New York Generation Tracking System (NYGATS)
Operating Rules

Version 1.0
March 29, 2016

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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 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 statute 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. Furthermore, 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 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, 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 can support other programs should NYSERDA decide to add these programs to the NYGATS (e.g., Regional Greenhouse Gas Initiative, Environmental Protection Agency (EPA) Clean Power Plan). The NYGATS also provides for assignment of rights to Attributes from generation sources participating in various other policy support programs. The NYGATS may also support any successor program to New York's RPS.

- **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 the 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 the State of New York, 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 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.

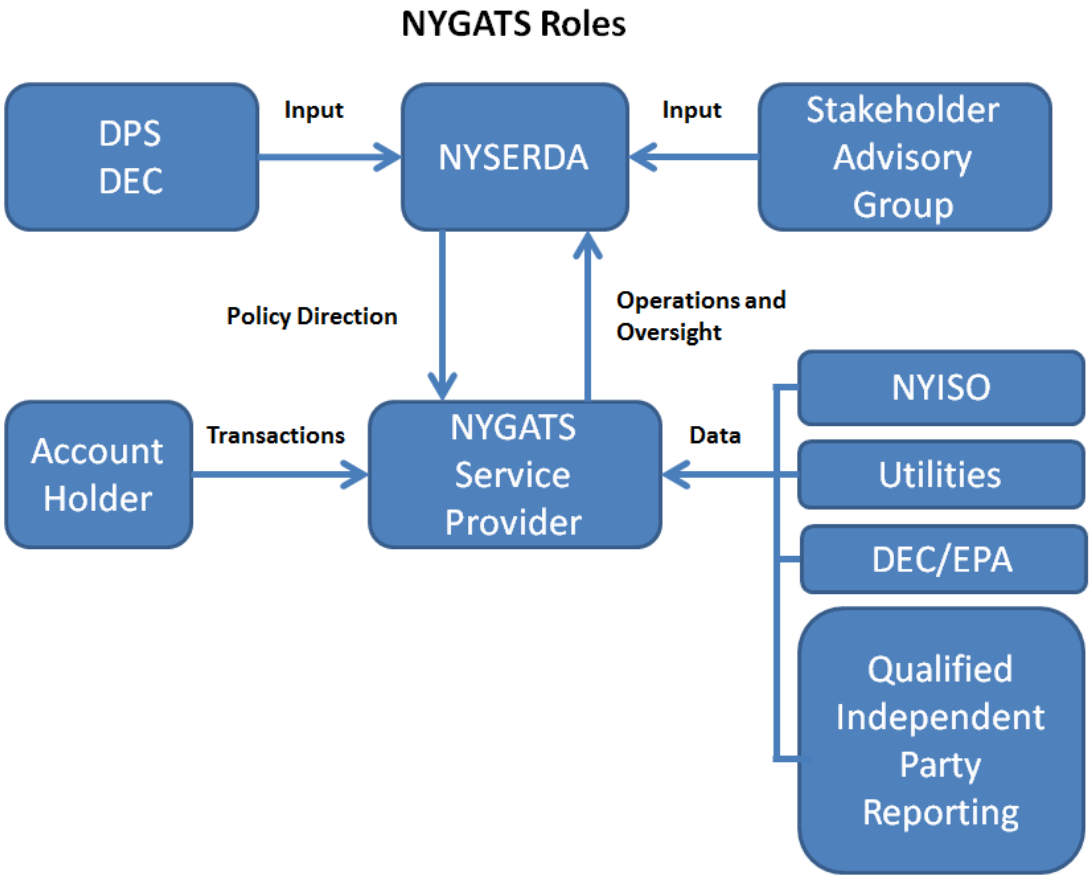
The Account Holder for a registered Project must agree that the NYGATS is the one and only entity issuing Certificates of generation for that Project. If a Project is registered in a tracking system other than the NYGATS, the Account Holder must work with the NYGATS Administrator and the administrator 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:

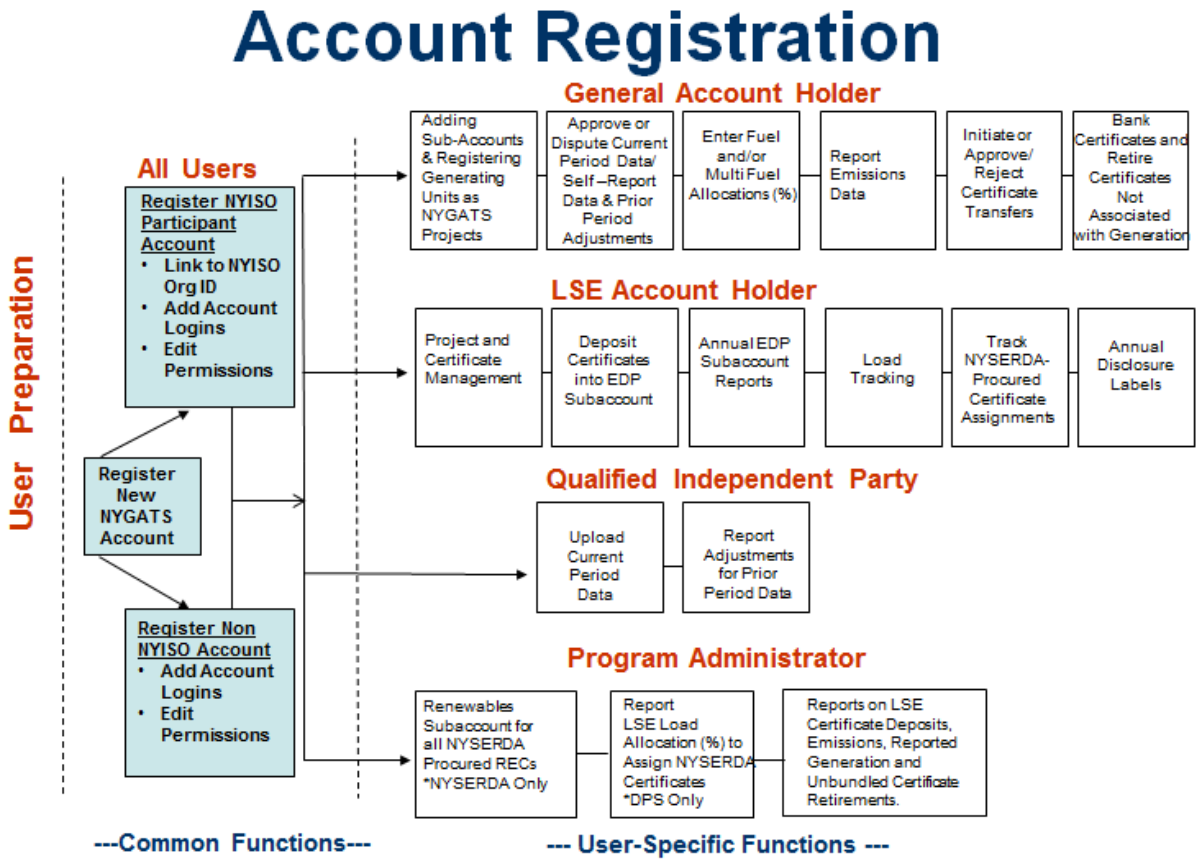
- Be the primary interface for all Account Holders. The NYGATS Administrator will review and manage all customer activity
- Manage the operation of the NYGATS database in accordance with the Operating Rules and Settlement schedule
- Support Account Holders in the NYGATS registration process and in their 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 9.1 of these Operating Rules
- Support Account Holders in Certificate transfers and Subaccount management
- Publish all NYGATS reports (see Appendix E) after the Settlement Date
- Support regulators or regulatory staff in obtaining their login ID's, accessing the NYGATS, viewing regulator reports, and accessing and updating generator eligibility for the RPS program
- 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 Registration 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 Accounts 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 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.

- **LSE Account**
  LSEs are required to register and open an Account to comply with state policies, such as the EDP. 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 Renewable Certificates procured by NYSERDA to their Load for the Environmental Disclosure Label. In addition, at Settlement, all Certificates associated with electricity in an LSE's Active Subaccount (except for Unbundled Certificate Imports) are deposited into the LSE's EDP Subaccount for creation of Environmental Disclosure Labels (see Section 7 for information on LSE Subaccounts).

- **Program Administrator**
  The Program Administrator Accounts allow state and voluntary program administrators to review eligibilities, view program-related reports and administer their programs. There are three Program Administrator Account types:
  - *NYSERDA Program Administrator*
    The NYSERDA Program Administrator Account will give NYSERDA full access to NYGATS, including: access to view Account and Project registrations, generation and emissions. This Account can register Projects and receive REC transfers into the Renewables Subaccount.
  - *DPS Program Administrator*
    The DPS Program Administrator Account will give DPS access to view Account and Project registrations, generation and emissions. This Account will have a report that will allow DPS to report LSE Load Share (%) that will be used to assign Certificates deposited into NYSERDA's Renewables Subaccount.
  - *Voluntary Program Administrator*

Voluntary Program Administrator Accounts will have limited access to view Project registrations. When registering a Voluntary Program Administrator Account, the voluntary eligibility managed by the Program Administrator will be designated. This designation will give this Account access to view and edit their voluntary program eligibility for all approved Projects.

- **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. In addition, 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 the 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.

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.

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 4.7.1

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.[1] In order to register Generating Units, Account Holders will be required to provide **Static Data** (see Section 4.4, 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.

[1] NYSERDA has provided financial incentives for Behind-the-Meter Generators through several incentive programs, for example through the NY-SUN program, in exchange for which NYSERDA retains the rights to any Certificates produced by the Generating Units installed under the incentive programs. In these instances, unless NYSERDA has expressly granted the rights to the Certificates to another entity, NYSERDA will register these Generating Units in NYGATS and be responsible for reporting generation data to NYGATS. NYGATS will deposit any Certificates created by these Generating Units in the NYSERDA Account.

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[2]

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.

[2] 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. Furthermore, if the output of any of the individual Projects is comprised of both RPS-eligible and non-RPS-eligible Attributes, the Account Holder will register each the Projects in NYGATS as a Multi-fuel Project with RPS-eligible and non-RPS-eligible versions of the same fuel type for the purpose of Certificate creation (e.g. Hydro RPS-eligible and Hydro non-RPS-eligible). See Section 5.11 for more information on reporting multi-fuel generation data.

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 5.7)

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:

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

4.4. 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).

4.4.1. 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:

a) 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.

b) 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.

c) 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. The NYGATS TOU shall state that 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.

d) 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.

4.4.2. 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.

a) 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.

b) 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, 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.

c) 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 RPS must be certified as eligible for the RPS by NYSERDA through the New York Department of Public Service. NYSERDA will provide the NYGATS Administrator a list of Projects certified as eligible for the state RPS and the eligibility begin and end dates. If the Account Holder changes or updates any Project Attribute that is critical for determining eligibility for the state RPS (e.g. fuel type), the eligibility marker will be turned off until NYSERDA can re-certify the Project.

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.

4.4.3. 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.

4.5. 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.

4.6. 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. Certificates from the Project that were created up to the day the Account change takes effect will remain in, or be deposited into, the Account that the Project was associated with at the time the generation occurred. For example, if a Project's owner changes the Account with which the Project is associated from Account A to Account B, and the change is effective on March 1, then the Certificates relating to generation that occurred prior to March 1, will be deposited into Account A (even though the date of deposit will likely be after March 1, given the expected time delay between actual generation and Certificate issuance).

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.

4.7. 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.

4.7.1. 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.

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

a) **NYISO Generators**[3] – Generating Units whose entire Dynamic Data is provided to the NYGATS Administrator from NYISO.
b) **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).
c) **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).
d) **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.
e) **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

[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. Furthermore, if the output of any of the individual Projects is comprised of both RPS-eligible and non-RPS-eligible Attributes, prior to Certificate creation each month, the Account Holder representing the Projects in NYGATS will be required to separately report the split, in MWh, that represents the output of the RPS-eligible and/or non-RPS-eligible portion of the individual Project. Since the Generating Unit aggregating to the single PTID utilizes a single fuel type (e.g. Hydro), NYGATS will allocate the MWh to an RPS-eligible and non-RPS-eligible fuel of the same type for the purpose of Certificate creation. See Section 5.11 for more information on this process.

a) **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 12.1.2 Unit Specific Imports of Energy and Attributes

b) **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
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 Small Wholesale Generators, New York Behind-the-Meter Generators, New York Small Wholesale Generators Also Serving On-site Loads, and that part of output from NYISO Generators Also Serving On-site Loads not reported to NYISO, 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.

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 contractual metering requirements specified by NYSERDA for 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 C12.1-2008 (+/- 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.

When registering, New York Behind-the-Meter Generators, 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 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 9.1.

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 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).

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 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 kWh 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	In whole MWh

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 10.4.

Although Self-Reporting Generators may accumulate kWh 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 90 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:

a) Account Holder's name
b) Activity date
c) NYGATS Generator ID for associated data posted
d) Activity description identifying data submitted, fractional data remaining, Certificates created, etc.
e) Reporting period start
f) Reporting period end
g) MWh of generation reported to NYGATS during the current month
h) Fuel type
i) Status
j) 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 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). 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[4]

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:

[4] For those NYISO Generators that have multiple Generating Units aggregating to a single PTID and the Account Holder representing these Projects has elected to register an instance of each Project aggregating to the PTID, if the output of any of the individual Projects is made up of both RPS-eligible and non-RPS-eligible Attributes, prior to Certificate creation each month, the Account Holder representing the Projects in NYGATS will be required to separately report the split, in MWh, that represents the output of the RPS-eligible and/or non-RPS-eligible portion of each Project. Since the Generating Unit aggregating to the single PTID utilizes a single fuel type (e.g. Hydro), NYGATS will allocate the MWh to an RPS-eligible and non-RPS-eligible fuel of the same type for the purpose of Certificate creation.

- 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.

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.

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 five 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) Certificates remaining in an Active Subaccount at the Settlement Date 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 voluntary 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 banked indefinitely, subject only to specific program rules.

There is one way 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 or to 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 the Settlement Date 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.

Certificates in a Banked Certificate Subaccount as of the annual Settlement will thereafter only be eligible for transfer to another Account Holder's Banked Subaccount for future voluntary retirement, and will not be included on the Environmental Disclosure Label. Prior to the Settlement Date, Certificates can be transferred back to an Active subaccount. 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 and will not appear on an LSE's Environmental Disclosure Label. 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 8.3).

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:	• Reason – Dropdown of Green-e Reasons o Unbundled Certificate	Certificate Retirements for Green-e Voluntary Market program

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.	• Compliance Period - Dropdown with all Years (≥2015) • Additional Details – Open Text Field to add details on the Retirement	
Beneficial Ownership	• Additional Details – Open Text Field to add details on the Retirement	Certificate Retirement for a third party beneficiary or environmental cause

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. Certificates remaining in a Bulletin Board Subaccount at the Settlement Date will be automatically removed and included in the Residual Mix and used for Environmental Disclosure Program labels.

Account Holders can post an interest to purchase Certificates using the Bulletin Board Certificate Purchase Request 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 Bulletin Board Certificate Purchase Request 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 Program, will hold accounts that differ in functionality to the Accounts held by all other participants.

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 NYSERDA-procured Certificates) and to support EDP.

- At Settlement, all RPS Certificates will be allocated to each LSE EDP Subaccount based on Load Share.

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, and Disclosure labels. The DPS Program Administrator Account will report LSE Load Share (%) that will be used to assign Certificates from NYSERDA's Renewables Subaccount to each LSE's EDP Subaccount.

LSE Account

LSE Accounts will include (1) Active, Retired, Banked and Bulletin Board Subaccounts, and (2) an additional EDP Subaccount, with functionality appropriate to the fulfillment of responsibilities under the State-mandated EDP program. In addition, at Settlement, all Certificates associated with electricity in an LSE's Active Subaccount (e.g. not the result of an Unbundled Certificate Import) are deposited into the LSE's EDP Subaccount for creation of Environmental Disclosure Labels. This differs from the treatment at Settlement of similar Certificates in the Active Subaccount of a non-LSE General Account, which are removed and included in the Residual Mix.

The EDP Subaccount will hold all of the LSE Certificates for purpose of the NY RPS and Environmental Disclosure Label. Within this Subaccount will be:

- NYSERDA-procured Certificate assignments
- Certificates associated with Load

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 "retail product detail" field where the Account Holder can enter their retail product details (i.e. Utility Green Pricing Program or competitive green power product).

There are two 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) At the Settlement Date, all Certificates associated with the Settlement calendar year in the LSE's Active Subaccount will be transferred to the EDP Subaccount and included on the Environmental Disclosure Label (i.e. On June 30, 2017, all vintage 2016 active Certificates will be moved to the LSE's EDP Subaccount).

Certificates deposited in the EDP Subaccount cannot be transferred out.

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

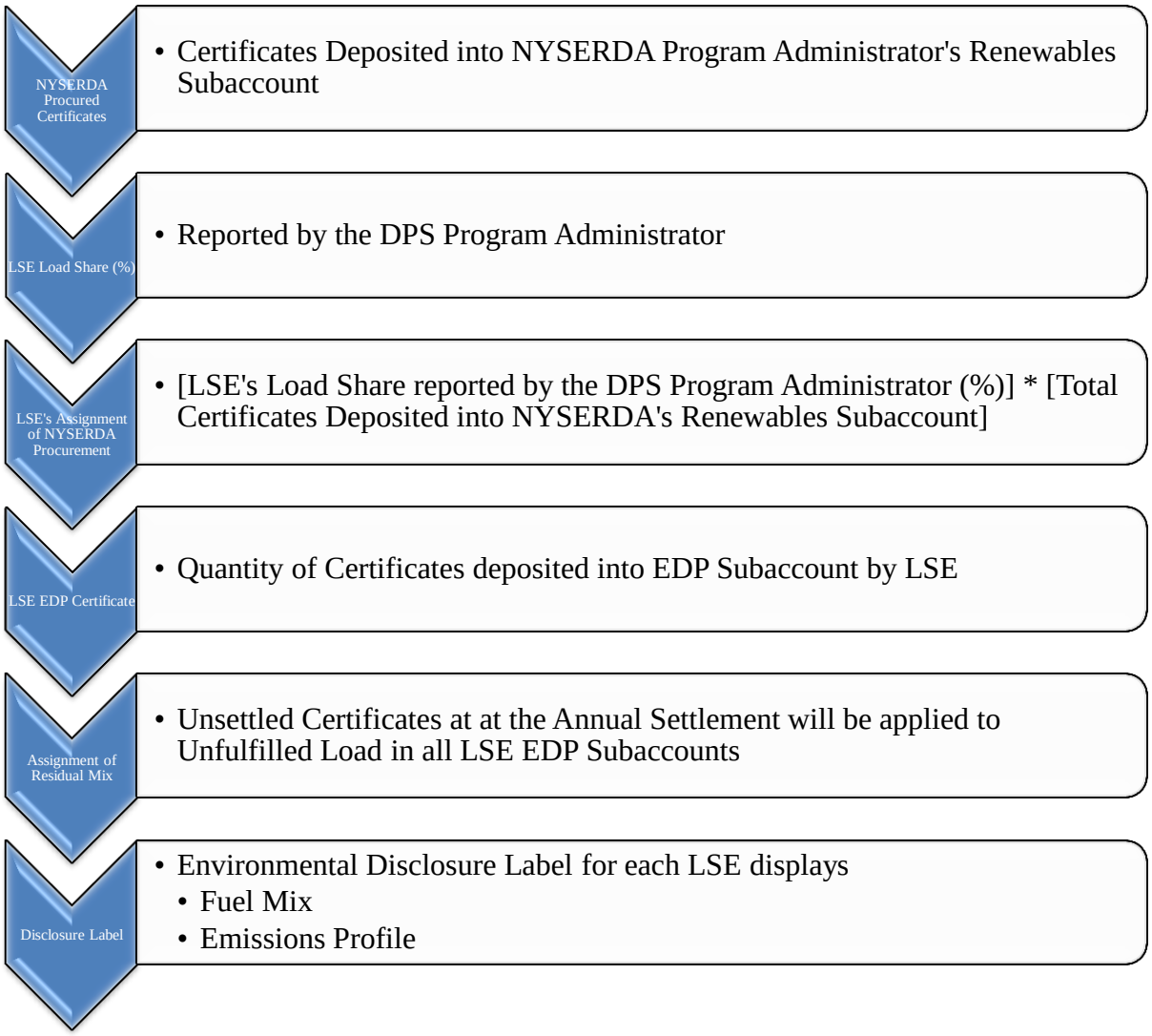
- NYSERDA Certificate assignments
- Total Load
- Certificates included in Environmental Disclosure Label
- The difference between the Load and the Certificates assigned by NYSERDA and Certificates deposited in the Subaccount by the LSE
- Certificates designated by Retail Products for reporting (optional)

8. LSE Load and 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 8.1, 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, the LSE's allocation of NYSERDA-Procured Certificates from NYSERDA's Renewables Subaccount, 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.

Figure 8.1 LSE Load and Environmental Disclosure Labels



8.1. Assignment of NYSERDA-Procured Certificates

LSE Load is uploaded monthly by the NYISO. LSE Load will be used to 1) assign NYSERDA-procured Certificates to the LSE's EDP Subaccount; and 2) assign Residual Mix Certificates to Unfulfilled Load in the LSE's EDP Subaccount during the Annual Settlement, as shown in Figure 8.2.

Figure 8.2 Assignment of NYSERDA Procured Certificates to Each LSE

The DPS Program Administrator will annually report the Load Share for all LSEs that contribute to the Renewables Fund by April 1st. NYSERDA-procured Certificates will be assigned to LSE EDP Subaccounts based on the Load Share.

8.2. Creation of Residual Mix Certificates

The NYGATS Settlement will convert all Certificates remaining in the Active Subaccounts of all Account Holders into Unsettled Certificates. The NYGATS Administrator will create Residual Mix Certificates based on the Unsettled Certificates which will include 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.

The EDP Subaccount and EDP Subaccount Report displays the LSE's total Load, NYSERDA's Certificate assignment, Certificates deposited for Disclosure Labels and the Residual Mix.

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 were 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.

8.3. Environmental Disclosure Label

As shown in Table 8.1, each LSE has an EDP Subaccount Report that displays the NYSERDA-procured Certificate totals assigned to the LSE, the Total Load (see Section 8.1), additional Certificate totals deposited into the LSE's EDP Subaccount and the difference between the Total Load and aggregate quantity of Certificates deposited, which represents the amount of Residual Mix that will be applied to the Environmental Disclosure Label.

Table 8.1 LSE EDP Subaccount Report

Field	Rules
NYSERDA Renewables	Quantity of Certificates assigned to LSE based on LSE Load Share reported annually by the DPS Program Administrator by April 1st of each year
Total Load	Load served by the LSE, based on monthly Load uploaded from NYISO
LSE Certificates	Quantity of Certificates deposited into EDP Subaccount by LSE
Difference: Residual Mix Allocation	The difference reflects the quantity of Load to be settled against Residual Mix at the time of Settlement. [Total Load] – [NYSERDA-Procured Certificates + LSE Certificates]

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, prior years' Banked Certificates, and 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 'Retail Product Detail' field where the Account Holder can enter their retail product details (i.e. Utility Green Pricing Program), as shown in Table 8.2.

Table 8.2 EDP Retail Product Detail

Retail Product	Retail Product Detail	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:
	  ○ Green Electricity Product
	  ○ Utility Green Pricing
	• Compliance Period - Dropdown with all Years (≥2015)
	• Additional Details – Open Text Field to add details on the Retirement
		Green-e Voluntary Market program

Other	• 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.

8.3.1. 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 New York Renewables Certificates from NYSERDA's Renewables Subaccount, 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 8.3.

Table 8.3 Information for an Environmental Disclosure Label

Field	Rules
Account Holder	The name of the LSE
Electricity Product	Product name or descriptor, if more than one
Period	Annual Settlement Period
Fuel Mix	Each fuel type used and the percentage of the whole for that fuel type.
Percentage of Renewable Energy	Percentage of Certificates that is RPS-eligible.
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.

9. Creation of Certificates

A Certificate created and tracked within NYGATS will represent all of the Attributes from one MWh of generation. Certificates are issued in whole numbers only. Certificates are "whole" Certificates (see the definition of Certificate in Section 17), 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.

9.1. Frequency of Certificate Creation

All NYGATS Projects can submit generation data and Prior Period Adjustments for the vintage year 30 days prior to the Settlement Date associated with the Certificate Vintage (i.e. 2016 generation can be loaded 30 days prior to the 2016 Settlement which occurs at 11:59 pm June 30, 2017). The last possible date to load data will be May 31st. Historical generation

after the Settlement Date 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 last day the generation can be 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. Pending data due to it failing feasibility will not be used to issue Certificates. Pending data due to multi-fuel allocations not being entered will issue Certificates at the annual Settlement date 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." If the Account Holder does not register a dispute with the NYGATS Administrator, the Certificates will be automatically created 15 days after the last day the generation data can be posted (T2 + 15).

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 date 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 9.1 shows a timeline from the month of generation to the Creation Date for data reported from the NYISO.

Table 9.1 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 9.2 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 9.2 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	30 days prior to the Settlement Date associated with the Certificate Vintage (May 31st)	T2+14 days	T2+15 Days

9.2. 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:

a) **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.
b) **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.
c) **Generation** - Generation data is loaded from the NYISO, and from inputs by Qualified Independent Parties and the Self-Reporting Interface.
d) **Imported and Exported Energy** – Generation data is loaded from the NYISO for imported and exported energy.
e) **Load** –Load served for LSEs is reported annually into the LSE's EDP Subaccount as the foundation for the Environmental Disclosure Program. (see Section 8.1)
f) **Default Emissions** – Emissions data from DEC and EPA and the fuel type defaults will be input by the NYGATS Administrator.

9.2.1. 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

9.2.2. 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.

9.2.3. 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 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 in CSV files 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 9.1 in Section 9.1.

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.

9.2.4. 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:

1. Unit-Specific Imports (i.e., the imported energy that can be tied to an External Generator via the Generator ID). (see Section 12.2)
2. Unit-Specific Exports (i.e., the exported energy can be tied to a NYISO Generator via the Generator ID. (see Section 12.3)
3. Non-Unit-Specific Imports (i.e., the imported energy that cannot be tied to an External Generator via the Generator ID). (see Section 12.4)
4. Emergency energy (i.e., imported energy used for balancing or other NYISO operational needs). (see Section 12.5)
5. 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.

9.2.5. Load

The Load for each LSE is uploaded into NYGATS monthly from the NYISO. 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.

The Load is tracked in the LSE's EDP Subaccount Report and used to allocate NYSERDA's Certificate procurement to each LSE based on their Load Share The DPS Program Administrator will annually report the Load Share for all LSEs that contribute to the Renewables Fund by April 1st. NYSERDA-procured Certificates will be assigned to LSE EDP Subaccounts based on the Load Share. (See Section 8.1).

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.

9.2.6. 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.

9.3. 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 date if the meter readings are not submitted to the NYGATS Administrator (see Section 5.10). Pending data due to multi-fuel allocations not being entered will issue Certificates at the annual Settlement date using the primary fuel type. The Account Holder has until the Annual Settlement date 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 the Settlement Date 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.

9.4. 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. For an Unregistered Generator that is owned by an LSE or that has a unit-specific contract or PPA with an LSE, the Certificates will be deposited in the LSE's Active Subaccount.

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 9.3 below identifies the serial number format used in NYGATS.

Table 9.3 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	5	Numeric	2	01-12	The month in which

Identifier	Display Order	Data Type	Length	Range of Codes	Comments
Month					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.
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.

9.5. Certificate Creation for Accumulated Generation

Generation data that exceeds a whole MWh (reported as either kWh or 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.

9.6. Data Fields Carried on Each Certificate

Each Certificate and/or block of Certificates displays the characteristics shown in Table 9.4. If the characteristic does not apply for a given Certificate, that characteristic is listed as "NA."

Table 9.4 Data Fields on a Certificate

Certificate Information
Plant – Unit Name:
Month and year of generation:
Certificate Serial Numbers:
Type of Certificate:
Total Certificates:
Part 1 - Fuel Sources

Fuel Type Mix
Short Description:
Description:
Fuel Type Attributes:

Part 2 – Renewable/RPS Eligibility

Renewable:
NY RPS Eligible:
Eligibility Begin Date:
Eligibility End Date:

Part 3 - Emissions

CEM Reporting:
Office of Regulatory Information Systems (ORIS) PL:
Emissions Unit ID(s):
DEC ID:
Peer unit name and address or default (if not reporting actual generator emissions):
Normalized emission (pounds per MWh), by pollutant: CO2, SO2, NOx

Part 4 - Vintage

Vintage (month and year of commercial operation):
Repowering/derate date:
Capacity addition/subtraction date:
FERC hydroelectric license/relicensing date:

Part 5 - Project identification

Project identification:
Project owner:
Status:
Nameplate Capacity:

Part 6 - Location of NYGATS Generator

Location of Generating Unit:
Control Area or NERC Region:
County:
State:

Part 7 - Voluntary Eligibilities

Green-e elegible:
LIHI elegible:

Part 8 – Import Characteristics (if applicable)

For Imported Energy:
Imported to NYISO
Contract ID:
NERC Tag:
For Unbundled Certificate Imports

- Compatible Certificate Tracking System Name:
- Date Imported:

9.7. 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 9.5 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 10.3.

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 12.1.

Where Certificates are deposited when they are created is determined by the generation source and type of Certificate in accordance with Table 9.5 below.

Table 9.5 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 • NYISO Generators Also Serving On-Site Loads • New York Small Wholesale Generator Also Serving On-site Loads	Standard	Account Holder's Active Subaccount	
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

Generation Source	Type of Certificate	Destination Subaccount	Special Certificate Characteristics
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
Imported Certificate-with Energy Validation	Imported Certificate	Account Holder's Active Subaccount	Display Compatible Certificate Tracking System serial numbers in the Certificate Information Section Display Import Characteristics: • Date Compatible Certificate Tracking System • Compatible System Imported From • Account Holder

10. Transfers of Certificates

10.1. Trading Period

NYGATS Settlement occurs annually. Certificates can be transferred or retired at any time before the Settlement Date associated with the Certificate Vintage. Certificates that have been Banked can, at any time before or after the Settlement Date, be retired, exported to a Compatible Certificate Tracking System, transferred to a Banked Subaccount or transferred to another Account Holder's Banked Certificate Subaccount.

Certificates can be transferred anytime 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 10.1:

Table 10.1 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

10.2. 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.

Certificate transfers will occur in the following manner:

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, 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.

10.3. 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:

a) The Project that will create such Forward Certificates; and,
b) if it is an intra-account transfer, the Active Subaccount to which the Certificates should be transferred;
c) The Account Holder(s) the Forward Certificate Transfer is going to;

d) 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;
e) 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,

f) 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.

a) 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.
b) 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.

10.4. 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.

11. 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.

11.1. 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.

11.2. 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 11.1.

Table: 11.1 Certificate Information Displayed in Retirement Subaccounts

Field	Description
Subaccount Name	Subaccount name designated by Account Holder
Subaccount ID	Subaccount ID assigned to subaccount
Retirement Reason	Retirement Reason represented as a 3-4 letter abbreviation
Retirement Details	Retirement Detail selected from the dropdown
Compliance Period	Compliance Year designated during retirement
Reason	Retirement 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 Eligibility designated in registration
LIHI	LIHI Eligibility designated in registration
NY RPS	NY RPS Eligible
Other Voluntary Programs	TBD

12. 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.

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.

12.1. Unit-Specific Imports of Energy and Attributes

Unit-Specific Imports of energy and Attributes can occur in two distinct ways, both resulting in the issuance of Certificates that will be included in Environmental Disclosure Labels.

12.1.1. Energy Scheduled and Delivered

In the first approach, in order for any Unit-Specific Import energy claims to be made, 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 tag 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. An additional step for Unit-Specific Imports to be claimed requires that the Account Holder also 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 Unit-Specific Import claims.

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. 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. Importing a Unit-Specific 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.

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). Otherwise, 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.

12.1.2. Energy Delivery Delayed

The first step in the second approach entails designating the Certificate as exported in the exporting Compatible Certificate 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.

The next step is to ensure that corresponding energy from the exporting Control Area has flowed into the NYCA during the calendar year of the Certificate import claim ("Energy Validation"). The NYGATS Administrator will determine if sufficient energy flows from the exporting control area into the NYCA transpired beginning with the first day of the Settlement Period – January 1 and ending on the day of Certificate creation for the last month in the year – January of the following year. If there are sufficient energy flows to support creation of the Certificate, the import is awarded and the NYGATS Administrator will indicate that in the NYGATS Account Holder's Account. If there are not sufficient energy flows to support creation of the entire number of Certificates, the importing Account Holder will be notified by the NYGATS Administrator that the transfer is canceled.

12.2. 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.

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."

12.3. Unit-Specific Exports of Energy

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.

12.4. Non-Unit-Specific Exports of Energy

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

12.5. Unbundled Certificate Imports and Exports

The NYGATS facilitates the import of 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. Such Unbundled Certificates are not used in Environmental Disclosure Labels 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 the Certificates will be exported to. 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.

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 and post a list of Compatible Certificate Tracking Systems on the NYGATS website. 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. NYGATS will post all Compatible Certificate Tracking Systems on the NYGATS informational website.

12.6. 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 12.1 below summarizes how Certificates are created for different types of imports.

Table 12.1 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 Requested				
Unit-Specific Import	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 • 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 for Which Certificate Conversions Are *Not* Requested				
Unit-Specific Import	Imported Generation	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

13. End of Trading Period Processing

13.1. Settlement

NYGATS Account Holders will be allowed to trade and retire Certificates until 11:59:59PM Eastern prevailing time on June 30th of each year. All Unsettled Certificates from the previous vintage year will either be settled into the appropriate LSE EDP Subaccount or be converted to Residual Mix according to the rules described in Table 13.1.

Table 13.1 Treatment of Certificates at Settlement

Account Type	Action at Settlement
General Accounts:	
• Active Subaccount	• Certificates remaining in Active Subaccount and associated with energy are converted to Residual Mix • Certificates do not remain active
LSE Accounts:	
• Active Subaccount	• Certificates remaining in LSE's Active Subaccount, and associated with energy, are automatically retired to the LSE's EDP Subaccount • Certificates do not remain active
General and LSE Accounts:	
• Retirement Subaccount	• Certificates in Retirement Subaccount are excluded from Residual Mix and Environmental Disclosure Labels • Certificates do not remain active
• 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 future NYSERDA procurement or EDP compliance) • Prior to the Settlement Date, Banked Certificates associated with delivered energy can be transferred back to the Active Subaccount
• Bulletin Board Subaccount	• Certificates in a General Account (non-LSE) 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

13.2. Creation of Residual Mix Certificates

The NYGATS Settlement will convert all Certificates remaining in the Active Subaccounts of all Account Holders into Unsettled Certificates. The NYGATS Administrator will create Residual Mix Certificates based on the Unsettled Certificates which will include 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 only be available for transfer between Account Holders, export, or for transfer into the Retirement Subaccount.

13.3. Determination of LSE Environmental Disclosure Labels

Under New York's Environmental Disclosure Program, once a year, Retail LSEs are required to issue a Disclosure Label to their 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.

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-eligible Certificates from NYSERDA's Renewables Subaccount, and the assignment of Residual Mix Certificates to any Unfulfilled Load. Certificates representing unbundled electricity (i.e. Unbundled Certificate Imports) are excluded from reporting for the Environmental Disclosure Label.

The information reported by the NYGATS for Environmental Disclosure Labels is shown in Table 8.3.1.

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 LSE Account Holder reports.

14. Reporting and Confidentiality

14.1. NYGATS Reports

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

1. Administrator
2. Account Holder
3. Program Administrator (DPS, NYSERDA and Voluntary Program Administrators)
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.

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.

14.2. 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. 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.

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

Any information that:

(i) 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

(ii) 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

(iii) 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.

(b) Confidential information shall exclude information if and to the extent such information:

(i) Is or becomes generally available to the public without any party violating any obligation of secrecy relating to the information disclosed; or

(ii) 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

(iii) Is in the public domain; or

(iv) 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.

(c) 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:
   (i) With the consent of the furnishing Account Holder; or
   (ii) 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.

15. 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.

16. 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 Advisory 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.

17. 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.

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.

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 12.1.

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 9.

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.

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 subject to EDP): 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, NYSERDA's Certificate assignment, Certificates deposited for Disclosure Labels and the application of the Residual Mix.

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 10.3.

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 Share: The percentage of load served by LSEs that contribute to New York's Renewables Fund reported by the DPS Program Administrator. The Load Share is used to allocate the average Attributes of Certificates procured by NYSERDA to each LSE that contributes to New York's Renewables Fund. See Section 8.1.

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 the State of New York 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)

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 5.1)

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 three types of Program Administrator Accounts: 1) NYSERDA Program Administrator Account, 2) DPS Program Administrator Account, and 3) Voluntary 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.

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.

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.

Renewables Subaccount (for NYSERDA use only): This subaccount is used by NYSERDA to deposit Certificates associated with NYSERDA Procurement. 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 8.1).

Renewable Portfolio Standard (RPS): A New York program by which NYSERDA procures RPS Attributes from qualified renewable energy generation sources**.**

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 Certificates remaining in all non-Load Serving Entities' 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 Active 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 C12.1-2008 (+/- 5% rating) standard.

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 Certificates from the previous vintage year are assigned to each LSE's EDP Subaccount for the purpose of creating Environmental Disclosure Labels. All Certificates from the previous vintage year in the LSE's Active Subaccount are transferred to its EDP Subaccount. Certificates 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 8.1). The Residual Mix is calculated and assigned to each LSE's Unfulfilled Load.
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Settlement Date: The date when Settlement occurs. The Settlement Date is 11:59pm of June 30th for the previous year's Settlement.

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.

Trading Period: Certificates can be transferred or retired at anytime before the Settlement (June 30th) Date associated with the Certificate Vintage. See Section 10.1

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, as of the Settlement Date. 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 12.

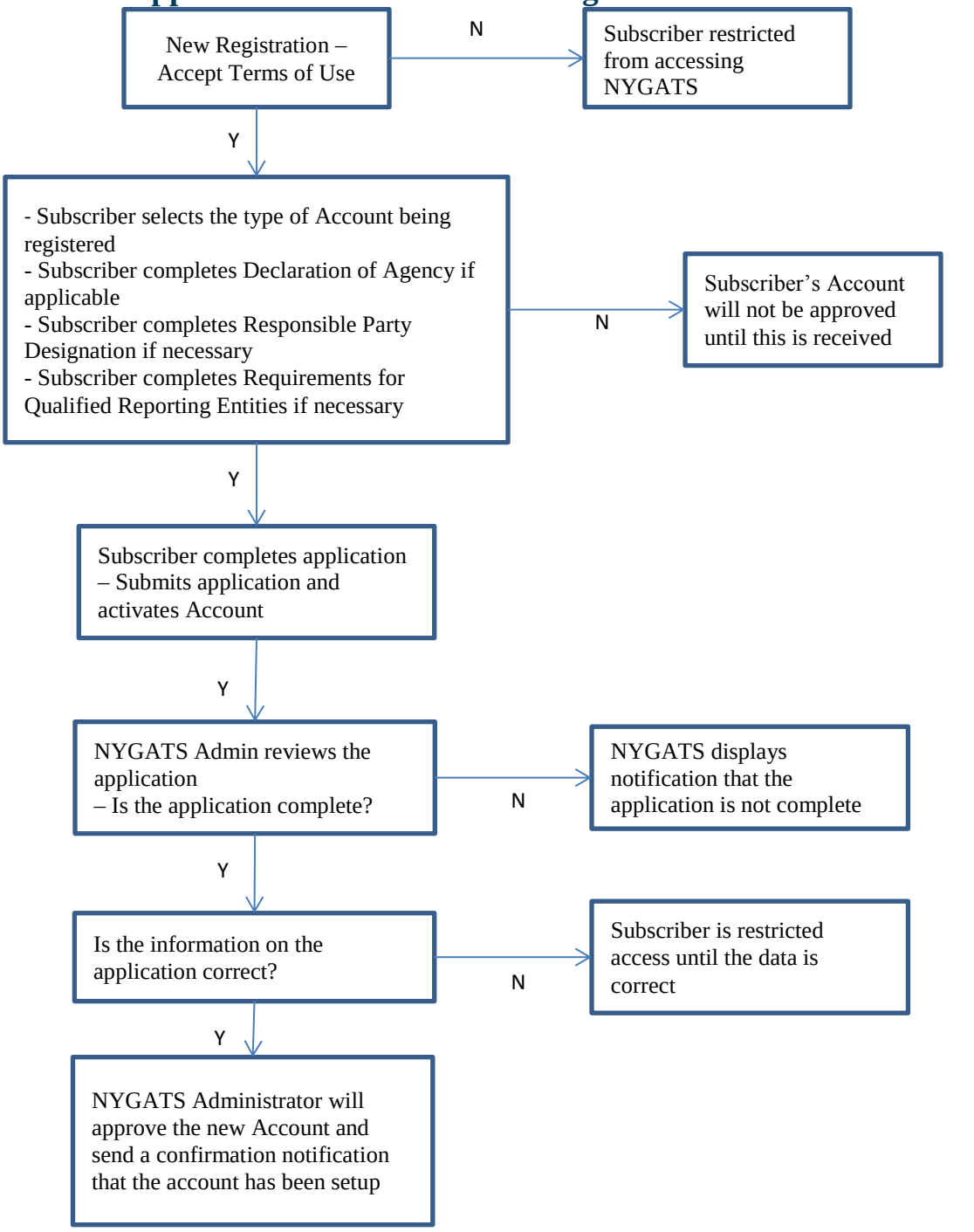
Unregistered Generating Unit: A NYISO Generator that is not associated with an Account Holder in the NYGATS (i.e., they are not Registered Generating Units). For Unregistered Generating Units, the NYGATS will create Certificates that will be deposited in the NYGATS Administrator's Account for use in 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, pursuant to Section 13.3, at which time they will be converted to Residual Mix and assigned to LSE Unfulfilled Load.

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 RPS or other mandatory requirements.

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.

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	Format
Generator Type	Yes	Generator or Aggregation
NYISO Generator	Yes	Yes or No
NYISO Gen ID	Required for NYISO	Entered NYISO Asset ID
NYGATS Gen ID	Required for New York Generators that are not NYISO Generators	Assigned NYGATS Generator ID
External Asset ID	External Generators with Unit-Specific Imports	Either entered NYISO Asset ID (if recognized by NYISO), or entered by Account Holder
Plant Name	Yes	
Unit Name	Yes	
Operating Status	No	N/A - Read only set by system to Pending
Group ID	No	For NYISO Generators
Group Name	No	For NYISO Generators
Name Plate Capacity	Yes	Positive Number with three decimal places in MW
Capacity Factor	Yes	Either Capacity Factor or Maximum Annual Energy is required
Capacity Factor Seasonal	No	If selected, positive number for both a Summer and Winter seasonal factor
Maximum Annual Energy	Yes	Either Capacity Factor or Maximum Annual Energy is required
Commenced Operation Date	Yes	MM/YYYY
Repowering/derate date	Yes	• MM/YYYY • If not applicable enter N/A.
Capacity addition/subtraction	Yes	• Positive or Negative Whole Number with three decimal places in MW • If capacity has changed, enter date for incremental eligibility • If not applicable enter N/A.

Table B-1: Generator Static Data Fields **Field Name**	**Required**	**Format**
FERC hydroelectric license relicensing date	Yes	• MM/YYYY • If not applicable enter N/A.
Project Operator Information	Yes	Contact information on the Project Operator
Location of Generating Unit (Control Area)	Yes	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)
NERC Region	Yes	Selected from the following list: • ECAR • ERCOT • FRCC • MAAC • MAIN • MRO • NPCC • SERC • SPP • WECC
County	Yes	
State	Yes	Any state or province
Relationship of Account Holder to Generating Unit	Yes	Selected from the following list: • Owner • Generator Agent • Offtaker
Name of Generator Owner	Yes	
Assignment of Registration Rights	Yes	Yes/No
Assignment of Registration Rights Effective Date	No	MM/DD/YYYY. Required if Assignment of Registration Rights is selected "Yes"

Table B-1: Generator Static Data Fields **Field Name**	**Required**	**Format**
Court or Regulator's Assignment of Registration Rights	Yes	Yes/No
Court or Regulator's Assignment of Registration Rights	No	MM/DD/YYYY. Required if Court or Regulator's Assignment of Registration Rights is selected "Yes"
CEM Reporting	Yes	Yes or No
ORIS PL	Yes	• 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
Emission Unit ID(s)	Yes	• 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
NYDEC ID	No	If reporting emissions to NY Department of Environmental Control
Single/Multi-fuel Indicator	Yes	Single or Multi
Fuel Type	Yes	If *Single* is selected then one fuel type is selected. If *Multi* is selected then many fuel types are selected and one is identified as the **Primary**.
Revenue Meter ID	Yes	Alphanumeric Number
Revenue Meter Suffix	No	Text
Qualified Independent Party	Yes	Select from list of registered QIPs, including NYISO
Green-e Eligibility	No	• Yes or No • Entered for each fuel type
LIHI Eligibility	No	• Yes or No • Entered for each fuel type
Eligible as Renewable	Yes	• 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.

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

Category	Fuel Type (Short Description)	Fuel Type (Description)	Eligible as Renewable Rules (Y/N)
Woody Biomass Fuels - Unadulterated	**Clean Woody Biomass (CWB)**	Untreated and uncontaminated biomass. Harvested Wood: Wood harvested during commercial harvesting. Site Conversion Waste Wood: Wood harvested when forestland is cleared for the development of buildings, roads or other improvements. Silviculture Waste Wood: Wood harvested during timber stand improvement and other forest management activities conducted to improve the health and productivity of the forest. Sustainable Yield Energy Wood Crops: Woody crops specifically for the purpose of being consumed as an energy feedstock (energy crops), such as willow, poplar, eucalyptus Mill Residue: Wood Hogged bark, trim slabs, planer shavings, sawdust, sander dust and pulverized scraps from sawmills, millworks and secondary wood products industries. Pallet Waste: Unadulterated wood collected from portable platforms used for storing or moving cargo or freight. Clean Urban Wood Waste: The source-separated, combustible untreated and uncontaminated wood portion of solid waste or construction and demolition debris. Clean biomass separated from C&D wastes at a Materials Reclamation Facility (MRF) or C&D processing facility (any facility permitted to handle C&D debris). Agricultural Woody Residue: Woody matter from the thinning or pruning of orchard trees or vines on agricultural lands.	**Yes**
Herbaceous Biomass Fuels - Unadulterated	**Herbaceous Biomass (HBU)**	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).	**Yes**
Woody/herbaceous/organic	**Adulterated Biomass**	Biomass that has been treated or contaminated in some way; also includes animal byproducts and wastes, C&D wastes, Creosote Treated Wood. Biomass that does not fall within the	**Yes**

Category	Fuel Type (Short Description)	Fuel Type (Description)	Eligible as Renewable Rules (Y/N)
adulterated solid waste/byproducts	**(ADB)**	categories of unadulterated biomass, such as paper, paperboard boxes, textiles, non-recyclable wood (e.g. plywood and particle board); agricultural by-products such as leather and offal and food processing residues; other adulterated wood wastes and mixed adulterated and clean wood wastes.	
Biogas Fuels - All forms of gaseous fuels derived from organic materials	**Biogas (BIG)**	Captured Methane: Landfill Gas (Methane), Sewage Gas (Methane) Anaerobic Digestion: Manure Digestion (Methane), Anaerobic Digestion (other biogas digestion using agricultural or food processing residues and by-products) Biomass Thermochemical and Hydrothermal Gasification	**Yes**
Bioliquid Fuels - All forms of liquid fuels derived from organic materials	**Bioliquid Fuels (BIL)**	Biomass Liquefaction through acid or enzymatic hydrolysis (Ethanol), Biomass Esterification (Biodiesel, Methanol), Biomass Thermochemical Pyrolysis (Bio-oil), Biomass Hydrothermal Liquefaction	**Yes**
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**
Fuel Cell - Renewable	**FCR**	An electrochemical device that converts a renewable (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**
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	**NG**	Natural Gas	**No**
Other Fossil Gas	**Other Fossil Gas (OFG)**	Blast-Furnace Gas, Butane, Coal Processes, Coke-Oven, Refinery, and other processes, Propane	**No**
Geothermal	**Geothermal (GEO)**	Geothermal Electric	**Yes**
Hydro	**Hydroele**	Conventional Hydroelectric , including upgrades that increase	**Yes**

Category	Fuel Type (Short Description)	Fuel Type (Description)	Eligible as Renewable Rules (Y/N)
	ctric (HYD)	capacity; Run-of River Hydroelectric	
Nuclear	**Nuclear (NUC)**	Nuclear: Uranium, Plutonium, Thorium	**No**
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**
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**
Energy Storage	**Energy Storage (ESR)**	Pumped Storage, Flywheel, or other storage tracked in NYISO	**No**
Solar	**Solar Electric (SOL)**	Photovoltaic, Solar Thermal Electric	**Yes**
Solid Waste - Renewable	**Solid Waste (SWR)**	Gasification of the organic material in solid waste separated from the waste stream	**Yes**
Solid Waste – Non-renewable	**Solid Waste (SWN)**	Municipal Solid Waste – Combustible Solid Waste and syngas produced by Gasification	**No**
Ocean	**Ocean (OCE)**	Tidal Turbine, Ocean Wave Turbine, Ocean Current Wave Turbine, Ocean Thermal	**Yes**
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 – 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**
Wind	**Wind (WIN)**	Land based wind, Off-shore wind	**Yes**

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

- The Account Holder cannot edit the State program fields after the Generating Unit has been registered and approved by the NYGATS Administrator.

State	Data Element	Format
New York	State Certification Number	
	Eligibility Start Date	• MM/YYYY
	Eligibility End Date	• MM/YYYY

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 9. 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:

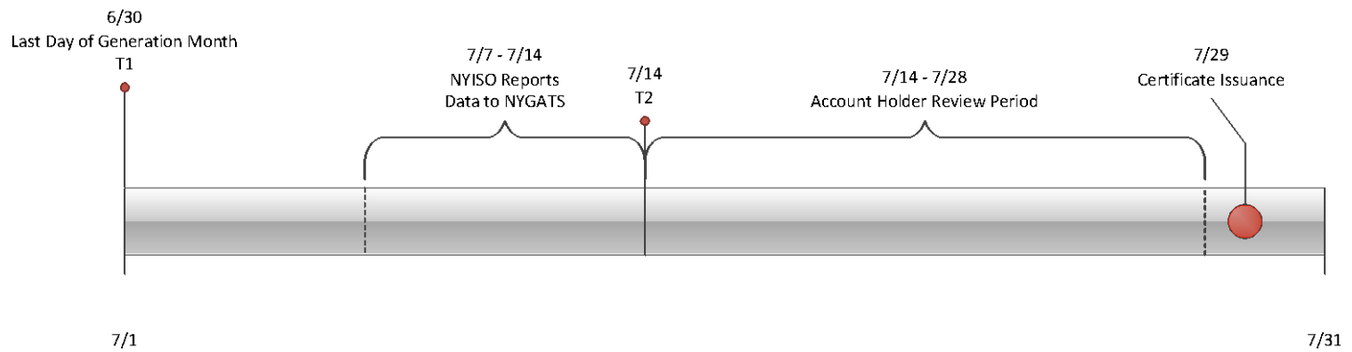
1. Demonstrate that the biogas is produced in New York State or in an adjacent Control Area.

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.

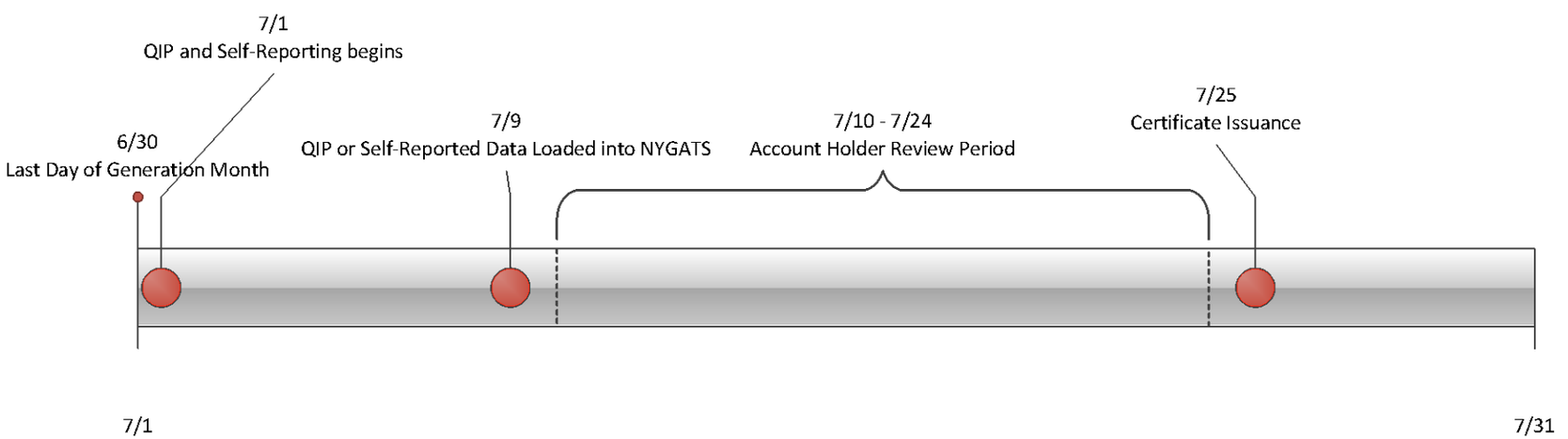
Certificates reflecting biogas Attributes will be issued to the Generating Unit based on the total output (MWh) of the Generating Unit multiplied by the ratio of the quantity of biogas injected and delivered to the Generating Unit divided by the total pipeline gas used by the Generating Unit.

Appendix D: Certificate Timeline

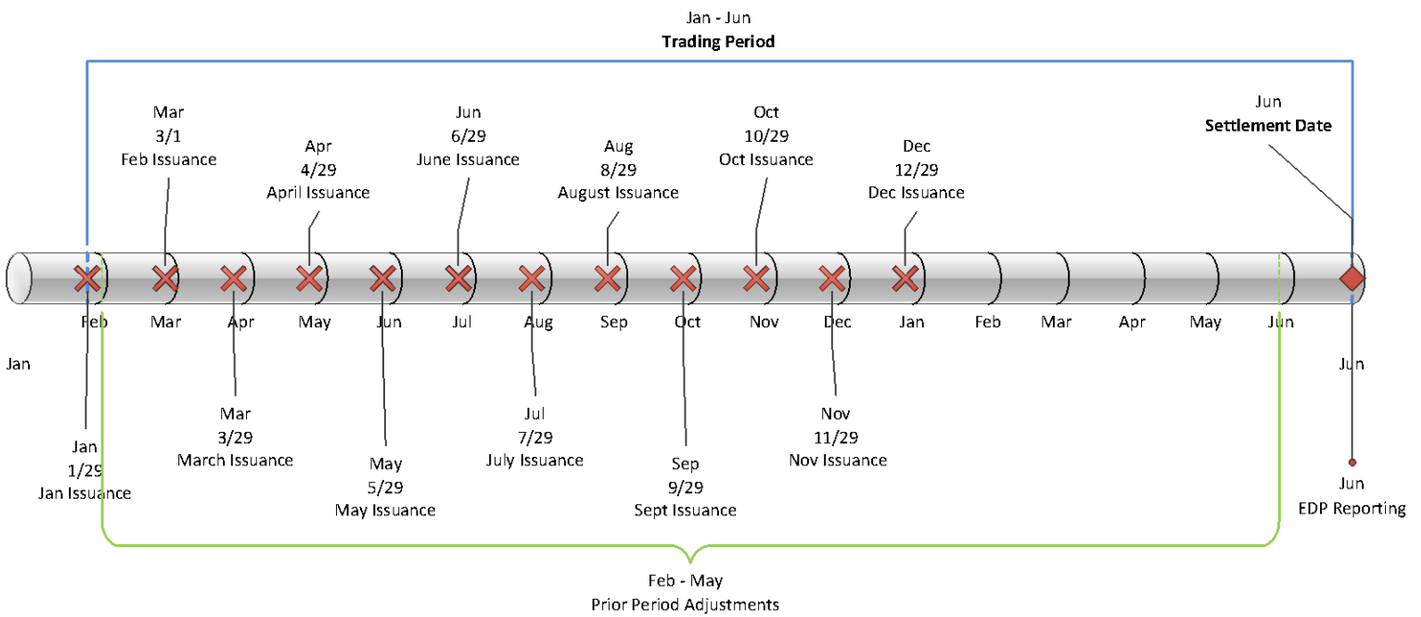
Certificate Creation for NYISO Settled Generating Units



Certificate Creation for Non-NYISO Settled Generating Units



Settlement Timeline



Appendix E: NYGATS Reports

There are five categories of Reports:

- NYGATS Administrator
- General Account Holder
- Program Administrator
- Qualified Independent Party
- Public

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

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity	Searching Enabled
NYISO Data Integrity	Summary of NYISO data received and processed	X					Year & Month	
Creation Date	Summary breakdown of Certificates created for a Trading Period	X					Year & Month	
Account Holders by Status	Report of all Account Holders and the status of their accounts	X					None	X
My Event Log	Activity Log of the NYGATS Administrator	X					None	X
NYGATS Generators by Status	Report of all NYGATS Generators, NYISO Generators and Other New York Generators, and their respective status	X					None	X
NYGATS Usage	Report on NYGATS logins – quantities, failures, etc.	X					None	X
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	X
Emissions Consistency	Emissions report for each Generating Unit in the NYGATS	X					Year & Month	X
EPA Emissions	Emissions report for each Generating Unit EPA has emissions data for in total pounds (lbs)	X					Year & Month	X
DEC Emissions	Emissions report for each Generating Unit DEC has emissions data (total pounds)	X					Year	X
Approved Emissions Protocol	Report listing which Generating Units use, or do not use, an approved Emissions Protocol.	X					None	X
Missing Emissions	Report of all Generating Units that have not entered their emissions for a given period	X					Month & Year	X

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity	Searching Enabled
Transfer History	Report on details of the transfers that were performed for a given year & quarter, including the Generating Unit, fuel type and month the Certificates were transferred and identifying the Account Holder the Certificates were transferred from and which Account Holder or Subaccount they were transferred to	X					Month & Year	X
Unbundled Certificate Imports with Energy Validation	Report listing all Unbundled Certificate import requests and whether or not the energy validation was successful	X					Month & Year	
Unbundled Certificate Exports	Report listing all Unbundled Certificate export requests and completions	X					Month & Year	
Unit-Specific Import – Export Report	Reporting listing bundled unit-specific imports and exports	X					Month & Year	
Fuel Type Management	Report listing all fuel types in NYGATS with ability to add or delete fuel types	X					None	
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/Data Validity Check Report	Report listing all generating units that have failed feasibility/Data Validity Check	X					Month & Year	

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

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity	Searching Enabled
My Event Log	Report capturing all events that occurred for your Account by login name			X			None	
My Certificates Disposition	Annual report representing Certificate status at the close of the Trading Period for your company's activity across all Subaccounts			X			Year	X
My Generation Activity Log	Monthly and Annual report showing the total amount of energy generation attributed to your company during the selected accounting period			X			Month & Year	X

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity	Searching Enabled
My Emissions	Monthly and Annual report showing the estimated and actual emissions for the Generating Units registered to the Account			X			Month & Year	X
My Load	Monthly and annual report showing the Load of your company during the selected accounting period			X			Month & Year	X
My Imports	Report displaying the system and unit contract import transactions that NYISO reported for your company during the listed month			X			Month & Year	X
My Exports	Report displaying the system and unit contract export transactions that NYISO reported for your company during the listed month			X			Month & Year	X
My Subaccounts	Report showing the summary of current status of all Certificates related to each of your Subaccounts			X			None	X
My EDP Subaccount	Report showing the summary of current status of all Certificates and Load data associated with the EDP Subaccount (LSE's only)			X			None	
My EDP Label	Annual report displaying the Environmental Disclosure Label for your company (LSE's only)			X			Annual	

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

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity	Searching Enabled
Registered Generating Units	General information report on all Registered Generating Units	X	X				None	X
Unregistered Generating Units	General information report on all Unregistered Generating Units (e.g. incomplete registration)	X	X				None	X
Import Generators	General information report on all Registered Generating Units that are importing to NYGATS	X	X				None	X
LSEs with an EDP Subaccount	General information on all registered LSEs and where they have registered subaccounts (NYSERDA and DPS only)	X	X				None	X
LSE Certificate Allocations to EDP Subaccount	Report on percentage of Certificates held in LSE EDP Subaccounts, by fuel type or by Generating Unit name (NYSERDA and DPS only)	X	X				Year & Month	X
Energy Summary	Summary report on energy data in the NYGATS – By fuel type, imports, and exports	X	X				Year & Month	X
Certificate Statistics	Summary report on all Certificates, sortable by Attribute--fuel types, locations, etc.	X	X				Year & Month	X
Residual Mix	Report on Residual Mix	X	X				Year & Month	X
NYISO System Mix	Report on NYISO System Mix	X	X				Year & Month	X
Banked Certificates	Summary report on the quantity of Certificates in Banked Certificate Subaccounts, by Account Holder	X	X				Year & Month	X
Imports	Detailed report on requested and completed Unit-Specific Imports with accompanying energy, and Unbundled Certificate imports	X	X				Year & Month	X
Exports	Detailed report on requested and completed Unit-Specific Exports with accompanying energy, and Unbundled Certificate exports	X	X				Year & Month	X
Retired Certificates in Retired Subaccount	Summary report of on the quantity of Certificates retired by express action of Account Holders, by Account Holder in the Retirement Subaccount	X	X				Year & Month	X
Default Emission Factors	Report on default Emission Factors for each fuel type (NYSERDA and DPS only)	X	X				None	X

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity	Searching Enabled
Generating Unit Emissions	Report on total emissions by Generating Unit (NYSERDA and DPS only)	X	X				Year & Month	X
Generating Units Using an Approved Emissions Protocol	Report on all Generating Units that follow an approved Emissions Protocol (NYSERDA and DPS only)	X	X				Year & Month	X
EDP Label Report	Report on total emissions and average emissions/MWh by LSE and statewide (NYSERDA and DPS only)	X	X				Year	X

- Note: When the Program Administrator reports are run by an Account Holder, the report output is restricted to data for that Account Holder's company.
- Note: Unless otherwise noted in the table above, when the Program Administrator other than NYSERDA or DPS run the Program Administrator report, it will only display data for the programs associated with that Program Administrator in NYGATS (e.g. Green-e).

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

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity	Searching Enabled
My Event Log	Report capturing all events that occurred for your Account by login name					X	N/A	
Meter Uploaded by Vintage	Summary report listing all meter data uploaded by this Account by generation vintage	X				X	N/A	
Meter Uploaded by Project	Summary report listing all meter data uploaded for this Project by generation vintage	X				X	N/A	
Meter Data File Status Report	Summary report of meter data file upload activity and associated status	X				X	N/A	

5. The **Public** Reports are:

Report Name	Report Description	NYGATS Administrator	Program Administrator	Account Holder	Public	Qualified Independent Party	Periodicity	Searching Enabled
Account Holders	Summary report listing Account Holders, with limited information for identifying and contacting the Account Holder; updated continuously	X	X	X	X	X	N/A	
NYGATS Projects	Summary report listing all 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	Month & Year	
Residual Mix	Report showing the makeup of the Residual Mix. It defaults to the last closed Trading Period. Users may select a different year	X	X	X	X	X	Year	
Import System Mix	This report shows the import system mix for each year and month in which Certificates have been assigned, up to and including the next date on which Certificates will be created. When the report first appears on your screen, it defaults to the earliest year. Within each year, the system mix is listed from lowest percentage to highest percentage according to the fuel types that comprise the system mix for that period.	X	X	X	X	X	Month & Year	
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, updated monthly and annually	X	X	X	X	X	Month & Year	
NYISO System Mix	Report showing the NYISO system mix, 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	Year	

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