New York Generation Tracking System (NYGATS)
Operating Rules

Version 2.4
June 2, 2023

Summary of Revisions

Date Revised	Description of Revisions
11/30/2017	Sections 1.1; 3.2; 3.2.3.2; 4.4.2; 4.6; 4.8; 4.8.1; 4.8.2; 5.2; 5.11; 6; 6.2; 6.3; 6.4; 7.1; 7.2; 7.3; 7.3.1; 7.3.2; 8.1; 8.3; 9.2; 9.2.5; 10.2; 12.1; 12.1.1; 12.1.2; 12.5; 12.6; 13.1; 14.2; 17. Tables 6.1; 8.1; 8.2; 8.3; 9.4; 11.1; 12.1; 12.2; 13.1; B-1; B-2; Appendix E. Footnotes in Sections 4.1; 4.2; 5.1.1; 5.11; 10.2; 14.2.
04/10/2018	Sections 5.9, 7.3.3, 9.4, 10.2, 10.3, 10.4, 12.1.1, 12.1.2
05/18/2018	Sections 6.2, 7.3.3, 7.3.4, 12.1.1
05/01/2020	Sections 3.2, 4.4, 4.5.2, 4.9.1, 5.1.1, 5.1.2, 5.2, 5.6, 5.7, 5.10, 7.3.3, 8.1, 8.2.2, 8.2.5, 8.3, 8.7, 12, 13.1, 18
06/02/2023	Sections 6.4; 7; 7.3.1; 7.3.3; 9.4; 12.2; 12.3; 12.3.1; 16; Appendix B

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1. Introduction

These rules, as they may be amended from time to time, govern the operation of the New York Generation Attribute Tracking System (NYGATS) by the New York State Energy Research and Development Authority (NYSERDA) and its designated NYGATS Administrator, and the participation in and use of the NYGATS by users. The purpose of this document is to describe how the system is operated, and to delineate the roles, requirements and responsibilities of all parties.

1.1. Overview of the NYGATS

Generator Owners and Load Serving Entities (LSEs), state agencies and other users require a robust and adaptive system that collects and tracks information regarding the characteristics of generation supplied and sold within New York State, while ensuring against double-counting. These characteristics include descriptive information such as fuel or energy resource type, actual emissions profile, generator location, production vintage and whether the generator has been certified as eligible for state programs and private certification programs, as described below. The need for information about generation characteristics is also driven by customer preference in voluntary green markets.

The NYGATS tracks MWh generation information for each individual Generating Unit transacting in the New York Control Area (NYCA) in addition to distributed generators located in New York State not otherwise recognized by the New York Independent System Operator (NYISO) that register as NYGATS Projects. NYGATS creates generator-specific electronic Certificates that identify the relevant Attributes necessary for state agencies and users to satisfy state policies and to substantiate the fulfillment and verification of voluntary green market product claims. Further, by tracking New York-based generator-specific Attributes, tracking generator-specific Attributes of imports from adjacent control areas, and tracking system mix Attributes of spot market imports, the connection between load served in New York and the Attributes of the electric power used to serve that load is maintained.

The NYGATS collects and tracks data supporting information needs for four general categories:

- **New York's Renewable Energy Initiatives**
  The NYGATS provides verification of how New York's renewable energy initiatives, including the Clean Energy Standard (CES) Zero Emissions Credit Requirement (ZECR) and Renewable Energy Standard (RES) programs and the previous Renewable Portfolio Standard (RPS), are being met, while preventing double-counting or double-claiming of Attributes from any Project exclusively registered in the system.

- **Environmental Disclosure Program (EDP)**
  The NYGATS supports the EDP program administered by the New York State Department of Public Service (DPS), through which Load Serving Entities (LSEs) periodically inform their customers of the fuel source, emissions and other characteristics of the electricity resources supplied to them.

- **Support for other programs**
  The NYGATS provides support for Value of Distributed Energy Resources (VDER) component of New York's the Reforming the Energy Vision (REV) initiative. The NYGATS can support other programs should NYSERDA decide to add explicit tracking for these programs to the NYGATS (e.g., Regional Greenhouse Gas Initiative, Environmental Protection Agency (EPA) Clean Power Plan). The NYGATS also provides for the assignment of rights to Attributes from generation sources participating in various other policy support programs.

- **Voluntary Green Power Markets**
  NYGATS provides reporting to support and substantiate claims that suppliers and marketers may make when selling renewable electricity or renewable energy certificates (RECs) to customers through voluntary green power markets.

The NYGATS is an "Unbundled" Certificates-based tracking system, in which the characteristics of the generation (Attributes) are separated from a megawatt-hour (MWh) of energy and recorded onto an electronic Certificate corresponding to each MWh of energy produced. Certificates may be traded "Bundled" with energy, but this is not required by NYGATS which tracks only Certificates. The NYGATS also accounts for imports (and exports) of energy, assigning (or subtracting) the Attributes associated with that energy as appropriate. One Certificate, with a unique serial number, represents the Attributes of each MWh produced in or imported into the New York Control Area. The result is that the Attributes of the energy produced and consumed in New York provide an accurate profile of the energy used to meet New York load. Related operating rules are described in more detail in the sections that follow.

The system collects information on all generating resources settled in NYISO, and any others not recognized by NYISO (such as customer-sited distributed generators) that register for an Account, imports and exports of energy to and from the New York Control Area, and all load served within the New York Control Area. The system also supports the transfer of Certificates to and from Compatible Certificate Tracking Systems, Bundled and Unbundled with energy, for voluntary transactions and other purposes for which such Attributes would be eligible.

The major categories of data included in the NYGATS database include:

- Metered monthly production data from the NYISO associated with generators settled in the NYISO, and production from Other New York Generators according to accepted protocols, load data for each LSE reported monthly into the LSE's Retail EDP Subaccount from the NYISO associated with LSEs in New York, and import/export data between NYISO and neighboring Control Areas.

- Emissions data (primarily sourced from the New York Department of Environmental Conservation (DEC) and the EPA, and supplemented by data from other sources, as available, to improve accuracy or timeliness), Static Data, which consists of descriptive information (such as fuel source, location, state program qualification, etc.) input by the NYGATS Administrator and/or the Generator Owner or Agent.

1.2. Geographic Scope of the System

NYGATS tracks all electricity produced by Generating Units located within the boundaries of New York State, including both Generating Units that are registered with the NYISO and those that are not registered with the NYISO, e.g. grid-connected small-scale distributed generators or behind the meter generators. Generating Units registered in NYGATS are registered as NYGATS Projects. NYGATS also tracks electricity produced by Generating Units that are not physically located in New York State, but whose first point of interconnection to the grid is with a NYISO substation or network distribution or transmission circuit within the New York Control Area. NYGATS does not track generation from systems disconnected from utility transmission or distribution systems, also known as off-grid generation.

1.3. Participation

Participation in the NYGATS is open, at no cost, to any entity that wishes to transact NYGATS Certificates. All New York LSEs with obligations under EDP and CES are required to participate and register for accounts. Any Generator Owner that wishes to be issued Certificates and trade them for a Generating Unit must also open an Account and register the Generating Unit as a NYGATS Project. Those wishing to take title to or transact Certificates must register and open a NYGATS Account.

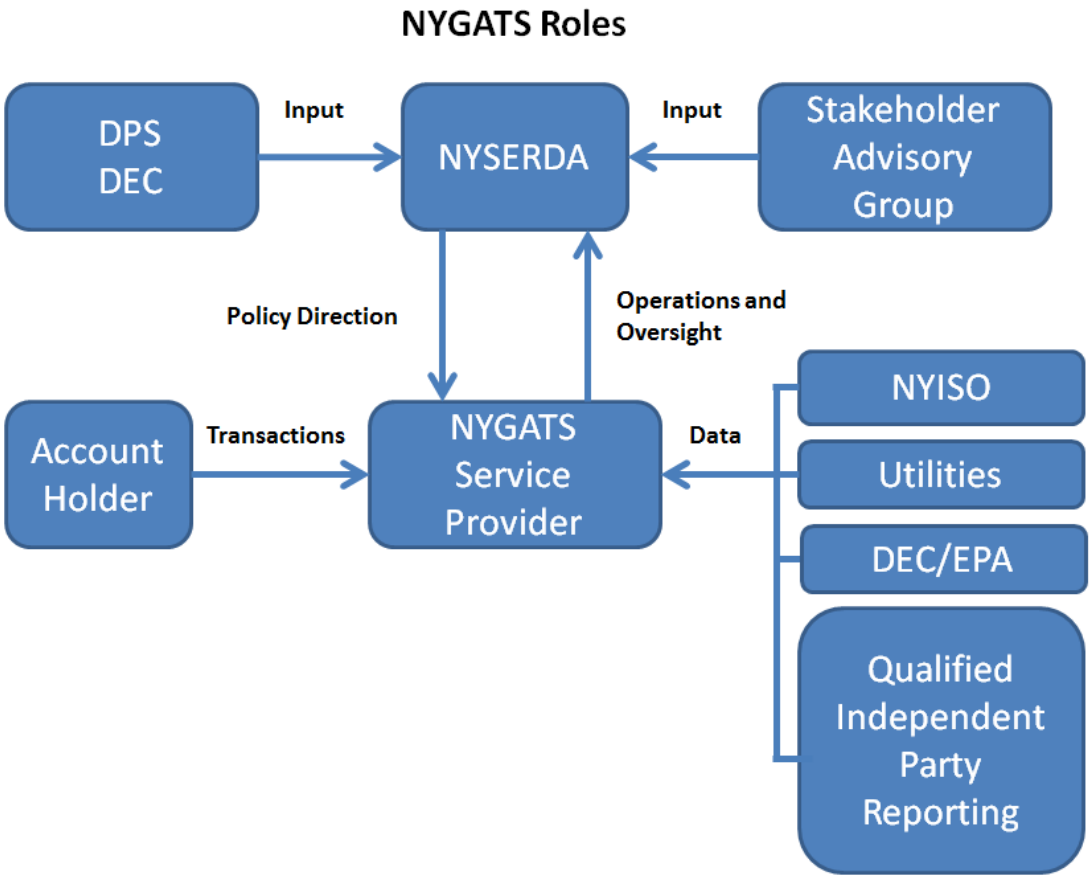
The Account Holder for a registered Project must agree that the NYGATS is the one and only entity issuing Certificates of generation for that Project. If a Project is registered in a tracking system other than the NYGATS, the Account Holder must work with the NYGATS Administrator and the administrator of the other tracking system to terminate the current registration and reregister the Project in the NYGATS. The NYGATS Administrator may require documentation from the other tracking system or the NYGATS Account Holder of the generation data reported outside on the NYGATS.

For NYISO Generators, an Unregistered Generator is not considered a user in the NYGATS. However, the production and associated Attributes for Unregistered Generators will still be tracked by NYGATS because it is necessary for a complete picture of energy consumed in New York. As a default, the NYGATS Administrator will create Certificates for these Unregistered Generating Units, these Certificates will be deposited into the Administrator's Account and will be reflected in Environmental Disclosure Labels.

2. NYGATS Administration

Overall administrative and contracting responsibility for the NYGATS rests with NYSERDA. NYSERDA is responsible for contracting with the service provider for NYGATS operation and maintenance, otherwise known as the NYGATS Administrator. Other entities also have roles to play in the operation of NYGATS, as shown in Figure 2.1.

Figure 2.1 NYGATS Roles



2.1. NYGATS Administrator

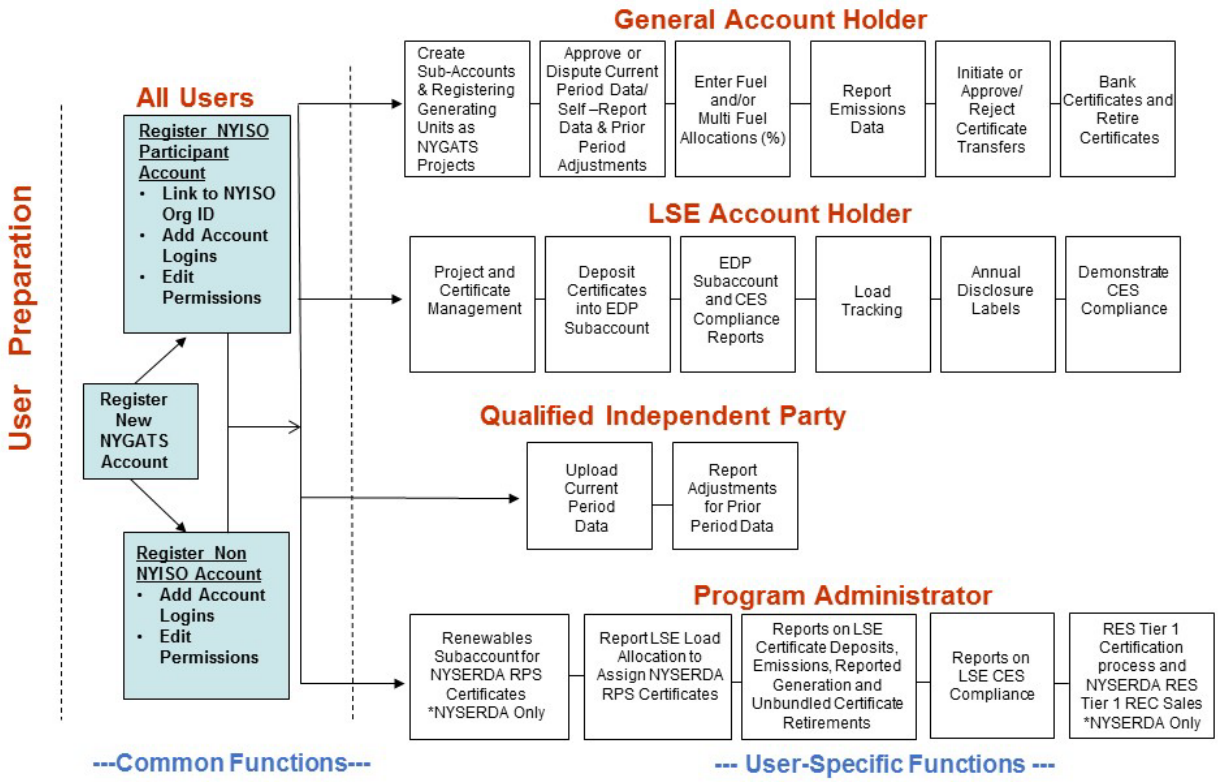
The NYGATS Administrator is responsible for the day-to-day operations of the NYGATS, acting as the primary contact for the NYGATS helpdesk support, assisting Account Holders, and providing technical operations. The NYGATS Administrator will also ensure that security and confidentiality are maintained. The NYGATS Administrator will:

- Be the primary interface for all Account Holders. The NYGATS Administrator will review and manage all customer activity
- Manage the operation of the NYGATS database in accordance with the Operating Rules and Settlement schedule
- Support Account Holders in the NYGATS registration process and in their monthly data entry required before Certificates can be created
- Research any data discrepancies, and verify the required data for claiming Unit-Specific Imports and Exports
- Approve agreements for the import or export of Certificates from or to Compatible Certificate Tracking Systems
- Create the Certificates on a monthly basis at the specified time defined by Section 8.1 of these Operating Rules
- Support Account Holders in Certificate transfers and Subaccount management
- Publish all NYGATS reports (see Appendix E) after the Settlement
- Support regulators or regulatory staff in obtaining their login ID's, accessing the NYGATS, viewing regulator reports, and accessing and updating generator eligibility
- Support voluntary program administrators in verifying Certificate eligibility
- Maintain databases and records in connection with the NYGATS, ensure that the NYGATS database is backed up on a daily basis, and prepare and utilize a NYGATS disaster recovery process
- Maintain the web interface
- Staff a help desk
- Update the NYGATS Operating Rules as deemed necessary by NYSERDA

3. Account Holder Registration

Figure 3.1 provides an overview of the account registration process and Common functions for each account type.

Figure 3.1 Account Overview



3.1. Establishing a NYGATS Account

A NYGATS Account allows an entity to access the functionality of the system, to: (1) receive Certificates; (2) transfer Certificates to another Account; (3) retire Certificates; (4) bank Certificates; or (5) register a Generating Unit for which Certificates are to be created. Any party that registers with the NYGATS and agrees to the NYGATS Terms of Use may establish an Account in the system.

3.2. NYGATS Account Types

There are five types of Accounts in NYGATS:

- **General Account**
  This is the type of Account to be opened by all entities other than LSEs with obligations under CES or EDP or by Qualified Independent Parties. This Account can register and maintain Projects and have Certificates issued to it for its Projects; hold, transfer (outgoing and incoming), and retire Certificates; intake and store application information for Renewable Energy Standard (RES) Tier 1 Operational or Provisional Certification; and store Statement of Qualification data for RES Tier 1 certified Projects.

- **LSE Account**
  LSEs are required to register and open an Account to comply with state policies, such as the EDP and CES. The LSE Account can hold, transfer (outgoing and incoming), and Retire Certificates; register and maintain Projects and have Certificates issued to it for its Projects. LSE Accounts are the only account types that have an EDP Subaccount used to assign certificates to their Load for the Environmental Disclosure Label and to demonstrate compliance with the RES (see Section 7.3 for information on LSE Subaccounts).

- **Program Administrator**
  The Program Administrator Accounts allow state program administrators to review eligibilities, view program-related reports and administer their programs. There are two Program Administrator Account types:
  - *NYSERDA Program Administrator*
    The NYSERDA Program Administrator Account provides NYSERDA access to view NYGATS Project, generation, Certificate, and emissions data and to approve or deny applications for RES Tier 1 operational or provisional certification. This Account can register Projects and receive REC transfers into the Renewables Subaccount.
  - *DPS Program Administrator*
    The DPS Program Administrator Account provides DPS with access to the Project, Certificate, and emissions information necessary to administrate the EDP, VDER, and CES.

- **Qualified Independent Party (QIP) Account**
  An Account Holder with a QIP Account is assigned to a Project and is responsible for verifying generation information for that Project. NYGATS tracks Projects not tracked by the NYISO for which QIPs are approved to provide services, and the NYGATS Administrator ensures that QIPs are suitably qualified and accredited. The QIP Account cannot hold Certificates.

- **NYGATS Administrator**
  The NYGATS Administrator Account provides the Administrator complete access to NYGATS Accounts and Projects for the purpose of administering the day-to-day operations and implementing the Operating Rules.

3.2.1. Account Registration Process

Any person or entity that wants to transact business through the NYGATS must register with the NYGATS to establish an Account. Generating Units that do not wish to transact Certificates need not register and become Account Holders, but the NYGATS Administrator will nevertheless create Certificates for such Generating Units (for which it receives generation data) and deposit them into the NYGATS Administrator's Account to ensure that Certificates are created for all generation.

Registration involves completing all registration forms and signing the Terms of Use Agreement (TOU). All Account Holders will fill out the basic Account registration information, such as Account Holder name, address, and other contact information through an online registration portal. The NYGATS Administrator will review the registration information and ensure the appropriate documentation and online TOU have been completed correctly. After the NYGATS Administrator ensures that this step has been completed, the NYGATS Administrator will then approve the creation of the requested Account. The Account Manager is the primary contact for the Account Holder and has the ability to create additional User IDs for the Account Holder. Appendix A lays out a registration process that Account Holders will follow upon receipt of the registration forms by the NYGATS Administrator.

3.2.2. Login Management

An Account Manager is established as part of the Account registration process. The individual listed in the initial Account application will be considered the Account Manager and have the ability to set up and manage additional logins and login privileges for his or her organization. The Account Manager will have full access to the organization's Account. Login permissions can be designated to allow view-only access to information or to allow activities such as performing transfers and submitting/updating information. Such privileges can also be further attached to specific subaccounts or Generating Units. This provides Account Holders with significant flexibility when assigning logins. Login setup can be done during the Account registration process or at any time the Account Manager wishes to add additional users to the Account. The Account Manager will supply contact information for each login as well as designate the login name and password. NOTE: The NYGATS TOU shall apply to any person who receives access to a Registry Account from an Account Holder or Account Manager.

Once a login is established, NYGATS will send an email to the login contact specified by the Account Manager with details on the individual's login name. The Account Manager is required to communicate the password. Upon logging into the Registry for the first time, the new user will be prompted by the Registry to change his or her password and agree to the terms and conditions. The new user will then be able to perform the functions or view the information per the permissions granted by the Account Manager. The Account Manager or NYGATS Administrator may at any time remove or add permissions to a login by using the account administration screens. The NYGATS My Event Log report tracks and displays all actions performed within the Account by login name and timestamp. Account Managers will have access to the My Event Log report for their Account(s).

3.2.3. NYGATS Login Types

When an Account Holder creates logins for additional users, the Account Holder assigns to each login one of two levels of access specific rights to login:

3.2.3.1. Account Holder – Supervisor

When completing the login profile for a new user, the Account Manager can assign "Account Holder – Supervisor" privileges to a login. The new login will be able to register assets, manage Certificates, and create additional logins, if necessary. The Account Manager can also give this login a subset of these privileges if needed.

3.2.3.2. Account Holder – View Only

When completing the login profile for a new user, the Account Holder can assign the login "Account Holder – View Only" privileges. This provides the login with limited view rights. The Account Manager will then identify the specific subaccounts and Certificates that the login will be able to access and view. QIP Accounts do not have a View Only option.

3.2.4. Login Creation Process

To create a new login, the Account Manager can access the 'Review/Edit/Add Logins' link from their 'Account Management' module to access the 'Login Management' report. Select the 'Add New Login' button to fill out the new login registration screen. The first page of the registration includes contact information, mailing address, and login/password. The second page of the registration includes privilege management where access to subaccounts and Projects can be assigned.

3.2.5. Terminating a NYGATS Account

In general, voluntary termination of an Account may be initiated by the Account Holder by notifying the NYGATS Administrator.

Non-renewable certificates remaining in the Active Subaccount after Account termination will be converted to Residual Mix during the next Settlement. Any Forward Certificate Transfers for future transfer of Certificates will be cancelled after the NYGATS Account is terminated.

If the Account being terminated has a Project(s) associated with it, the Account Holder must either change the Account to which the Project is associated or deregister the Project subject to rules in Section 4.8.1

If there is no activity in an Account for a two-year period (defined as no logins to the Account during that time), the Account will be closed. Prior to termination for inactivity, the NYGATS Administrator will provide written notice by e-mail to the Account Manager that the Account will be closed and give the Account Holder the opportunity to request that the Account remain open. An Account Holder that allows an Account to be terminated may request that the Account be reopened by contacting the NYGATS Administrator.

3.2.6. Tracking Account Modifications

The NYGATS provides an audit trail to track Account modifications, including changes to Generating Units that may be associated with Accounts. This audit trail is to include the date and time of the change, who has made the change, and the type of change.

4. Project Registration

4.1. Registering a Project

Once a NYGATS Account has been established, Account Holders can register their Generating Units as NYGATS Projects. In order to register Generating Units, Account Holders will be required to provide **Static Data** (see Section 4.45, below) related to each such Generating Unit(s). These characteristics will be carried on each Certificate that is issued for each MWh from the Project(s). Appendix B describes the Static Data fields. Certificates will be created and will include additional Attributes associated with **Dynamic Data** (see Section 5, below), which generally consists of metered electricity production data and emissions data. All Certificates created for a Project will be deposited into the Active Subaccount of the Account that is associated with each individual NYGATS Project registration.

Account Holders may register one or more NYGATS Projects with a single Account. LSEs are required to register, and associate with their Accounts, any Generating Units Projects that they own. NYGATS Projects that are jointly owned must designate a lead owner for NYGATS purposes, who shall be the single Account Holder who will control the Account to which the NYGATS Project is registered. All Certificates will be initially deposited in the Account of the designated Account Holder. The NYGATS Administrator will cross-reference the Static Data entered for a Project against Projects currently registered in the system to ensure that duplicate Projects are not listed in the registry.

To ensure that only one Certificate is created for each MWh of generation, Account Holders must confirm that no other tracking system is or will be creating Certificates for any portion of a Project's output, with the exception of Certificates that are created and retired in a Compatible Certificate Tracking System and recreated in the NYGATS as a result of an import.

After registration, Projects will be identified by their NYGATS ID number. For NYISO Generators, the NYGATS ID number will be the same as the NYISO generation point identifier (PTID). For Other New York Generators, the NYGATS will issue a new and unique NYGATS ID number.

4.2. Multi-fuel Projects[1]

A Generating Unit capable of producing energy using more than one fuel type must register with NYGATS as a Multi-fuel Project, if, on an annual basis, it uses more than 2% of total heat input, measured in BTUs, from any source other than the primary source of energy. However, Generating Units that use a single renewable fuel type and no more than 2% fossil fuel annually on a total heat input basis are not required to register as Multi-fuel Projects.

The Account Holder registering the Multi-fuel Project must designate the primary fuel at the time of registration and may change the designation of the primary fuel from time to time with notice to the NYGATS Administrator.

Separate Certificates will be created for each fuel type, and each Certificate issued for a Multi-fuel Project will reflect only one fuel source.

As part of the registration process for a Multi-fuel Project, the Account Holder must provide a report, subject to the review and approval of the NYGATS Administrator, prepared by an independent professional engineer documenting a methodology for calculating the electricity production associated with each fuel during a month.

A Generating Unit that uses biogas supplied by common carrier pipeline in which both biogas and natural gas are commingled must also register as a Multi-fuel Project. Such Projects must also provide additional documentation as described further in Section 5.11 and Appendix C.

4.3. Small Project Aggregation

A group of small Generating Units that are not metered together and do not share the same location but that are located in New York can be registered by the mutual owner or by a Generator Agent as an Aggregated Project in NYGATS under the following conditions:

- The Nameplate Capacity of each Generating Unit is no more than 200 kW;
- The Generating Units being aggregated are located in New York State;
- The Generating Units being aggregated utilize the same technology/fuel type; and
- The aggregated Nameplate Capacity is no more than 1 MW.
- All Aggregated Projects must use a QIP to report generation data (see Section 5).

[1] For those NYISO Generators that have multiple Generating Units aggregating to a single PTID, if the Account Holder representing these Projects in NYGATS will have the ability to register each Project, and have the respective meter data for each Project reported by a QIP. In this case, Account Holders will be required to register all Projects aggregating to the PTID and have all meter data reported by a QIP per the meter data loading requirements set out in these Operating Rules and certificate creation will occur at the individual Projects aggregating to the PTID, rather than at the PTID level itself. See Section 5.11 for more information on reporting multi-fuel generation data.

If the Generating Units being aggregated into one Project became operational in different years, the Aggregated Project will be assigned the oldest operational year. When registering several Generating Units into one Project, the NYGATS Administrator will:

- Collect project level information that is shared across all Generating Units;
- Collect Generating Unit-level registration information for each Generating Unit aggregated in the Aggregated Project; and
- Verify that the total aggregated Nameplate Capacity does not exceed 1 MW; and
- Collect documents demonstrating ownership of each of the Generating Units, or designation of Generator Agent.

4.4. VDER projects

A Generating Unit that is participating in the Value of Distributed Energy Resource tariff can register in NYGATS as a VDER project. The VDER project type in NYGATS can accommodate the situation where a Generating Unit interconnected behind a customer meter, under the Value of DER tariff, (1) has on-site loads, (2) the interconnecting utility has rights to the certificates from electricity exported to the grid, and (3) the on-site owner has rights to certificates for energy generated and consumed on-site. The interconnecting utility account holds the main project registration as a VDER (VDR) project and the on-site owner account holds a partner project record as a VDER on-site (ONS) project. The VDR and ONS projects are recognized by NYGATS as one Generating Unit for which two different Qualified Independent Parties can report generation data. The sum of the reported data is the gross generation from the Generating Unit. Interconnecting utility LSE Accounts have functionality to upload VDER project registrations through a file upload process.

4.5. Static Data

Static Data describe characteristics consisting of the physical Attributes of the Project. See Appendix B for a list of the NYGATS Static Data fields.

Static Data must be provided by Account Holders (the Generator Owners, or Generator Agents), and input to the NYGATS. This input will be provided as part of the initial Registration and subsequent update processes. The data is entered through a secured web portal interface with password protection.

The NYGATS Administrator will ensure that all mandatory Static Data fields are complete. Data fields that are not completed will be flagged to the submitter through an error message, both during the initial Account Registration and during any update process. The Registration or update process will not be completed until all mandatory data have been entered and meet the NYGATS verification criteria.

For Unregistered Generating Units, the NYGATS Administrator will populate the Static Data fields with data from NYISO or from Form EIA-860 (if applicable).

4.5.1. Updating Static Data

After the initial registration with the NYGATS, Static Data for each Project shall be reviewed and updated by the Account Holder annually. All changes to a Generating Unit must be reflected in the Project registration.

The NYGATS shall prompt each Account Holder to review and update Static Data annually, except that:

- Account Holders must notify the NYGATS Administrator of a change in fuel type at a Generating Unit, and the date on which the change occurred, within 30 calendar days from when the change is implemented.

- Account Holders must notify the NYGATS Administrator of a change in EIA plant code or unit code (if the Project is 1 MW or larger and is therefore required to report to EIA), or emissions per MWh due to operational or equipment modifications at a Generating Unit, and the date on which the change occurred, within 90 calendar days from when the change is implemented.

- Account Holders must notify the NYGATS Administrator of a change in Generating Unit ownership, and the date on which the change occurred, within 30 calendar days after the sale closes. A change in ownership must be confirmed by a notarized letter signed by both the seller and the buyer of the Generating Unit, and provided to the NYGATS Administrator. Under the NYGATS TOU, NYGATS will not be liable for depositing Certificates into an Account that no longer represents a Generating Unit if the incorrect deposit occurs as a result of a lack of notification by the buyer and seller of the Generating Unit.

- Changes to generator eligibility for state or other programs must be communicated by the state agency or independent certifier within 30 calendar days after the change occurs.

All Projects must have their Static Data updated at least annually. For NYISO Generators, Static Data will be updated from information received from NYISO. For Other New York Generators, their Static data must be updated by the Account Holder. Updated information will be verified using data from Form EIA-860, other government agencies or independent organizations, or from documentation provided by the Account Holder.

The NYGATS Administrator may audit data using a statistical sample of registered Projects.

The NYGATS will provide an audit trail to track changes to Project Static Data. This audit trail is to include the date and time of the change, who has made the change, and specifically what was changed.

4.5.2. Verification of Static Data Submitted During Project Registration

Static Data reported by the registrant will be verified by comparison to other independent data sources. In the event there is a discrepancy between the information submitted during the on-line registration process and the materials provided to verify the information, the NYGATS Administrator will notify the registrant that the information could not be positively verified. A process of either correcting the registration form, or withdrawing the registration form, or providing proof that the information on the registration form is correct will ensue between the NYGATS Administrator and the registrant until the NYGATS Administrator is satisfied that the information provided meets NYGATS standards for accuracy.

Voluntary data fields, if used, may be completed by the Account Holder at the time of initial Project Registration and verified or updated by the NYGATS Administrator after the unit is approved.

The following verification process shall be used to ensure the integrity of the NYGATS Account information.

- For Projects with a Nameplate Capacity of one megawatt or above, Account Holders will be required to submit to the NYGATS Administrator, at the time of initial Registration, a copy of the most recently filed Form EIA-860 for each Generating Unit. Plant latitude and longitude and heat rate, data which are considered by EIA to be confidential, may be blacked out. If a Project has not yet filed Form EIA-860, it must do so before it can register in NYGATS. Projects may also be required to provide a utility interconnection agreement or utility net metering agreement, if necessary, to verify static data. VDER project static data can be verified using data reported through the DPS Standard Interconnection Requirements (SIR) Inventory Reporting.[2]

- For Projects with a Nameplate Capacity of less than one megawatt, and therefore not required to file Form EIA-860, Account Holders shall either (1) provide to the NYGATS Administrator materials that verify required information about each Project, such as copies of a bill of sale, equipment specifications, building permits or inspections, utility interconnection agreement, project record in the DPS SIR Inventory Reporting, utility net metering agreement, NYSERDA Program documentation, or receipt of utility rebate, or (2) confirm Static Data through a site visit by a Qualified Independent Party.

- For all Registered Projects, verification of generator eligibility for state or private certification programs is the responsibility of the relevant agency or organization. For example, all Registered Projects that wish to have their Certificates applied toward the New York RES Tier 1 obligation must be certified as eligible for the RES Tier 1 by NYSERDA through the certification process described in Section 4.9. NYSERDA will provide the NYGATS Administrator with a list of Projects certified as Tier 1 eligible and the eligibility begin and end dates. If the Account Holder changes or updates any Project Attribute that is critical for determining eligibility (e.g. fuel type), the eligibility marker will be turned off until NYSERDA can re-certify the Project.

[2] Matter Number 13-00205, In the Matter of SIR Inventory, http://www3.dps.ny.gov/W/PSCWeb.nsf/All/286D2C179E9A5A8385257FBF003F1F7E?OpenDocument

As a part of the Registration process, the Account Holder must sign and submit to the NYGATS Administrator an electronic affidavit declaration that the information being provided is true and correct.

4.5.3. Misrepresentation of Static Data/Information

The Project Registration may be revoked for cause, including willful misrepresentation of Static Data. The NYGATS Dispute Resolution Process can be used to address such situations, and the NYGATS will accept no liability for misrepresentation of Project's Static Data. If the Project Registration is revoked, the Project will revert to the status of an Unregistered Generating Unit, and the NYGATS Administrator will no longer issue Certificates to an Account Holder for that Project. Instead, the Administrator will issue Certificates based on publicly available Static Data and deposit them into the Administrator's Account.

4.6. Terminating a Project's Participation in NYGATS

If Generator Owners or Agents want to remove a Project from the NYGATS, they can do so by notifying the NYGATS Administrator. This is known as deregistration or Project termination. Both NYISO Generators and Other New York Generators may be deregistered, but if the Project is a NYISO Generator, its generation will continue to be reported by NYISO and Certificates will be created and placed in the Administrator's Account. Certificates will not continue to be created for deregistered Other New York Generators unless their generation is reported by local distribution companies.

NYGATS will issue Certificates for any generation that occurs prior to the date of Project termination as instructed by the Generator Owner or Agent. Because of the lag between the month of generation and the Certificate Creation Date, this may mean that Certificates will be issued and deposited after the termination date, but only for generation that occurred prior to the termination date. Certificates will be issued for generation that occurred prior to the termination date, but only for Projects whose meter reading is received by the NYGATS Administrator within 60 days after the termination date. No Certificates will be issued for generation that occurs after the termination date. All Certificates, including Prior Period Adjustments will be deposited in the Account that the Project is associated with, unless otherwise specified.

If the Account with which the Project is associated is also closed at the same time as deregistration, the Generator Owner or Agent must also specify the Account into which any remaining Certificates that have not yet been issued should be deposited. Any fractional MWh (i.e. any kWh) remaining at the time of deregistration will be forfeited. NYGATS will not accept Prior Period Adjustments after an Account is closed and a Project has been deregistered.

4.7. Changing the Account with Which a Project is Associated

If the Generator Owner or Agent wants to change the Account to which a Project is associated, they may do so by notifying the NYGATS Administrator. The NYGATS Administrator will verify the transfer with both parties and verify ownership information, if necessary. Certificates from the Project that were created up to the day the Account change takes effect will remain in the Account that the Project was associated with at the time the Certificates were created. When the NYGATS Administrator transfers a Project to a new account, the Project's meter data will also move to the new Account. Any transferred meter data for which Certificates have not been issued, including any fractional generation from prior Certificate issuance events, will have Certificates issued in the new Account. Any adjustments to meter data that are reported after the Project has been transferred will be reported to the new Account with positive adjustments issuing Certificates to the new Account and negative adjustments encumbering future issuances in the new Account.

When changing the Account with which a Project is associated, there cannot be any time where the Project is not associated with an Account. If there is such a lapse, this will be treated as a deregistration/re-registration of the Project instead of a change of Account.

4.8. Assignment of Registration Rights

A Generator Owner may assign the rights to register a Project to an Account Holder other than the Generator Owner. This Assignment of Registration Rights will give the assigned Account Holder, or Generator Agent, full and sole Account management authority over the transactions and activities related to the Project and any Certificates from that Project. A Generator Agent may be the Account Holder for more than one Project.

The NYGATS will require both the Generator Owner and Generator Agent to confirm an Assignment of Registration Rights and to notify the NYGATS Administrator of which party(ies) can initiate a change of registration rights assignment, the date the change will be effective and the date the assignment will be terminated, if there is one.

Registration rights may also be assigned to an entity other than the Generator Owner by a legal or regulatory requirement. If the assignment is required by legal or regulatory mandate, the signature of the Generator Owner may not be needed.

4.8.1. Termination of Registration Rights

The Assignment of Registration Rights to a Generator Agent may be terminated by the Generator Owner or the Generator Agent depending on which was specified as the party that can request a change or revocation during the initial Assignment of Registration Rights. In the request to terminate registration rights, the party terminating the Assignment of Registration Rights must specify a future date at which the assignment will be terminated.

If the Assignment of Registration Rights is revoked, existing Certificates will remain in the Account in which they reside. If a Generator Owner continues to require recognition of Certificates from a Generating Unit, the Generator Owner will be required to reregister the Project with the NYGATS or reassign the Registration Rights again. Any future Certificates will be deposited to the Account associated with that Project at the time the generation occurred.

4.9. RES Tier 1 Eligibility Certification

Once a Project is registered in NYGATS, Account Holders can use NYGATS to submit an application for the Project to be certified as eligible under Tier 1 of the RES component of the New York State CES. RES Tier 1 Operational Certification is necessary for NYGATS to issue RECs that may be used for compliance with the Tier 1 RES obligations and only Projects that have been approved through the RES Tier 1 Operational Certification process will have Tier 1 eligibility indicated on their Certificates, subject to compliance with the RES delivery requirements. Additionally, RES Tier 1 Operational Certification or Provisional Certification is a pre-condition to participate in RES Tier 1 REC procurements offered by NYSERDA.

More detailed information about the requirements for eligibility under Tier 1 of the RES, additional requirements for Importing Projects, as well as complete instructions for completing the Certification application and receiving a determination, can be found in the RES Tier 1 Certification Application Instructions and Eligibility Guidelines, available on NYSERDA's CES Webpage (https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility).

4.9.1. RES Tier 1 Operational Certification

Information accepted for Project Registration in NYGATS is used to pre-populate data fields required for RES Tier 1 Operational Certification. Account Holders applying for Operational Certification for their Project must provide additional data and documentation beyond what is needed for Project Registration. The requirements for Certification vary based on the Project's fuel type, location, and vintage. Projects that deemed eligible will be issued a Statement of Qualification (SoQ) by NYSERDA. Issued SoQs can be found in the Eligibility Applications section of the project management module in NYGATS.

Information submitted during the certification process will determine the portion of the generation from the Project that is eligible under the RES Tier 1 Program of the CES. Certain facilities, for example hydroelectric generation Projects that install upgraded equipment, repowered Projects, or Projects that co-fire qualifying renewable fuel with non-qualifying fuel, will only have a portion of the total generation deemed RES Tier 1 eligible. This eligible percentage is set by Program Administrator and only this percentage of generation will create Certificates with the RES Tier 1 eligible designation.

Generating Units under the VDER tariff in the interconnecting utility LSE Accounts can apply for RES Tier 1 certification as part of the NYGATS project registration process. NYSERDA will review the Tier 1 certification application and make a determination on eligibility. If the Generating Unit is deemed Tier 1 eligible, the NYGATS project registration is simultaneously approved. If the Tier 1 application is rejected, the NYGATS project registration is sent to the Registry Administrator. Tier 1 Certified VDER projects do not receive an SoQ.

4.9.2: RES Tier 1 Provisional Certification

Account Holders developing Projects that are not yet operational can use NYGATS to apply for RES Tier 1 Provisional Certification. Provisional Certification allows a Project to participate in RES Tier 1 REC procurements offered by NYSERDA. To obtain Provisional Certification, the Account Holder must register a proposed Project in NYGATS, then once registered, apply for provisional eligibility under Tier 1 of the RES. Projects that are deemed eligible will be issued a Provisional Statement of Qualification (PSoQ) by NYSERDA. Issued PSoQs can be found in the Eligibility Applications section of the project management module in NYGATS. Once the Project becomes operational, the Account Holder must return to NYGATS to complete the additional required fields for RES Tier 1 Operational Certification for operational facilities and may also amend any information that has changed from the Provisional Certification application. If changes are necessary to an approved Provisional Project, please contact NYSERDA directly at res@nyserda.ny.gov.

5. Dynamic Data

This Section describes the reporting requirements for electricity production data and the acquisition of Emissions Data from Generating Units being issued Certificates by the NYGATS.

5.1. Electricity Production - Classes of Generating Units

Reporting requirements for production data depends on the classification of the generating Unit. Generating Units are classified in the following categories:

5.1.1. Generating Units located in New York

- **NYISO Generators**[3] – Generating Units whose entire Dynamic Data is provided to the NYGATS Administrator from NYISO.
- **New York Small Wholesale Generators** – Generating Units whose Dynamic Data is reported to the NYGATS by a Qualified Independent Party, or may be self-reported (see Self-Reporting Generator).
- **New York Behind-the-Meter Generators** – Generating Units interconnected behind a customer meter, including net metered facilities, whose Dynamic Data is reported to the NYGATS by a Qualified Independent Party, or may be self-reported (see Self-Reporting Generator).
- **New York VDER Generator Also Serving On-Site Loads** – Generating Units interconnected behind a customer meter, under the Value of DER tariff, with on-site loads where the interconnecting utility has rights to the certificates from electricity exported to the grid and the on-site owner has rights to certificates for energy generated and consumed on-site. Dynamic Data is provided by the interconnecting utility's Qualified Independent Party for the metered energy exported to the grid while Dynamic Data for energy metered and consumed on site is reported to the NYGATS by the on-site owner's Qualified Independent Party or may be self-reported (see Self-Reporting Generator).
- **NYISO Generators Also Serving On-Site Loads** – Generating Units interconnected to the transmission system, but with on-site loads other than Station Service drawing service from the Generating Unit before the Control Area's revenue metering point. Dynamic Data is provided to the NYGATS Administrator from the NYISO on a unit-specific basis, while Dynamic Data for energy metered and consumed on site is reported to the NYGATS by a Qualified Independent Party.
- **New York Small Wholesale Generator Also Serving On-Site Loads** – Generating Units interconnected to the distribution system, with on-site loads other than Station Service drawing service from the Generating Unit. Dynamic Data is provided to the NYGATS Administrator by a Qualified Independent Party or may be self-reported (see Self-Reporting Generator).

5.1.2. Generating Units located outside New York

- **External Generators Whose Certificates Are Issued by a Compatible Certificate Tracking System** – Dynamic Data for these Generating Units is reported to the Compatible Certificate Tracking System, and in cases related to Unit-Specific Imports into the New York Control Area, reported to NYGATS by a Qualified Independent Party or by the NYISO if available**.** See section 11.1 Unit Specific Imports of Energy and Attributes.

[3] For those NYISO Generators that have multiple Generating Units aggregating to a single PTID, and if the Account Holder representing these Projects has elected to register an instance of each Project aggregating to the PTID, then it will be required that a QIP report 100% of the meter data from each Project aggregating to the PTID on a monthly basis. Certificate creation will occur at the individual Projects aggregating to the PTID, rather than at the PTID level itself..

- **External Generators That Are Not Registered with Any Tracking System or Registered with A Tracking System Not Deemed Compatible** – Dynamic Data for these Generating Units is reported by a Qualified Independent Party or by NYISO if available.

An overview of the data sources for each type of Generating Unit is provided in Table 5.1.

Table 5.1 Data Sources by Type of Generating Unit

Type of Generator	New York Control Area?	NYISO Generator?	Where Certificates First Created	Generating Unit Static Data Source	Generating Unit Dynamic Data Source
NYISO Generator	Yes	Yes	NYGATS	NYISO for Unregistered Generating Unit; User Entered	NYISO
New York Small Wholesale Generator	Yes	No	NYGATS	User Entered	QIP or self-reported if below size threshold
New York Behind-the-Meter Generator	Yes	No	NYGATS	User Entered	QIP or self-reported if below size threshold
New York VDER Generator Also Serving On-Site Loads	Yes	No	NYGATS	User Entered	Interconnecting utility and QIP or self-reported if below size threshold
NYISO Generators Also Serving On-site Loads	Yes	Yes-part No-part	NYGATS	User Entered	NYISO and QIP or self-reported if below size threshold
New York Small Wholesale Generators Also Serving On-site Loads	Yes	No	NYGATS	User Entered	QIP or self-reported if below size threshold

Type of Generator	New York Control Area?	NYISO Generator?	Where Certificates First Created	Generating Unit Static Data Source	Generating Unit Dynamic Data Source
External Generator—Certificates Issued by Compatible System	No	No	Compatible Certificate Tracking System	Compatible Certificate Tracking System	QIP or NYISO if energy is Compatible Certificate Tracking System; if Unbundled Certificate transfer, Dynamic Data need not be reported to NYGATS
External Generator—Certificates Issued by NYGATS	No	No	NYGATS	User Entered	Other Control Area to NYGATS or QIP

5.2. Generation Data Requirements

NYGATS Certificates may be issued for any energy production serving a load that otherwise would have been served by the grid if not for the Generating Unit. NYGATS will not create Certificates for energy supplying Station Service.

For NYISO Generators and that part of output from NYISO Generators Also Serving On-Site Loads that is reported to NYISO, generation data used to produce NYGATS Certificates must be provided from NYISO.

For New York VDER Generators where under the Value of DER tariff the interconnecting utility has rights to the certificates from electricity exported to the grid and the on-site owner has rights to certificates for energy generated and consumed on-site, the generation data used to produce NYGATS certificates for the portion of the output that is exported to grid must be provided by the interconnecting utility's QIP.

For New York Small Wholesale Generators, New York Behind-the-Meter Generators, New York Small Wholesale Generators Also Serving On-Site Loads, and that part of the output from NYISO Generators Also Serving On-Site Loads not reported to NYISO, and that part of the output from New York VDER Generators Also Serving On-Site Loads not reported by the interconnecting utility, generation data used to produce NYGATS Certificates must be provided by a Qualified Independent Party, or may be self-reported if it qualifies as a Self-Reporting Generator, subject to requirements described in Section 5.8.

For External Generators Whose Certificates Are Issued by a Compatible Certificate Tracking System, generation data must be provided by a QIP if it is also a Unit-Specific Import. If Certificates without accompanying energy are being transferred to NYGATS, then Dynamic Data need not be reported to NYGATS.

For External Generators That Are Not Registered with Any Compatible Certificate Tracking System, the NYGATS will issue Unit-Specific Import Certificates to the importing Account Holder under certain conditions: (1) the issuance of Unit-Specific Certificates must be accompanied by an import of energy; (2) the owner or agent of the External Generator must provide, on a per-contract basis, but no less frequently than annually, an attestation that the Attributes have not been and will not be sold, claimed or represented as part of energy sold elsewhere (the NYGATS Administrator will provide an attestation form for the purpose); (3) the exporting Control Area must show annually a calculation of Residual Mix that excludes the Attributes exported to New York; and (4) the exporting Control Area must show evidence of progress towards adopting a Certificate tracking system for a more general solution to the otherwise-existing concern about double counting.

Note that external generators who participate in any request for proposals or other RES procurement and receive an award must comply with any delivery requirement that may be stated in the request for proposals or any resulting agreement. Those requirements may require actions and documentation beyond what is stated in these Operating Rules.

For Other New York Generators also serving on-site loads (except for New York Behind-the-Meter Generators with a capacity less than or equal to 200 kW), the original data source for reporting total energy production must be from Revenue-Quality Metering at the AC output of an inverter, adjusted to reflect the energy delivered into either the transmission or distribution grid at the interconnecting transmission or distribution voltage. In the absence of a meter measuring production as described above (i.e. if there is no meter at the inverter), the original data source for reporting total energy production must be from Revenue-Quality Metering placed to measure only the hourly positive generation flowing to the distribution system, adjusted to reflect the energy delivered into either the transmission or distribution grid at the high side of the transformer or equivalent. If the customer-sited distributed generator uses all of the energy produced on site, then no adjustment for transformer losses is needed.

For New York Behind-the-Meter Generators with a capacity less than or equal to 200 kW, the Generating Unit must satisfy the metering requirements as specified by NYSERDA in its financial incentive programs, described below in Section 5.3.

5.3. Revenue Metering Standards

For NYISO Generators and all External Generators, a Revenue-Quality Meter is any meter accepted by NYISO for settlements. Project data must be electronically collected by a meter data acquisition system, such as a MV-90 system, or pulse accumulator readings collected by NYISO's energy management system and verified through NYISO's monthly settlements process.

For Other New York Generators (again with the exception of New York Behind-the-Meter Generators with a capacity less than or equal to 200 kW), a Revenue-Quality Meter is one that meets the applicable ANSI C12.20-2014 (+/- 5% rating) standard. For New York Behind-the-Meter Generators with a capacity less than or equal to 200 kW generation data may be accepted from either a hard-wired electric production meter, online monitoring system, inverter display recorded production or other approved method. A hard-wired meter shall have the capability of displaying: (a) instantaneous AC power, and (b) cumulative total AC energy production. Such meter(s) must have a minimum accuracy of 5% and a certificate of compliance from the manufacturer.

5.4. Measurement of Generation and Adjustments

The output from each Generating Unit registered in NYGATS will be measured at the point of interconnection to the transmission or distribution company's grid, or adjusted to reflect the energy delivered into either the transmission or distribution grid at the high side of the transformer if there is one. Losses occurring on the bulk transmission or distribution systems after the metering point are not reflected in the Certificates created.

NYGATS will not create Certificates for that portion of the generation that is used to supply Station Service, and therefore, generation data should also be netted of Station Service supplied from the Generating Unit's side of the point of interconnection.

For New York Behind-the-Meter Generators, New York Small Wholesale Generators Also Serving On-site Loads, and NYISO Generators Also Serving On-site Loads, NYGATS will create Certificates for gross generation adjusted for Station Service. This generation includes electricity consumed on site (not including Station Service) as well as electricity that flows to the grid. To receive Certificates for generation consumed on-site, such Generating Units serving on-site loads must have a meter or approved monitoring system (as described in Section 5.2) that is placed at the AC output of an inverter measuring the total gross generation. In the absence of a meter measuring production as described above (i.e. if there is no meter at the inverter), the original data source for reporting total energy production must be from Revenue-Quality Metering placed to measure only the hourly positive generation flowing to the distribution system.

For New York VDER Generators Also Serving On-Site Loads where under the Value of DER tariff the interconnecting utility has rights to the certificates from electricity exported to the grid and the on-site owner has rights to certificates for energy generated and consumed on-site, NYGATS will create certificates for gross generation. This gross generation is the sum of generation data reported for the VDR project in the interconnecting utility's NYGATS Account and the generation data reported for the ONS project in the on-site project owner's NYGATS Account. To receive Certificates for generation consumed on-site, such Generating Units serving on-site loads must have a meter or approved monitoring system (as described in Section 5.2). Certificates for generation data reported as consumed on site from such Generating Units are created after the interconnecting utility's QIP has reported the exported to grid portion of the electrical output from the Generating Unit.

When registering, New York Behind-the-Meter Generators, New York VDER Generators Also Serving On-Site Loads, New York Small Wholesale Generators Also Serving On-Site Loads, and NYISO Generators Also Serving On-Site Loads must provide evidence to the NYGATS Administrator that metering is in place that is capable of distinguishing between on-site load and Station Service. The NYGATS Administrator will either make an administrative determination that metering can distinguish between on-site load and Station Service, or if such a determination cannot be made, a conservative default fraction of total generation will be deemed to be Station Service and the QIP will adjust the generation for station service accordingly.

If adjustments are needed, due to metering, reporting, error or any other reason, the reporting entity must report the adjustment as soon as possible to the NYGATS Administrator. If Certificates have not yet been created for the original generation amount to which the adjustment applies, the credit or debit will be posted to the Generation Activity Log and will be reflected in the number of Certificates created for that month. If Certificates have already been created, the adjustment will be treated as a Prior Period Adjustment described below in Section 5.5.

5.5. Prior Period Adjustments

Prior Period Adjustments are allowed after data is reported to NYGATS and Certificates are issued. All Account Holders will be made aware that there may be debits and credits in the current period as prior period Settlement-quality data are finalized.

Prior Period Adjustments must be reported to the NYGATS Administrator by the reporting entity. Reporting deadlines are described in Section 8.1.

5.6. Frequency of Data Collection/Meter Reading

Generators tracked by NYISO will be reported by NYISO via file upload provided to the NYGATS Administrator. NYISO generation will be reported on an end-of-month basis.

For New York Small Wholesale Generators, New York Behind the Meter Generators, New York VDER Generators Also Serving On-Site Loads New York Small Wholesale Generators Also Serving On-site Loads, and that part of NYISO Generators Also Serving On-site Loads that is not reported to NYISO, a Qualified Independent Party must transmit generation data to NYGATS on an end-of-month basis.

Energy generation data used in the issuance of NYGATS Certificates for Generating Units with a Nameplate Capacity of 200 kW or smaller may self-report generation data for any month in the reporting year, but may report multiple months of generation on an end-of-year basis. Generating Units with a Nameplate Capacity of 200 kW or smaller that report on an end-of-year basis must report generation for the same calendar year (January – December). See Section 5.8 for additional requirements for self-reporting generators.

5.7. Data Transmittal

Generation data from NYISO Generators and certain External Generators will be automatically reported to NYGATS by NYISO.

Data files submitted by Qualified Independent Parties (QIP) are to be electronically transmitted to NYGATS using a secured protocol and a standard format (the Interface Control Document) specified by the NYGATS Administrator. The data shall reflect, at a minimum, the month and year of the generation, monthly accumulated MWh for each meter ID and the associated meter ID(s) for each resource.

For New York Small Wholesale Generators, New York Behind-the-Meter Generators, New York VDER Generators Also Serving On-Site Loads, New York Small Wholesale Generators Also Serving On-site Loads, and that part of NYISO Generators Also Serving On-site Loads that is not reported to NYISO, a QIP must transmit generation data to NYGATS, unless the Project qualifies as a Self-Reporting Generator.

The NYGATS Administrator has the right to audit Dynamic Data reported by QIPs.

5.8. Special Requirements for Self-Reporting Generators Only

A Self-Reporting Generator must enter actual cumulative meter readings measured in MWh and the date of the meter reading via the Self-Reporting Interface. A Self-Reporting Generator must upload their cumulative meter reading spreadsheets not less than annually (see Section 5.6). The NYGATS Administrator has the right to audit meter reading documentation to ensure reported generation is accurate.

Self-Reporting Projects that do not enter meter readings via the Self-Reporting Interface after 1 year of inactivity will receive a reminder notice from the NYGATS Administrator. Any such Project not entering a cumulative meter reading within 30 days of receipt of such a notice may be deemed inactive by the NYGATS Administrator. The Account Holder will notify the NYGATS Administrator should they wish to reactivate a deactivated Project. The NYGATS Administrator will review the Project Registration and move it back to an Active status

Users of the Self-Reporting Interface will enter data for the fields in Table 5.2 below.

Table 5.2 Minimum Data to Be Entered by Users of the Self-Reporting Interface

Field	Format
Generator ID	Corresponds to a NYGATS Generating Unit ID
Vintage	MM/YYYY
Begin Date	MM/DD/YYYY
End Date	MM/DD/YYYY
MWh	Numerical

When a user logs into the Self-Reporting Interface to report meter readings for the first time, the user will be prompted to fill in all data fields found in Table 5.2. Every subsequent time the user logs in, the system will only ask for the Generator ID, the ending meter reading date and the meter reading amount. The user will be asked to confirm the inputs. Once data is entered and confirmed, the data cannot be changed except by the NYGATS Administrator. Adjustments, if any, will be handled in the same way as described in Section 9.4.

Although Self-Reporting Generators may accumulate fractions of a MWh over a period of multiple months, Certificates will still be created for whole MWh as with all other generation. Any fractional MWh will be rolled forward until sufficient generation is accumulated for the creation of a Certificate. Each time an item is posted to the Generation Activity Log, the Account Holder will be notified electronically.

5.9. Generation Activity Log

Each Generating Unit registered in NYGATS will have a Generation Activity Log associated with it. The Generation Activity Log is an electronic ledger where generation is posted prior to Certificate creation. Each time generation data is received by NYGATS for a particular generation unit, the date and quantity of MWh is posted to the Generation Activity Log. Similarly, adjustments received will be posted likewise.

The status of each entry in the Generation Activity Log will be noted, where the possible values are:

- **NYGATS Loaded:** This label is used for all generation that has been reported to NYGATS and has been logged to the Generation Activity Log but has not yet been accepted (or disputed) by the Account Holder.
- **NYGATS Admin Accepted**: The NYGATS Administrator has accepted the posted generation, but the Certificates have not yet been issued.

- **NYGATS Pending**: The NYGATS Administrator is waiting for the resolution of a situation before the Certificates can be issued. For example, the NYGATS Administrator may be waiting to receive a 'fuel type' allocation from a Multi-fuel Generating Unit or other update from the Account Holder.
- **Account Holder Accepted:** The Account Holder has accepted the posted generation, but the Certificates have not yet been issued.
- **Auto-Accepted:** The Account Holder did not accept or dispute the generation posted within 14 days and the system automatically accepted the generation.
- **Account Holder Disputed:** The Account Holder has disputed the posted amount of generation.
- **NYGATS Admin Disputed:** The NYGATS Administrator has disputed the posted amount of generation.
- **Certificates Issued:** Certificates have been created.

The status of each entry in the Generation Activity Log will be changed by the NYGATS Administrator according to the receipt of information by the NYGATS Administrator regarding the status of the Certificates. On the Creation Date, Certificates will be issued based on the total whole number of MWh on the Generation Activity Log that are marked as follows: "Account Holder Accepted" or "Account Holder Auto-Accepted." Only Certificates that are marked as such will contribute to Certificate creation.

Each time an item is posted to the Generation Activity Log, the Account Holder will be notified electronically. Account Holders will have at least 14 calendar days to accept or dispute any new regular entries to the Generation Activity Log and up to 14 days to accept or dispute adjustments. If the Account Holder does nothing, the NYGATS Loaded data will be automatically accepted after the specified period.

The Generation Activity Log will include the following entries:

- Account Holder's name
- Activity date
- NYGATS Generator ID for associated data posted
- Activity description identifying data submitted, fractional data remaining, Certificates created, etc.
- Reporting period start
- Reporting period end
- MWh of generation reported to NYGATS during the current month
- Fuel type
- Status
- Note (displaying serial numbers or data upload file names)

5.10. Data Validity Check

For all New York Small Wholesale Generators, New York Behind-the-Meter Generators, New York VDER Generators Also Serving On-Site Loads, New York Small Wholesale Generators Also Serving On-site Loads, and NYISO Generators Also Serving On-site Loads, NYGATS will conduct an automatic electricity production data validity check, in order to assure that erroneous and technically infeasible data is not entered into NYGATS. The data validity check will compare reported electricity production to an engineering estimate of maximum potential production, calculated as a function of Nameplate Capacity, typical (or seasonal if available) capacity factor, and duration (time period the generation data covers). For New York VDER Generators Also Serving On-Site Loads the data validity check is performed on the sum of generation data reported for the VDER project in the interconnecting utility's NYGATS Account and the generation data reported for the ONS project in the on-site project owner's NYGATS Account. If data reported exceeds an estimate of technically feasible generation by more than 2%, the NYGATS Administrator will require the Account Holder to submit either settlement reports or meter readings to verify the reported generation. The feasibility calculation in Figure 5.1 shows the relevant validity check.

Figure 5.1 Feasibility Calculation

5.11. Multi-Fuel Generating Units

A multi-fuel Generating Unit is one that is capable of producing energy using more than one Fuel Type, excluding fuels used for start-up (which in any case cannot exceed 2% of the fuel used annually on a total heat input basis). Such facilities must register with NYGATS as a Multi-fuel Project. A Generating Unit (including fuel cells) that uses methane gas supplied by a common carrier pipeline in which both natural gas and biogas is commingled must also register as a Multi-fuel Project. If the relative quantities of electricity production from each fuel cannot be measured or calculated, and verified, the generator is not eligible to register in NYGATS.

For purposes of creating Certificates reflecting the fuel source mix of Multi-fuel Projects, the proportion of Certificates attributable to each fuel source shall be determined by the Account Holder consistent with the following:

- For biomass co-fired with fossil fuels or using fossil fuels for startup or supplemental firing: In each month, the Certificates for each fuel in such Multi-Fuel Project will be created in proportion to the ratio of the net heat content of each fuel consumed to the net heat content of all fuel consumed in that month, adjusted to reflect differential heat rates for different fuels, if applicable.

- Upon registration, all Multi-fuel Projects (except Multi-fuel Projects using multiple fuels from a shared common carrier pipeline) must submit to the NYGATS Administrator a report prepared by a licensed professional engineer containing documentation for measuring and verifying the quantities of each fuel type, the method of determining the net heat content and moisture content of each fuel source, and the heat rate of the generator, if applicable. More details on this requirement are found in Appendix C.
- For biogas commingled with natural gas in a common carrier pipeline, Certificates for each fuel will be created based on the total output of the Generating Unit multiplied by the ratio of the quantity of biogas injected and delivered to the Generating Unit divided by the total pipeline gas consumed by the Generating Unit. See Appendix C for more details.

NYGATS will use total electricity output and the reported fuel allocation to issue fuel-specific Certificates for the electricity output associated with renewable generation. Account Holders with Multi-fuel Projects may be asked by the NYGATS Administrator to produce documentation supporting the indicated electricity output by fuel source. Supporting documentation could include third-party verification reports.

The emissions displayed on each Certificate will be based on an Emissions Protocol, approved by the Department of Environmental Conservation, for attributing specific emissions to each fuel type used by that Multi-fuel Project. Once the Multi-fuel Project has an approved Emissions Protocol, the Account Holder may provide emissions data to the NYGATS by specific fuel type according to its approved Emissions Protocol, and each Certificate issued for that Generating Unit thereafter shall reflect the emissions associated with the fuel type on such Certificate, as reported by such Account Holder. In the absence of an approved Emissions Protocol, each Certificate for a Multi-fuel Project will reflect a default level of emissions which shall be the average actual emissions for that Generating Unit for the month based on all of the fuels used by that Generating Unit during that month.

If a Multi-fuel Project does not provide the NYGATS Administrator with the requisite information for determining the creation of Certificates prior to the Certificate Creation Date each month, all of the Certificates created for said Generating Unit shall be deemed to have the fuel type used by it that has been designated by the Account Holder as the primary fuel type.

Note that Multi-fuel generators and renewable fuel projects who participate in any request for proposals or other RES procurement and receive an award must comply with any reporting requirements that may be stated in the request for proposals or any resulting agreement. Those requirements may require actions and documentation beyond what is stated in these Operating Rules.

5.12. Dynamic Data–Emissions

Certificates will be created using default emission rates initially, based on the latest data available from the either DEC or EPA at the time of Certificate creation. For Multi-fuel Generating Units, the emissions data will reflect the percentage of generation for each fuel type. The Account Holder can review the default emissions and elect to change this during the Account Holder Review Period or annually prior to Settlement. Certificates from imports that are not associated with Registered Generators are assigned the System Mix Emissions for the source Control Area. For all self-reported emissions data, NYGATS will perform an automated data validity check (see Section 5.10), and the NYGATS Administrator reserves the right to audit emissions documentation to ensure reported emissions are accurate.

The DEC and EPA will supply emissions data at the generator level on an annual basis, and the NYGATS will use the most current data available for purpose of the Environmental Disclosure Label. EPA data will also be used for System Mix emissions for imports from external Control Areas.

The following emissions are supplied in total pounds:

- Carbon dioxide
- Nitrogen oxides
- Sulfur dioxide

Other types of emissions may be considered for incorporation into the NYGATS at a future date based on state needs, customer requirements and data availability:

6. NYGATS Account Structure

Each NYGATS Account Holder will be able to organize its Certificates in different types of subaccounts to allow users to perform a number of specific functions described below. Each of these subaccounts will be automatically set up for each NYGATS user depending on the Account type.

In order to perform their responsibilities under State-mandated programs, LSEs accounts have different functionality than the Accounts held by other participants. These additional features are described in Section 7.

NYGATS will support four different subaccount types:

- Active Subaccount
- Banked Subaccount
- Retirement Subaccount
- Bulletin Board Subaccount

Account Holders can transfer Certificates among subaccounts, as described in these rules.

Account Holders can view a listing of Certificates in each subaccount, including the generation characteristics associated with each Certificate or block of Certificates. Account Holders can also create reports on their subaccounts.

Account Holders can perform various functions and transactions within each subaccount type, as described below.

6.1. Active Subaccount

The Active Subaccount is the holding place for all active Certificates that originate from generation delivered into and consumed in New York. Certificates in an Active Subaccount can be transferred at the discretion of the Account Holder.

The Active Subaccount is the first point of deposit for any Certificates resulting from generation reported by NYISO, data from Qualified Independent Parties and Certificates resulting from generation reported through the Self-Reporting Interface. The Active Subaccount may be associated with one or more Generating Units as long as energy from those Generating Units is delivered into New York.

There are five ways that Certificates are **deposited** in the Active Subaccount:

1) Certificates created by the NYGATS for generation from NYISO Generators and energy imported from External Generators.
2) Certificates created by the NYGATS for generation data telemetered consistent with the Interface Control Document by New York Small Wholesale Generators, New York Behind-the-Meter Generators, New York Small Wholesale Generators Also Serving On-site Loads, and part of NYISO Generators Also Serving On-site Loads using a Qualified Independent Party.
3) Certificates created by the NYGATS for generation from New York Small Wholesale Generators, New York Behind-the-Meter Generators, and New York Small Wholesale Generators Also Serving On-site Loads whose generation data is reported to the NYGATS via the Self-Reporting Interface.
4) Certificates created by the NYGATS from Unbundled Certificate imports from a Compatible Certificate Tracking System.
5) Certificates transferred from another Account Holder's Active Subaccount. Both Account Holders must agree to the transfer.

There are four ways to **withdraw or remove** Certificates from the Active Subaccount:

1) Certificates transferred to another Account Holder's Active Subaccount subject to both Account Holders agreeing to the transfer.
2) Certificates transferred to the Account Holder's own Banked Subaccount.
3) Certificates transferred to the Account Holder's own Retirement Subaccount.
4) Non-renewable certificates remaining in an Active Subaccount at Settlement will be automatically removed and included in the Residual Mix and used for Environmental Disclosure Labels.

6.2. Banked Certificate Subaccount

The Banked Certificate Subaccount is the holding place for Certificates initially deposited into the Active Subaccount but which the Account Holder plans to use toward a future retirement and does not wish to be included in the annual Settlement and Residual Mix. Only Certificates that qualify as Renewable may be banked. Banked Certificates may be used for future voluntary or compliance purposes, subject to specific program rules.

All Account Holders are eligible to bank non-RES Tier 1 Renewable Certificates indefinitely for voluntary retirement purposes. Banking rules for RES Tier 1 Certificates are discussed in Section 7.3.

There are two ways that Certificates may be **deposited** in the Banked Subaccount:

1) An Account Holder may transfer Certificates from its own Active Subaccount to its own Banked Subaccount.
2) An Account Holder can transfer Certificates from their Banked Subaccount another Account Holder's Banked Subaccount.

There are three ways to **withdraw or remove** Banked Certificates from a Banked Certificate Subaccount:

1) Banked Certificates may be returned to the Account Holder's Active Subaccount at any time prior to the end of trading associated with the calendar year in which the generation represented by that Banked Certificate was created.
2) Banked Certificates may be transferred to the Account Holder's Retirement Subaccount at any time.
3) Banked Certificates may be transferred to another General Account Holder's Banked Subaccount.

Non-RES Tier 1 Renewable Certificates in a Banked Subaccount as of the annual Settlement will thereafter only be eligible for transfer to another Account Holder's Banked Subaccount or to the Account Holder's Retirement Subaccount for future voluntary retirement, and will not be included on the Environmental Disclosure Label. Prior to Settlement, Certificates can be transferred back to an Active subaccount. Non-RES Tier 1 Banked Certificates have no expiration and will remain active until retired or exported to a compatible tracking system.

6.3. Retirement Subaccount

The Retirement Subaccount tracks Certificates that are retired. Only Certificates that qualify as Renewable may be retired by action of the Account Holder. The Retirement Subaccount may be used to retire Certificates after sale to an end-use customer or for other voluntary reasons as specified below. Certificates in a Retirement Subaccount are excluded from the Residual Mix during the Settlement, will not appear on an LSE's Environmental Disclosure Label, and are not counted towards RES obligations. Certificates may not be transferred out of the Retirement Subaccount.

The Retirement Subaccount is limited to Unbundled Certificates because Bundled Certificates (those associated with the sale of energy) are retired in an LSE's EDP Subaccount (see Section 12.3).

The Account Holder must indicate the purpose for which the Certificate is being retired. Indicating the reason for placing a Certificate in the Retirement Subaccount is a mandatory field located in the Certificate transfer screen. Each reason has a set of retirement details to designate additional information about the retirement. The available reasons for Retirement are shown in Table 6.1.

Table 6.1 Reasons for Unbundled Certificate Retirement

Retirement Reason	Retirement Details	Purpose
Used by the Account Holder for a Green-e Energy Certified Voluntary Market Sale: In order to retire Certificates to substantiate sales made in a given calendar year as "Green-e Energy certified", the party retiring Certificates must have a contract in place with Center for Resource Solutions to make Green-e Energy certified sales in that year of sale.	• Reason – Dropdown of Green-e Reasons ○ Unbundled Certificate • Compliance Period - Dropdown with all Years (≥2015) • Additional Details – Open Text Field to add details on the Retirement	Certificate Retirements for Green-e Voluntary Market program
Beneficial Ownership	• Beneficial Owner – Open Text Field to add identifying information on the Retirement	Certificate Retirement for a third party beneficiary or environmental cause
Other	• Additional Details – Open Text Field to add details on the Retirement	

Certificates can only be withdrawn or removed from a Retirement Subaccount if approved through the Dispute Resolution Process.

6.4. Bulletin Board Subaccount

The NYGATS includes the Bulletin Board Subaccount, where Account Holders may post Certificates available for purchase and where Account Holders may post an interest in purchasing Certificates. The Bulletin Board can be viewed by all Account Holders from the list of public reports. Interested Account Holders can contact the seller or buyer directly using the contact information supplied with each post.

Certificates can be posted to the Bulletin Board by transferring the Certificates from an Active Subaccount into the Account Holder's Bulletin Board Subaccount. Certificates can be removed from the Bulletin Board by transferring the Certificates back to the Active Subaccount. Non-Renewable Energy Certificates remaining in a Bulletin Board Subaccount at Settlement will be automatically removed, added to the Residual Mix, which is then allocated to each LSE based on Load Share, and then deposited in each respective Environmental Disclosure Program (EDP) subaccount for inclusion in the EDP label. Renewable Energy Certificates (RECs) remaining in the Bulletin Board Subaccount will automatically be removed, added to other non-claimed RECs, allocated to each LSE based on Load Share (as part of the NYSERDA Mix) and then deposited in the respective EDP Subaccount for inclusion in the EDP label.

Account Holders can post an interest to purchase Certificates using the Buyers Listing Management report located in their Account Holder Reports. Posts will automatically expire 6 months after being posted. The Account Holder can cancel posts from the report any time before the expiration. The Buyers Listing Management report displays the following fields shown in Table 6.2.

Table 6.2 Bulletin Board Purchase Request Fields

Field	Description	Source of Data
Requestor	Name of the Account Holder Submitting the Request	Account registration
Contact	Name of the Contact Person	Entered in the Account Holder Report Form
Phone	Phone Number of the Contact	Entered in the Account Holder Report Form
Email	Email of the Contact	Entered in the Account Holder Report Form
Quantity	Numeric Field	Entered in the Account Holder Report Form
Price	Currency $XXX.XX	Entered in the Account Holder Report Form
Comments	Open Text Field 250 Characters	Entered in the Account Holder Report Form
Purchase Request Date	Date when Request was Submitted	Date Stamp

7. Program Administrator and LSE Accounts

As is explained in Section 3, in order to perform their responsibilities under State-mandated programs, NYSERDA and DPS, as Program Administrators, and LSEs with obligations under the EDP and CES Programs will hold accounts that differ in functionality from the Accounts held by all other participants.

7.1. NYSERDA Program Administrator Account

The NYSERDA Program Administrator Account will have access to a Renewables Subaccount for use in administering State renewable energy programs (the depository for all RPS Certificates) and to support EDP. At Settlement, all RPS Certificates (not RES Tier 1 Certificates) and RECs swept from Active Subaccounts will be allocated to each LSE EDP Subaccount based on Load Share.

7.2. DPS Program Administrator Account

The DPS Program Administrator Account gives DPS staff access to reports on LSE Certificate deposits into their EDP Subaccount, NYSERDA's Renewables Subaccount, annual settlements, Disclosure labels, and CES compliance reports. The DPS Program Administrator Account will report LSE Load Share (%) that will be used to assign RPS Certificates and RECs swept from Active Subaccounts from NYSERDA's Renewables Subaccount to each LSE's EDP Subaccount.

7.3. LSE Account

LSE Accounts will include Active, Retired, Banked and Bulletin Board Subaccounts as well as an additional EDP Subaccount. A new EDP subaccount is automatically created each year for each LSE PTID when load data is received from the NYISO, typically in January. The EDP Subaccount is automatically named using a combination of the current year and the NYISO abbreviation (LSE PTID) for the retail load served. The LSE account also includes functionality appropriate to the fulfillment of responsibilities under the State-mandated EDP and CES programs.

7.3.1. EDP Subaccount

The EDP Subaccount will hold all of the LSE Certificates for purpose of the RES Tier 1 obligation and EDP programs. Within this Subaccount will be:

- RPS Certificate assignments
- RECs swept from Active Subaccounts
- Certificates associated with Load
- Certificates used for RES Tier 1 compliance purposes.

The LSE Account can optionally assign Certificates in the EDP Subaccount to different retail products. Certificates are assigned to retail products from the Certificate transfer screen. The transfer confirmation screen provides a "Reason" field where the Account Holder can enter their retail product details (i.e. Utility Green Pricing Program or Competitive Green Power Product).

There are multiple ways that Certificates may be **deposited** into an LSE's EDP Subaccount:

1) An LSE Account Holder may transfer Certificates from an Active Subaccount to the EDP Subaccount.
2) An LSE can transfer RES Tier 1 Certificates from a Banked subaccount to the EDP Subaccount
3) Assignment of RPS Certificates and swept RECs from Active subaccounts after the close of the trading period.

Please note that any RECs that are retired in NYGATS and therefore transferred to the Retirement Subaccount as described above CANNOT subsequently be deposited into the EDP subaccount for inclusion in the EDP label.

Certificates deposited in the EDP Subaccount cannot be transferred after the close of the trading period. At Settlement, all Certificates associated with electricity in an LSE's prior year EDP Subaccount (e.g. not the result of an Unbundled Certificate Import) are used for creation of Environmental Disclosure Labels and demonstration of compliance with RES obligations.

Zero Emission Credit (ZEC) Certificates are not eligible to be transferred to Retirement or Banked Subaccounts. LSE ZEC Compliance reporting will capture the total number of ZECs in all Subaccounts prior to Settlement in order to measure compliance with ZEC program obligations.

LSEs will have the ability to access an EDP Subaccount Report displaying the following:

- NYSERDA Certificate assignments
- Total Load
- Certificates included in Environmental Disclosure Label
- The difference between the Load and the Certificates assigned by NYSERDA and Certificates deposited in the Subaccount by the LSE
- Certificates designated by Retail Products for reporting (optional)

7.3.2. Banked Subaccount

LSE Accounts may bank RES Tier 1 Certificates for use in subsequent compliance years. The number RES Tier 1 Certificates an LSE can bank from a vintage year may not exceed sixty percent (60%) of the Certificates needed by the LSE to meet their compliance obligation in that year. Once an LSE's actual load served for the compliance year is available, approximately the following May, then the banking maximums for that year will be established and banking of Tier 1 RECs can occur.

Banked RES Tier 1 Certificates that remain in the Banked Subaccount after 24 months will be automatically transferred into the Active Subaccount. Tier 1 Certificates with a vintage date greater than 24 months from the present month cannot be transferred into the Banked Subaccount and if not used for compliance they will be included in the Residual Mix at the next settlement. RES Tier 1 Certificates in an LSE's Banked Subaccount as of the Annual Settlement will not be included on Environmental Disclosure Labels

7.3.3. CES Compliance Module

The main page of an LSE Account includes summaries of the LSE's current status towards meeting its compliance obligations under the CES. The LSE Tier 1 REC Compliance Summary contains information for the current and previous compliance year (which runs January-December), including LSE Total Load as of the date specified, the LSE's Tier 1 REC Obligation, the current balance of the LSE's Tier 1 RECs, in banked, active, and EDP subaccounts and an indication of the current cost of compliance if achieved by paying an Alternative Compliance Payment (ACP). A record of ACPs made for RES compliance is included in the RES Compliance Report.

The LSE ZEC Compliance Summary contains similar information for the current and previous ZEC compliance year (which runs April-March). The ZEC Compliance Summary includes LSE total load associated with paid invoices, preliminary LSE ZEC Rate, preliminary ZEC Charge associated with paid invoices, final total NY load, final LSE ZEC Rate, final LSE charge, and yearly reconciliation payment which provides an LSE their financial standing at the time of the reconciliation, whether it is a payment to NYSERDA or a refund from NYSERDA.

7.3.4. Ordering Tier 1 RECs From NYSERDA

NYGATS LSE Accounts contain an interface through which an LSE can place an order to purchase Tier 1 RECs from NYSERDA during periodic sale events. LSEs can access this functionality through the NYSERDA Tier 1 RECs hyperlink on the Account Status module of their NYGATS homepage. When an LSE clicks on the hyperlink the Order Tier 1 RECs screen will open. This screen includes information provided in the Compliance Summary, the number of Tier 1 RECs available to the LSE for purchase, and the NYSERDA Tier 1 REC purchase price. When a NYSERDA sale event is open an LSE can enter the number of Tier 1 RECs they would like to purchase from NYSERDA and submit the order to NYSERDA through the interface. NYGATS will notify the LSE billing contact via email when certain activities occur with their order such as when the order is placed or modified. This functionality is only available for purchasing Tier 1 RECs from NYSERDA and not available to other REC sellers.

8. Creation of Certificates

A Certificate created and tracked within NYGATS will represent all of the Attributes of one MWh of generation. Certificates are issued in whole numbers only. Certificates are "whole" Certificates (see the definition of Certificate in Section 16), meaning that none of the Attributes may be split off from the Certificate while it is in circulation in NYGATS. Once a Certificate is created, no changes can be made to that Certificate.

8.1. Frequency of Certificate Creation

All NYGATS Projects can submit generation data and Prior Period Adjustments for the vintage year 30 days prior to the date of the end of Certificate trading associated with the Certificate Vintage, typically June 30th of the next year (i.e. 2016 generation can be loaded 30 days prior to the end of 2016 Certificate trading which occurs at 11:59 pm June 30, 2017). The last possible date to load data for a vintage year will be May 31st of the next year. Historical generation received after Settlement will not be accepted. Generation prior to January 2016 will not be accepted.

Once the generation is received by the NYGATS Administrator and a Data Validity Check (See Section 5.10) is performed, it will post in the Account Holder's "Generation Activity Log" and NYGATS will notify the Account Holder via email that the data has been posted. The posting will be marked "NYGATS Loaded" on the Generation Activity Log. Once the data is accepted by the Account Holder, the generation posting will be marked "Account Holder Accepted." and Certificates will be immediately issued. If the Account Holder takes no action, data in "NYGATS Loaded" status will result in Certificate issuance after 15 days (T2 + 15, where T2 is the day the generation was posted). The exception to this schedule is if the generation data is a "Pending" status due to it failing feasibility or if multi-fuel allocations are required or the interconnecting utility has not yet reported generation data for a VDER Generator Also Serving On-Site Loads. Pending data due to it failing feasibility will not be used to issue Certificates. See Section 8.3 for further information. Pending data due to multi-fuel allocations not being entered will issue Certificates at the annual Settlement using the primary fuel type. See Appendix D for a graphical representation the Certificate Timeline.

The Account Holder must notify the NYGATS Administrator if it believes the generation data recorded on the Generation Activity Log is inaccurate for any reason. The Account Holder may register a dispute any time after the generation is posted and will have 14 calendar days to do so (T2 + 14). While the generation posting dispute is being resolved, the generation posting will be marked "Account Holder Disputed." Pending data due to an Account Holder dispute will not be used to issue Certificates. See Section 8.3 for further information. If the Account Holder does not register a dispute with the NYGATS Administrator, the Certificates will be automatically created 15 days after the day the generation data was posted (T2 + 15).

For New York VDER Generators Also Serving On-Site Loads where under the Value of DER tariff the interconnecting utility has rights to the certificates from electricity exported to the grid and the on-site owner has rights to certificates for energy generated and consumed on-site, certificates will not be created for the generation data reported for the ONS project until after the interconnecting utility's QIP has reported the exported to the grid portion of the electrical output for the VDER project and such data is in an Accepted status. Generation data for the ONS project reported prior to the generation data for the VDR will remain in Pending status until the generation data for the VDER project is loaded and the data validity check is performed.

For Multi-fuel Projects, Certificates will not issue until the Account Holder both accepts the generation data and supplies supporting fuel allocation data. The Account Holder must submit to NYGATS the proportion of energy output to be allocated to each fuel type. Pending data due to multi-fuel allocations not being entered will issue Certificates at the annual Settlement using the primary fuel type. The Account Holder provides the Fuel Type allocation via the "Generation Data Review" screen located in the Account Holder's "Asset Management" module (see Appendix E for a description of the available reports and modules). The fuel allocation information will remain available in NYGATS for audit purposes. Account Holders must retain the work papers demonstrating how they determined the fuel allocation for each reporting period for audit by the NYGATS Administrator.

Generation data from NYISO Generators and all External Generators will be automatically reported to NYGATS by NYISO 7 to 14 days after end of the Generation Month (T1+7-14, where T1 equals the last day of the generation month). Table 8.1 shows a timeline from the month of generation to the Creation Date for data reported from the NYISO.

Table 8.1 Monthly Certificate Creation Timeline for Data from NYISO

Last Day of Generation Month	Data Reported to NYGATS and Verification	Account Holder Review Period	Creation Date
T1	T1+14 Days (T2)	T2+14 Days	T2+15 Days

For New York Small Wholesale Generators, New York Behind-the-Meter Generators, New York Small Wholesale Generators Also Serving On-site Loads, and that part of NYISO Generators Also Serving On-site Loads that is not reported to NYISO, a Qualified Independent Party must transmit generation data to NYGATS, except for Self-Reporting Generators. Table 8.2 shows a timeline from the month of generation to the Creation Date for data reported from a QIP or Self-Reported (see also Appendix D for a more complete Certificate timeline).

Table 8.2 Monthly Certificate Creation Timeline for Data Reported by Qualified Reporting Entity or Self-Reported

Last Day of Generation Month	First Date Available to Report Data to NYGATS and Verification	First Date Available to Report Adjustments	Last Date Available to Report Generation and Adjustments	Account Holder Review Period	Creation Date
T1	T1+1 days	T2+1 days	May 31st of the next year	T2+14 days	T2+15 Days

8.2. Dynamic Data Verification

NYGATS will import Dynamic Data from NYISO between 7 and 14 days after the month of generation ends. This process imports all the needed data, updates the data in the NYGATS and allows the NYGATS Administrator to review and accept the changes. This data includes some Static Data because the Dynamic Data must be associated with specific Account Holders or Generating Units. The following data are imported to the NYGATS:

- **Account Holders** - Based on market participant data from the NYISO, the Account Holder data is updated, and new "placeholder" Account Holders are created for LSEs and newly added Generating Units.
- **Generating Units** - Based on the NYISO data, the Generating Unit is added to NYGATS and associated with the Account Holder who is designated as the Generator Agent. For an existing Generating Unit, data is updated or remains unchanged. Note: Generators not tracked by the NYISO can be registered by Account Holders to their NYGATS Account.
- **Generation** - Generation data is loaded from the NYISO, and from inputs by Qualified Independent Parties and the Self-Reporting Interface.
- **Imported and Exported Energy** – Generation data is loaded from the NYISO for imported and exported energy.
- **Load** –Load served for LSEs is reported by NYISO monthly. NYGATS receives the metered load data available five months after the month in which the load was served.
- **Default Emissions** – Emissions data from DEC and EPA and the fuel type defaults will be input by the NYGATS Administrator.

Note that Multi-fuel generators and renewable fuel projects who participate in any request for proposals or other RES procurement and receive an award must comply with any reporting requirements that may be stated in the request for proposals or any resulting agreement. Those requirements may require actions and documentation beyond what is stated in these Operating Rules.

8.2.1. Account Holders

Each Account Holder in the NYISO is checked against the Account Holders in the NYGATS. If the Account Holder does not exist in the NYGATS, a new "placeholder" Account Holder entry and all associated Generating Units are pulled into the NYGATS. The status for these Generating Units is set to "Extract Only" to ensure that generation data is accounted for even though it is an Unregistered Generating Unit. If this Account Holder subsequently registers in the NYGATS, this "placeholder" Account Holder entry is converted to an active Account Holder entry.

If the Account Holder does exist in the NYGATS, the existing Account Holder entry is checked in the NYGATS for differences from NYISO data. The difference is identified and must be approved by the NYGATS Administrator. The following fields are checked:

- CUSTOMER ID
- CUSTOMER NAME

8.2.2. Generating Units

Each Generating Unit in the NYISO is checked against the Generating Units in the NYGATS. If the Generating Unit does not exist in the NYGATS, a new Unregistered Generating Unit is created with a status of "Approved." No Annual Review Date will be set. The missing Annual Review date will prompt the Account Holder to register with NYGATS or to collect the necessary Static Data for an Unregistered Generating Unit as appropriate. External Generators are an exception to this rule and will not have a new Generating Unit created. The new Generating Unit has the following characteristics pre-populated:

- ASSET ID
- UNIT NAME
- PLANT NAME
- RESPONSIBLE CUSTOMER ID

All new Generating Units, whether registered or unregistered, are reviewed by the NYGATS Administrator and further defined by the Account Holder at the time of registration.

If new or changed Generating Units are identified by the NYGATS, the NYGATS Administrator will request information on emissions data from the EPA or the DEC.

If the Generating Unit does exist in the NYGATS, the existing Generating Unit is checked in the NYGATS for differences from the source systems.

When the ownership of a Generating Unit changes, the NYGATS Administrator will work with the appropriate Account Holders to determine whether this change in ownership should result in a change to the Account Holder with which the Generating Unit is associated. The NYGATS Administrator will take one of the following actions to implement this change.

1. Alter both the Generator Owner and Account Holder to match its new ownership information. This option will change the Generator Owner and move the Generating Unit from one Account Holder to the new Account Holder. The new Account Holder will now have full responsibility for this Generating Unit information and Certificates.
2. Alter the Generator Owner only. This change will assign the Generating Unit to a new owner but the current Account Holder in the NYGATS will continue to control the Generating Unit and its Certificates.

8.2.3. Generation

The generation data that is loaded includes the following:

1. Generation data from the NYISO for NYISO Generators, for that portion of NYISO Generators Also Serving On-site Loads that is reported to NYISO, and for System Power that was imported into New York.
2. Generation from New York Small Wholesale Generators, New York Behind-the-Meter Generators, New York VDER Generators Also Serving On-Site Loads, New York Small Wholesale Generators Also Serving On-site Loads, and that part of NYISO Generators Also Serving On-site Loads that is used on-site, that are telemetering their data to NYGATS via a Qualified Independent Party.

3. Generation from New York Small Wholesale Generators, New York Behind-the-Meter Generators, and New York Small Wholesale Generators Also Serving On-site Loads that are supplying their generation data via the Self-Reporting Interface.
4. Generation from External Generating Units for purposes of validating Unit-Specific Import claims from Compatible Certificate Tracking Systems.
5. Monthly Meter Adjustments (MMA) for past months that are applied to the current month. The NYGATS prevents processing of the adjustments more than once (i.e., adjustments will not be double counted). NYISO adjustments are reported 4 months after the month of generation ends (T1+4 months).

Generation submitted at the end of the month using the Self-Reporting Interface will contain the fields outlined in Table 5.2 in Section 5.8.

Any record that violates one of the validation checks is not loaded and the violations are logged and reported to the NYGATS Administrator.

For Multi-fuel Projects, the generation assigned will reflect the fuel type used by the Project with the highest Emission Factor for carbon dioxide for 100% of the Generating Unit's output. NYGATS will split the generation among the various fuel types per the approved methodology for allocating production for this Multi-fuel Project.

Generation for co-owned generators is assigned to a single, lead owner or Generator Agent designated by the owners at the time of Registration, or as amended later.

Generation from storage technologies that are not reported through NYISO will not be tracked in NYGATS. Utility grade pumped storage generation tracked through NYISO will be tracked as a non-renewable fuel source that is excluded from EDP and Residual Mix.

8.2.4. Imported and Exported Energy

The imported and exported energy data that is loaded includes all energy reported by NYISO as being imported into, or exported out of, the NYISO Control Area, including the following:

- Unit-Specific Imports (i.e., the imported energy that can be tied to an External Generator via the Generator ID). (see Section 11.1)
- Unit-Specific Exports (i.e., the exported energy can be tied to a NYISO Generator via the Generator ID. (see Section 11.3)
- Non-Unit-Specific Imports (i.e., the imported energy that cannot be tied to an External Generator via the Generator ID). (see Section 11.2)
- Emergency energy (i.e., imported energy used for balancing or other NYISO operational needs). (see Section 11.7)
- Prior Period Adjustments for past months that are applied to the current month. The NYGATS prevents processing of the adjustments more than once (i.e., adjustments will not be double counted). Adjustments are only processed back to the start of the NYGATS or a maximum of any month in the calendar year prior to Settlement, whichever is shorter.

8.2.5. Load

The total NY Load for each LSE in NYGATS is the monthly metered load data reported by NYISO, plus load supplied by New York Small Wholesale Generators and load supplied by the electricity exported to the grid from Generating Units participating in the VDER tariff which are both reported by distribution utility companies minus any reported load that serves out-of-state customers. The NYISO load data is received five months after the month in which the load was served and is uploaded into NYGATS monthly from the NYISO. Load supplied by New York Small Wholesale Generators and Generating Units participating in the VDER tariff is received approximately three months after the month in which the load was served and is uploaded into NYGATS monthly. The Load served has losses and adjustments incorporated. Therefore, there is no separate field for losses received from NYISO or processed in the monthly processing. The Load is rounded to the nearest MWh.

Energy used to create storage, such as for pumping (for hydro) or charging (for flywheels or batteries), is not part of the LSE Load because it is an intermediate load not used to serve retail load.

The Load data is available in the LSE's EDP Subaccount Report. Total NY Load is the basis for the LSE and Statewide EDP labels, the calculation of each LSE's ZEC and Tier 1 REC obligations under the CES, and the CES progress reports generated in NYGATS. Total NY Load is used to calculate the allocation of RPS Certificates and RECs swept from Active Subaccounts to each LSE based on their Load Share for all LSEs that have contributed to the RPS program by April 1st. (See Section 12.3.1).

8.2.6. Default Emissions

If an Account Holder does not enter emissions data during the Account Holder review period, Certificates will be created using default emission rates. The system assigns default emissions to all NYGATS Generators based on the following hierarchy:

1st – DEC or EPA unit-specific Emissions (Total pounds)
2nd – EPA fuel type default Emission Factors

Non-Unit-Specific Imports from a Compatible Certificate Tracking System are always assigned the Residual Mix emissions for the source Control Area.

8.3. Account Holder Review Period

Prior to the NYGATS Administrator creating Certificates, the Account Holder will be provided a review period of fourteen (14) calendar days after the data is loaded and assigned a "NYGATS Loaded" status (see Section 5.9 for a description the Data Statuses). During this period, the Account Holder can:

- Review Generating Units, Load and generation.
- Review Emission Factors or default emissions assigned by the system, and make updates as needed.

- Qualified Independent Party can reload generation data and overwrite previously reported data.

Pending data due to it failing feasibility will not issue Certificates and will be cleared from the Generation Activity Log at the annual Settlement if the meter readings are not submitted to the NYGATS Administrator (see Section 5.10). Pending data due to an Account Holder dispute will be cleared from the Generation Activity Log at the annual Settlement if the dispute remains unresolved. The Account Holder has until the generation data reporting deadline to resolve the generation data dispute with their QIP and have the QIP reload the data. Pending data due to multi-fuel allocations not being entered will issue Certificates at the annual Settlement using the primary fuel type. The Account Holder has until the generation data reporting deadline to review their loaded generation and do the following:

- Split the generation for each fuel type in Multi-fuel Projects. For an Unregistered Generating Unit with multiple fuel types, the primary fuel type will be used for all Certificates from that Generating Unit (see Section 5.11).
- Submit meter readings to verify data that has failed feasibility during the Data Validity Check (see Section 5.10).
- Qualified Independent Party can reload generation data and overwrite previously reported data.

Certificates are issued based on metered data. Occasionally there may be debits and credits in the current period as prior period NYISO settlement quality data is finalized. The Account Holder will be able to review the Prior Period Adjustments during the Account Holder review period and must inform the NYGATS Administrator if the adjustment is disputed. Adjustments, either the creation of additional Certificates or the reduction in the number of Certificates created, shall take place in the Account to which the Generating Unit is assigned. If new Certificates are created resulting from an adjustment, the vintage of the Certificates shall reflect the month and year of the generation being adjusted. If Certificates must be debited, fewer Certificates will be created for the current period. After Settlement associated with the Vintage Year, no further adjustments will be accepted by the NYGATS Administrator.

When emissions are entered by the Account Holder, the following rules are applied:

- The default emissions are saved for auditing purposes (i.e., the values entered do not overwrite the default emissions).
- The NYGATS Administrator can review and compare the changed values.
- For Multi-fuel Projects where the NYGATS Administrator has approved the Emissions Protocol, the Emissions Factor can be recorded for each fuel type. Otherwise, the Account Holder will enter the Emissions Factor for the Project based on the total generation and all Certificates will be assigned the same Emission Factor.
- For New York Small Wholesale Generators, New York Behind-the-Meter Generators, New York Small Wholesale Generators Also Serving On-site Loads, and NYISO Generators Also Serving On-site Loads, and for External Generators, the emissions can be entered for any month in the reporting year.

During the Certificate creation process the following hierarchy is used for emissions data:

1st – Account Holder-entered and verified Emission (Total pounds)

2nd – DEC or EPA unit-specific Emission (Total pounds)

3rd – EPA fuel type default Emission Factor.

8.4. Certificate Creation

For each month, the NYGATS Administrator will create an electronic Certificate for each MWh of energy that is generated by those Generating Units reported to the NYGATS. For Unregistered Generating Units (i.e., Generating Units that are not associated with an Account Holder in NYGATS), the NYGATS will create Certificates that will be deposited in the NYGATS Administrator's Account for use in creating the Residual Mix.

NYGATS will issue one Certificate for each MWh of energy that is generated. Certificates are issued based on the number of whole MWhs listed in the Generation Activity Log for a given reporting period. Each Certificate shall have a unique serial number. Certificate serial numbers shall contain codes embedded in the number. Table 8.3 below identifies the serial number format used in NYGATS.

Table 8.3 NYGATS Serial Number Format

Identifier	Display Order	Data Type	Length	Range of Codes	Comments
Originating Registry	1	Alpha-numeric	3	NYG, GIS, PJM, and NAR	Used to identify originating registry
Unit type	2	Alpha-numeric	4	REC = Renewable Energy Certificate issued for a Generating Unit CERT = Non-Renewable Certificate issued for a Generating Unit	Used to identify if the generation is Renewable or Non Renewable
Generator ID	3	Numeric	6	1-999999	Unique ID assigned to each Project record in NYGATS
State	4	Alpha-numeric	2	Location of Generating Unit pulled from Static Data (i.e. NY)	State abbreviation identifying the State in which the generation occurred.
Vintage Month	5	Numeric	2	01-12	The month in which the generation occurred.
Vintage Year	6	Numeric	4	00-99	The year in which the generation occurred.
Batch Number	7	Numeric	5	Numeric value assigned to each batch of credits created 1 – 99,999 unique per originating generator or project per vintage.	
Serial Block Start	8	Numeric	9	Numeric values assigned by registry from 1 - 999,999,999.	A number to identify the first Certificate in a block of Certificates.

Identifier	Display Order	Data Type	Length	Range of Codes	Comments
Serial Block End	9	Numeric	9	Numeric values assigned by registry from 1 - 999,999,999.	A number to identify the last Certificate in a block of Certificates.

Certificates are also created for emergency energy and Non-Unit-Specific Imports into the New York Control Area. These Certificates are not tied to a Generating Unit nor are they associated with an Account Holder. These Certificates are deposited into the NYGATS Administrator's Account and are assigned the Residual Mix Attributes for the Control Area from which they came, or if the Residual Mix is not available, the average System Mix Attributes for the Control Area from which they came.

Account Holders must monitor their NYGATS account closely and alert the NYGATS Administrator promptly of any discrepancies.

8.5. Certificate Creation for Accumulated Generation

Generation data that exceeds a whole MWh (reported as a decimal value for MWh) is carried forward to the next month and added to generation data reported for that next month for Certificate creation. The vintage on the issued Certificate will correspond to the month in which a whole MWh is reported.

8.6. Data Fields Carried on Each Certificate

Each Certificate and/or block of Certificates displays the characteristics shown in Table 8.4. If the characteristic does not apply for a given Certificate, that characteristic is listed as "NA."

Table 8.4 Data Fields on a Certificate

Certificate Data
NYGATS ID
Project Name
Project Type
Primary Facility Name
Month and year of generation:
Fuel Type
LIHI Certified
Certificate Serial Numbers
Total Certificates
Meter Data From
Meter Data To
Certificate Creation Date
Project Documentations/Attestations
Static Project Data
County

State or Province
Country
NERC Region
EGrid Sub-Region
PURPA Qualified Facility (Y/N)
In Service Date
Fuel Type/Energy Source
Nameplate Capacity
QIP Type
QIP Contact or Organization Name
Utility to which GU is interconnected

State Programs

NYSERDA Funding
RES Tier 1ZEC
EDP

Emissions Attributes

CEM Reporting
Office of Regulatory Information Systems (ORIS) PL
EIA Plant ID
Emissions Unit ID
NY DEC ID

Emissions total lbs/month

CO2
SO2
NOx
Source of Data

8.7. Initial Deposit of Certificates in NYGATS Accounts

Certificates will be first deposited into the Active Subaccount of the Account Holder associated with the Registered Generator (see Table 8.5 below for details), without prejudice to whether that Account Holder or another is the owner of such Certificates for other purposes. Certificates subject to a Forward Certificate Transfer, to a General Account, will be first deposited into the recipient's Active Subaccount. Disputes between parties not including the NYGATS Administrator will be resolved outside of the NYGATS.

In cases of multi-party ownership, the parties must designate one owner, as Generator Agent, as the Account Holder associated with the Project. Transfers of Certificates to another party are the responsibility of the Account Manager associated with the Project. Forward Certificate Transfer functionality can be used to automatically transfer the Certificates to the other owners, as described in Section 9.3.

Certificates Imported into NYGATS without accompanying imported energy are created at the time of the transfer and are not part of the routine monthly Creation Date cycle. Such Certificates will be deposited in the receiving Account Holder's Active Subaccount in accordance with Section 11.1.

Where Certificates are deposited when they are created is determined by the generation source and type of Certificate in accordance with Table 8.5 below.

Table 8.5 Initial Assignment of Certificates

Generation Source	Type of Certificate	Destination Subaccount	Special Certificate Characteristics
NYISO Generator (NYGATS Project)	Standard	Account Holder's Active Subaccount	
NYISO Generator (Unregistered Generating Unit)	Standard	Administrator's Account	
Other New York Generator • New York Small Wholesale Generators • New York Behind-the-Meter Generators • New York VDER Generator Also Serving On-Site Loads • NYISO Generators Also Serving On-Site Loads • New York Small Wholesale Generator Also Serving On-site Loads	Standard	Account Holder's Active Subaccount	
ES&D Unit-Specific Import, NYGATS Import Project	Imported Generation	Active Subaccount of the Account Holder that registered the Generating Unit	Display Compatible Certificate Tracking System serial numbers in the Certificate Information Section. Display Import Characteristics: • Imported to NYISO set to Yes • Contract ID • Transmission reservation ID • NERC Tag
ES&D Unit-Specific Import, Unregistered Generating Unit	Imported Generation	Active Subaccount of the Account Holder that imported the energy	Display Compatible Certificate Tracking System serial numbers in the Certificate Information Section. Display Import Characteristics: • Imported to NYISO set to Yes • Contract ID • Transmission reservation ID • NERC Tag
Non-Unit-Specific Import	Residual Mix (if available), otherwise System Mix	Administrator Account	Display Import Characteristics: • Imported to NYISO set to Yes • Emissions are set to the average for the Residual Mix
Emergency Energy	Residual Mix (if available), otherwise System Mix	Administrator's Account	Emissions are set to the average for the Residual Mix

9. Transfers of Certificates

9.1. Trading Period

NYGATS Settlement occurs annually. Certificates can be transferred or retired at any time before the trading deadline associated with the Settlement Certificate Vintage. NYGATS Account Holders will be allowed to trade and retire Certificates of a vintage year until 11:59:59PM Eastern prevailing time on June 30th of the next year. Certificates can be transferred by selecting one or multiple batches of Certificates from an Active or Banked Subaccount and pressing the "Batch Transfer" button to access the Certificate Transfer Screen. The Certificate Transfer Screen allows the Account Holder to select the following Certificate transfer options shown in Table 9.1:

Table 9.1 Certificate Transfer Options

Transfer Options	Description
To another Account Holder	Certificate transfers to another NYGATS Account Holder
To Active Subaccount	Certificate transfers to other Active Subaccounts within the Account
To Retirement Subaccount	Certificate transfers to Retirement Subaccounts within the Account
To Banked Subaccount	Certificate transfers to Banked Subaccounts within the Account
Export	Certificate export to Compatible Certificate Tracking System
To Bulletin Board Subaccount	Certificate transfers to Bulletin Board Subaccount within the Account

9.2. Transferring Certificates between Account Holders

Account Holders may transfer Active Certificates to other Account Holders at any time by selecting Certificates from a subaccount and designating a type of transfer. The New York State Public Service Commission has placed limits on the transferability of Certificates from certain behind the meter generation under net metering or Value of Distributed Energy Resources (VDER) tariffs. Account Holders must ensure that transfers of these Certificates are in accordance with the limitations set forth in the VDER Order.[4] The Program Administrator reserves the right to verify that these transfers have been undertaken in accordance with the VDER Order.

Certificate transfers will occur in the following manner:

[4] Case 15-E-0571; In the Matter of the Value of Distributed Energy Resources, "Order on Net Energy Metering Transition, Phase One of Value of Distributed Energy Resources, and Related Matters," issued and effective March 9, 2017.

1. Account Holders transferring Certificates from their Active Subaccounts shall effectuate the transfer in the NYGATS by indicating in the NYGATS that a specified Certificate or block of Certificates (as indicated by their serial numbers) is designated for transfer. The Account Holder will also select the recipient from a pull-down list of Account Holders. The NYGATS will display a transfer confirmation screen that lists the details of the proposed transfer and asks for confirmation by the transferring Account Holder.
2. After the request to transfer has been confirmed, the NYGATS will send an electronic confirmation to the Account Holder designated to receive the transfer notifying them that a request to transfer Certificates has been entered into the NYGATS. A pending Certificate transfer will be available in the transferee's inbox located on the Account Holder's dashboard. Pending Certificate transfers will remain in the receiving Account Holder's Inbox for 14 days. After 14 days, including the day the transfer was initiated, a pending transfer will be canceled and re-deposited into the transferor's Active or Banked Subaccount, whichever it was sourced from originally. Both Account Holders will receive a notification of the canceled transfer.
3. The transferring Account Holder may cancel any transfer before such transfer has been confirmed by the recipient by withdrawing the transfer from the outbox located in the Account Holder's dashboard. The NYGATS will notify the recipient that the transfer was canceled. Conversely, the transferee can reject any transfer from their inbox located on the Account Holder's dashboard. Similarly, the NYGATS will notify the transferor that the transfer was rejected.
4. The transfer of any Certificate or block of Certificates shall only be registered in the NYGATS upon the electronic confirmation by both the transferring Account Holder and the recipient.
5. Once the NYGATS has completed the transfer of Certificates from one Account to another, the NYGATS will send an electronic confirmation to both Account Holders confirming that the transfer has been completed.

9.3. Forward Certificate Transfer

A Forward Certificate Transfer is an automated transfer of Certificates over a designated timeframe. The Account Holder that would have received the Certificates, but for the Forward Certificate Transfer, will continue to be responsible for providing the Static Data and Dynamic Data required of Projects, notwithstanding the Forward Certificate Transfer. If such Account Holder fails to provide that information, default information will be included on the Certificates.

Account Holders that have a Project linked to their Account may request that Certificates from a specific Project be directly deposited into another NYGATS Account when the Certificates are created. Such a request must occur in advance of the Certificate Creation Date. In this case, the generation will be posted to the Generation Activity Log as usual. After it has been accepted by the Account Holder, such Forward Certificates, when issued as Certificates on their Creation Date, will be deposited directly into the Active Subaccount of the transferee, and the transferor will not at any point have possession of those Forward Certificates.

When a Forward Certificate Transfer is initially requested, NYGATS will send a notice to the transferee asking them if they accept the terms of the Forward Certificate Transfer. Acceptance of the Forward Certificate Transfer means that the transferee accepts all future transfers under the Forward Certificate Transfer request. After the initial acceptance, the transferee will receive a notice from NYGATS after each time Certificates are deposited into the transferee's Account. In addition, the notification will explain if the Forward Certificate Transfer deposit was not fulfilled as expected (e.g. as indicated by the original terms of the Forward Certificate Transfer.)

Forward Certificates may be subject to only one Forward Certificate Transfer – from the Project's Account (Account to which Certificates would have otherwise been originally deposited (Transferor)) to another NYGATS Account.

Forward Certificate Transfers can be used for transfers to the Active Subaccount of another NYGATS Account Holder and transfers to any of the other subaccounts of the transferor's own Account.

After the Creation Date for a Forward Certificate, such Certificate shall be treated like any other Certificate and may be transferred again, retired, exported, etc.

To register a Forward Certificate Transfer, the transferor shall indicate:

- The Project that will create such Forward Certificates; and,
- if it is an intra-account transfer, the Active Subaccount to which the Certificates should be transferred, or The Account Holder(s) the Forward Certificate Transfer is going to, and;
- The first vintage month/year that the Forward Certificate Transfer will be executed for and the end vintage month/year representing the last transfer in the Forward Certificate Transfer transaction and;
- The fixed number of Forward Certificates to be transferred, or the percentage of total Certificates actually created that will be transferred, during each such month (described below in more detail); and,
- The priority of the Forward Certificate Transfer relative to any other Forward Certificate Transfers, if applicable.

Forward Certificate Transfers can be created for multiple transferees based on percentage of Certificates deposited within a certain month, or as a fixed quantity within a certain month.

- Percentage: When Forward Certificate Transfers transfer percentages of Certificates from a specific generator during the same period, the Certificates are transferred in proportion to the percentages indicated, except that in the event that such allocations would result in fractional Certificates being transferred, the transferor must specify, before the applicable Creation Date, a preference among multiple transferees for the last undivided Certificate.

- Fixed Quantity: When Forward Certificate Transfers transfer a designated number of Certificates created during a single period, the transferor may establish a preference among multiple transferees in the Forward Certificate Transfer. The transferor may indicate priorities (first, second, third, and so on) to designate the order in which fixed Forward Certificate Transfers shall be executed in a given month. In the instance when the total of Forward Certificate Transfers exceeds the number of available Certificates, NYGATS will fill each Forward Certificate Transfer in order of priority, but only if each Forward Certificate Transfer can be fulfilled completely. If the first priority Forward Certificate Transfer cannot be filled, the Account Holder will be able to specify at the time of registration, whether NYGATS should try to fill lower priority Forward Certificate Transfers or not. Any Forward Certificate Transfer that cannot be fulfilled completely will not be executed.

Forward Certificate Transfers will be executed by the NYGATS on a monthly basis as part of the Certificate Creation process. Account Holders are responsible in the case that there are insufficient Certificates to complete a Forward Certificate Transfer.

Neither NYSERDA nor the NYGATS Administrator nor any other party having responsibility for the oversight and operation of the NYGATS shall have any liability if some or all of the Certificates to be created under a Forward Certificate Transfer are not created during an applicable Trading Period because of (1) an outage of the Generating Unit or External Generator subject to a Forward Certificate Transfer, (2) failure to dispatch the Generating Unit or External Generator, or (3) any other reason beyond the reasonable control of NYSERDA, the NYGATS Administrator or other party having responsibility for the oversight and operation of the NYGATS.

NYGATS only addresses the mechanics of a Forward Certificate Transfer. Issues related to whether the contract for the Forward Certificate Transfer is a "forward contract" under the United State Bankruptcy Code, the creation and perfection of any security interest in the Certificates affected by the Forward Certificate Transfer (whether under the Uniform Commercial Code or otherwise), when consideration for the Certificates affected by the Forward Certificate Transfer is to be given and all other substantive issues related to a Forward Certificate Transfer should be included in the contract between the transferor and the transferee. Any such substantive issues will not be addressed in the NYGATS and neither NYSERDA nor the NYGATS Administrator nor any party having responsibility for the oversight or operation of the NYGATS shall have any liability with respect to any such substantive issues.

The transferor can cancel a forward transfer at any time by choosing to Withdraw the Forward Certificate Transfer in their NYGATS Account. Withdrawing a Forward Certificate Transfer will cancel all future transfers.

9.4. Certificate Transaction Dispute Resolution Process

Account Holders who mistakenly perform a transaction that cannot be reversed (such as a Certificate Retirement) can request that a specific transaction be reversed by the NYGATS Administrator. Requests to modify retirement details or to reverse retirements back to an Active Subaccount must be submitted within 24 hours of the retirement submission. Requests submitted after 24 hours will be considered in consultation with the manager of the program for which the Certificates were retired. Retirements for Beneficial Ownership cannot be reversed after the initial 24-hour grace period. Failure to perform or inaction does not qualify under transaction disputes.

Account Holders must monitor their NYGATS account closely and alert the NYGATS Administrator promptly of any discrepancies. Certificate transfer disputes received after the end of trading for that vintage year will be handled on a case-by-case basis in consultation with the appropriate program administrator. Disputes for settled data will not be considered due to finalization and distribution of the settled data to all account holders.

10. Retirement of Certificates

Certificate retirement activity can be initiated by the Account Holder by transferring Certificates into their Retirement Subaccount from either an Active Subaccount from which the Certificates Attributes meet the Renewable fuel type as listed in Appendix B, or their Banked Subaccount. Certificate retirement is possible only for sales of Unbundled Certificates to end-users where the seller does not also serve the end-user's Load because Bundled Certificates (those associated with the sale of energy) are retired in an LSE's EDP Subaccount.

10.1. Transfer to a Retirement Subaccount

An Account Holder wishing to retire a Certificate or block of Certificates will select the Certificates in the Active or Banked Subaccount and indicate that such Certificates should be placed in the Retirement Subaccount. The Retirement Subaccount is used for voluntary retirement activity not associated with Environmental Disclosure Labels. Certificates in the Retirement Subaccount are excluded from the Residual Mix during NYGATS Settlement and will not appear on an Environmental Disclosure Label. When a Certificate is transferred into a Retirement Subaccount, the Account Holder must specify the purpose for the Certificate retirement (see Table 6.1 in Section 6.3). The Retirement Subaccount will show the serial numbers of the Certificates, the date transferred to the Retirement Subaccount, and the reason.

10.2. Retired Certificate Information

When Certificates are retired in NYGATS, a report will provide a listing of retired Certificates by Certificate field categories that can be searched by the Account Holder. This report can also be filtered by date, eligibilities, and by retirement reason. This report will display the following fields shown in Table 10.1.

Table: 10.1 Certificate Information Displayed in Retirement Subaccounts

Field	Description
Subaccount Name	Subaccount name designated by Account Holder
Subaccount ID	Subaccount ID assigned to subaccount
Retirement Type	Retirement Type represented as a 3-4 letter abbreviation
Compliance Period	Compliance Year designated during retirement (Voluntary Programs)
Reason	Reason designated during retirement
Additional Details	Open Text field or additional information submitted during retirement
NYGATS ID	Identification number assigned to a Project at the time of Registration
Generating Unit	Name of the Project (primary name should be EIA name if applicable)
Fuel Type	Fuel type(s) reported in registration
Certificate Type	Certificate type assigned to fuel type (Renewable, Import)
Certificate Vintage	Month and year of generation
Certificate Serial Numbers	Unique serial number assigned to batches of Certificates. Certificate serial numbers contain codes embedded in the number that indicate Generating Unit ID, location of the generator, Batch number, quantity and Certificate Vintage (month and year of generation)
Quantity	Quantity of Certificates in displayed batch
Green-e Energy	Green-e Energy designated during retirement
LIHI	LIHI Eligibility designated in registration
Tier 1	NY RES Tier 1 Eligible
Other Voluntary Programs	TBD

11. Imports and Exports

The NYGATS supports Imports and Exports of Certificates with and without accompanying energy. Imported and Exported Certificates are designated as Bundled Certificates or Unbundled Certificates. Bundled Certificates are accompanied by a Unit-Specific Import or Export of energy. Certificate Imports that are not accompanied by energy will be labeled as an Unbundled Import and will be excluded from the annual Settlement and Residual Mix conversion and will not be included in Environmental Disclosure Labels. Unbundled imports and exports are only available to certificates with a renewable fuel type per Table B-2.

To support the New York Environmental Disclosure Program, all energy imported or exported into, or out of, the New York Control Area, must be accounted for through the creation of Certificates for the amount of such imported or exported energy. This is true for both Unit-Specific Imports and Exports, and for Non-Unit-Specific Imports and Exports. Unit-Specific Imports will receive Unit-Specific Attributes only if it is from a Compatible Certificate Tracking System (or that meet the requirements as specified in Section 5.2). Otherwise, imported energy from a non-compatible tracking system will receive System Mix Attributes. For Unit-Specific Exports, the energy and Bundled Certificates must be delivered into the neighboring Control Area, and Unbundled Certificates must be exported to an area with a Compatible Certificate Tracking System.

Imported Energy and Attributes using Energy Scheduled and Delivered or Energy Delivery Delay will result in the issuance of Certificates that can be included in Environmental Disclosure Labels. Imported Energy and Attributes from RES Tier 1 certified facilities must utilize the Unit-Specific Energy Scheduled and Delivered methodology in order for the Certificates issued in NYGATS to indicate Tier 1 eligibility.

11.1. Unit-Specific Imports of Energy and Attributes

Unit-Specific Imports of energy will only result in Unit-Specific Certificate Creation if the energy being imported is coming from an area with a Compatible Certificate Tracking System (or that meet the requirements specified in Section 5.2). Unit-Specific Imports from areas without a Compatible Certificate Tracking System will result in the Certificate Attributes reflecting the Residual Mix (if available) or the System Mix of the exporting Control Area.

11.1.1. Energy Scheduled and Delivered

In order to use the Energy Scheduled and Delivered (ES&D) process for a Unit-Specific Import energy claim, the energy must first be scheduled and delivered into the New York Control Area through energy transactions placed in the NYISO. Energy Imports can be either 1) block-loaded (for external installed capacity generators), or 2) dynamically scheduled into the New York Control Area. For either type of energy transaction, a transmission system reservation and NERC tags are required. As with generation and load data, NYGATS will receive a monthly file from the NYISO with all import energy transactions scheduled during the prior month.

Next the Account Holder is required to utilize a QIP to provide hourly meter data to the NYGATS Administrator via electronic interface demonstrating that the Generating Unit produced (e.g. hourly meter data) the scheduled number of imported MWh during the month. The combination of the NYISO import energy schedule (to determine the flow of energy into NYCA), the meter data (to determine that the generator actually generated energy), and transmission reservation information (to determine that appropriate rights to import were obtained) allows the NYGATS Administrator to validate and process ES&D Unit-Specific Import claims.

Importing a Unit-Specific Renewable Certificate entails designating the Certificate as exported in the exporting tracking system and the creation of a corresponding Certificate in the NYGATS. The imported Certificate designates the system of origin and NYGATS will maintain a record of the serial number that was assigned in the exporting system or may incorporate the serial number assigned by the exporting system.

The amount of Unit-Specific Import Certificates that will be created will be the lesser of the hourly energy schedule of the import, or the hourly meter reading of the Generating Unit. The amount of ES&D Unit-Specific Import Certificates that will be created cannot exceed the number of Certificates designated as exported in the exporting tracking system. Where the hourly meter reading is less than the hourly energy schedule of the import, the difference between the hourly energy schedule and the meter reading will be made up of Non-Unit-Specific Certificates with Attributes associated with the Residual Mix of the exporting Control Area (or System Mix if Residual Mix is not available). If the meter data is not provided, Residual Mix Certificates (based on Residual Mix of the exporting Control Area) will be created for these imports and placed in the Active Subaccount of the Account Holder that imported the energy.

All ES&D import claims for a vintage year can be made at any time during the vintage year but must be made on or before May 22 of the following year.

RES Tier 1 eligible energy must utilize the Unit-Specific Imports and Energy and Attributes ES&D methodology and must have the NERC tag information emailed from the OATI (Open Access Technology International) System directly to res@nyserda.ny.gov in order to verify compliance with the RES Tier 1 delivery requirements. More information can be found in the RES Tier 1 Certification Guidelines document.[5] External generators who participate in any request for proposals or other RES procurement and receive an award must comply with any delivery requirement that may be stated in the request for proposals or any resulting agreement. Those requirements may require actions and documentation beyond what is stated in these Operating Rules.

11.2. Non-Unit-Specific Imports of Energy

For Non-Unit-Specific Imports, the NYGATS will create Certificates reflecting the Residual Mix (if available) or the System Mix of the exporting Control Area and deposit the Certificates into the Active Subaccount of the Account Holder that imported the energy. Such Certificates will be based on imported generation data reported by the NYISO reflecting the Attributes of generation for the Control Area in which the generation originated.

[5] https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility

Certificate fields for each adjacent Control Area shall be based on the average of the emissions and fuel source data for the Residual Mix (if available) or the System Mix for such Control Area as included in the most recent year's data in the EPA's eGRID software. The Certificate fields for each adjacent Control Area that are in effect from time to time shall be posted on the NYGATS website. The Certificate field for location will also be completed for Certificates associated with Non-Unit-Specific Imports. All other fields for Certificates associated with Non-Unit-Specific Imports shall state "not applicable."

11.3. Unit-Specific Exports of Energy and Attributes

Unit-Specific Exports of energy must be scheduled and delivered out of NYISO through either a unit-specific energy transaction, or an export transaction involving the NYISO Reference Bus to an external Control Area. For either energy transaction, a transmission system reservation and NERC tag are required. Unit-Specific and Reference Bus Exports are dynamically scheduled out of the New York Control Area and are reported to NYGATS by the NYISO. For those Account Holders using the Reference Bus, but who represent NYISO generation that is fulfilling the export schedule, they are required to either report their hourly meter data directly to NYGATS (similar to how Unit-Specific Import meter data is reported) and claim the Unit-Specific generation as being associated with their export schedule; or, ensure that the amount of issued Certificates associated with the exported energy are Exported from their account to the receiving Control Area's Compatible Tracking System via a Certificate Export transfer after the Certificates are created. (Note: Failure to do so could result in loss of Attribute eligibility in the receiving Control Area.) The amount of Unit-Specific Export Certificates that will be created and transferred will be the lesser of the hourly schedule of the export, or the hourly meter reading of the Unit-Specific Generator. Where the hourly meter reading is less than the hourly schedule of the export, the difference between the hourly schedule and the meter reading will be made up of Residual Mix Certificates.

Exporting a Unit-Specific Certificate entails designating the Certificate as exported in NYGATS. The NYGATS Account Holder exporting Unit-Specific Certificates need not explicitly request that the Unit-Specific Export Certificates be marked as exported at Certificate Creation (unless, and as described above, they use the Reference Bus and fail to report their hourly meter data), as all Unit-Specific Export Certificates will be automatically transferred to the NYGATS Administrator Account upon Creation and withheld from the Residual Mix and Environmental Disclosure Label process. If the Unit-Specific Export is knowingly being transferred to an area with a Compatible Certificate Tracking System, the process will follow the same processes as for Unit-Specific Import request, but in the inverse. The Unit-Specific Exported Certificates will designate the system being exported to, and NYGATS will maintain a record of the serial number that was assigned in the importing tracking system.

11.4. Non-Unit-Specific Exports of Energy

For Export data not associated with a specific Generating Unit, the NYGATS will not create Certificates.

11.5. Unbundled Certificate Imports and Exports

The NYGATS facilitates the import of Renewable Certificates into the NYGATS without an accompanying import of energy, to a specified Account Holder. Such Unbundled Certificates will only be transferred from a Compatible Certificate Tracking System meeting standards equivalent to the NYGATS (See Section 5.3 for Revenue Metering Standards), and will follow a process of Conversion from the originating Compatible Certificate Tracking System to NYGATS. Such Unbundled Certificates are not eligible for use in EDP Labels or RES Tier 1 compliance and may not be transferred to an LSE's EDP Subaccount.

Account Holders may only request Unbundled Certificate Imports if the associated Generating Unit from which the Certificates were sourced meets NYGATS eligibility requirements. At minimum, such Generating Units must have a fuel type denoted as "renewable" in Appendix B.

The process for Certificate Creation for Unbundled Imports entails designating the Certificate as exported in the exporting tracking system and the creation of a corresponding Certificate in the NYGATS. The imported Certificate designates the system of origin and NYGATS will maintain a record of the serial number that was assigned in the exporting system or may incorporate the serial number assigned in the exporting system. Once approved by the NYGATS Administrator, Certificates are created for these Unbundled Certificate Imports and placed in the Active Subaccount of the Account Holder that is associated with the import.

Similarly, for Unbundled Certificate Exports, such Certificate transfers will only be permitted from NYGATS to a Compatible Certificate Tracking System, and must be for Certificates that are eligible renewable fuel types as noted in Appendix B. Account Holders wishing to Export Certificates, can initiate the process via their Certificate Transfer screen by selecting the option of Export. This action will also entail identifying the Compatible Certificate Tracking System and Account Holder that will receive the exported Certificates. Once this is requested, the NYGATS Administrator will receive a notification, and initiate the steps of contacting the Compatible Certificate Tracking System to validate and complete the transaction. Once confirmed, the Certificates will be transferred into the NYGATS Administrator's Account, retired for purposes of export, and not be included in the Residual Mix or Environmental Disclosure Label process.

11.6. Compatible Tracking Systems

In order to implement Imports and or Exports with another a potential Compatible Certificate Tracking System, the tracking system must meet minimum standards to ensure the security and integrity of the Certificate information and reciprocity of Conversion. The standards for this may vary from system to system. When NYGATS and a potential Compatible Certificate Tracking System have agreed to establish imports and/or exports, the NYGATS Administrator will implement the Import/Export functionality and communication protocols in each system. The NYGATS Administrator will work toward setting up imports and exports with all registries that track generation from Control Areas that can schedule generation into and out of the New York Control Area (Bundled Imports/Exports) and with registries that will allow Unbundled Certificate imports or exports with NYGATS. Presently, the New England Power Pool Generation Information System (NEPOOL GIS), the Pennsylvania New Jersey Maryland Interconnection Generation Attribute Tracking System (PJM GATS), and the North American Renewables Registry (NAR) are compatible with NYGATS.

Table 12.1 Compatible Tracking Systems

	REC Imports into NYGATS	REC Exports From NYGATS
PJM GATS	• Bundled (requires QIP Reported generation and NYISO import schedule) • Certificate Only • Energy Delivery Delay	Exports to PJM are permitted to verify Bundled Imports
NEPOOL GIS	• Bundled (requires QIP Reported generation and NYISO import schedule) • Certificate Only • Energy Delivery Delay	Exports to NEPOOL are permitted to verify Bundled Imports
NAR	• Bundled – For Canadian Control Areas (requires QIP Reported generation and NYISO import schedule) • Certificate Only • Energy Delivery Delay	Certificate Only

11.7. Emergency Energy Imports

The NYGATS Administrator will also create Certificates reflecting the most recently available Residual Mix (if available) or System Mix of fuel sources and emissions of the source Control Area for emergency imports used for balancing or other NYISO operational needs. Such Certificates will be placed in the Administrator's Account.

Table 11.2 below summarizes how Certificates are created for different types of imports.

Table 11.2 Certificate Treatment for Different Types of Imports

Generation Source	Type of Certificate	Destination Subaccount	Special Certificate Characteristics	Included in EDP Labels
Imports for Which Certificate Conversions Are Required				
ES&D Unit-Specific Import	Imported Generation and Certificate (renewable only)	Active Subaccount of the Account Holder that registered the Generating Unit	Display Compatible Certificate Tracking System serial numbers in the Certificate Information Section. Display Import Characteristics: • Imported to NYISO set to Yes • Transmission reservation ID • NERC Tag	Yes
Imported Unbundled Certificate	Imported Certificate (renewable only)	Account Holder's Active Subaccount	Display Compatible Certificate Tracking System serial numbers in the Certificate Information Section Display Import Characteristics: • Date Imported • Compatible System Imported From • Account Holder • Not included in Residual Mix or Disclosure Label	No
Energy Imports Without Certificate Conversions				
Unit-Specific Import	Residual or System Mix of source Control Area	Active Subaccount of the Account Holder that imported the energy	Display Import Characteristics: • Imported to NYISO set to Yes • Transmission reservation ID • NERC Tag	Yes
Non-Unit-Specific Import	Residual or System Mix of source Control Area	Active Subaccount of the Account Holder that imported the energy	Display Import Characteristics: • Imported to NYISO set to Yes • Transmission reservation ID • NERC Tag • Set emissions to the Residual Mix or System Mix average for the source Control Area	Yes
Emergency Energy Import	Residual or System Mix of source Control Area	Administrator's Account	Set emissions to the Residual Mix or System Mix average for the source Control Area	Yes

12. Annual Settlement

12.1. End of Trading and Execution of Settlement

NYGATS Account Holders will be allowed to trade and retire Certificates of a vintage year until 11:59:59PM Eastern prevailing time on June 30th of the next year. In order to accurately demonstrate compliance with the ZEC program, annual Settlement in NYGATS does not occur until after the final load data for the ZEC program has been transmitted by NYISO and LSEs are permitted a reasonable period of time for reconciliation. This is typically in October of the year following the Settlement vintage year. Consult the CES Compliance Guidance Document for Load-Serving Entities for more information on the ZEC Compliance period. (https://www.nyserda.ny.gov/-/media/Files/Programs/Clean-Energy-Standard/LSE-Compliance-Guidance.pdf)

After the trading deadline for a vintage year, NYGATS Account Holders will not be able to move banked certificates to an Active Subaccount until after the close of the settlement period, which is December 31 following the vintage year. After Settlement has been completed, the registry administrator may close the settlement period before December 31, at which point Account Holders would be able to move banked certificates to active. Between the trading deadline and the close of the settlement period, Account Holders may transfer banked certificates to other Account Holders, who must them deposit them in their own banked subaccount.

The NYGATS Settlement converts all Certificates remaining in the Active Subaccounts of all Account Holders into Settled Certificates, and creates the Residual and System Mixes, creates EDP labels, and memorializes compliance with the RES and ZEC programs.

12.2. Creation of Residual Mix Certificates

The NYGATS Settlement will convert all non-renewable Certificates remaining in the Active Subaccounts of all Account Holders into Unsettled Certificates. When Settlement is run all Unsettled Certificates from the previous vintage year will be converted to Residual Mix according to the rules described in Table 12.1. The NYGATS Administrator will create Residual Mix Certificates based on the Unsettled Certificates which will include non-renewable Certificates in the Administrator's Account associated with Unregistered Generators. The Attributes contained on any Unsettled Certificate shall become part of the pool of Attributes upon which the Residual Mix Certificates shall be based.

Unsettled Certificates applied to the Residual Mix will be automatically retired and cease to exist for the purposes of the NYGATS. All Banked Certificates for the generation year that was Settled will not be included in the Residual Mix and will be available for transfer between Account Holders, export, or for transfer into the Retirement Subaccount.

Table 12.1 Treatment of Certificates for the Residual Mix

Account Type	Action at Settlement
General Accounts:	

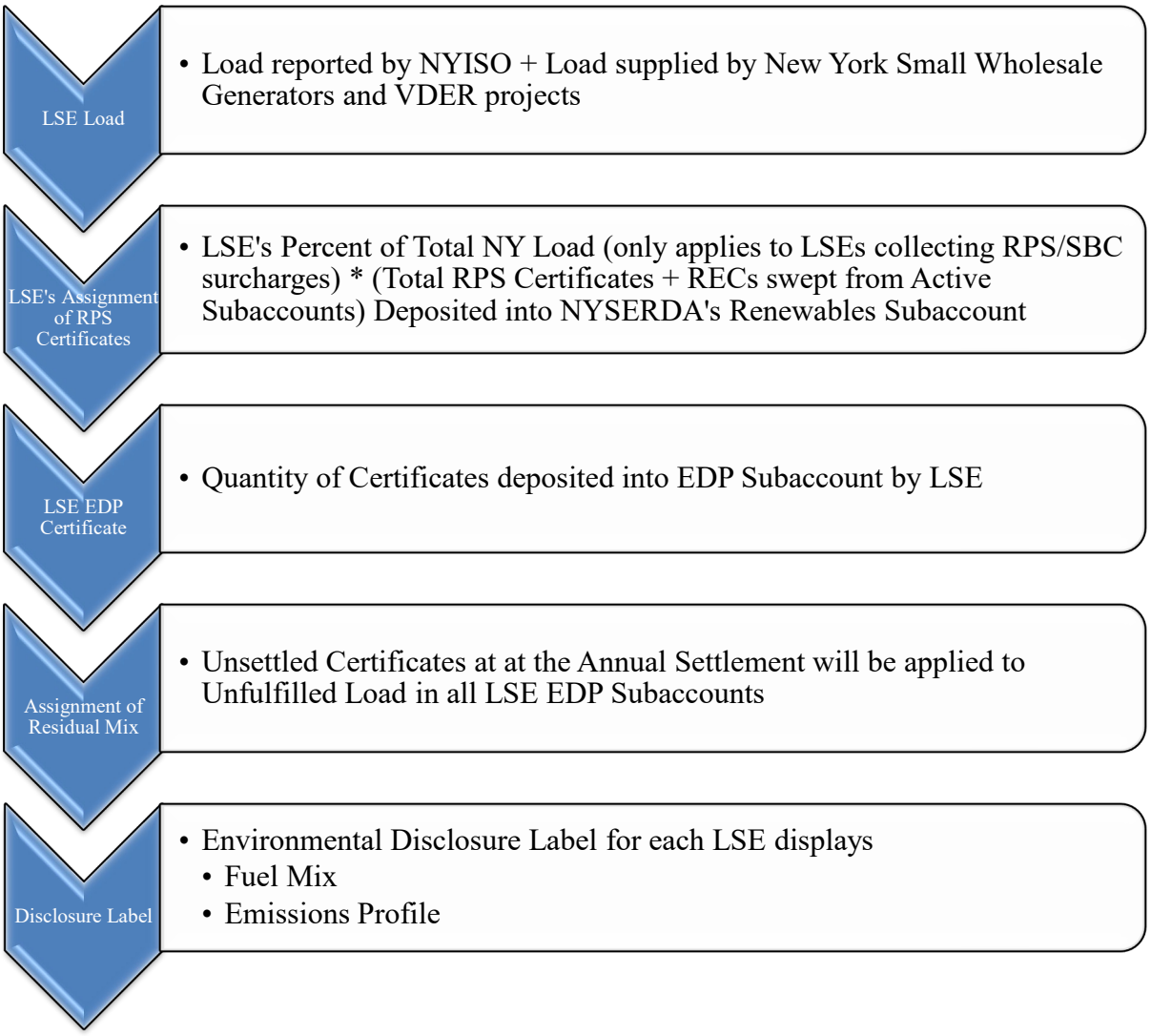
Account Type	Action at Settlement
• Banked Subaccount	• Certificates in Banked Subaccount are excluded from Residual Mix and Environmental Disclosure Labels • Banked Certificates can only be used for voluntary Retirement (not eligible for EDP)
LSE Accounts:	
• Banked Subaccount	• Certificates in Banked Subaccount are excluded from Residual Mix and Environmental Disclosure Labels • Banked RES Tier 1 Certificates can be used in future RES compliance years • Banked non-RES Tier 1 Certificates can only be used for voluntary Retirement (not eligible for EDP)
General and LSE Accounts:	
• Active Subaccount	• Renewables Certificates in the Bulletin Board Subaccount that have not previously been Banked and/or that are not Unbundled Certificate Imports, are swept and assigned to LSEs EDP subaccounts. These Certificates do not remain active • Non-renewable Certificates remaining in Active Subaccount and associated with energy are converted to Residual Mix • Certificates do not remain active
• Retirement Subaccount	• Certificates in Retirement Subaccount are excluded from Residual Mix and Environmental Disclosure Labels • Certificates do not remain active
• Bulletin Board Subaccount	• Renewables Certificates in the Bulletin Board Subaccount that have not previously been Banked and/or that are not Unbundled Certificate Imports, are swept and assigned to LSEs EDP subaccounts. These Certificates do not remain active • Non-renewable Certificates in a Bulletin Board Subaccount that have not previously been Banked and/or that are not Unbundled Certificate Imports, are converted into Residual Mix. These Certificates do not remain active • Certificates in a Bulletin Board Subaccount that were previously Banked and/or that are Unbundled Certificate Imports, will remain in the Bulletin Board Subaccount

12.3. LSE Environmental Disclosure Labels

Under New York's Environmental Disclosure Program, once a year, LSEs are required to issue an Environmental Disclosure Label to their retail customers providing information on the types of energy resources used to generate electricity, air emissions resulting from generating electricity, and a comparison of those emissions to a statewide average.

As shown in Figure 12.2, the information for an LSE's Environmental Disclosure Label is based on the Certificates matched to the LSE's electricity delivered to and consumed in the New York Control Area, the LSE's allocation of RPS Certificates from NYSERDA's Renewables Subaccount, and the assignment of RECs swept from Active Subaccounts and Residual Mix Certificates to any Unfulfilled Load. Certificates representing unbundled electricity (e.g., Unbundled Certificate Imports or Certificates Retired without energy) are excluded from reporting for the Environmental Disclosure Label.

Figure 12.2 LSE Load and Environmental Disclosure Labels



12.3.1 Assignment of RPS Certificates and RECs Swept from Active Subaccounts

As part of the Settlement process for the EDP Program, Total NY Load will be used to 1) assign RPS Certificates to the LSE's EDP Subaccount; 2) Assign RECs swept from Active Subaccounts; and 3) assign Residual Mix Certificates to Unfulfilled Load in the LSE's EDP Subaccount. The DPS Program Administrator will annually report the Load Share for all LSEs that contribute to the Renewables Fund. RPS Certificates and RECs swept from Active Subaccounts will be assigned to LSE EDP Subaccounts based on the Load Share.

12.3.2 EDP SubAccount

Each LSE has an EDP Subaccount Report that displays the RPS Certificate totals assigned to the LSE, the RECs swept from Active Subaccounts, the Total NY Load (see Section 8.2.5), additional Certificate totals deposited into the LSE's EDP Subaccount and the difference between the Total NY Load and aggregate quantity of Certificates deposited, which represents the amount of Residual Mix that will be applied to the Environmental Disclosure Label. After Settlement, the EDP Subaccount and EDP Subaccount Report displays the LSE's Total NY Load, RPS Certificate assignment, RECs swept from Active Subaccounts, Certificates deposited for Disclosure Labels and the Residual Mix.

The LSE can transfer Bundled Certificates from their Active Subaccount to their EDP Subaccount for purposes of the Environmental Disclosure Label at any time during the Trading Period. Note, Unbundled Imports cannot be deposited into the EDP Subaccount at any time.

The LSE can optionally assign Certificates to retail products in the EDP Subaccount for purposes of additional reporting. Retail products, like Retirement reasons, may be selected from the Certificate transfer screen at the time of deposit into the EDP Subaccount. The transfer screen has a 'Reasons' field where the Account Holder can select their retail product type (i.e. Utility Green Pricing Program), as shown in Table 12.3.

Table 12.3 EDP Retail Product Detail

Reason	Purpose
• Competitive Green Power Product • Utility Green Pricing Product • Other	EDP Certificate Retirement
• Additional Details – Open Text Field to add details on the Retirement	Certificate Retirement for a third-party beneficiary or environmental cause

At Settlement, the Attributes of the Certificates in the LSE EDP Subaccount, and the Attributes of the Residual Mix will be used to create the Environmental Disclosure Label for the LSE.

12.3.3 Determination of LSE Environmental Disclosure Labels

The information for a LSE's Environmental Disclosure Label is based on the Certificates matched to the LSE's electricity delivered to and consumed in the New York Control Area, its allocation of RPS Certificates from NYSERDA's Renewables Subaccount, RECs swept from Active Subaccounts, and the assignment of Residual Mix Certificates to any Unfulfilled Load. Certificates representing unbundled electricity (e.g., Unbundled Certificate Imports or Certificates Retired without energy) are excluded from reporting for the Environmental Disclosure Label.

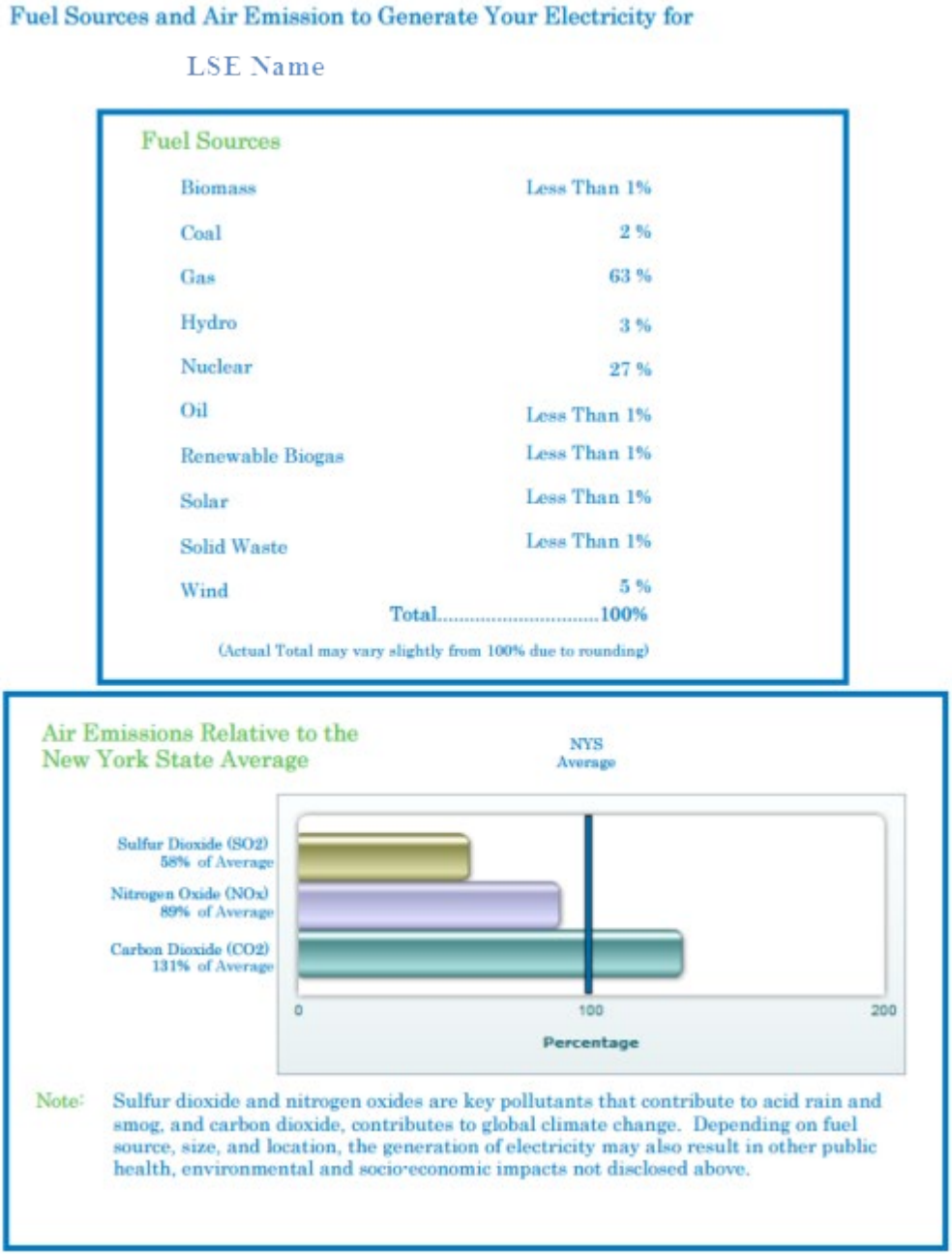
The information reported by the NYGATS for Environmental Disclosure Labels is shown in Table 12.4.

Table 12.4 Information for an Environmental Disclosure Label

Field	Rules
Account Holder	The name of the LSE
Period	Annual Settlement Period
Fuel Mix	Each fuel type used and the percentage of the whole for that fuel type.
Emissions by pollutant (in lbs)	Calculated for the selected period.

Following the end of the Settlement period, the NYGATS Administrator will create an Environmental Disclosure Label for each LSE. The Disclosure Label can be printed and exported and will be available via an LSE General Account Holder's Account Holder reports. Prior year labels will be available to the account holder from the EDP Label Report.

Figure 12.5: Sample Environmental Disclosure Label



12.4. Creation of System Mix Certificates

The Settlement process creates a System Mix for the New York Control Area which is a representation of the average attributes of a MWh of electrical energy consumed in New York State for the vintage years. The System Mix takes the output of the of the Residual Mix calculation and then adds certificates of the settlement vintage from non-unit specific imports, certificates in banked and retirement subaccounts. Exports are excluded as well as certificate only-imports. The quantity of System Mix certificates created is set equal to the sum of the total NY Load for all LSEs. This ensures all emissions are accounted for in the System Mix. The quantity of certificates that go into the System Mix is greater than the total NY Load, due to transmission losses and station service that is not assigned to LSE Load

13. Reporting and Confidentiality

13.1. NYGATS Reports

There are five general categories of reports available through the NYGATS:

1. Administrator
2. Account Holder
3. Program Administrator (DPS and NYSERDA)
4. Qualified Independent Party
5. Public

All reports can be customized with the options to sort, filter, print and export, so that viewers can create a report that meets their specific needs. Appendix E provides a description of the reports available. All timestamps in the NYGATS registry are displayed in Greenwich Mean Time.

Public Reports will be available on the NYGATS website. Account Holder reports are available through a password protected area of the NYGATS website.

Each of the state agencies listed on Appendix F will have access to quarterly and annual state agency reports generated by the NYGATS Administrator through a secure password restricted internet portal. Quarterly and annual agency reports shall be provided in accordance with the timeline in Appendix D. Notwithstanding the availability of such reports to the state agencies, each entity subject to any state requirement is responsible for demonstrating compliance with that state requirement, and neither NYSERDA nor the NYGATS Administrator has any responsibility for ensuring an entity's demonstration of compliance with state requirements.

13.2. Confidential Information

Access to accounts is limited through a password protected portal, accessible through the NYGATS website. Only the Account Holder or its representative or agent is given User IDs and passwords.

The NYGATS Administrator has access to all Account Holder information, which will be strictly confidential and will not be shared with other parties. Account Holders that apply for RES Tier 1 certification allow NYSERDA and DPS access to the generation unit information required by the RES Certification Process. Details on the information required for the RES Certification can be found in the RES Tier 1 Certification Guidelines document.[6] Individual Account Holder information may be aggregated with other Account Holder information, as indicated in the reporting section above. Besides the NYGATS Administrator, no other party will have access to an individual Account Holder's information, other than the Account Holder and its authorized representatives. The NYGATS Administrator can change the Account Holder's data but these changes are audited, and the Account Holder is notified of the changes.

The following information is considered confidential information for the purposes of these NYGATS Operating Rules:

Any information that:

- Is furnished by an Account Holder to the NYGATS Administrator or by the NYGATS Administrator to an Account Holder in connection with the NYGATS; and
- Constitutes trade secrets or commercial or financial information, the disclosure of which would harm the Account Holder or prejudice the position of that Account Holder in the NYISO power or Certificate markets; and
- Has been designated in writing by the Account Holder as confidential or proprietary either in the document which provided such information, in the transmittal materials accompanying such information, or in a separate document which identifies the information with sufficient specificity and clarity so that the entity receiving such information has been made aware that the Account Holder seeks confidential treatment for such information.

Confidential information shall exclude information if and to the extent such information:

- Is or becomes generally available to the public without any party violating any obligation of secrecy relating to the information disclosed; or
- Is received in good faith from a third party who discloses such information on a non-confidential basis without violating any obligation of secrecy relating to the information disclosed; or
- Is in the public domain; or
- Can be shown by the recipient's prior records to have been already known to the recipient other than through disclosure by a third party which would not be subject to exclusion based on (ii) above.

- Confidential information shall be considered the sole and exclusive property of the furnishing Account Holder and shall be used solely for the purposes for which it was supplied to the NYGATS Administrator by the furnishing Account Holder and for the purposes set forth in these NYGATS Operating Rules. Confidential information may only be disclosed to a third party:
  - With the consent of the furnishing Account Holder; or

[6] https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility

- When required by law or regulation or as may be required or appropriate in response to any summons or subpoena or in connection with any litigation or administrative proceeding.

14. NYGATS Availability and Reliability

The NYGATS will be available during normal Business Hours (Monday through Friday, excluding holidays, between the hours of 8 AM to 5 PM Eastern Time). All scheduled maintenance shall be deferred until after Business Hours. Any unscheduled maintenance that can be deferred until after Business Hours shall be deferred. Availability outside Business Hours is undefined. However, excluding periods reserved for maintenance, it is expected that the system will be available to Account Holders twenty-four hours a day, seven days a week.

The NYGATS Administrator may extend the Trading Period for Certificates in accordance with the Operating Rules as necessary to compensate Account Holders for loss of opportunity to trade Certificates during periods of unavoidable loss of access to the NYGATS.

Operational capability should be restored within a reasonable period of time following a system failure. This implies the ability to quickly and accurately detect and diagnose a fault. The system will provide tools to monitor system status and to proactively notify the system administrator in the event of a system failure.

15. Amendments to Rules and Adoption of New Rules

NYSERDA may at its discretion adopt new NYGATS Operating Rules and amendments to existing Operating Rules in consultation with DPS and the NYGATS Stakeholder Group. NYGATS will provide advance notice to all Account Holders prior to any change taking effect. It is the responsibility of each Account Holder to stay informed about changes in Operating Rules.

NYSERDA and the NYGATS Administrator shall maintain and publish a summary of changes to the Operating Rules with each update.

16. Definition of Terms

Account: A NYGATS Account allows an entity to access the functionality of the system, to: (1) receive Certificates; (2) transfer Certificates to another Account; (3) retire Certificates; (4) bank Certificates; or (5) register a Generating Unit for which Certificates are to be created. Any party that registers with the NYGATS and agrees to the NYGATS Terms of Use may establish an account in the system. See Section 3.2 for a description of NYGATS Account Types.

Account Holder: An Account Holder is a party that has registered with the NYGATS and has established an Account within the NYGATS. See Section 3.2 for a description of the NYGATS Account Types.

Account Manager: Login created when an Account is registered with the privileges to add Supervisor and View Only account access.

Accumulation: The act of summing kWh generation data from month to month from a single Generating Unit until one or more MWh(s) has been accumulated and a Certificate(s) can be issued. Any fractional MWh will be rolled forward until sufficient generation is accumulated for the creation of a Certificate.

Active Certificates: An Active Certificate is a Certificate that is held in a NYGATS Active Subaccount. Such Active Certificates may be traded, transferred, exported, banked or retired (subject to NYGATS rules) at the discretion of the Account Holder owning the Active Subaccount in which such Active Certificate is held.

Active Subaccount: The Active Subaccount is the holding place for all Active Certificates. The Active Subaccount will be the first point of deposit for any Certificates transferred into an account, and/or which are created that are associated with a Project. An Active Subaccount may be associated with one or more Projects.

Administrator's Account: The account that holds Certificates that are not associated with a specific Account Holder, e.g., Certificates associated with emergency energy imports or Certificates associated with Unregistered Generating Units. During Settlement, the Certificates in this account are included in the Residual Mix.

Aggregation/ Aggregated Project: NYGATS Project representing multiple small generators that share generating characteristics as described in Section 4.3.

Alternative Compliance Payments (ACPs): Load Serving Entities (LSEs) can achieve annual RES compliance through a combination of Tier 1 RECs purchased from NYSERDA, Tier 1 RECs from their own projects, such as VDERs, Tier 1 RECs purchased from a third party, or ACPs. The price of an ACP is approved by the New York Public Service Commission for the Compliance Year. Any shortfall in an LSEs obligation must be met with ACPs.

Assignment of Registration Rights: The action taken by an Account Holder who is either the owner or the Responsible Party of a Generating Unit who wishes to assign the right to register the Generating Unit to another Account Holder (see Generator Agent).

Attribute: A descriptive characteristic of a generator, such as location, vintage, direct on-site emissions, fuel type, state RPS program eligibility, etc. Attributes include the environmental Attributes which are defined as any and all credits, benefits, emissions reductions, offsets, and allowances, howsoever entitled, directly attributable to the generation from the Generating Unit(s).

Banked Certificates: Certificates that have been transferred into an Account Holder's Banked Subaccount which the Account Holder plans to use toward a future voluntary retirement and does not wish to be included in the annual Settlement and Residual Mix. Certificates transferred to a Banked Subaccount will not be eligible for use toward NYSERDA procurement and will not appear on an LSE's Environmental Disclosure Label. (See Section 6.2)

Banked Subaccount: The Banked Subaccount is the holding place for Certificates the Account Holder wants to bank to sell to an end-use customer or other entity without an accompanying energy delivery after the Settlement**.** Certificates deposited in the Banked Subaccount will not be eligible for use toward NYSERDA procurement and will not appear on an LSE's Environmental Disclosure Label.

Bundled/Bundled Certificate: A Bundled Certificate is a Certificate that is sold to an entity that also purchases the energy that gave rise to the Certificate. Certificates accompanied by a Unit-Specific Import of energy are called a Bundled Import. See Unbundled Certificate definition.

Certificate(s): The term "Certificate," as used in this document, refers to a NYGATS electronic record of generation data representing all of the tracked Attributes from one MWh of electricity generation from (i) a NYGATS Registered Generating Unit or (ii) a Compatible Certificate Tracking System (Import Project). NYGATS Certificates are "whole" Certificates, meaning that none of the Attributes may be separately sold, given, or otherwise transferred to another party by a deliberate act of the Certificate owner.

Certificate Vintage: The month and year (mm/yyyy) in which the generation occurred that resulted in Certificate creation.

Clean Energy Standard (CES): A New York State mandated program through which the state will achieve 50% of its electricity generation from renewable energy resources by 2030.

Compatible Certificate Tracking System: A Compatible Certificate Tracking System is a registry that has an agreement with NYGATS for purposes of Unit-Specific Imports or Exports, or for Unbundled Certificate Imports and Exports, and involves a protocol for Certificate creation and processing, as discussed in Section 11.1.

Competitive Green Power Product: Renewable electricity product offered to residential and non-residential customers of a competitive electricity supplier in a deregulated market

Control Area: An electric system or systems, bounded by interconnection metering and telemetry, capable of controlling generation to maintain its interchange schedule with other Control Areas and contributing to frequency regulation. For the purposes of this document, a Control Area is defined in broad terms to include transmission system operations, market, and load-serving functions within a single organization. A Control Area operator may be a regional transmission organization (RTO), an independent system operator (ISO), a transmission grid owner and operator, or a utility.

Conversion: A process by which Certificates from a Compatible Certificate Tracking System are designated as removed from the Compatible Certificate Tracking System and corresponding Certificates are issued by the NYGATS Administrator to a purchasing Account Holder in the NYGATS (or vice-versa).

Creation Date: The date that Certificates are created. Certificates are created once monthly, as described in Section 8.

Data Validity Check: The process undertaken by the NYGATS Administrator for purposes of validating Dynamic Data. The process compares reported electricity production (for Self-Reporting Generators this is calculated as the difference between current and previous cumulative meter read entered) to an engineering estimate of maximum potential production, calculated as a function of Nameplate Capacity, typical capacity factor, and duration (time period the generation data covers.

Dispute Resolution Process: Administrative process managed by the NYGATS Administrator to resolve disputes regarding NYGATS functionality and actions, including but not limited to disputes related to the number of Certificates in a subaccount, Static Data, Account Holder requests to reverse permanent transactions (such as retirements), and Certificate creation.

Distributed Energy Resource: Technologies that generate or manage the demand of electricity at different points of the grid, such as at homes and businesses, instead of exclusively at power plants.

Dynamic Data: Dynamic Data is variable information that is associated with a specific MWh of production from a registered Project, such as Certificate serial number, date of generation, or emissions. Dynamic Data is contrasted with Static Data; see Static Data definition.

EDP Subaccount (for LSEs): This subaccount is used by LSE Account Holders to deposit Certificates associated with generation. The associated EDP Subaccount Report displays their total Load downloaded from NYISO, load supplied by New York Small Wholesale Generators that do not transact through NYISO, NYSERDA's Certificate assignment, Certificates deposited for Disclosure Labels and the application of the Residual Mix. EDP Subaccount will also be used for retirement of Certificates for RES Tier 1 compliance.

Emission Factor: The emission factor of a Project indicates the amount of emissions released in terms of mass of emitted substance per MWh for the fuel used.

Emissions Protocol: A methodology for attributing specific emissions to each fuel used by a Multi-fuel Generating Unit. The methodology must be approved by the New York Department of Environmental Conservation. In the absence of an approved Emissions Protocol, each Certificate will reflect the fuel type used by the Project with the highest proxy Emission Factor for carbon dioxide for 100% of the Generating Unit's output.

Environmental Disclosure Label/Disclosure Label: A state-mandated report on the fuel sources and emissions characteristics of the electricity supplied to retail customers.

Essential Generating Characteristics – Aggregated Projects registered in NYGATS must share the following

- The nameplate capacity of each Generating Unit is less than 200 kW;
- The Generating Units being aggregated are located in New York State;
- The Generating Units being aggregated utilize the same technology/fuel type; and
- The aggregated Nameplate Capacity is less than 1 MW.

External Generators: Generating Units that are located outside the New York Control Area, comprised of (i) External Generators Not Registered with A Tracking System, and (ii) External Generators Whose Certificates are issued by a Compatible Certificate Tracking System.

External Generators Not Registered with a Tracking System: Generating Units located outside New York that are not registered with a Compatible Certificate Tracking System, and whose Dynamic Data is reported by NYISO based on unit-specific imports of energy.

External Generators Whose Certificates are Issued by a Compatible Certificate Tracking System: Generating Units located outside New York that are registered with a Compatible Certificate Tracking System for the purpose of creating Certificates.

Form EIA-860: This is a form used by the U.S. Energy Information Administration to collect generator-level specific information about existing and planned generators and associated environmental equipment at electric power plants with 1 megawatt or greater of combined nameplate capacity. It is a mandatory report under the Federal Energy Administration Act of 1974 (Public Law 93-275).

Forward Certificate Transfer: A Forward Certificate Transfer is a recurring, automatic transfer of Certificates into another NYGATS account when Certificates are issued pursuant to Section 9.3.

General Account: This is the type of Account to be opened by all entities other than LSEs with obligations under EDP or by Qualified Independent Parties. This Account can hold, transfer (outgoing and incoming), and Retire Certificates; register and maintain Projects and have Certificates issued to it for its Projects. A General Account is the only type of Account that can hold a Retirement Subaccount. Users' Company Type (See Appendix A for Account Registration Process) in their Registration will distinguish features applicable to their use of NYGATS.

Generating Unit: An energy source that has its own meter. Generating Units are represented in NYGATS as a NYGATS Project, also referred to as a Project.

Generator Agent: An Account Holder designated by a Generator Owner or offtaker who registers and represents specific Generating Units with the NYGATS. A Generator Agent will be vested with the authority to manage Certificates, approve transfers, imports, retirement or any other action taken with regard to Certificates deposited into or transferred out of the Generator Agent's accounts for its registered Project.

Generator ID: A unique identifier associated with a NYGATS Project. For NYISO Generators the Generator ID is assigned by the NYISO. For Other New York Generators and External Generators whose energy is imported to New York, the NYGATS assigns its own unique Generator ID.

Generator Owner: The person or entity holding legal title to a particular Generating Unit. Generating Units that are jointly owned must designate a lead owner for NYGATS purposes, or a Generator Agent, who shall be the single Account Holder who will control the account to which the Generating Unit is registered.

Interface Control Document: An Interface Control Document contains the protocol for collecting and transferring generation data from participating Control Areas and Qualified Independent Parties (QIP) to the NYGATS Administrator for the purposes of creating Certificates. The Interface Control Document will identify the NYGATS Projects to be reported for that interface, as well as the collection of information such as Generator IDs, data format, communication protocols, timing, and security requirements for data collection.

Import Project: Certificates imported into NYGATS certified through an Import Project registration. The Import Project registration uses the data delivered from the Compatible Certificate Tracking System and assigns an Import Project ID to the Import Project.

Load Serving Entity (LSE): Any entity (or the duly designated Agent of such an entity), including a load aggregator or power marketer, that has been granted the authority or has an obligation pursuant to state or local law, regulation or franchise to sell electric energy to end-users. LSE includes New York Energy Service Companies (ESCOs) and distribution utilities acting in their role of generation service provider of last resort.

Load: The amount of energy, in MWh, served by the LSE Account Holder to its end-use customers.

Load Modifiers: the adjustment made by certain LSEs to account for the fact that NYISO data may not accurately capture the load in New York State served by those LSEs due to some of such load being served other than through the NYISO wholesale market.

Load Share: The percentage of load served by an LSE in proportion to the total load served by all LSEs in a calendar year.

Monthly Meter Adjustments (MMA): Reconciliation of generator MWh data to correct for errors in previously reported figures.

Multi-fuel Project: A Registered Generating Unit (i) capable of producing energy from more than one input energy source, which may include non-renewable fuel(s), Renewable fuel(s), and/or non-fuel energy sources, either simultaneously or as alternatives; and (ii) for which the quantities of electricity production associated with each input energy source can be uniquely measured or calculated, and verified.

Nameplate Capacity: The maximum rated kilowatts or megawatts of a generator, prime mover, or other electric power production equipment under specific conditions designated by the manufacturer. Also referred to as Capacity.

New York Behind-the-Meter (BTM) Generator: Generating Units located in New York and interconnected behind a customer meter, including but not limited to net metered facilities, such that no transmission or distribution facilities owned by any transmission owner or distributor are used to deliver energy from the Generating Units to the on-site load. The Dynamic Data from BTM Generators are reported to the NYGATS by a Qualified Independent Party or may be self-reported if the Generating Unit qualifies as a Self-Reporting Generator.

New York Control Area (NYCA): The transmission system of New York State as managed by NYISO.

New York Generation Attribute Tracking System (NYGATS): The NYGATS is a generation attribute registry and software application program that (i) creates Certificates to uniquely define each MWh of energy and associated Attributes generated in or imported into New York; (ii) creates Certificates that are imported to the registry without accompanying energy; (iii) tracks said Certificates and (iv) prevents double counting.

New York Independent System Operator (NYISO): The regional transmission organization (RTO) that operates wholesale electricity markets for, and coordinates the movement of wholesale electricity in, the New York Control Area.

New York Small Wholesale Generator: Generating Units interconnected to the transmission or distribution system but not reportable by NYISO to the NYGATS on a unit-specific basis. This category covers generation in wholesale commerce that (i) is typically either reported by a utility or scheduling coordinator to NYISO aggregated with similar generators, or (ii) is distributed generation metered by a distribution utility but netted from the load reported to NYISO (sometimes referred to as load modifiers, generation netted from load, etc.). (See Section 5.1)

New York Small Wholesale Generators Also Serving On-Site Loads: Generating Units interconnected to the distribution system, with on-site loads other than Station Service drawing service from the Generating Unit. Dynamic Data is provided to the NYGATS Administrator by a Qualified Independent Party or may be self-reported if the Generating Unit qualifies as a Self-Reporting Generator. (See Section 5.1)

New York VDER Generator Also Serving On-Site Loads: Generating Units interconnected behind a customer meter under the Value of DER tariff with on-site loads where the interconnecting utility has rights to the certificates from electricity exported to the grid and the on-site owner has rights to certificates for energy generated and consumed on-site. Dynamic Data is provided by the interconnecting utility's Qualified Independent Party for the metered energy exported to the grid while Dynamic Data for energy metered and consumed on site is reported to the NYGATS by the on-site owner's Qualified Independent Party or may be self-reported (see Self-Reporting Generator). (See Section 5.8)

Non-Unit-Specific Imports or Exports: Imported System Energy that cannot be tied to a Generator via the Generator ID.

NYGATS Administrator: The NYGATS Administrator is the entity responsible for administering the day-to-day operations of the NYGATS, maintaining the NYGATS, and implementing the Operating Rules.

NYGATS Terms of Use (TOU): The Terms of Use define all rights and obligations between NYGATS and the Account Holders. All Account Holders in NYGATS must agree to the Terms of Use in order to obtain access and use of the system.

New York Independent System Operator (NYISO): NYISO is responsible for maintaining and enhancing regional reliability, and operating open, fair and competitive wholesale electricity markets in the New York Control Area.

NYISO Generator: A Generating Unit registered with the NYISO and whose Dynamic Data is provided to the NYGATS Administrator from the NYISO on a unit-specific basis.

NYISO Generators Also Serving On-Site Loads - Generating Units interconnected to the transmission system, but with on-site loads other than Station Service drawing service from the Generating Unit before the Control Area's revenue metering point. Dynamic Data metered by the Control Area is provided to the NYGATS Administrator from the NYISO on a unit-specific basis, while Dynamic Data for energy metered and consumed on site is reported to the NYGATS by a Qualified Independent Party or may be self-reported if the Generating Unit qualifies as a Self-Reporting Generator. (See Section 5.8)

Open Access Technology International (OATI) System: OATI, Inc. provides innovative software solutions that streamline and optimize the operational tasks, including Smart Grid, Trading, and Reliability.

Other New York Generators: Generating Units located in New York that are not NYISO Generators, comprised of New York Behind-the-Meter Generators, New York Small Wholesale Generators, New York Small Wholesale Generators Also Serving On-site Loads, or NYISO Generators Also Serving On-site Loads.

Prior Period Adjustments: A generation data adjustment loaded for a certificate vintage that has already had generation data reported and Certificates issued.

Program Administrator Account: NYGATS provides two types of Program Administrator Accounts: 1) NYSERDA Program Administrator Account, and 2) DPS Program Administrator Account. The Program Administrator Account gives Program Administrators access to NYGATS reports relevant to the user's role. (See Section 7.)

Project (or NYGATS Project): A Registered Generating Unit tracked in NYGATS. Projects can include Generating Units, Import Projects and Aggregation Projects.

Project Registration: Project Registration is a process that includes the provision of Static Data such as engineering information, technology type, ownership information, location and eligibilities.

Provisional Statement of Qualification (PSoQ): Certifies that a Bid Facility will meet the eligibility requirements under Tier 1 of the Renewable Energy Standard. Applicants whose projects have not yet become operational can submit a resource eligibility determination request for provisional status, and if successful, will be granted a PSoQ.

Qualified Independent Party (QIP): Any entity not affiliated with the Generator Owner, that may include but are not limited to the interconnecting utility, scheduling coordinator, independent third-party meter reader, or Generator Agent, as long as the Qualified Independent Party has an agreement with the NYGATS Administrator. The agreement with the NYGATS Administrator describes the terms and conditions under which the Qualified Independent Party agrees to conduct business for the Generator Owner with NYGATS.

Registered Generating Unit: A Registered Generating Unit is also referred to as a NYGATS Project or Project. See also Unregistered Generating Unit.

Registration (Account Registration): The act of completing and submitting all registration forms and filling out the forms necessary to establish an account in the NYGATS. Such forms may be obtained on-line or from the NYGATS Administrator.

Registration Rights: The right to register a Project in NYGATS. These rights are held by the owner of a Project or by an entity that has been designated as a Generator Agent for a specific Project(s).

Renewable: See Appendix B for a description of NYGATS fuel types and identification of those fuel types that are renewable and whose Certificates are eligible for Retirement, and Unbundled Imports and Exports.

Renewable Energy Certificate: A **C**ertificate representing one MWh of generation from a renewable fuel type identified in Table B-2. Also called a Renewable Energy Credit.

Renewable Energy Standard (RES): A component of the Clean Energy Standard through which CES renewable generation goals and mandates are met. The RES compliance period began in January of 2017.

RES Tier 1: A component of the RES that sets mandates for acquisition of new renewable generation by LSEs serving New York State electric load.

RES Tier 1 Certificate: Eligible certificates from facilities with a current Statement of Qualification from the RES Tier 1 Operational Certification process.

RES Tier 1 Operational Certification: The process for a Generating Unit to demonstrate that it is eligible to be used for compliance with Tier 1 requirements of the Renewable Energy Standard. Operating Generating Units that apply and that meet the eligibility criteria for Certification will be granted a Statement of Qualification and will be create RES Tier 1 Certificates.

RES Tier 1 Provisional Certification: The process for a Generating Unit that is not yet commercially operating to demonstrate that it will be eligible for RES Tier 1 compliance once it achieves commercial operation. Generating Units that apply for Provisional Certification and that meet the eligibility criteria will be granted a Provisional Statement of Qualification and will be able to participate in NYSERDA REC procurements.

Renewables Fund: An account of money created by a system benefits charge and RPS surcharge paid by regulated investor-owned distribution utilities pursuant to Public Service Commission order, managed by NYSERDA, and used in part to acquire renewable energy Attributes.

Renewable Portfolio Standard (RPS): A New York program by which NYSERDA procured RPS Attributes from qualified renewable energy generation sources**.** The RPS program concluded in 2015 and has been succeeded by the Clean Energy Standard.

Renewables Subaccount (for NYSERDA use only): This subaccount is used by NYSERDA to hold RPS Certificates and RECs swept from Active Subaccounts after the close of the trading period. Certificates deposited in the Renewables Subaccount cannot be transferred out. Certificates deposited into the Renewables Subaccount will be assigned at Settlement to the LSEs that contribute to the Renewables Fund based on the LSE's Load Share (see Section 12.1).

Reporting Period: For the purposes of the NYGATS, a Reporting Period is the 'begin' and 'end' dates of generation that is reported into NYGATS. Reporting Period is used in the calculation of Certificate Vintage and the Data Validity Check.

Residual Mix and **Residual Mix Certificates**: Residual Mix is a type of Certificate that is created during Settlement by the NYGATS Administrator with Attributes equal to the average of all non-renewable Certificates remaining in all Active Subaccounts and Certificates in the NYGATS Administrator's Account (such as for emergency imports and Unregistered Generating Units). Residual Mix Certificates do not reflect the Attributes of (i) Certificates remaining in Load Serving Entity EDP Subaccounts; (ii) Certificates in a Banked Certificates Subaccount; (iii) Certificates that have been transferred to a Retired Subaccount; or (iv) Certificates that have been imported without an accompanying import of energy. Residual Mix Certificates will be assigned to each LSE based on its Unfulfilled Load, i.e., if the LSE has fewer Certificates in its EDP Subaccount than its LSE Load.

Retirement (of Certificates): Retirement occurs when an Account Holder transfers Unbundled Certificates to its Retirement Subaccount, for example when Certificates are sold to an end-user for environmental claims. Retirement removes a Certificate from circulation within the NYGATS. Only Renewable Certificates, as described in Appendix B, may be retired. Retired Certificates are not included in Environmental Disclosure Labels.

Retirement Subaccount: A subaccount managed by the Account Holder to designate when, and for what purpose, NYGATS Certificates may no longer be used. The Retirement Subaccount may be used to retire Certificates after sale to an end-use customer or other entity. Certificates in a Retirement Subaccount are excluded from the Residual Mix during the Settlement and will not appear on a LSE's fuel mix and emissions Environmental Disclosure Label. Certificates may not be transferred out of the Retirement Subaccount.

Revenue-Quality Meter or **Revenue-Quality Metering**: Any meter accepted by NYISO for settlements, and any meter that meets the applicable ANSI C12.1-2014 (+/- 5% rating) standard.

RPS Certificate: A Certificate procured by NYSERDA under the New York State RPS program that is not RES Tier 1 eligible.

Self-Reporting Generator: A customer-sited distributed generator with a Nameplate Capacity of less than or equal to 200 kW that elects to transmit Dynamic Data to the NYGATS Administrator via the Self-Reporting Interface pursuant to Section 5.8.

Self-Reporting Interface: A standard Internet-based data entry portal which serves as the method for a Self-Reporting Generator to communicate Dynamic Data to the NYGATS Administrator pursuant to Section 5.8. The protocol for entering data via the Self-Reporting Interface will be documented by the NYGATS Administrator.

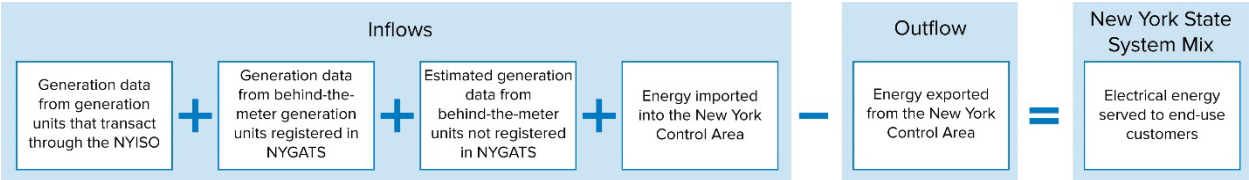
Settlement: The annual process occurring when unassigned non-renewable Certificates from the previous vintage year are converted to Residual Mix and assigned to the unfulfilled load in each LSE's EDP Subaccount for the purpose of creating Environmental Disclosure Labels. RPS Certificates and RECs swept from Active Subaccounts in the NYSERDA Renewables Subaccount are assigned proportionately to each LSE that contributes to the Renewables Fund, based on the LSE's Load Share (see Section 12.1).

Statement of Qualification (SoQ): Certifies that an operational Bid Facility meets the eligibility requirements under Tier 1 of the Renewable Energy Standard.

Static Data: Static Data describes the Attributes of the Generating Unit. Static information generally includes information related to the characteristics of the Generating Unit such as technology type, ownership or location. See Appendix B for a list of Generating Unit Static Data fields.

Station Service: Electrical energy used by Generating Units to operate on-site electrical equipment used in the production of energy and any useful thermal energy associated with the production of energy; and for the incidental heating, lighting, air-conditioning, and office equipment needs of on-site buildings, or portions thereof, owned by the same entity that owns the Generating Unit, and which are used exclusively in connection with the production of energy and any thermal energy associated with the production of energy. Station Service does not include energy used for pumping or charging storage facilities.

System Mix Certificates: A type of Certificate that is based on the average fuel sources and emissions for a given Control Area. In the absence of Residual Mix information, System Mix Certificates may be created for emergency imports and Non-Unit-Specific Imports. The Attributes for the source Control Area of the import are used on the System Mix Certificate. Using these inputs, NYGATS calculates the average amount of each fuel type used to generate electricity and the associated average emissions. Fuel type and emissions information is then matched to the generation used by electricity customers in New York. The output of the New York System Mix represents the average characteristics of the electricity consumed in New York State in a given year. This is different from, but inclusive of, the unique mix that electricity providers deliver to their customers.



Trading Period: For a vintage year, the trading period begins with the issuance of January Certificates and ends on June 30th of the next year. See Section 9.1

Unbundled/Unbundled Certificate: An Unbundled Certificate is a Certificate that is sold to a different entity than the one that purchases the energy that gave rise to the Certificate. Certificate Imports that are not accompanied by an import of energy will be labeled as an Unbundled Import and will be excluded from the annual Settlement and Residual Mix application. See Bundled Certificate.

Unbundled Import: Certificate-only Imports that are not accompanied by an import of energy from the same Generating Unit are called an Unbundled Import and are excluded from the annual Settlement and Residual Mix application.

Unfulfilled Load: Any shortfall of Certificates in a LSE's EDP Subaccount relative to its Load, at the time of annual Settlement. Unfulfilled Load is assigned Residual Mix Certificates for fuel mix and emissions disclosure purposes.

Unit-Specific Import (or Export): Imported (or exported) generation that can be tied to a specific Generating Unit via the Generator ID. Imported (or exported) generation must meet the criteria discussed in Section 11.

Unregistered Generating Unit: A NYISO Generator that is not associated with an Account Holder in the NYGATS (i.e., they are not Registered Generating Units). For Unregistered Generating Units, the NYGATS will create Certificates that will be deposited in the NYGATS Administrator's Account for use in creating the Residual Mix.

Unsettled Certificates: Certificates from the previous vintage year remaining in the Active Subaccounts of non-LSE Account Holders, and in the Administrator's account, when the Trading Period is closed. Unsettled Certificates applied the Residual Mix at which time they will be converted to Residual Mix and assigned to LSE Unfulfilled Load.

Utility Green Pricing Product: Renewable electricity product offered to residential and non-residential utility customers as part of their existing electric service

Voluntary Market: The sale by marketers or LSEs, and voluntary purchase by end-use customers or others, of NYGATS Certificates. Voluntary Market is distinct from demand for Certificates for compliance with Tier 1 of the RES or other mandatory requirements.

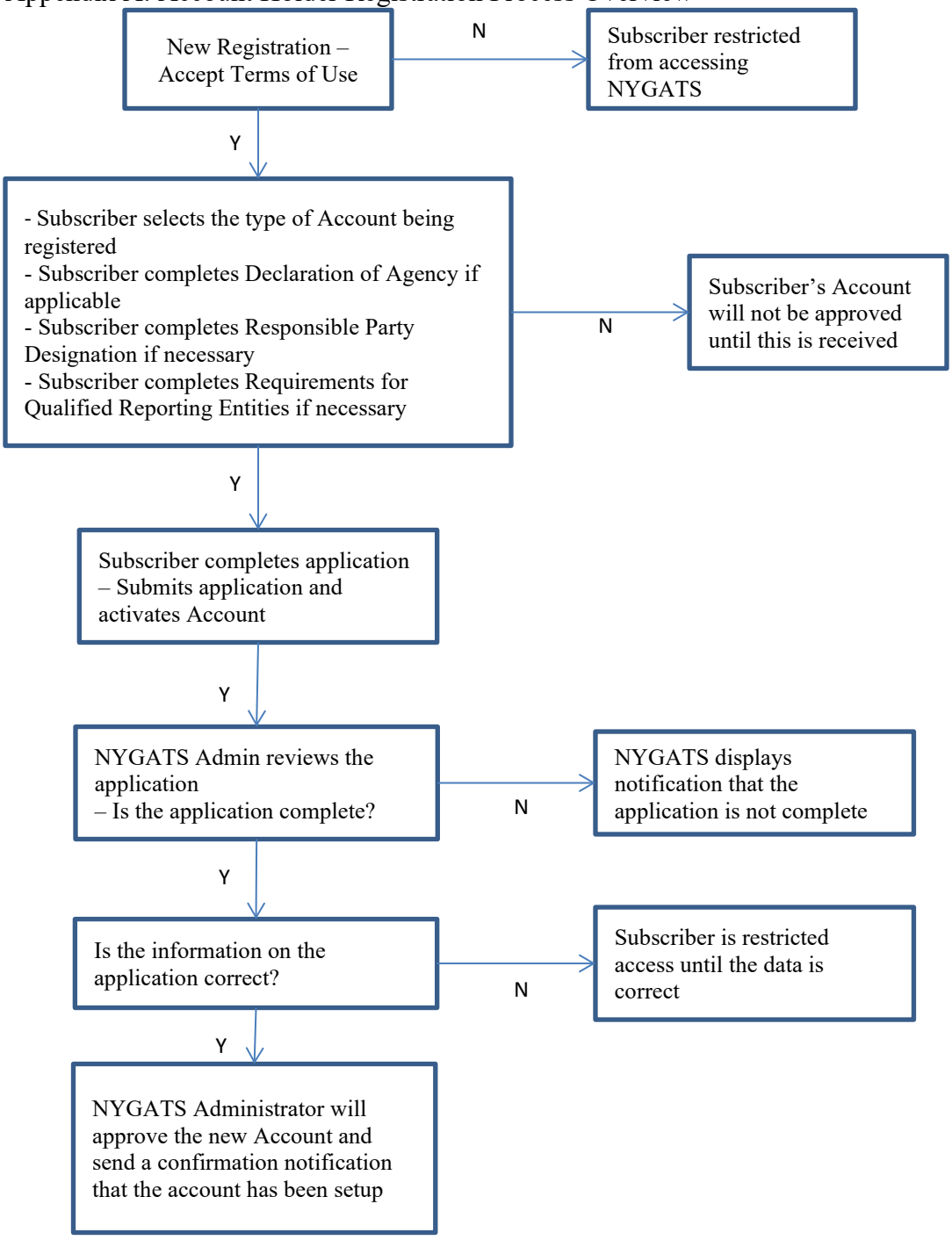
Value of Distributed Energy Resources (VDER): A compensation methodology authorized by the New York State Public Service Commission for distributed energy resources that seeks to more accurately value the contributions from these resources in order to maximize benefits to the customer, the electric system, and society.

Wholesale Generators Also Serving On-Site Loads: Generators interconnected to the transmission systems, but with on-site loads other than Station Service drawing service from the generator before the Control Area's revenue metering point. Such generators either (i) have the net generation supplied to the grid reportable by the Control Area to the NYGATS, or (ii) are not reportable by the Control Area to the NYGATS on a unit-specific basis.

Zero Emission Credit: Certificates from the nuclear electric generating facilities indicated as eligible under the Zero Emissions Credit Requirement (ZECR) component of the CES. The ZECR program began in April of 2017.

Zero Emission Credit Requirement (ZECR): The ZEC requirement ensures continued operation of certain existing at-risk upstate nuclear power plants, which produce emissions-free generation and contribute to meeting the State's greenhouse gas goals.

Appendix A: Account Holder Registration Process Overview



Appendix B: Static Data Fields and Fuel Type Definitions

Table B-1: Generator Static Data Fields Field Name	Required for GEN or AGG	Required VDR	Format
Project Type	Yes	Yes	Single Select: • Generator, • Aggregated, • VDER • VDER (Onsite Consumption) – for non-utilities only
NYISO Generator	Yes	N/A	Yes or No (not editable)
NYISO Gen ID	Yes	N/A	Entered NYISO Asset ID (not editable)
NYGATS Gen ID	Auto-assigned	Auto-assigned	Assigned NYGATS Generator ID
External Asset ID	External Generators with Unit-Specific Imports	N/A	Either entered NYISO Asset ID (if recognized by NYISO), or entered by Account Holder
Plant Name	Yes	Yes	
Unit Name	Yes	Yes	
Status	Auto-Assigned	Auto-Assigned	N/A - Read only set by system to Pending
Street Address	Yes	Yes	Street address of project, including number, city, county, state/province, country, Zip/Postal
NERC Region	Yes	Default to NPCC	Selected from the following list: • ECAR • ERCOT • FRCC • MAAC • MAIN • MRO • NPCC • SERC • SPP • WECC
eGrid Subregion	Yes	Yes	Single-select. Dynamic list based on NERC Region selected
EIA Plant Number	Yes	N/A	US Energy Information Administration Plant #

Table B-1: Generator Static Data Fields Field Name	Required for GEN or AGG	Required VDR	Format
Emission Unit ID	Yes	N/A	• One to six characters • The code assigned to each individual emission unit by the EPA • A generator can have multiple IDs If no unit number exists then enter N/A
CEM Reporting	Yes	N/A	Yes or No
ORIS PL	Yes	N/A	• One to six digits • The code associated with this plant by the Office of Regulatory Information Systems (ORIS) If the unit does not have an ORIS PL code, then enter N/A
NYDEC ID	No	N/A	If reporting emissions to NY Department of Environmental Control
Facility Owner Name	Yes	N/A	
Facility Owner Address	Yes	N/A	Street address of project, including number, city, county, state/province, country, Zip/Postal, telephone #
Control Area Operator for Project	Yes	Default to NYISO	Defaulted to "NYISO" and can be changed to one of the following: • New England (ISO New England Control Area) • PJM Control Area • Ontario • Quebec • Maritime Provinces (including portions of Maine not in ISO-NE) • Mid-Western States (ECAR and MAIN) • Southern States (SERC and FRCC) • Other (WECC, ERCOT, SPP and MRO)

Table B-1: Generator Static Data Fields Field Name	Required for GEN or AGG	Required VDR	Format
Market pricing Zone	No	N/A	Selected from the following list: • A – West • B – Genesee • C- Central • D – North • E - Mohawk Valley • F – Capital • G - Hudson Valley • H – Millwood • I – Dunwoodie • J – NYC • K - Long Island
Utility to which Project is Interconnected	Yes	Yes	
VDER SIR Application/Job #	N/A	Yes	NY DPS Interconnection queue job #
Onsite Project?	N/A	Yes	Flag to indicate whether the VDER has a corresponding onsite project.
In-Service Date	Yes	Yes	MM/YYYY
Name Plate Capacity	Yes	Yes	Positive Number with three decimal places in MW
Capacity Factors-Seasonal	No	Yes	If selected, positive number for both a Summer and Winter seasonal factor[7]
Maximum Annual Energy	Yes	Yes	Either Capacity Factor or Maximum Annual Energy is required
NYSERDA Funding	Yes	Yes	Selected from the following list: • None • Maintenance Tier • Main Tier RPS • Renewable Energy Standard NY Sun/RPS Customer Sited Tier
Tariff Type	Required for New York Generators that are not NYISO Generators	Default to Value of DER Phase 1	Selected from the following list: • Energy and Capacity - Utility controlled wholesale meter • Energy and Capacity - Facility controlled revenue grade meter • Net Energy Metering • Value of DER Phase 1

[7] The summer and winter dates align with the NYISO capability periods. The Summer Capability Period is May 1 through October 31 and the Winter Capability Period is November 1 through April 30

Table B-1: Generator Static Data Fields Field Name	Required for GEN or AGG	Required VDR	Format
Fuel Type	Yes	Yes	Single or multi-selected fuel. When selecting multiple fuels, a primary fuel must be indicated.
Facility Operator/Project Manager Contact Name	Yes	N/A	
Facility Operator/Project Manager Address	Yes	N/A	Street address of project, including number, city, state/province, country, Zip/Postal, telephone #, email
Qualified Independent Party	Yes	Yes	Select from list of registered QIPs, including NYISO
Qualified Independent Party ID	Yes	Yes	ID that the QIP will use to report meter data for the project (Not required if self-reporting)
Ownership Type	Yes	N/A	Multi-select types of owners.
Relationship of Account Holder to Generating Unit	Yes	N/A	Selected from the following list: • Owner • Generator Agent • Offtaker
Assignment of Registration Rights	Yes	N/A	Yes/No
Assignment of Registration Rights Effective Date	No	N/A	MM/DD/YYYY. Required if Assignment of Registration Rights is selected “Yes”
Court or Regulator’s Assignment of Registration Rights	Yes	N/A	Yes/No
Court or Regulator’s Assignment of Registration Rights Effective Date	No	N/A	MM/DD/YYYY. Required if Court or Regulator’s Assignment of Registration Rights is selected “Yes”
Revenue Meter ID	Yes	N/A	Alphanumeric Number
Meter Manufacturer	Yes	N/A	
Meter Type	Yes	N/A	
Date of Last Meter Certification	Yes	N/A	
LIHI Eligibility	No	•	• Yes or No • Entered for each fuel type

Fuel Type is a required field. The NYGATS supports the fuel types in the Table B-2 below. If the Single/Multi-fuel Indicator is set to 'Single', then one fuel type is selected. If the Single/Multi-fuel Indicator is set to 'Multi' then more than one fuel type is selected, and one is identified as the Primary. Fuel Types have been updated per the definitions of the CLCPA. Biomass, Biogas and non-renewable Fuel Cell with existing Tier 1 contracts with NYSERDA are considered renewable. For a list of fuel types designated as eligible under RES Tier 1 of the CES please refer to Appendix A of the CES Order[8] or the RES Tier 1 Eligibility and Certification Guidelines[9].

Table B-2. NYGATS Fuel Types and Eligibility as a Renewable Fuel Type

Category	Fuel Type (Short Description)	Fuel Type (Description)	Eligible as Renewable (Y/N)	Fuel Type on EDP Label
Biogas - Landfill Gas	Landfill Gas (BIG)	Landfill gas (captured methane).	**No**	**Biogas**
Biogas - Anaerobic Digestion	Biogas from Anaerobic Digestion and Sewage Gas (BIG)	Biogas generated from Anaerobic Digestion of animal wastes (manure), agricultural by-products, food processing residue. Sewage gas - biogas generated from Anaerobic Digestion of wastewater.	**No**	**Biogas**
Clean Woody Biomass	Clean Woody Biomass (CWB)	Agricultural Woody Biomass: Clean Agricultural Residue - woody matter remaining after the thinning or pruning of orchard trees on agricultural lands. Sustainable Yield Energy Crops - woody crops grown specifically for the purpose of being consumed as an energy feedstock (energy crops). Forest Biomass: Harvested Wood - Wood harvested during commercial harvesting. Silviculture Waste Wood - Wood harvested during timber stand improvement and other forest management activities conducted to improve the health and productivity of the forest. Clean Wood Residues:	**No**	**Biomass**

[8] Case 15-E-0302; Proceeding to Implement a Large-Scale Renewable Program and a Clean Energy Standard, "Order Adopting a Clean Energy Standard," issued and effective August 1, 2016.
[9] https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility

Category	Fuel Type (Short Description)	Fuel Type (Description)	Eligible as Renewable (Y/N)	Fuel Type on EDP Label
		Mill Residue Wood - Hogged bark, trim slabs, planer shavings, sawdust, sander dust and pulverized scraps from sawmills, millworks and secondary wood products industries. Site Conversion Waste Wood - Wood harvested when forestland is cleared for the development of buildings, roads or other improvements. Pallet Waste - Unadulterated wood collected from portable platforms used for storing or moving cargo or freight. Clean Urban Waste Wood: Source Separated Urban Wood Waste - source-separated combustible, untreated and unadulterated wood portion of municipal solid waste or construction and demolition debris. Not Source Separated Urban Wood Waste - clean wood recovered from C&D debris at a permitted Materials Reclamation Facility (MRF) or C&D processing facility.		
Herbaceous Biomass	Clean Herbaceous Agricultural Residues and Sustainable Yield Energy Crops (HBU)	Unadulterated herbaceous biomass including: Clean Agricultural Residue - herbaceous matter remaining after the harvesting of crops on agricultural lands. Sustainable Yield Energy Crops - herbaceous crops grown specifically for the purpose of being consumed as an energy feedstock (energy crops).	**No**	**Biomass**

Category	Fuel Type (Short Description)	Fuel Type (Description)	Eligible as Renewable (Y/N)	Fuel Type on EDP Label
Adulterated Biomass - Renewable	Adulterated biomass that meets the eligibility requirements for renewable fuel (ADB-R)	In order to be a renewable resource, adulterated biomass must undergo a primary conversion process to a liquid or gaseous fuel prior to the power conversion system, and meet all other eligibility requirements. Adulterated biomass includes all types of biomass that do not fall within the categories of unadulterated biomass. Examples of adulterated biomass include: paper, paperboard boxes, textiles, yard waste and leaves, non-recyclable wood (e.g. plywood and particle board); agricultural by-products such as leather and offal and food processing residues; and other adulterated wood wastes and mixed adulterated and clean wood wastes.	**No**	**Biomass**
Adulterated Biomass - Non-Renewable	Adulterated biomass that does not meet the eligibility requirements for renewable fuel (ADB-NR)	Biomass that has been treated or contaminated in some way and has not undergone a primary conversion process to a liquid or gaseous fuel or does not otherwise meet the eligibility requirements to be a renewable resource. Adulterated biomass includes all types of biomass that do not fall within the categories of unadulterated biomass. Examples of adulterated biomass include: paper, paperboard boxes, textiles, yard waste and leaves, non-recyclable wood (e.g. plywood and particle board); agricultural by-products such as leather and offal and food processing residues; and other adulterated wood wastes and mixed adulterated and clean wood wastes.	**No**	**Biomass**
Battery	BAT	Battery Storage	**No**	**Battery Storage**

Category	Fuel Type (Short Description)	Fuel Type (Description)	Eligible as Renewable (Y/N)	Fuel Type on EDP Label
Coal	Coal (COA)	Coal Mine Methane Gas, Liquefied Coal, Bituminous Coal and Anthracite Coal, Lignite Coal, Coal-based synfuel including briquettes, pellets or extrusions, which are formed by binding materials and processes that recycle material; Sub-Bituminous Coal, Anthracite Culm, Bituminous Gob, Fine Coal, Lignite Waste, Waste Coal	**No**	**Coal**
Energy Storage	Energy Storage (ESR)	Pumped Storage, Flywheel, or other storage tracked in NYISO	**No**	**Hydroelectric**
Fuel Cell - Renewable	FCR	An electrochemical device that converts a renewable (such as hydrogen or other non-fossil fuel) as defined in this table) fuel's chemical energy into electricity and heat without combustion: Solid Oxide Fuel Cells (SOFC), Molten Carbonate Fuel Cells (MCFC, Proton Exchange Membrane Cells (PEM), Phosphoric Acid Fuel Cells (PAFC), Fuel Cell - Other	**Yes**	**Renewable Fuel Cell**
Fuel Cell – Non-renewable	FCN	An electrochemical device that converts a non-renewable fuel's chemical energy directly into electricity, heat and water without combustion	**No**	**Natural Gas**
Geothermal	Geothermal (GEO)	Geothermal Electric	**Yes**	**Geothermal**
Hydroelectric	Hydroelectric (HYD)	Conventional Hydroelectric, including upgrades that increase capacity; Run-of River Hydroelectric	**Yes**	**Hydroelectric**
Natural Gas	NG	Natural Gas	**No**	**Natural Gas**
Nuclear	Nuclear (NUC)	Nuclear: Uranium, Plutonium, Thorium	**No**	**Nuclear**
Tidal/Ocean	Ocean (OCE)	Tidal Turbine, Ocean Wave Turbine, Ocean Current Wave Turbine, Ocean Thermal	**Yes**	**Tidal/Ocean**
Oil	Oil (OIL)	Distillate Fuel Oil: All Diesel and No. 1, No. 2, and No. 4 Fuel Oils, Jet Fuel, Kerosene, Petroleum Coke, Residual Oil: No. 5 and No. 6 Fuel Oils and Bunker C Fuel Oil, Waste/Other Oil: Butane (Liquid), Crude Oil, Liquid Byproducts, Oil Waste, Propane (Liquid), Re-Refined Motor Oil, Sludge Oil, Tar Oil	**No**	**Oil**

Category	Fuel Type (Short Description)	Fuel Type (Description)	Eligible as Renewable (Y/N)	Fuel Type on EDP Label
Other	Other (OTH)	Other (Chemicals, Coke Breeze, Refinery Hydrogen, Pitch, , Tar Coal, and miscellaneous technologies) Waste Fuels such as tire derived fuel, asphalt shingles, TDF Fluff	**No**	**Solid Waste**
Other Fossil Gas	Other Fossil Gas (OFG)	Blast-Furnace Gas, Butane, Coal Processes, Coke-Oven, Refinery, and other processes, Propane	**No**	**Natural Gas**
Solar	Solar Electric (SOL)	Photovoltaic, Solar Thermal Electric	**Yes**	**Solar**
Solid Waste – Non-renewable	Solid Waste (SWN)	Municipal Solid Waste – Combustible Solid Waste and syngas produced by Gasification	**No**	**Solid Waste**
Waste Heat - Renewable	Waste Heat (WHR)	Heat that is a by-product of an industrial process using renewable fuels and which is used in the direct production of electricity at the facility of a customer	**Yes**	**Waste Heat - Renewable**
Waste Heat – Non-renewable	Waste Heat (WHN)	Heat that is a by-product of an industrial process using non-renewable fuels and which is used in the direct production of electricity at the facility of a customer	**No**	**Natural Gas**
Wind	Wind (WIN)	Land based wind, Off-shore wind	**Yes**	**Wind**

New York State and Voluntary program fields are entered for each fuel type selected.

The Account Holder cannot edit the State program fields.

Program	Data Element	Format
RES Tier 1	Yes/No	
	Tier 1 Percent Eligible	XX.XX%
ZEC	Yes/No	
LIHI	Yes/No	
	Verification/Certification #	

Appendix C: Documentation Required for Electricity Production for Multi-Fuel Generating Units

Upon registration with the NYGATS as a Multi-fuel Project, each such Multi-fuel Project's Account Holder (except for Account Holders associated with Multi-fuel Projects using biogas supplied by a common carrier pipeline) must submit to the NYGATS Administrator a report prepared by an independent professional engineer containing documentation of a methodology for calculating the electricity production associated with each fuel used during a month, consistent with the applicable requirements of Section 5.11. Following the NYGATS Administrator's review and acceptance of such a report's methodology, the Multi-fuel Project's Account Holder may seek creation of Certificates subject to the provisions of Section 8. This requirement will be waived for Generating Units that provide fuel-split information to the New York Department of Environmental Conservation, NYSERDA (for Generators under Contract) or another regulatory authority.

Documentation of the following information used to calculate the proportion of electric output per fuel type, by MWh, generated by the Generating Unit during a calendar month must be maintained by Multi-fuel Projects seeking Certificates, using the best available sources of information. If the Generating Unit already provides documentation to NYSERDA or regulatory entities addressing each of the items below or otherwise provides substantiation of the percentage of generation from each fuel type to regulatory entities, this documentation may substitute, upon approval of the NYGATS Administrator, for the requirements listed below.

1. Quantities of each fuel type (other than solar) must be measurable and verified by documentation provided to Control Area Operators, EPA or state air regulators, if available. If such documentation is not available, verifiable documentation of fuel quantities consumed during the month may be considered, such as: metered liquid or gaseous fuel input where the meter is read by an independent third party so long as such entity has an agreement with the NYGATS Administrator, or financial records of fuel supply deliveries coupled with plant reports documenting mass of each fuel consumed in each calendar month.
2. Documentation of net heat content for each fuel source other than solar thermal must be supported by documentation of heat content measurement by an independent laboratory.
3. If specification of a heat rate is required according to provisions of Section 5.11, the heat rate must be determined according to testing certified by an independent third party consistent with the protocol accepted for plant heat rate testing in the plant's Control Area. If different heat rates apply for different fuels, the determination for each applicable heat rate must meet the requirements of this paragraph.

Biogas that is commingled with natural gas in a common carrier pipeline may qualify as a renewable fuel if the following conditions are met. The producer of the biogas (or the Generating Unit that proposes to use the biogas to generate electricity) must:

1. Demonstrate that the biogas is produced in New York State or in an adjacent Control Area.

2. Demonstrate that the biogas can be physically delivered to the Generating Unit, including identification of the injection point to the common carrier and withdrawal point proximate to the Generating Unit, and a contracted transportation path on the pipeline between the injection and withdrawal points.
3. Provide documentation verifying that the biogas is delivered to the Generating Unit in a manner and timing consistent with the delivery contract.
4. Demonstrate or attest that the biogas and its renewable attributes have been uniquely sold to and used by the Generating Unit.

Certificates reflecting biogas Attributes will be issued to the Generating Unit based on the total output (MWh) of the Generating Unit multiplied by the ratio of the quantity of biogas injected and delivered to the Generating Unit divided by the total pipeline gas used by the Generating Unit.

Appendix D: Certificate Timeline

Figure D-1 Certificate Creation for NYISO Settled Generating Units

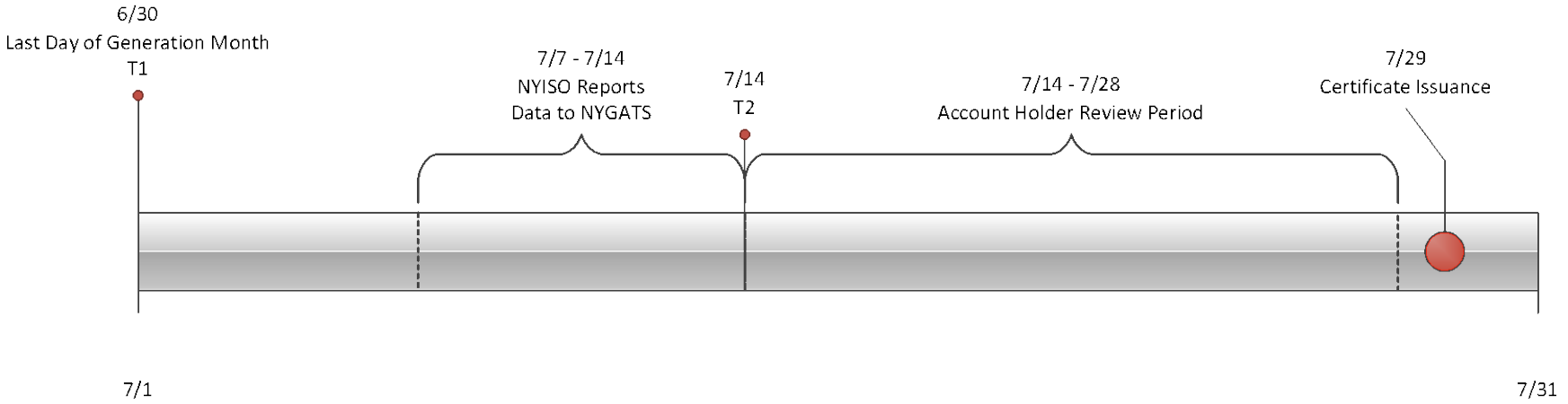


Figure D-2 Certificate Creation for Non-NYISO Settled Generating Units

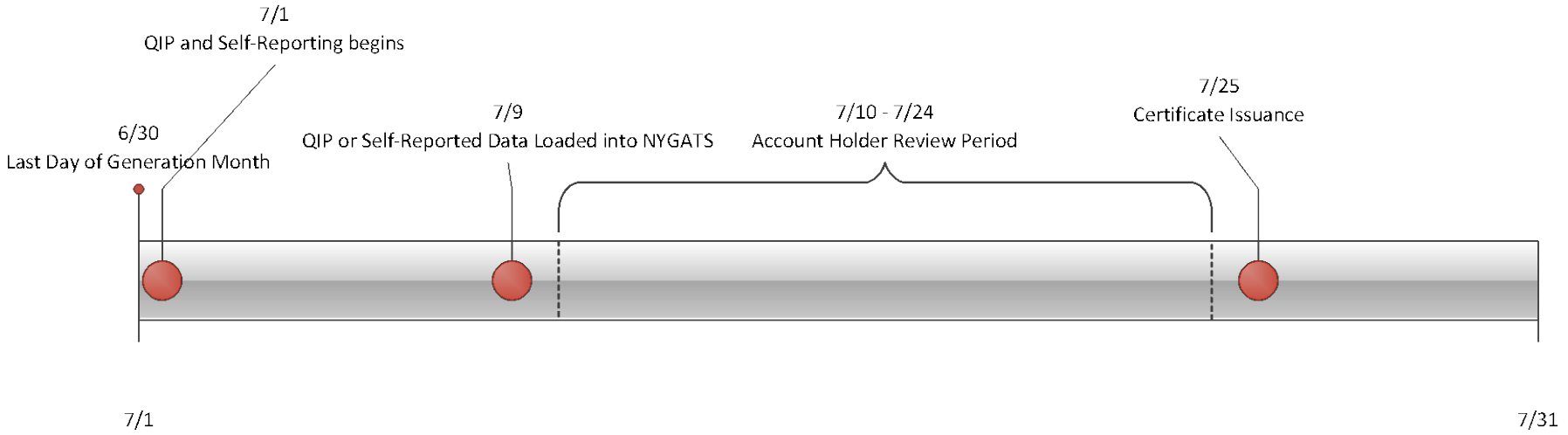
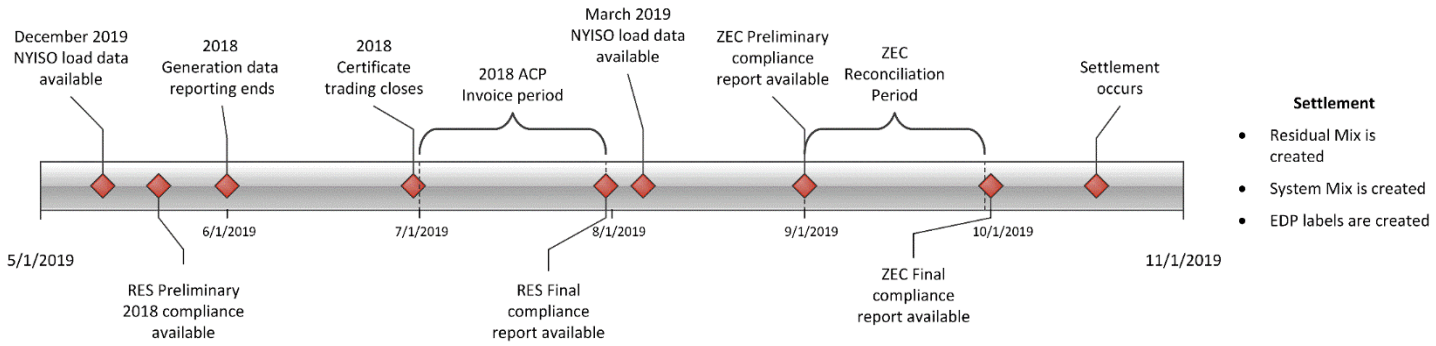


Figure D-3 Settlement Timeline



Appendix E: NYGATS Reports

There are five categories of Reports:

- NYGATS Administrator
- Account Holder
- Program Administrator
- Qualified Independent Party (QIP)
- Public

1. The **NYGATS Administrator** Reports are:

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity
NYISO Data Integrity	Summary of NYISO data received and processed	X					Year & Month
Data Pending Certificate Creation	Generation data loaded and accepted by NYGATS that has not yet issued to certificates	X					None
Data Pending Admin Approval/Review	Data entered into NYGATS that required review and approval by the registry admin	X					None
Account Holders by Status	Report of all Account Holders and the status of their accounts	X	X				None
Event Log	Activity Log of the NYGATS Administrator	X					None
Project Administration Report	Report of all NYGATS Generators, NYISO Generators and Other New York Generators, and their respective status	X					None
NYGATS Usage	Report on NYGATS logins – quantities, failures, etc.	X					None
Latest NYGATS Login	Detailed report on NYGATS logins over the past 24 hours	X					None
Security Events	Security report on unauthorized, unknown, or unsafe activities	X					None
TOU Agreement History	Report tracking history of Account Holder acceptance of NYGATS Terms of Use	X					None
Certificate Export Request Report	Report listing all Certificate export requests and completions (Bundled and Unbundled)	X					Month & Year
Certificate Import Request Report	Reporting listing all Certificate import requests and completions (Bundled and Unbundled)	X					Month & Year
Generator Registration Exception Report	Report listing all generating registration requests that fail location validity checks	X					Month & Year
Small Scale Aggregation Units	Report listing details on units aggregated in an Aggregation Project	X					None
Engineering Feasibility Estimate Calculations	Report listing all generating units that have failed feasibility/Data Validity Check	X					Month & Year

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity
Login Management	Report listing all NYGATS logins	X					None
Generation Activity Log	Report listing all activity related to meter data reporting and issuance for all registered NYGATS generators	X					Month & Year
Inter-Account Transfers	Report listing all transfers of Certificates between NYGATS account holders	X					Month & Year
Intra-Account Transfers	Report listing all transfers of Certificates within a NYGATS account holder's account	X					Month & Year
Inter-Registry Transfers	Report listing all transfers of Certificates either into, or out of, the NYGATS registry	X					Month & Year
Import Reconciliation	Report listing all Bundled Imports, specific to the amount generated versus the amount claimed	X					Month

2. The **Account Holder** Reports are:

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity
Event Log	Report capturing all events that occurred for your Account by login name	X	X	X		X	None
Certificates Disposition	Annual report representing Certificate status at the close of the Trading Period for your company's activity across all Subaccounts	X	X	X			Annual
Generation Activity Log	Monthly and Annual report showing the total amount of energy generation attributed to your projects during the selected accounting period	X		X			Month & Year
Project Emissions Monthly/Project Emissions Annual	Monthly and Annual reports showing the estimated and actual emissions for the Generating Units registered to the Account	X	X	X			Month & Year
Energy Imports	Report displaying the system and unit contract import transactions that NYISO reported during the listed month	X	X	X			Month & Year
Energy Exports	Report displaying the system and unit contract export transactions that NYISO reported during the listed month	X	X	X			Month & Year
Certificate Imports	Report displaying certificate imports issued to the NYGATS with status, registry, and certificate information	X	X	X			Annual

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity
Certificate Exports	Report displaying certificate exports initiated from NYGATS with status, registry, and certificate information	X	X	X			Annual
Subaccounts	Report showing the summary of current status of all Certificates related to each of your Subaccounts			X			None
Buyer Listings Management	Report showing active and expired postings to the Buyers Listing by the Account. Account Holder can create new buyer listings or edit existing buyer listing information	X	X	X			None
Recurring Transfers	Report listing all recurring transfers for the account with project information, transferor, transferee, and status.	X	X	X			None
Transfer History (Inter-Account Transfers; Intra-Account Transfers; Inter-Registry Transfers)	Report on details of the transfers that were performed for a given year & quarter, including certificate information, transferor, transferee, and subaccount. Reports available for Inter-Account Transfers, Intra-Account Transfers, and Inter-Registry Transfers	X	X	X			Annual

Note: Report output for Account Holder reports is restricted to data for that Account Holder's company

3. The **LSE Account** has all the **Account Holders** reports plus these additional Reports:

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity
EDP Subaccount Load	Report showing the summary of current status of all Certificates and Load data associated with the EDP Subaccount			X			None
EDP Label	Annual report displaying the Environmental Disclosure Label for your company			X			Annual
LSE RES Compliance	LSEs may accept/dispute RES Compliance information			X			Annual
Tier 1 REC Orders	Report providing summary detail of Tier 1 REC Orders and status for each quarter	X	X	X			Quarterly & Annual
Monthly ZEC Compliance	Report displaying information about an Account Holder's ZEC Obligation. Includes Preliminary Load, Preliminary LSE ZEC Rate, Preliminary ZEC Charges, and Compliance Status	X	X	X			Monthly & Annual

4. The **Program Administrator** Reports are:

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity
Projects by Status	Report of all NYGATS Projects, NYISO Generators and Other New York Generators, and their respective status	X	X				None
LSEs with an EDP Subaccount	Summary information on load and certificates by EDP subaccount	X	X				Annual
Certificate Statistics by Fuel Type	Summary report on all Certificates, sortable by Attribute--fuel types, locations, month, etc.	X	X				Annual
Certificate Lookup	Report on certificates in NYGATS Accounts	X	X				Annual
Certificate Statistics by External Control Area	Summary report on certificates from Bundled by external control area per month.	X	X				Annual
Banked Certificates	Summary report on the quantity of Certificates in Banked Certificate Subaccounts, by Account Holder	X	X				Annual

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity
Retired Certificates	Summary report of on the quantity of Certificates retired by express action of Account Holders, by Account Holder in the Retirement Subaccount	X	X				Annual
Default Emission Factors	Report on default Emission Factors for each fuel type	X	X				None
Project Emissions	Report on total emissions by Generating Unit per month	X	X				Annual
NYSERDA Contracted Generators	Generation and certificate data for generating units with a REC contract with NYSERDA	X	X				Year & Month
NYSERDA Contracted Import Projects	Generation and certificate data for generating units from an external control area with a REC contract with NYSERDA	X	X				Hourly
Monthly NYISO Generation	Generation data for NYISO generators by month	X	X				Annual
EDP Label	Summary report of EDP labels created by EDP subaccount with load and summary of certificates	X	X				Annual
Eligibility Applications	Report projects who have applied for Operational or Provisional Certification with status	X	X				None
Tier 1 REC Orders	Summary of all Quarterly LSE REC Orders	X	X	X			Quarterly
ACP payments	Summary of all LSE RES Compliance calculations, including ACPs due, and payment status	X	X				Yearly
RES Compliance	Summary of all LSE RES Compliance calculations	X	X				Yearly
ZEC Compliance	Summary of all LSE ZEC Compliance calculations, including current ZEC positions. Returns data by ZEC Compliance year (April-March)	X	X				Yearly (April-March)
Settlement Certificates and Emissions	Summary of all certificates and emissions for a given settlement year, including previous-vintage Tier 1 certs used for compliance. Allows for easy validation of settlement results	X	X				Yearly

5. The **Qualified Independent Party** Reports are:

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity
Meter Data Loading	Summary report listing all projects with meter data uploaded by this Account and date of most recent upload	X				X	None
Meter Data File Status Report	Summary report of meter data file upload activity and associated status	X				X	Annual

6. The **Public** Reports are:

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity
Active Accounts	Summary report listing Account Holders, with limited information for identifying and contacting the Account Holder; updated continuously	X	X	X	X	X	None
Active Projects	Summary report listing all approved Projects that have Registered with the NYGATS, with limited identifying information, excluding External Generators that may be Registered with NYGATS for the purpose of importing energy or Certificates-only to New York	X	X	X	X	X	None
Energy Import Projects	Summary report listing all approved Import Projects	X	X	X	X	X	None
EDP Label	Report showing the all the EDP labels generated by NYGATS for NYS LSEs. Users may select the year.	X	X	X	X	X	Annual
Import and System Fuel Mixes	Report showing the System mix and Residual Mix by control areas broken down by individual fuel type, or for a combination of all fuel types, for each year in which Certificates have been created	X	X	X	X	X	Annual

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity
Certificate Statistics	Summary report showing an aggregate, or average as appropriate, of all Certificates created, transferred, imported, exported, banked and retired during the Reporting Period by fuel, reported monthly by transaction date and annually by vintage	X	X	X	X	X	Month & Year
Seller Listings	Report listing Account Holder and certificates information for accounts expressing interest to sell certificates	X	X	X	X	X	None
Buyer Listings	Report listing Account Holder and certificates information for accounts expressing interest to buy certificates	X	X	X	X	X	None
Import and System Mix Emissions	Report showing the emissions profile for the System mix and Residual Mix by control areas for each year in which Certificates have been created	X	X	X	X	X	Annual
Operational Eligibility	Report listing individual facilities who have applied for Operational Certification.,	X	X	X	X	X	None
Provisional Eligibility	The report shows a summary table by technology type for Provisionally certified Projects	X	X	X	X	X	None
Voluntary REC Statistics	Summary report of bundled REC transactions for voluntary purposes. Hydroelectric RECs from NYPA facilities in municipal utility accounts are excluded	X	X	X	X	X	Annual
CES Baseline Bundled REC Exports	Summary report of bundled REC exports from NY generators with an in-service date prior to 1/1/2015	X	X	X	X	X	Annual

Appendix F: State Agencies

New York State Energy Research and Development Authority
New York Department of Public Service
New York Department of Environmental Conservation
New York Office of the Attorney General