Purpose*

This user guide is designed to serve as the reference document for participating in Annual Reconfiguration Transactions associated with the Forward Capacity Market (FCM) in ISO New England (ISO-NE). The document introduces the functionality and the structure of the application. In most instances, screen captures have been used to illustrate the explanations.

## *Assumptions*

An assumption has been made that the reader is familiar with using applications and navigation. The ART participant should have a comprehensive understanding of the ISO-NE Market Rule, Manuals and other governing documents in order to properly use this User Guide in the conduct of ART Contracts such that the ARTs Contract participant may complete desired business transactions.

*Change Summary*

<b>Revision</b>	<b>Date</b>	<b>Comments</b>
Version 1.0	April 30, 2019	Initial release
Version 2.0	March 29, 2022	Updated for NCC Trading FA

# Contents

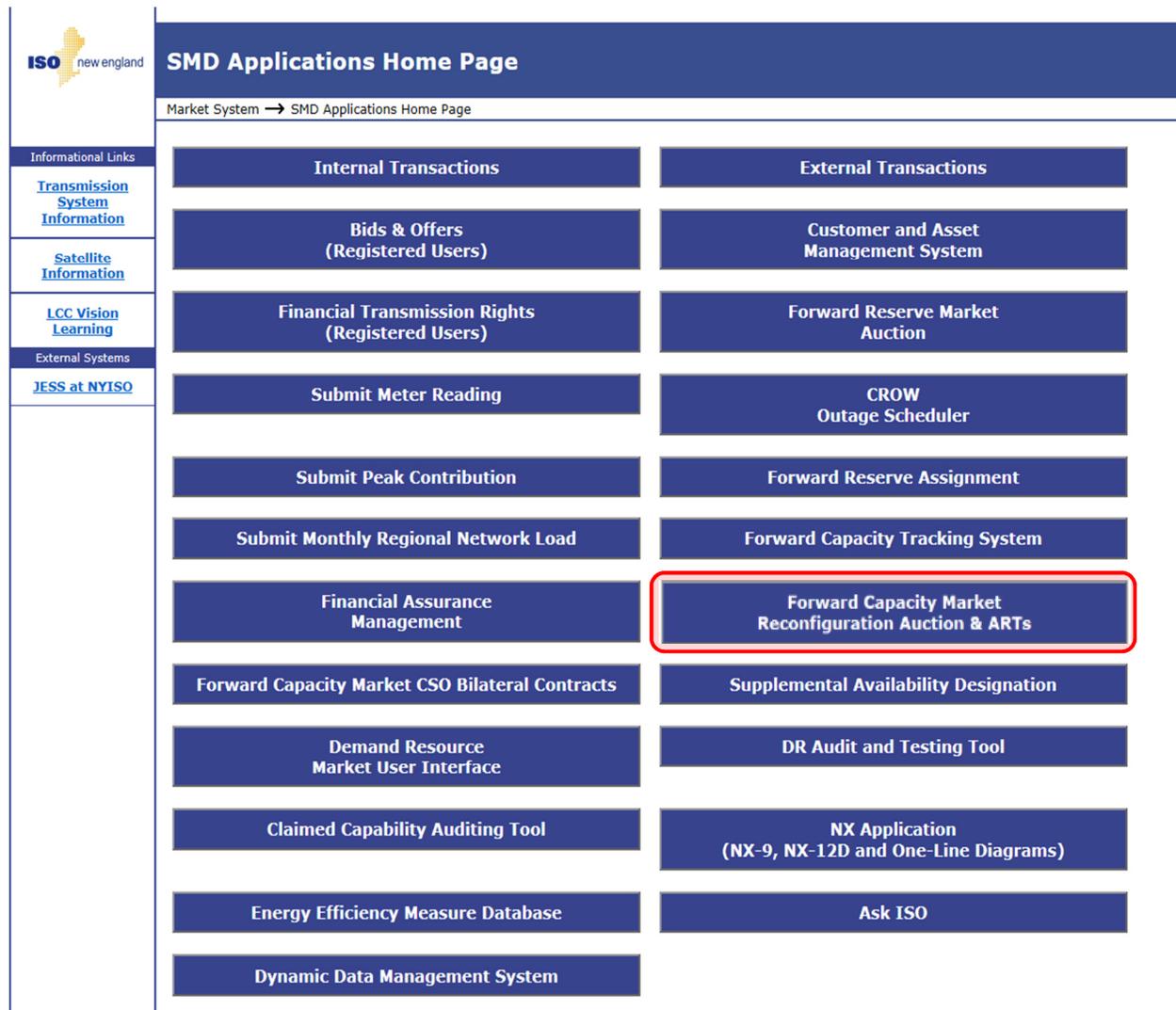
- Important Notice ..... ii**
- Preface ..... iii**
  - Purpose ..... iii*
  - Assumptions ..... iii*
  - Change Summary ..... iv*
- Contents ..... v**
- Introduction ..... 6**
- Accessing the Forward Capacity Market Annual Reconfiguration Transactions User Interface ..... 7**
  - Figure 1: SMD Applications Home Page ..... 7
- Submitting an ART ..... 8**
  - Figure 2: FCM RA ART Summary Tab ..... 8
  - Figure 3: FCM ART Resource ART Summary Tab ..... 9
  - Figure 4.1: ART Addition Screen (Submitting Type is Acquiring) ..... 10
  - Figure 4.2: ART Addition Screen (Submitting Type is Transferring) ..... 11
  - Figure 5: ART Addition Confirmation Popup Window ..... 12
  - Figure 6: ART Addition Confirmation; ART Summary Tab ..... 13
  - Figure 7: Counterparty Confirmation; ART Summary ..... 14
  - Figure 8.1: ART Confirmation Screen (Confirming Type is Transferring) ..... 15
  - Figure 8.2: ART Confirmation Screen (Confirming Type is Acquiring) ..... 16
  - Figure 9: ART Confirmation Popup Window ..... 17
  - Figure 10: ART Confirmation; ART Summary Tab ..... 18
- Withdrawing an ART ..... 19**
  - Figure 11: Submitter ART Summary Tab ..... 19
  - Figure 12: ART Withdrawal Confirmation ..... 19
  - Figure 13: Confirming Withdrawal ..... 20
  - Figure 14: Withdrawal Success Message ..... 20

## Introduction

Annual Reconfiguration Transactions (ARTs) allow participants to enter a price fixing mechanism concurrent with entering a bid or offer in an Annual Reconfiguration Auction (ARA). Prior to ARA window open, participants may provisionally submit ART contracts. ART Contracts may be rejected based on inadequate financial assurance or reliability impact of associated bid or offer in the ARA.

# Accessing the Forward Capacity Market Annual Reconfiguration Transactions User Interface

Figure 1: SMD Applications Home Page



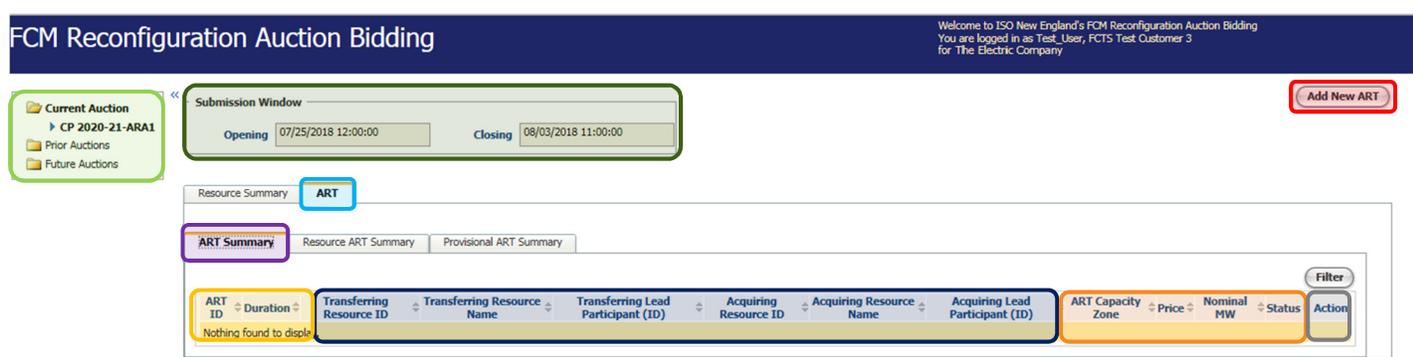
ARTs are accessed through the **Forward Capacity Market Reconfiguration Auction & ARTs** User Interface.

A digital certificate is required to access the system. The participant’s security administrator must request one of the following roles based on the individuals expected activities:

- *FCM Reconfiguration Auction Bidding/External Viewer – Read only access to FCM RA application allows user to review auction data.*
- *FCM Reconfiguration Auction Bidding/External Maintainer – Read/write access to FCM RA application allows user to submit bids and offers.*

# Submitting an ART

Figure 2: FCM RA ART Summary Tab



ARTs are accessed through the **ART Tab** of the FCM RA Bidding screen.

ARTs for the current auction, future auctions, and by resource can be viewed through the **ART Summary** tabs.

The **ART Summary** and **Provisional ART Summary** Tabs provides the user with the following information:

- **Auction Selection** – Navigate between current and previous auctions.
- **Bidding Window** – provides opening and closing date and time for the current reconfiguration auction.
- **ART ID and Duration**
- **Resource and Participant Name and ID**
- **ART Capacity Zone, Price, MW, and Status**
- **Action** – displays buttons if any actions can/need to be taken for the contract.
- **Add New Art** button - navigates user to the ART addition screen during open ARA/ART windows. If there is no open ARA/ART window, the button will allow the user to submit a provisional ART.

Figure 3: FCM ART Resource ART Summary Tab

FCM Reconfiguration Auction Bidding

Welcome to ISO New England's FCM Reconfiguration Auction Bidding  
You are logged in as Test\_User, FCTS Test Customer 3  
for The Electric Company

Current Auction  
CP 2020-21-ARA1  
Prior Auctions  
Future Auctions

Submission Window  
Opening: 05/01/2018 00:00:00  
Closing: 09/01/2018 11:00:00

Resource Summary | ART

ART Summary | Resource ART Summary | Provisional ART Summary

31 items found, displaying 1 to 10.

ID	Name	Type	Capacity Zone/Interface	Eligible	Max Transferring Capacity	Confirmed Transferring Nominal MW	Available Transferring Nominal MW	Max Acquiring Capacity	Confirmed Acquiring Nominal MW	Available Acquiring Nominal MW	Active ART
38	Generic EE	Demand Resource	Rest-of-Pool	Yes	70.000		70.000	10.000		10.000	No
12	Generic NEMA EE	Demand Resource	Southeast New England	Yes	531.000		531.000	0.000		0.000	No
34	Generic Power Plant	Generator	Rest-of-Pool	Yes	7.500		7.500	0.000		0.000	No
3	Generic PV	Generator	Rest-of-Pool	Yes	0.000		0.000	0.000		0.000	No
26	Generic SEMA EE	Demand Resource	Southeast New England	Yes	100.000		100.000	0.000		0.000	No

Export to: CSV

The **Resource ART Summary** tab shows ART information for each resource for the Lead Participant.

This screen provides the following information:

- **Resource Name, ID, and Type**
- **Capacity Zone/Interface** – Capacity Zone/Interface where the resource is located.
- **Eligible** – If the resource is eligible or not for an ART contract.
- **Max Transferring and Max Acquiring Capacity Confirmed and Available Nominal MW** – MW maximum, confirmed, and available to be transferred or acquired
- **Active ART** – If the resource has an active ART contract.
- **Add New Art** button - navigates user to the ART Addition screen.

Figure 4.1: ART Addition Screen (Submitting Type is Acquiring)

Welcome to ISO New England's FCM Reconfiguration Auction Bidding  
You are logged in as Test\_User, FCTS Test Customer 3  
for The Electric Company

ART Addition

Commitment Period 2020-21 Auction ARA1

Type\*  Transferring MW  Acquiring MW

Submitting Resource Name (ID)\* Generic EE (38)

ART Capacity Zone\* Rest-of-Pool

Available Nominal MW 10,000

Nominal MW\* 10,000

Price\* 8

Reference ID 123

Comments Up to 4000 Characters allowed.

Confirming Entity Information

Lead Participant Name (ID)\* Generic Electric Company (2)

Submit

The ART Addition screen allows the Lead Participant to submit ART contracts either during an open ARA window or provisionally before the open window.

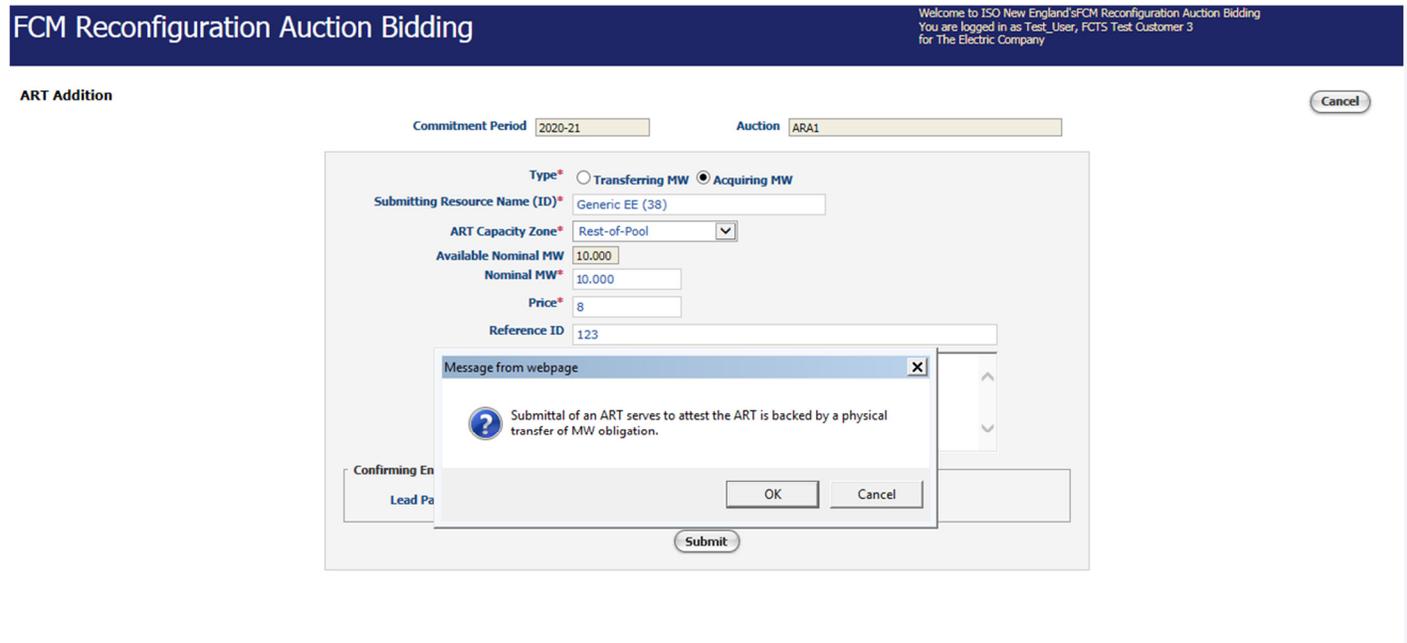
- **Type:** the submitter can either be the transferring entity or the acquiring entity.
- **Submitting Resource Name (ID):** the submitter must select a resource to attribute the ART.
- **ART Capacity Zone:** Capacity Zone for the ART
- **Available Nominal MW:** Nominal MW available to transfer.
- **Nominal MW:** Nominal MW amount selected to transfer via the ART.
- **Price:** price at which Nominal MWs will be transferred.
- **Reference ID:** free form participant submitted value (100 characters allowed) which allows the Lead Participant to create their own reference for the contract. The Reference ID and Comments are specific to each participant.
- **Comments:** free form participant submitted value (4000 characters allowed).
- **Confirming Entity (Lead Participant) ID:** the submitting participant must type in either the Lead Participant ID or Name and select the confirming Lead Participant from the dropdown.

Figure 4.2: ART Addition Screen (Submitting Type is Transferring)

The ART Addition screen allows the Lead Participant to submit ART contracts either during an open ARA window or provisionally before the open window.

- **Type:** the submitter can either be the transferring entity or the acquiring entity.
- **Submitting Resource Name (ID):** the submitter must select a resource to attribute the ART.
- **ART Capacity Zone:** Capacity Zone for the ART
- **Available Nominal MW:** Nominal MW available to transfer.
- **Nominal MW:** Nominal MW amount selected to transfer via the ART.
- **Price:** price at which Nominal MWs will be transferred.
- **Reference ID:** free form participant submitted value (100 characters allowed) which allows the Lead Participant to create their own reference for the contract. The Reference ID and Comments are specific to each participant.
- **Related Side Transaction(s) Exist?:** A related side transaction is any contract or other transaction with another party regarding the pricing of such Annual Reconfiguration Transaction (other than those to be settled by the ISO) that has the effect of decreasing its NCC Trading FA.
- **Acquiring Counterparty an Affiliate?:** The term affiliate is defined as “any person or entity that controls, is controlled by, or is under common control by another person or entity. For purposes of this definition, “control” means the possession, directly or indirectly, of the authority to direct the management or policies of an entity. A voting interest of ten percent or more shall create a rebuttable presumption of control.” [Section 1.2.2 of [the ISO Tariff](#)]  
Transactions between the same lead participant are considered affiliate transactions.
- **Comments:** free form participant submitted value (4000 characters allowed).
- **Confirming Entity (Lead Participant) ID:** the submitting participant must type in either the Lead Participant ID or Name and select the confirming Lead Participant from the dropdown.

**Figure 5: ART Addition Confirmation Popup Window**



After selecting the **Submit button**, a popup window appears with a reminder that the ART will need to be backed by a physical transfer of CSO MW.

For more information on reconfiguration auctions, see the **User Guide for the Forward Capacity Market Reconfiguration Auction** and ISO-NE training material.

**Figure 6: ART Addition Confirmation; ART Summary Tab**

The screenshot displays the 'FCM Reconfiguration Auction Bidding' interface. At the top right, a welcome message states: 'Welcome to ISO New England's FCM Reconfiguration Auction Bidding. You are logged in as Test\_User, FCTS Test Customer 3 for The Electric Company.' On the left, a navigation menu shows 'Current Auction' with a sub-item 'CP 2020-21-ARA1', and 'Prior Auctions' and 'Future Auctions'. The main area features a 'Submission Window' with 'Opening' at 06/01/2018 00:00:00 and 'Closing' at 09/01/2018 11:00:00. Below this is a 'Message' box with a green header containing two bullet points: 'Successfully inserted ART Status to Pending Confirmation' and 'Successfully added new ART with an ART ID of 1006'. The 'ART Summary' tab is active, showing a table with columns: ART ID, Duration, Transferring Resource ID, Transferring Resource Name, Transferring Lead Participant (ID), Acquiring Resource ID, Acquiring Resource Name, Acquiring Lead Participant (ID), ART Capacity Zone, Price, Nominal MW, Status, and Action. A single row is visible for ART ID 1006, with a status of 'Pending Confirmation'. An 'Export to: CSV' link is located at the bottom of the table.

If the ART is submitted correctly, a green **Success Message** will appear confirming that the ART is now Pending Confirmation. If an error has occurred, a red **Error Message** will appear.

**Figure 7: Counterparty Confirmation; ART Summary**

Welcome to ISO New England's FCM Reconfiguration Auction Bidding  
You are logged in as Test\_User, FCTS Test Customer 2  
for Generic Electric Company

Current Auction  
 ▶ CP 2020-21-ARA1  
 Prior Auctions  
 Future Auctions

Submission Window  
 Opening: 06/01/2018 00:00:00  
 Closing: 09/01/2018 11:00:00

Resource Summary | **ART**

ART Summary | Resource ART Summary | Provisional ART Summary

ART ID	Duration	Transferring Resource ID	Transferring Resource Name	Transferring Lead Participant (ID)	Acquiring Resource ID	Acquiring Resource Name	Acquiring Lead Participant (ID)	ART Capacity Zone	Price	Nominal MW	Status	Action
1006	2020-21			Generic Electric Company (2)			The Electric Company (3)	Rest-of-Pool(8500)	8.000	10.000	Pending Confirmation	Confirm Update

Export to: CSV

Once the ART is submitted, the confirming counterparty should access the **ART Summary Tab** using the steps outlined in Figure 2. ARTs must be confirmed by the counterparty Lead Participant, even if the resources party to the ART have the same Lead Participant.

At the **ART Summary Tab**, the counterparty user will see the preliminary ART waiting for confirmation. Use the **Confirm button** to access the **ART Confirmation Screen**.

**Figure 8.1: ART Confirmation Screen (Confirming Type is Transferring)**

FCM Reconfiguration Auction Bidding

Welcome to ISO New England's FCM Reconfiguration Auction Bidding  
You are logged in as Test\_User, FCTS Test Customer (3)  
for Generic Electric Company (2)

ART Confirmation Cancel

Commitment Period	2022-23	Auction	ARA3
ART ID	1086	ART Capacity Zone	Northern New England(8505)
Nominal MW	2,000	Price	1,895

Submission Entity Information

Submission Type: ACQUIRING

Lead Participant: The Electric Company (3)

Confirming Entity Information

Confirmation Type: TRANSFERRING

Lead Participant: Generic Electric Company (2)

Resource\*: Generic Peaker(6)

Available Nominal MW: 11,880

Reference ID: 456

Related Side Transaction(s) Exist?\*: Yes

Acquiring Counterparty an Affiliate?\*: Yes

Comments: Up to 4000 Characters allowed

SUBMIT

Once on the **ART Confirmation Screen**, the confirming participant is able to select the resource the ART will apply to.

The Lead Participant must provide responses to the following (please refer to the definitions provided with figure 4.2):

- **Related Side Transaction(s) Exist?**
- **Acquiring Counterparty an Affiliate?**

The Lead Participant can also use the **Reference ID** and **Comments** fields as illustrated in figures 4.1 and 4.2.

**Figure 8.2: ART Confirmation Screen (Confirming Type is Acquiring)**

FCM Reconfiguration Auction Bidding

Welcome to ISO New England's FCM Reconfiguration Auction Bidding  
You are logged in as Test\_User, FCTS Test Customer(2)  
for The Electric Company (3)

ART Confirmation Cancel

Commitment Period	2022-23	Auction	ARA3
ART ID	1085	ART Capacity Zone	Rest-of-Pool(8500)
Nominal MW	10.000	Price	0.000

**Submission Entity Information**

Submission Type: TRANSFERRING

Lead Participant: Generic Electric Company (2)

**Confirming Entity Information**

Confirmation Type: ACQUIRING

Lead Participant: The Electric Company (3)

Resource\*: Generic EE(38)

Available Nominal MW: 6.559

Reference ID: 123

Comments: Up to 4000 Characters allowed

SUBMIT

Once on the **ART Confirmation Screen**, the confirming participant is able to select the resource the ART will apply to.

The Lead Participant can also use the **Reference ID** and **Comments** fields as illustrated in figures 4.1 and 4.2.

**Figure 9: ART Confirmation Popup Window**

FCM Reconfiguration Auction Bidding

Welcome to ISO New England's FCM Reconfiguration Auction Bidding  
You are logged in as Test User, FCTS Test Customer 2  
for Generic Electric Company

ART Confirmation Cancel

Commitment Period: 2020-21      Auction: ARA1  
ART ID: 1006      ART Capacity Zone: Rest-of-Pool(8500)  
Nominal MW: 10,000      Price: 8,000

Submission Entity Information

Submission Type: ACQUIRING  
Lead Participant: The Electric Company (3)

Confirming Entity:   
Message from webpage

Submit

Message from webpage

Submitment of an ART serves to attest the ART is backed by a physical transfer of MW obligation.

OK      Cancel

Comments: Up to 4000 Characters

After selecting the **Submit button**, a popup window appears with a reminder that the ART will need to be backed by a physical transfer of CSO MW.

For more information on reconfiguration auctions, see the **User Guide for the Forward Capacity Market Reconfiguration Auction** and ISO-NE training material.

**Figure 10: ART Confirmation; ART Summary Tab**

The screenshot displays the 'FCM Reconfiguration Auction Bidding' interface. At the top right, a welcome message reads: 'Welcome to ISO New England's FCM Reconfiguration Auction Bidding. You are logged in as Test\_User, FCT's Test Customer 2 for Generic Electric Company.' A navigation menu on the left includes 'Current Auction', 'CP 2020-21-ARA1', 'Prior Auctions', and 'Future Auctions'. The main area features a 'Submission Window' with 'Opening' at 06/01/2018 00:00:00 and 'Closing' at 09/01/2018 11:00:00. Below this, a green message box states: 'Successfully confirmed ART with an ART ID of 1006'. The 'ART Summary' tab is active, showing a table with the following data:

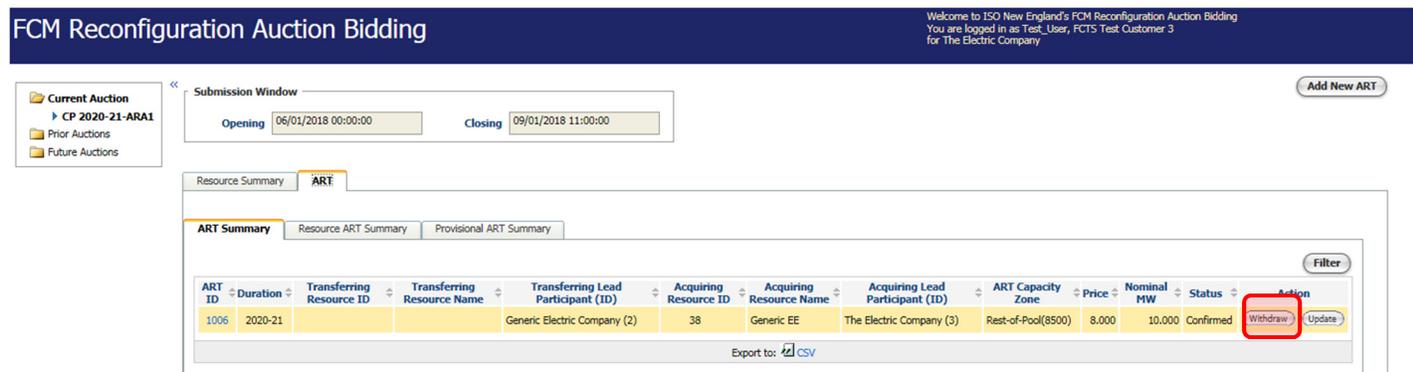
ART ID	Duration	Transferring Resource ID	Transferring Resource Name	Transferring Lead Participant (ID)	Acquiring Resource ID	Acquiring Resource Name	Acquiring Lead Participant (ID)	ART Capacity Zone	Price	Nominal MW	Status	Action
1006	2020-21	6	Generic Peaker	Generic Electric Company (2)			The Electric Company (3)	Rest-of-Pool(8500)	8,000	10,000	Confirmed	Update

An 'Export to: CSV' link is located at the bottom of the table.

Once confirmed, a green **Success Message** will appear confirming that the ART has been confirmed if no issues have occurred. If an error has occurred, a red **Error Message** will appear.

# Withdrawing an ART

Figure 11: Submitter ART Summary Tab

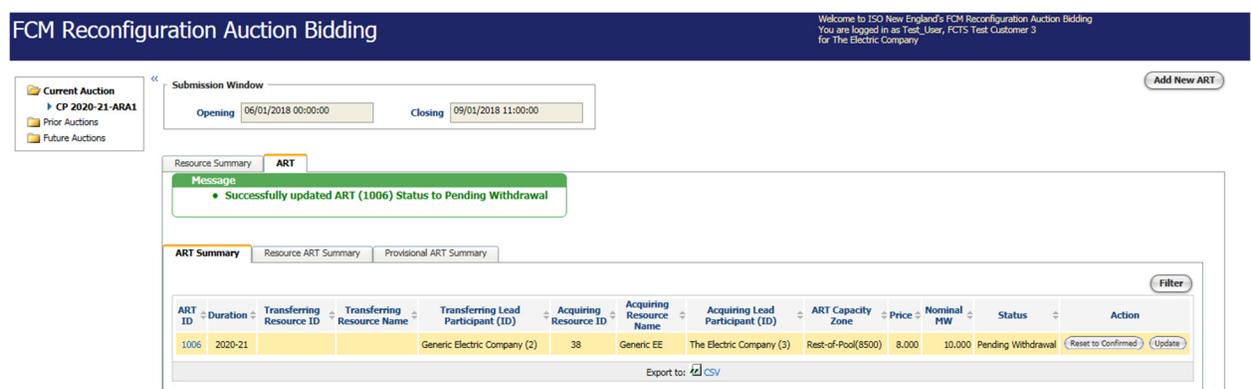


If the ART has not yet been confirmed by the counterparty, the submitting participant can unilaterally withdraw the ART.

If the ART has been confirmed by the counterparty, the withdrawal must be confirmed by both participants.

Clicking the **Withdraw** button will bring up a confirmation pop-up window.

Figure 12: ART Withdrawal Confirmation



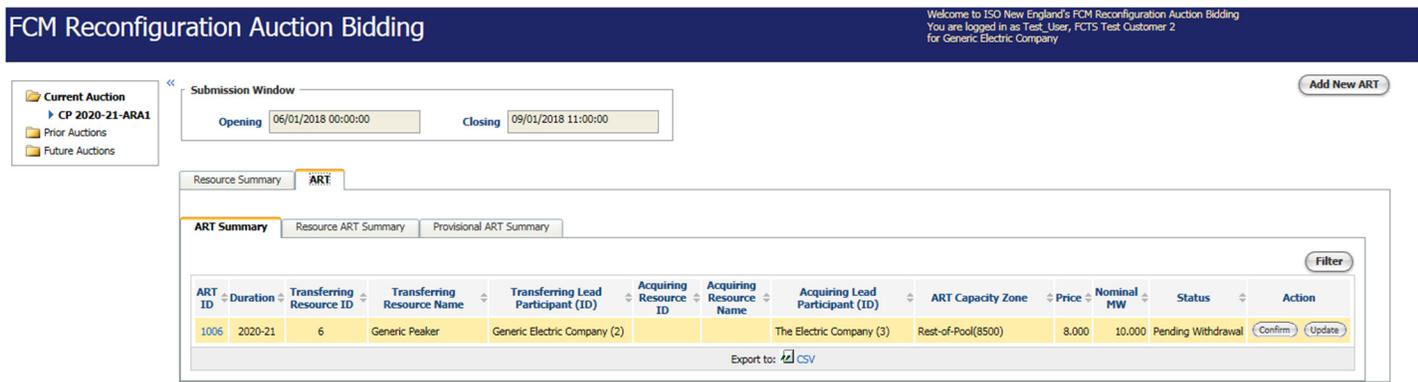
If there are no errors when setting the ART to “Pending Withdrawal”, a green **Success Message** will appear. If an error has occurred, a red **Error Message** will appear.

If the ART is already confirmed, its status will change to “Pending Withdrawal”. If it is not yet confirmed, it will be automatically withdrawn.

Withdrawals of confirmed ARTs must be confirmed by both transferring and acquiring resources. If the transferring and acquiring resources have the same Lead Participant, the ART will be auto-withdrawn upon initiating the withdrawal.

At any time before the withdrawal is confirmed by the counterparty, the submitting participant can reset the ART back to “Confirmed”.

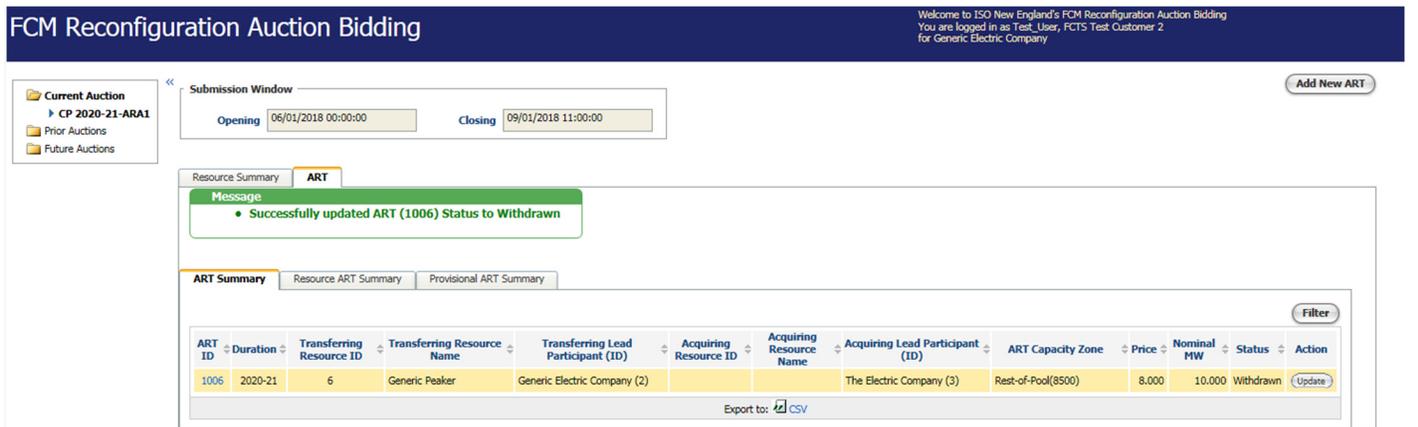
**Figure 13: Confirming Withdrawal**



Once the counterparty logs in, the ART can be withdrawn using the **Confirm** button.

A pop-up window will appear will appear confirming that the **Confirm** button was not clicked in error.

**Figure 14: Withdrawal Success Message**



If there are no errors when withdrawing the ART, a green **Success Message** will appear. If an error has occurred, a red **Error Message** will appear.

At this point the ART is "Withdrawn", and must be resubmitted if the counterparties wish to reenter the ART.