Southwest Power Pool

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Integrated Marketplace

Preparing for TCR Mock Auction

TCR Process Review

Gay Anthony
Customer Trainer

Southwest Power Pool
Agenda

• Introduction
• Transmission Congestion Rights (TCR) Auction Process Review
• Mock Auction Activities
  • Mock Auction Timeline
  • Mock Auction Process
  • Mock Auction Roles and Responsibilities
• Mock Auction Logistics
  • Registration Activities
  • Data Exchange Mechanism
  • Communication
• Transmission Congestion Rights (TCR) Tools and Analytics
• Course Wrap-Up
Section 1

INTRODUCTION
Course Administration Details

- If there is more than one person attending the training on a single conference line:
  - Ensure that all attendees are registered LMS users
  - Send list of names to Michael Daly (mdaly@spp.org)
- Preparing for TCR Mock Auction training course is not eligible for NERC CEH credits
- This session is for presentation of the Integrated Marketplace design as described in the Protocols. Please use Stakeholder meetings (e.g. MWG, etc.) as a forum for design questions.
Knowledge Assessment Exams

- Attendance and knowledge assessment are important readiness metric that will be tracked and are required to receive Market Participant credit.

- Course knowledge assessment exams will be sent to all attendees via email after each module.

- The exams will be:
  - No longer than 20 questions,
  - Based on the course materials and
  - Either Multiple Choice, True/False or Fill-in-the-Blank

- Attendees will have **two** weeks from today to complete the exam.

- You will need to pass the exam by 75%.

- If you should not pass the exam, you will have the opportunity to re-take the exam.
Participant Training Calendar – 2011 / 2012
Marketplace Overview / TCR Mock Auction

2011 Calendar Year

October 2011

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November 2011

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December 2011

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2012 Calendar Year

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March 2012

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- Marketplace Overview Training (Level 1)
- Marketplace Overview CBT Training Available
- Preparing for TCR Mock Auction Training
- Mock Auction Job Aids Available
Purpose of TCR Mock Auction

- Allows SPP staff and Market Participants the opportunity to ‘conduct’ a dry run of the TCR process
- Provides the opportunity to understand the individual components of the TCR process
- Provides the ability to fine tune processes, fully understand workload and staff commitments
Course Goals

• Review the TCR Auction Process
• Understand the TCR Mock Auction Timeline and Activities
• Identify the roles and responsibilities required by the TCR Mock Auction
• Describe the TCR tools available to help initiate data analysis
• Review key reference documents and contacts
Common Acronyms

ACP - Auction Clearing Price
ARR - Auction Revenue Rights
CBT – Computer Based Training
CD – Competitive Duty
DA - Day-Ahead
FPTP – Firm Point-to-Point
GFA – Grandfathered Agreement
GUI – Graphical User Interface
LIP – Locational Imbalance Price
LMS – SPP Learning Center
MP – Market Participant
MW - Megawatt

MWG – Market Working Group
NERC – North American Electric Reliability Corporation
NITS - Network Integrated Transmission Service
NCD – Non Competitive Duty
OASIS – Open Access Same-Time Information Systems
SFT – Simultaneous Feasibility Test
SMP – System Marginal Price
SPP - Southwest Power Pool
TCR - Transmission Congestion Rights
TSR – Transmission Service Request
Section 2

TCR AUCTION PROCESS REVIEW
TCR Auction Process

Annual Auction – key process steps:

1)  a) Verify Transmission Service (MP)
    b) Assign Candidate ARRs (SPP Staff)

2)  Calculate Nomination Caps (SPP Staff)

3)  **Submit ARR Nominations (MP)**

4)  Run ARR Allocation and post ARR Awards (SPP Staff)

5)  **Submit TCR Bids and Self-Converts (MP)**

6)  Run TCR Auction and post Annual TCR Awards (SPP Staff)
TCR Auction Process

Monthly Auction – key process steps:

1) **Request Incremental Transmission Service (MP)**
2) a) Verify Incremental Transmission Service (SPP Staff)
   b) Assign Incremental Candidate ARRs (SPP Staff)
3) **Calculate Nomination Caps (SPP Staff)**
4) **Submit Incremental ARR Nominations (MP)**
5) Run Allocation and post Incremental Awards (SPP Staff)
6) **Submit Monthly TCR Bids, Offers, and Self-Converts (MP)**
7) Run Auction and post Monthly TCR Awards (SPP Staff)
Monthly TCR Auction Timeline

Single Round – Example for August

Prepare for ARR Nominations

X – 6/17

- Analyze Historical Data

Incremental ARR Allocation Process

6/18 – 6/24

- Verify Incremental Transmission Service
- Assign Incremental Candidate ARRs

6/25 – 6/29

- Submit Incremental ARR Nominations
- Perform SFT
- Award Incremental ARRs

Monthly TCR Auction

7/9 – 7/13

- Submit TCR Bids, Offers and Self-Converts
- Run Monthly TCR Auction
- Clear Monthly TCR Auction / Perform SFT
- Post Monthly TCR Awards
- Check Auction Results

TCR Effective Date

8/1 – 8/31

Single Round Monthly Auctions ONLY applies to the months of: July, August, September

MP Activity

SPP Staff Activity

Monthly TCR in effect August 1-31, 2012
Monthly TCR Auction Timeline

Two Round – Example for October

Prepare for ARR Nominations

- 8/19
  - Analyze Historical Data

Incremental ARR Allocation Process

- 8/20 – 8/26
  - Verify Incremental Transmission Service
  - Assign Incremental Candidate ARRs

- 8/27 – 8/31
  - Submit Incremental ARR Nominations
  - Perform SFT
  - Award Incremental ARR

Monthly TCR Auction

- Round 1
  - 9/10 – 9/14
    - Submit TCR Bids, Offers and Self-Converts
    - Run Monthly TCR Auction
    - Clear Monthly TCR Auction / Perform SFT
    - Post Monthly TCR Awards
    - Check Auction Results

- Round 2
  - 9/17 – 9/21
    - Submit TCR Bids, Offers and Self-Converts
    - Run Monthly TCR Auction
    - Clear Monthly TCR Auction / Perform SFT
    - Post Monthly TCR Awards
    - Check Auction Results

Two Rounds Monthly Auctions ONLY applies to the months of: October through April

MP Activity
SPP Staff Activity

Monthly TCR in effect October 1-31, 2012
Integrated Marketplace

Preparing for TCR Mock Auction

Mock Auction Process

Tony Bliss
TCR Business Analyst

Southwest Power Pool
Section 3

MOCK AUCTION ACTIVITIES
Section Objectives

In this section, we will:

• Label activities on the TCR Mock Auction timeline
• Outline the steps of the TCR Mock Auction process and highlight Market Participant responsibilities
• List Mock Auction registration activities
• Explain data exchange procedures
• Summarize the communication plan
Mock Auction Activities

- TCR Mock Auction will consist of two distinct phases

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<td>**Phase 2</td>
<td>April 2, 2012</td>
<td>August 31, 2012</td>
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- TCR Mock Auction activities (annual and monthly) is condensed to meet intended schedule

- Key activities leading up to TCR Mock Auction activities

*Optional Participation
**Mandatory Participation
Mock Auction Activities
Mock Auction Timeline - 2012

- Below is the high-level timeline for the upcoming TCR Mock Auction (Phase 1 and Phase 2)

*GFA forms are used for Mock and Production TCR Auctions*
Mock Auction Activities – Phase 1

Mock Auction Timeline

- Below is the high-level timeline for the TCR Mock Auction
- Phase 1 (January 16 – April 13, 2012)
Mock Auction Activities – Phase 1
Abbreviated Annual Auction Process

Now – 1/13

- Analyze Historical Data
- Transmission Service Verification
- Assign Candidate ARRs

1/16 – 1/27

- Submit Nominations
- Perform SFT
- Award Annual ARRs (Round 1)

2/1 – 2/22

- Submit Nominations
- Perform SFT
- Award Annual ARRs (Round 2)

3/1 – 3/13

- Submit Bid to Purchase and Self-Convert
- Run Annual TCR Auction
- Clear Annual TCR Auction / Perform SFT
- Post TCR Awards
- Check Auction Results

Abbreviated Annual ARR Allocation Process

Abbreviated Annual TCR Auction

Spring Auction consists of:
- Three rounds of ARR Allocation in April and May
- One round Annual TCR Auction for April at 100% and May at 90% transmission capacity
Mock Auction Activities – Phase 1
Abbreviated Annual ARR Allocation Process

Below is the timeline for the abbreviated Annual ARR Allocation Process

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<td><strong>SPP Posts Results</strong></td>
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<td><strong>MP Reviews ARR Allocation Results</strong></td>
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Mock Auction Activities – Phase 1
Abbreviated Annual TCR Auction Process

- Below is the timeline for the abbreviated Annual TCR Auction Process

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<td>SPP Runs Abbreviated Annual TCR Auction</td>
<td>SPP Posts TCR Awards</td>
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Mock Auction Activities – Phase 1
Abbreviated Monthly TCR Auction Process

Prepare for TCR Mock Auction
3/14 – 4/4

- Review Annual Auction Results
- Prepare for Monthly TCR Bid Submission

Incremental ARR Allocation Process [NOT PERFORMED FOR PHASE 1]

- Verify Incremental Transmission Service
- Assign Incremental Candidate ARRs
- Submit Incremental ARR Nominations
- Perform SFT
- Award Incremental ARRs

Monthly TCR Auction (May 2012)
4/5 – 4/13

- Submit TCR Bids, Offers and Self-Converts
- Run Monthly TCR Auction
- Clear Monthly TCR Auction / Perform SFT
- Post Monthly TCR Awards
- Check Auction Results

May Auction consists of:
- One round Incremental ARR Allocation for May
- One round TCR Auction for May at 100%

MP Activity
SPP Staff Activity
Mock Auction Activities – Phase 1
Abbreviated Monthly TCR Mock Auction Process

- Below is the timeline for the abbreviated Monthly TCR Mock Auction Process

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Mock Auction Activities – Phase 2

Mock Auction Timeline

- Below is the high-level timeline for the TCR Mock Auction
- Phase 2 (April 2 – August 31, 2012)
Mock Auction Activities – Phase 2
Abbreviated Annual Auction Process

**Abbreviated Annual ARR Allocation Process**

- **Now – 4/1**
  - Analyze Historical Data

- **4/2 – 4/13**
  - Transmission Service Verification
  - Assign Candidate ARRs

- **4/16 – 5/4**
  - Submit Nominations
  - Perform SFT
  - Award Annual ARRs (Round 1)
  - Submit Nominations
  - Perform SFT
  - Award Annual ARRs (Round 2)

- **5/14 – 5/25**
  - Submit Nominations
  - Perform SFT
  - Award Annual ARRs (Round 3)
  - Submit Bid to Purchase and Self-Convert
  - Run Annual TCR Auction
  - Clear Annual TCR Auction / Perform SFT
  - Post TCR Awards
  - Check Auction Results

**Abbreviated Annual TCR Auction**

**Summer Auction consists of:**
- Three rounds of ARR Allocation in June, July, August, and September
- One round Annual TCR Auction for June at 100%, July, August, and September at 90% transmission capacity
Mock Auction Activities – Phase 2
Abbreviated Annual ARR Allocation Process

Below is the timeline for the abbreviated Annual ARR Allocation Process

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- Transmission Service Verification
- Round 1
  - MP Submits ARR Nominations
  - SPP Performs ARR Allocation
  - SPP Posts Results
- Round 2
  - MP Submits ARR Nominations
  - SPP Performs ARR Allocation
  - SPP Posts Results
- Round 3
  - MP Submits ARR Nominations
  - SPP Performs ARR Allocation
  - SPP Posts Results
Mock Auction Activities – Phase 2
Abbreviated Annual TCR Auction Process

Below is the timeline for the abbreviated Annual TCR Auction Process

<table>
<thead>
<tr>
<th>Sunday</th>
<th>Monday</th>
<th>Tuesday</th>
<th>Wednesday</th>
<th>Thursday</th>
<th>Friday</th>
<th>Saturday</th>
</tr>
</thead>
<tbody>
<tr>
<td>6</td>
<td>7</td>
<td>8</td>
<td>9</td>
<td>10</td>
<td>11</td>
<td>12</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td><strong>MP Reviews ARR Allocation Results</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>14</td>
<td>15</td>
<td>16</td>
<td>17</td>
<td>18</td>
<td>19</td>
</tr>
<tr>
<td></td>
<td><strong>MP Submits Bids to Purchase and Self-Convert</strong></td>
<td></td>
<td></td>
<td>SPP Runs Abbreviated Annual TCR Auction</td>
<td></td>
<td></td>
</tr>
<tr>
<td>20</td>
<td>21</td>
<td>22</td>
<td>23</td>
<td>24</td>
<td>25</td>
<td>26</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td><strong>SPP Runs Abbreviated Annual TCR Auction</strong></td>
<td></td>
<td>SPP Posts TCR Awards</td>
<td></td>
</tr>
<tr>
<td>27</td>
<td>28</td>
<td>29</td>
<td>30</td>
<td>31</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Mock Auction Activities – Phase 2
Monthly TCR Auction – July 2012

May Auction consists of:
– One round Incremental ARR Allocation for September
– One round TCR Auction for July, August, September at 100%

Prepare for TCR Mock Auction
5/29 – 6/17

Analyze Results of Annual Auction

Prepare for Monthly TCR Bid Submission

Incremental ARR Allocation Process

[NOT PERFORMED FOR JULY 2012]

Verify Incremental Transmission Service

Submit Incremental ARR Nominations

Perform SFT

Award Incremental ARRs

Monthly TCR Auction (July 2012)
6/18 – 6/22

Submit TCR Bids, Offers and Self-Converts

Run Monthly TCR Auction

Clear Monthly TCR Auction / Perform SFT

Post Monthly TCR Awards

Check Auction Results

MP Activity
SPP Staff Activity
Mock Auction Activities – Phase 2
Monthly TCR Auction – August 2012

Prepare for TCR Mock Auction

6/25 – 7/22

- Analyze Results of Annual Auction
- Prepare for Monthly TCR Bid Submission

Incremental ARR Allocation Process

[NOT PERFORMED FOR AUGUST 2012]

- Verify Incremental Transmission Service
- Submit Incremental ARR Nominations
- Perform SFT
- Award Incremental ARRs

Monthly TCR Auction (August 2012)

7/23 – 7/27

- Submit TCR Bids, Offers and Self-Converts
- Run Monthly TCR Auction
- Clear Monthly TCR Auction / Perform SFT
- Post Monthly TCR Awards
- Check Auction Results

May Auction consists of:
- One round Incremental ARR Allocation for September
- One round TCR Auction for July, August, September at 100%
Mock Auction Activities – Phase 2
Monthly TCR Auction – September 2012

Prepare for TCR Mock Auction

7/30 – 8/3

- Analyze Results of Annual Auction
- Request Incremental TSR (optional)
- Prepare for Monthly TCR Bid Submission

Incremental ARR Allocation Process (September 2012)

8/6 – 8/21

- Verify Incremental Transmission Service
- Assign Incremental Candidate ARRs
- Submit Incremental ARR Nominations
- Perform SFT
- Award Incremental ARRs

Monthly TCR Auction (September 2012)

8/27 – 8/31

- Submit TCR Bids, Offers and Self-Converts
- Run Monthly TCR Auction
- Clear Monthly TCR Auction / Perform SFT
- Post Monthly TCR Awards
- Check Auction Results

May Auction consists of:
- One round Incremental ARR Allocation for September
- One round TCR Auction for July, August, September at 100%
Mock Auction Activities – Phase 2
Monthly TCR Mock Auction Process

- Below is the Monthly TCR Mock Auction timeline for July 2012 and August 2012

<table>
<thead>
<tr>
<th>June 2012</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Sunday</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>18</td>
<td>19</td>
<td>20</td>
<td>21</td>
<td>22</td>
<td>23</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>MP Submits Bids, Offers and Self-Convert</strong></td>
<td></td>
<td><strong>SPP Runs Monthly TCR Mock Auction</strong></td>
<td></td>
<td><strong>SPP Posts TCR Awards</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| July 2012  |       |       |       |       |       |       |       |
|           |       |       |       |       |       |       |       |
| 22        | 23    | 24    | 25    | 26    | 27    | 28    |       |
|           | **MP Submits Bids, Offers and Self-Convert** |       | **SPP Runs Monthly TCR Mock Auction** |       | **SPP Posts TCR Awards** |       |       |
Mock Auction Activities – Phase 2
MONTHLY TCR MOCK AUCTION PROCESS (CONT’D)

Below is the Monthly TCR Mock Auction timeline for September 2012

<table>
<thead>
<tr>
<th>August 2012</th>
</tr>
</thead>
<tbody>
<tr>
<td>29</td>
</tr>
<tr>
<td><strong>MP Requests Incremental TSRs (for inclusion in Auction Process)</strong></td>
</tr>
<tr>
<td>5</td>
</tr>
<tr>
<td><strong>SPP Verifies Incremental Transmission Service</strong></td>
</tr>
<tr>
<td>12</td>
</tr>
<tr>
<td><strong>SPP Verifies Incremental Transmission Service</strong></td>
</tr>
<tr>
<td>19</td>
</tr>
<tr>
<td><strong>SPP Performs Incremental ARR Allocation</strong></td>
</tr>
<tr>
<td>26</td>
</tr>
<tr>
<td><strong>MP Submits Bids, Offers and Self-Convert</strong></td>
</tr>
</tbody>
</table>
Break – 10 Minutes
MOCK AUCTION ACTIVITIES

MOCK AUCTION PROCESS
Mock Auction Process

- TCs identify and confirm NITS and Firm PTP
- TCs Nominate Annual ARRs
- MPs Submit Bids to Buy TCRs
- TCs Nominate Incremental ARRs
- MPs Submit Bids to Buy TCRs and Offers to Sell TCRs

Verification

Annual ARR Awards

Annual TCR Auction

Incremental ARR Awards

Monthly TCR Auction

TCR Market Settlements

DA Market Settlements

Mock Auction Activities
Mock Auction Process

STEP 1: Verification Process

- Transmission Service Verification is the process that allows Eligible Entities the opportunity to confirm that their OASIS reservation data is accurately reflected in the TCR Mock Auction Spreadsheet (as Candidate ARRs)

- MPs must notify SPP within two weeks following receipt of information of any data errors or discrepancies. If no errors are reported then the data will be considered verified at the end of the two week period.

- Verification Deadline:
  - Phase 1 – January 27
  - Phase 2 – April 13
Mock Auction Process

STEP 1: Verification Process (cont’d)

- Candidate ARR Data Process

**OASIS**

- Gather TSR data for each entity

**MP Activity**

- Aggregate TSR data into Candidate ARR format

- Calculate Nomination Caps

- Candidate ARR Data File

**SPP Staff Activity**

- Verify and Review Candidate ARR Data

- Review Reported Discrepancies

- Report data discrepancies
Mock Auction Process
STEP 1: Verification Process (cont’d)

- SPP will provide Market Participants with a file containing their Candidate ARR data via GlobalScape

<table>
<thead>
<tr>
<th>Date</th>
<th>TC</th>
<th>Source</th>
<th>Sink</th>
<th>MW Sum</th>
<th>Total Reservations</th>
</tr>
</thead>
<tbody>
<tr>
<td>4/1/2012</td>
<td>AECC</td>
<td>AECC_CSWS</td>
<td>AECC_CSWS</td>
<td>845</td>
<td>1</td>
</tr>
<tr>
<td>4/1/2012</td>
<td>AECC</td>
<td>AECC_ELKINS1</td>
<td>AECC_CSWS</td>
<td>70</td>
<td>1</td>
</tr>
<tr>
<td>4/1/2012</td>
<td>AECC</td>
<td>AECC_FULTON</td>
<td>AECC_CSWS</td>
<td>200</td>
<td>1</td>
</tr>
<tr>
<td>4/1/2012</td>
<td>AECC</td>
<td>OKGE_OKGE</td>
<td>OKGESO1</td>
<td>222</td>
<td>1</td>
</tr>
</tbody>
</table>

- Sample data field descriptions

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date</td>
<td>Effective Start Date of the Candidate ARR</td>
</tr>
<tr>
<td>TC</td>
<td>Transmission Customer</td>
</tr>
<tr>
<td>Source</td>
<td>Source Settlement Location</td>
</tr>
<tr>
<td>Sink</td>
<td>Sink Settlement Location</td>
</tr>
<tr>
<td>MW Sum</td>
<td>The sum total of all MW along that source-sink path for that TC for that</td>
</tr>
<tr>
<td></td>
<td>effective period (minimum value is profiled)</td>
</tr>
<tr>
<td>Total Reservations</td>
<td>The total number of OASIS reservations that combined to form that MW Sum value</td>
</tr>
</tbody>
</table>
Mock Auction Process
STEP 1: Verification Process (cont’d)

- Part of SPP’s OASIS data aggregation is to map OASIS source and sink locations to market Settlement Locations (source and sink)
- A listing of the OASIS to Settlement Location mapping can be found on the SPP website at http://www.spp.org/section.asp?group=656&pageID=27

<table>
<thead>
<tr>
<th>OASIS View</th>
<th>Candidate ARR View</th>
</tr>
</thead>
<tbody>
<tr>
<td>Source</td>
<td>Sink</td>
</tr>
<tr>
<td>AECC</td>
<td>AECC</td>
</tr>
<tr>
<td>AECC</td>
<td>AECC</td>
</tr>
</tbody>
</table>

- Source / Sink Mapping example

<table>
<thead>
<tr>
<th>OASIS_Location</th>
<th>Settlement_Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>AECC</td>
<td>AECC_CSWS</td>
</tr>
<tr>
<td>AECC.ELKINS1</td>
<td>AECC_ELKINS1</td>
</tr>
</tbody>
</table>
Mock Auction Process
STEP 1: Verification Process (cont’d)

- Reporting Verification Discrepancies
  - E-mail MarketplaceTCR@spp.org
  - Congestion Hedging staff will enter the issue in our Issue Tracking Tool (IssueTrak)
  - Issues will be prioritized and responded to by priority

- Discrepancy Reporting Timelines

<table>
<thead>
<tr>
<th>Phase</th>
<th>Process Cycle</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phase 1</td>
<td>*Pre-Verification Process</td>
<td>December 31, 2011</td>
</tr>
<tr>
<td></td>
<td>Verification Process</td>
<td>January 27, 2012</td>
</tr>
<tr>
<td>Phase 2</td>
<td>Verification Process</td>
<td>April 13, 2012</td>
</tr>
</tbody>
</table>

*GFAs will not be included as part of the Pre-Verification Process
Mock Auction Process
STEP 1: Verification Process (cont’d)

- Frequently Asked Questions

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>What happens to my issue after it has been opened?</td>
<td>SPP will research to determine the origin of the discrepancy and will work with the Market Participant to fix it.</td>
</tr>
<tr>
<td>Will SPP re-run the pre-verification process so I can see the fix?</td>
<td>SPP will be conducting a pre-verification process prior to Phase 1 (week of Nov 21) so that any data issues uncovered can be resolved by the time the verification process is run in early January 2012.</td>
</tr>
<tr>
<td>Will SPP re-run the verification process after the period has been closed?</td>
<td>A change in data after the period has closed will require a re-verification by all parties affected. Therefore, it is imperative to conduct a thorough review of the Transmission Service Verification at the given opportunities.</td>
</tr>
</tbody>
</table>
Mock Auction Process
STEP 2: Annual ARR Allocation

- SPP will be conducting three rounds of ARR Allocation
- Market Participants will have a two day window per round to nominate ARRs
- Rules for each of the three rounds

<table>
<thead>
<tr>
<th>Round #</th>
<th>Global Caps</th>
<th>Transmission Capacity</th>
<th>Nomination Paths</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>50%</td>
<td>100%</td>
<td>MPs Reservation Path</td>
</tr>
<tr>
<td>2</td>
<td>100%</td>
<td>100%</td>
<td>MPs Reservation Path</td>
</tr>
<tr>
<td>3</td>
<td>100%</td>
<td>100%</td>
<td>Any Path</td>
</tr>
</tbody>
</table>
Mock Auction Process

STEP 2: Annual ARR Allocation (cont’d)

- During the Mock Auction, Market Participants will be entering nomination data through the TCR Mock Auction GUI tool

Default Screen

![Default Screen of TCR Mock Auction](image-url)
Mock Auction Process

STEP 2: Annual ARR Allocation (cont’d)

Log in Screen

- TCR Mock Auction GUI is web-based
- URLs will be sent to TCR Liaisons via email
- User Name and Passwords will be provided to each of the TCR Liaisons by January 2nd
Mock Auction Process
STEP 2: Annual ARR Allocation (cont’d)

TCR Mock Auction GUI (Round 1 Example)

- GUI presents a table-like view
- Enter nominated ARR MW in the “MW to Nominate” column
- Press “Save” to update Nominations and MW Caps
- After nomination window, values change to read-only
- Default value of 0.0 MW will be assigned if MPs do not nominate
Mock Auction Process
STEP 2: Annual ARR Allocation (cont’d)

TCR Mock Auction GUI (Round 2 Example)

- Data entry through the GUI is only applicable to the current allocation round
- The GUI will show previous round results along with current round information

Note:
- Round 3 Only: Source and Sink selections will be available
Mock Auction Process
STEP 2: Annual ARR Allocation (cont’d)

TCR Mock Auction GUI – Global Cap Error Example

Error: Total Network MWs requested exceeds amount available (1024.5)
Mock Auction Process

STEP 2: Annual ARR Allocation (cont’d)

TCR Mock Auction GUI – Path Cap Error Example
Mock Auction Process
STEP 2: Annual ARR Allocation (cont’d)

TCR Mock Auction GUI – Allocations Successful ‘Save’ Example
Mock Auction Process
STEP 2: Annual ARR Allocation (cont’d)

• SPP will post ARR awards for each of the three rounds through the TCR Mock Auction GUI and make available for download
Mock Auction Process

STEP 3: Annual TCR Mock Auction

• The TCR Mock Auction will begin about one week after Allocation results are posted

• The Auction will be for the months of April and May
  • Both months will run at the same time (i.e. results for April will not be available prior to running the auction for May)
    • April: 100% of transmission capacity available
    • May: 90% of transmission capacity available
Mock Auction Process
STEP 3: Annual TCR Mock Auction (cont’d)

• Similar to the allocation, SPP will notify MPs that Auction period is beginning via email to the TCR Liaisons

• MPs will access TCR Mock Auction GUI to submit bids and self-conversions

• Users can make updates as often as they like prior to close of Auction bid window
Mock Auction Process
STEP 3: Annual TCR Mock Auction (cont’d)

• Sample Bid Submission Data Table

<table>
<thead>
<tr>
<th>Round</th>
<th>Awarded</th>
<th>Settlement Source</th>
<th>Settlement Sink</th>
<th>Period</th>
<th>Global Cap</th>
<th>TS Type</th>
<th>Class</th>
<th>Bid Type</th>
<th>Price</th>
<th>Nomination / Bid MW</th>
</tr>
</thead>
<tbody>
<tr>
<td>AUCTION</td>
<td>N/A</td>
<td>CROSSROADS</td>
<td>MPS</td>
<td>APRIL</td>
<td>300</td>
<td>NETWORK</td>
<td>ON PEAK</td>
<td>SELF CONVERT</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>AUCTION</td>
<td>N/A</td>
<td>MWW</td>
<td>EDE</td>
<td>APRIL</td>
<td>100</td>
<td>FIRM</td>
<td>ON PEAK</td>
<td>SELF CONVERT</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>AUCTION</td>
<td>N/A</td>
<td></td>
<td></td>
<td>N/A</td>
<td>N/A</td>
<td>ON PEAK</td>
<td>BID</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>AUCTION</td>
<td>N/A</td>
<td></td>
<td></td>
<td>N/A</td>
<td>N/A</td>
<td>ON PEAK</td>
<td>BID</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

• Each ARR will be represented individually and available for self-conversion in the TCR Mock Auction GUI

• There will be free form at the bottom to enter in Bids
Mock Auction Process

STEP 3: Annual TCR Mock Auction (cont’d)

• SPP Staff will perform the single round Auction using:
  • Simultaneous Feasibility Test (SFT) on all bids and self-conversions
  • **Note:** Self-conversion will have first priority as compared to bids submitted

• Once the Auction is complete the TCR Mock Auction GUI will display awarded MWs specific to each MP, similar to the Allocation process

• Market Participants will have an option to download the mock auction results via the TCR Mock Auction GUI
Mock Auction Process

STEP 4: Incremental ARR Allocation Process

• SPP will include one Incremental ARR Allocation Process in Phase 2 of the TCR Mock Auction for the month of September

• MPs who wish to participate in the Incremental ARR Allocation process will need to submit a request to SPP for inclusion of Incremental TSRs in the Auction process

  • NOTE: This process is optional

• SPP will review the Incremental TSR requests and assign Incremental ARRs as applicable

• MPs will have an opportunity to submit Incremental ARR Nominations

• SPP Staff will perform a Simultaneously Feasibility Test (SFT) and post Incremental ARR awards
Mock Auction Process

STEP 5: Monthly TCR Mock Auction

• Tactically, the Monthly TCR Mock Auction follows the same steps as the Annual TCR Mock Auction

• TCR Auction will consist of one round during each phase for the following months:
  • Phase 1: May
  • Phase 2: July, August, September

• SPP will notify MPs that Auction period is beginning via email to the TCR Liaisons
Mock Auction Process

STEP 5: Monthly TCR Mock Auction (cont’d)

• MPs will access TCR Mock Auction GUI to submit bids, offers and self-conversions

• Users can make updates as often as they like prior to close of Auction bid window

• Once the Auction is complete the TCR Mock Auction GUI will display awarded MWs specific to each MP, similar to the Allocation process

• Market Participants will have an option to download the mock auction results via the TCR Mock Auction GUI
MOCK AUCTION ACTIVITIES

ROLES AND RESPONSIBILITIES
# Roles and Responsibilities – Phase 1

## TCR Mock Auction 1 – January 16 through April 13, 2012

<table>
<thead>
<tr>
<th>Activity</th>
<th>SPP Staff Activity</th>
<th>MP Activity</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complete Mock Auction Registration</td>
<td></td>
<td>X</td>
<td>10/10/11</td>
<td>11/19/11</td>
</tr>
<tr>
<td>Complete Grandfathered Agreement (GFA) Forms</td>
<td></td>
<td>X</td>
<td>10/10/11</td>
<td>11/19/11</td>
</tr>
<tr>
<td>Conduct Transmission Service Pre-Verification</td>
<td>X</td>
<td></td>
<td>11/21/11</td>
<td>11/23/11</td>
</tr>
<tr>
<td>Perform Transmission Service Pre-Verification</td>
<td>X</td>
<td></td>
<td>11/28/11</td>
<td>12/31/11</td>
</tr>
<tr>
<td>Provide TCR Mock Auction GUI Log in Information</td>
<td></td>
<td>X</td>
<td>1/2/12</td>
<td>1/2/12</td>
</tr>
</tbody>
</table>

### Abbreviated Annual ARR Allocation Timeline

<table>
<thead>
<tr>
<th>Activity</th>
<th>SPP Staff Activity</th>
<th>MP Activity</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Perform Transmission Service Verification Process</td>
<td></td>
<td>X</td>
<td>1/16/12</td>
<td>1/27/12</td>
</tr>
<tr>
<td>Submit ARR Nominations (Round 1)</td>
<td></td>
<td>X</td>
<td>2/1/12</td>
<td>2/2/12</td>
</tr>
<tr>
<td>Perform ARR Allocation (Round 1)</td>
<td>X</td>
<td></td>
<td>2/3/12</td>
<td>2/7/12</td>
</tr>
<tr>
<td>Post ARR Allocation Results (Round 1)</td>
<td>X</td>
<td></td>
<td>2/7/12</td>
<td>2/7/12</td>
</tr>
<tr>
<td>Submit ARR Nominations (Round 2)</td>
<td></td>
<td>X</td>
<td>2/8/12</td>
<td>2/9/12</td>
</tr>
<tr>
<td>Perform ARR Allocation (Round 2)</td>
<td>X</td>
<td></td>
<td>2/10/12</td>
<td>2/14/12</td>
</tr>
<tr>
<td>Post ARR Allocation Results (Round 2)</td>
<td>X</td>
<td></td>
<td>2/14/12</td>
<td>2/14/12</td>
</tr>
<tr>
<td>Submit ARR Nominations (Round 3)</td>
<td></td>
<td>X</td>
<td>2/15/12</td>
<td>2/16/12</td>
</tr>
<tr>
<td>Perform ARR Allocation (Round 3)</td>
<td>X</td>
<td></td>
<td>2/17/12</td>
<td>2/22/12</td>
</tr>
<tr>
<td>Post ARR Allocation Results (Round 3)</td>
<td>X</td>
<td></td>
<td>2/22/12</td>
<td>2/22/12</td>
</tr>
</tbody>
</table>
## Roles and Responsibilities – Phase 1 (cont’d)

### TCR Mock Auction 1 – January 16 through April 13, 2012

<table>
<thead>
<tr>
<th>Activity</th>
<th>SPP Staff Activity</th>
<th>MP Activity</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Abbreviated Annual TCR Auction</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review ARR Allocation Results</td>
<td></td>
<td>X</td>
<td>2/23/12</td>
<td>2/29/12</td>
</tr>
<tr>
<td>Submit Bids to Purchase and Self-Converts</td>
<td></td>
<td>X</td>
<td>3/1/12</td>
<td>3/2/12</td>
</tr>
<tr>
<td>Run Abbreviated Annual TCR Auction</td>
<td></td>
<td>X</td>
<td>3/5/12</td>
<td>3/13/12</td>
</tr>
<tr>
<td>Post TCR Awards</td>
<td></td>
<td>X</td>
<td>3/13/12</td>
<td>3/13/12</td>
</tr>
<tr>
<td><strong>Abbreviated Monthly TCR Mock Auction</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Submit TCR Bids, Offers, and Self-Converts</td>
<td></td>
<td>X</td>
<td>4/5/12</td>
<td>4/6/12</td>
</tr>
<tr>
<td>Run Abbreviated Annual TCR Auction</td>
<td></td>
<td>X</td>
<td>4/9/12</td>
<td>4/13/12</td>
</tr>
<tr>
<td>Post TCR Awards</td>
<td></td>
<td>X</td>
<td>4/13/12</td>
<td>4/13/12</td>
</tr>
</tbody>
</table>
## Roles and Responsibilities – Phase 2

### TCR Mock Auction 2 – April 2 through August 31, 2012

<table>
<thead>
<tr>
<th>Activity</th>
<th>SPP Staff Activity</th>
<th>MP Activity</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complete Mock Auction Registration</td>
<td></td>
<td>X</td>
<td>10/10/11</td>
<td>1/27/12</td>
</tr>
<tr>
<td>Complete Grandfathered Agreement (GFA) Forms</td>
<td></td>
<td>X</td>
<td>10/10/11</td>
<td>1/27/12</td>
</tr>
</tbody>
</table>

**Abbreviated Annual ARR Allocation Timeline**

<table>
<thead>
<tr>
<th>Activity</th>
<th>SPP Staff Activity</th>
<th>MP Activity</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Perform Transmission Service Verification Process</td>
<td></td>
<td>X</td>
<td>4/2/12</td>
<td>4/13/12</td>
</tr>
<tr>
<td>Submit ARR Nominations (Round 1)</td>
<td></td>
<td>X</td>
<td>4/16/12</td>
<td>4/17/12</td>
</tr>
<tr>
<td>Perform ARR Allocation (Round 1)</td>
<td></td>
<td>X</td>
<td>4/18/12</td>
<td>4/20/12</td>
</tr>
<tr>
<td>Post ARR Allocation Results (Round 1)</td>
<td></td>
<td>X</td>
<td>4/20/12</td>
<td>4/20/12</td>
</tr>
<tr>
<td>Submit ARR Nominations (Round 2)</td>
<td></td>
<td>X</td>
<td>4/23/12</td>
<td>4/24/12</td>
</tr>
<tr>
<td>Perform ARR Allocation (Round 2)</td>
<td></td>
<td>X</td>
<td>4/25/12</td>
<td>4/27/12</td>
</tr>
<tr>
<td>Post ARR Allocation Results (Round 2)</td>
<td></td>
<td>X</td>
<td>4/27/12</td>
<td>4/27/12</td>
</tr>
<tr>
<td>Submit ARR Nominations (Round 3)</td>
<td></td>
<td>X</td>
<td>4/30/12</td>
<td>5/1/12</td>
</tr>
<tr>
<td>Perform ARR Allocation (Round 3)</td>
<td></td>
<td>X</td>
<td>5/2/12</td>
<td>5/4/12</td>
</tr>
<tr>
<td>Post ARR Allocation Results (Round 3)</td>
<td></td>
<td>X</td>
<td>5/4/12</td>
<td>5/4/12</td>
</tr>
</tbody>
</table>

**Abbreviated Annual TCR Auction**

<table>
<thead>
<tr>
<th>Activity</th>
<th>SPP Staff Activity</th>
<th>MP Activity</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review ARR Allocation Results</td>
<td></td>
<td>X</td>
<td>5/7/12</td>
<td>5/11/12</td>
</tr>
<tr>
<td>Submit Bids to Purchase and Self-Converts</td>
<td></td>
<td>X</td>
<td>5/14/12</td>
<td>5/15/12</td>
</tr>
<tr>
<td>Run Abbreviated Annual TCR Auction</td>
<td></td>
<td>X</td>
<td>5/16/12</td>
<td>5/25/12</td>
</tr>
<tr>
<td>Post TCR Awards</td>
<td></td>
<td>X</td>
<td>5/25/12</td>
<td>5/25/12</td>
</tr>
</tbody>
</table>
## Roles and Responsibilities – Phase 2 (cont’d)

### TCR Mock Auction 2 – April 2 through August 31, 2012

<table>
<thead>
<tr>
<th>Activity</th>
<th>SPP Staff Activity</th>
<th>MP Activity</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Abbreviated Monthly TCR Mock Auction</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Submit TCR Bids, Offers, and Self-Converts (July)</td>
<td></td>
<td>X</td>
<td>6/18/12</td>
<td>6/19/12</td>
</tr>
<tr>
<td>Run Abbreviated Annual TCR Auction (July)</td>
<td></td>
<td>X</td>
<td>6/20/12</td>
<td>6/22/12</td>
</tr>
<tr>
<td>Post TCR Awards (July)</td>
<td></td>
<td>X</td>
<td>6/22/12</td>
<td>6/22/12</td>
</tr>
<tr>
<td>Submit TCR Bids, Offers, and Self-Converts (Aug)</td>
<td></td>
<td>X</td>
<td>7/23/12</td>
<td>7/24/12</td>
</tr>
<tr>
<td>Run Abbreviated Annual TCR Auction (Aug)</td>
<td></td>
<td>X</td>
<td>7/25/12</td>
<td>7/27/12</td>
</tr>
<tr>
<td>Post TCR Awards (Aug)</td>
<td></td>
<td></td>
<td>7/27/12</td>
<td>7/27/12</td>
</tr>
<tr>
<td><strong>Incremental ARR Allocation Process</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Request Incremental TSRs (Sept)</td>
<td></td>
<td>X</td>
<td>7/30/12</td>
<td>8/3/12</td>
</tr>
<tr>
<td>Verify Incremental Transmission Service (Sept)</td>
<td></td>
<td>X</td>
<td>8/6/12</td>
<td>8/14/12</td>
</tr>
<tr>
<td>Submit Incremental ARR Nominations (Sept)</td>
<td></td>
<td>X</td>
<td>8/15/12</td>
<td>8/16/12</td>
</tr>
<tr>
<td>Perform Incremental ARR Allocations (Sept)</td>
<td></td>
<td>X</td>
<td>8/17/12</td>
<td>8/21/12</td>
</tr>
<tr>
<td>Post Incremental ARR Awards (Sept)</td>
<td></td>
<td>X</td>
<td>8/21/12</td>
<td>8/21/12</td>
</tr>
<tr>
<td><strong>Abbreviated Monthly TCR Mock Auction</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Submit TCR Bids, Offers, and Self-Converts (Sept)</td>
<td></td>
<td>X</td>
<td>8/27/12</td>
<td>8/28/12</td>
</tr>
<tr>
<td>Run Abbreviated Annual TCR Auction (Sept)</td>
<td></td>
<td>X</td>
<td>8/29/12</td>
<td>8/31/12</td>
</tr>
<tr>
<td>Post TCR Awards (Sept)</td>
<td></td>
<td>X</td>
<td>8/31/12</td>
<td>8/31/12</td>
</tr>
</tbody>
</table>
Break – 10 Minutes
Section 4

MOCK AUCTION LOGISTICS
MOCK AUCTION LOGISTICS

MOCK AUCTION REGISTRATION
Mock Auction Registration

• Market Participants who wish to participate in the TCR Mock Auction will need to complete the Registration Packet
  • Registration Document
  • Non-Disclosure Agreement
  • Disclaimer

• Purpose of registering for the TCR Mock Auction
  • Legal
    • Non-Disclosure Agreement
  • Administrative
    • Quantify participation
    • Communicate effectively
    • Manage file exchanging efficiently
Mock Auction Registration (cont’d)

• Registration document named “TCR Mock Auction Registration and Disclaimer.pdf” was provided to all TCR Liaisons through GlobalScape

• Registration document will provide SPP with the following:
  • Entity’s intention to participate in the Mock TCR Auction
  • Primary and secondary points of contact; both will be included to the:
    • TCR Liaisons distribution list
    • File sharing program
  • TCR Mock Auction Disclaimer
Mock Auction Registration (cont’d)

- Non-Disclosure Agreement
  - Issued to protect sensitive model data
  - Non-Disclosure Agreements have been provided Liaisons via GlobalScape
  - “SPP Confidentiality Agreement.pdf”
    - No need to complete if you already have one on file with SPP
    - Agreement is individually based and not company wide
  - “TCR Mock Auction CD Attachment A.pdf” OR “TCR Mock Auction NCD Attachment A.pdf”
    - Must return the appropriate one - see “SPP Confidentiality Agreement.pdf” for details

CD – “Competitive Duty” personnel
NCD – “Non-Competitive Duty” personnel
Mock Auction Registration (cont’d)

• TCR Mock Auction Disclaimer
  • TCR Mock Auction is for educational purposes only
  • Results of the TCR Mock Auction are non-binding
  • Registration to participate in the TCR Mock Auction does NOT guarantee entry into the SPP TCR Market
  • No credit requirement for TCR Mock Auction
  • There are credit requirements for TCR Go-Live
MOCK AUCTION LOGISTICS

GRANDFATHERED AGREEMENT (GFA) REGISTRATION
GFA Registration

• Scope of GFA Registration
  • Separate packet from the TCR Mock Auction registration packet!
  • One-time process that remains in effect in the SPP TCR Auction
  • This is NOT just for the Mock TCR Auction!
  • Both GFA parties must sign
GFA Registration (cont’d)

• Purpose of registering GFA reservations
  • Data is not in SPP OASIS
  • Get accurate path/profile information for the TCR system
  • All parties to the GFA acknowledge in advance who gets GFA ARRs
GFA Registration (cont’d)

• One GFA registration packet must be submitted for each GFA
  • Avoids confusion when providing information to SPP
  • Avoids confusion between GFA parties about which GFAs are being acknowledged
  • Prevents one GFA from holding up the submission of all the others
  • Simplifies the importing of the GFA data into the TCR system
GFA Registration (cont’d)

• Contents of GFA Registration Packet
  • Instruction sheet
    • Details about the form
    • Attestation and Signatures
  • Attachment W information sheet
    • Displays the pertinent GFA information from Attachment W
  • Reservation Information sheet
    • Spreadsheet for gathering OASIS data
GFA Registration (cont’d)

• Instruction sheet – “GFA ARR Eligibility Confirmation Form.doc”
  • Outlines the information required by SPP
  • The final page contains:
    • Attestation – legal language stating both parties agree the Transmission Customer shall receive the GFA ARRs
    • Signature lines for the participants to sign and return to SPP
GFA Registration (cont’d)

- Attachment W information – “GFA Attachment W.doc”

<table>
<thead>
<tr>
<th>Line No.</th>
<th>Contract Title</th>
<th>Selling Party</th>
<th>Buying Party</th>
<th>FERC Rate Schedule No.</th>
<th>Type of Service</th>
<th>Termination Provisions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>GRDA/KAMO Generation Participation</td>
<td>Grand River Dam Authority</td>
<td>Grand River Dam Authority</td>
<td>Point To Point</td>
<td>Through 12/31/2010 with rollover provisions thereafter</td>
<td></td>
</tr>
</tbody>
</table>
GFA Registration (cont’d)

- Reservation Information sheet – “GFA Table.xls”
  - For participants to provide SPP the OASIS data associated with the GFA
  - TSR tab: OASIS data and Settlement Location information
  - TSR Profile tab: Additional OASIS data associated with a profiled GFA
  - This data will be imported “as is” – accuracy is critical
GFA Registration (cont’d)

• “GFA Table.xls” – “TSR” tab

<table>
<thead>
<tr>
<th>AssignmentRef</th>
<th>Provider</th>
<th>SellerCode</th>
<th>CustomerCode</th>
<th>POR</th>
<th>POD</th>
<th>Source</th>
<th>Sink</th>
<th>StartTime</th>
<th>StopTime</th>
</tr>
</thead>
<tbody>
<tr>
<td>1003129</td>
<td>SWPP</td>
<td>SWPP</td>
<td>OMPA</td>
<td>CSWS</td>
<td>OKGE</td>
<td>CSWS.OMPA</td>
<td>OKGE.OMPA</td>
<td>12/1/05 0:00</td>
<td>12/1/14 0:00</td>
</tr>
<tr>
<td>1003130</td>
<td>SWPP</td>
<td>SWPP</td>
<td>OMPA</td>
<td>CSWS</td>
<td>OKGE</td>
<td>CSWS.OMPA</td>
<td>OKGE.OMPA</td>
<td>12/1/05 0:00</td>
<td>12/1/14 0:00</td>
</tr>
</tbody>
</table>

• “GFA Table.xls” – “TSR Profile” tab

<table>
<thead>
<tr>
<th>ServiceIncrement</th>
<th>RequestType</th>
<th>TSType</th>
<th>ReassignedRef</th>
<th>RelatedRef</th>
<th>MW Granted</th>
<th>SourceSettlementLocation</th>
<th>SinkSettlementLocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>YEARLY</td>
<td>ORIGINAL</td>
<td>NETWORK</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>YEARLY</td>
<td>ORIGINAL</td>
<td>NETWORK</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
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<th>SegmentStartDate</th>
<th>SegmentEndDate</th>
<th>SegmentCapacityGranted</th>
</tr>
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<tbody>
<tr>
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<td>12/1/14 0:00</td>
<td>16</td>
</tr>
<tr>
<td>1003130</td>
<td>12/1/05 0:00</td>
<td>12/1/14 0:00</td>
<td>25</td>
</tr>
</tbody>
</table>
GFA Registration (cont’d)

• Signatures
  • SPP prefers electronic signatures
  • Can be an “official” electronic signature file you attach to document
  • Print/sign/scan is valid form of electronic signature
Registration – Submittal

- Registration submission deadline

<table>
<thead>
<tr>
<th>Phase</th>
<th>Activity</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phase 1</td>
<td>Complete Mock Auction Registration</td>
<td>November 19, 2011</td>
</tr>
<tr>
<td></td>
<td>Complete Grandfathered Agreement (GFA) Forms</td>
<td></td>
</tr>
<tr>
<td>Phase 2</td>
<td>Complete Mock Auction Registration</td>
<td>January 27, 2012</td>
</tr>
<tr>
<td></td>
<td>Complete Grandfathered Agreement (GFA) Forms</td>
<td></td>
</tr>
</tbody>
</table>
Registration – Submittal (cont’d)

• **Preferred** submission method

• **Alternate** methods to submit the signed Mock TCR Registration Packet/GFA Registration Packet to SPP

  • E-mail to: [MarketplaceTCR@spp.org](mailto:MarketplaceTCR@spp.org)
  
  • Fax
    
    • Attn: Don Martin
    
    Fax #: 501-663-1118

  • Mail signed hard copies to:
    
    • Don Martin
    
    415 North McKinley
    
    #140 Plaza West
    
    Little Rock, AR 72205
MOCK AUCTION LOGISTICS

GLOBALSCAPE EFT FILE EXCHANGE
Mock Auction Logistics

GlobalScape EFT

• GlobalScape EFT is a mechanism that allows companies to transfer files back and forth securely

• Security features
  • Requires a password reset every 90 days
  • Hosted at SPP
  • Provides public and private areas
    • The public area is a folder available in each participant’s area and is labeled “CONTAINS CEII – Do Not Release.”
  • Allows multiple users to have access to the same folder
Mock Auction Logistics
GlobalScape EFT (cont’d)

• How do I access GlobalScape EFT?
  • Log in from any browser connected to web
  • https://xfer.spp.org/

• How do I get my User Name and Password for it?
  • Information was sent via e-mail on or around October 7, 2011
  • Enter your login information to begin exchanging files
Mock Auction Logistics
GlobalScape EFT (cont’d)

• How do I use GlobalScape EFT?
Mock Auction Logistics
GlobalScape EFT (cont’d)

• Participant Desktop
Mock Auction Logistics
Globalscape EFT (cont’d)

- SPP Desktop
Mock Auction Logistics
GlobalScape EFT (cont’d)

• Steps on how to transfer a file

1) Select file(s) to transfer
2) Initiate transfer
3) Transfer Complete
Mock Auction Logistics
GlobalScape EFT (cont’d)

- Confirmation that files have been successfully completed
MOCK AUCTION LOGISTICS
COMMUNICATION
Communication Logistics

• SPP is committed to having open and direct communications with its TCR Liaisons throughout the various TCR Mock Auction activities

• Below is a guide of the various communication channels:

<table>
<thead>
<tr>
<th>Communication Channel</th>
<th>Responsible Party</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>GlobalScape (preferred file exchange method)</td>
<td>MP</td>
<td>10/7/11</td>
<td>8/31/2012</td>
</tr>
<tr>
<td>Marketplace Overview Training</td>
<td>MP</td>
<td>10/18/11</td>
<td>3/7/2012</td>
</tr>
<tr>
<td>Preparing for TCR Mock Auction Training</td>
<td>MP</td>
<td>11/10/11</td>
<td>3/13/12</td>
</tr>
<tr>
<td>One-on-One SME Support (on as-needed basis)</td>
<td>MP and Congestion Hedging Team</td>
<td>11/11/11</td>
<td>1/12/12</td>
</tr>
<tr>
<td>One-on-One TCR Outreach</td>
<td>Training and Congestion Hedging Teams</td>
<td>1/17/12</td>
<td>6/16/12</td>
</tr>
<tr>
<td><a href="mailto:MarketplaceTCR@SPP.org">MarketplaceTCR@SPP.org</a> (TCR Mock Auction Questions and Correspondence)</td>
<td>MP</td>
<td>Now</td>
<td>6/16/12</td>
</tr>
</tbody>
</table>
Mock Auction Logistics
Communication Plan

• Other Communication Methods

For questions specific to the TCR workstream, e-mail MarketplaceTCR@spp.org

For non-marketplace questions or for assistance in directing a marketplace question, e-mail questions@spp.org

You may also call your SPP Customer Relations Representative to speak with someone in person
Section 5

TCR ANALYTIC EXAMPLES
TCR Analytic Examples
Introduction

• Market Participants are encouraged to begin analysis on historical market data to understand past congestion history (EIS Market)

• Results of this analysis are subject to Market Participants’ interpretation and strategic planning

• Analytical exercise will provide a point of reference for MPs to make informed decisions on future congestion hedging tools

• Examples provided by SPP Staff are an aide to help get the process started; however MPs should not be limited to these methods
TCR Analytic Examples

Analysis Points

• Pre-Allocation
  • Historical Congestion Exposure
  • Historical Congestion Hedging in the EIS Market through Schedules

• ARR Allocation
  • Post Round 1: Round 1 results for determining Round 2 Nominations
  • Post Round 2: Round 2 results for determining Round 3 Nominations

• Pre-Auction
  • Analyze complete ARR awards for all rounds for determining auction strategies

• Post-Auction
  • Analyze annual results to determine monthly auction strategies
TCR Analytic Examples
Congestion Costs

- **Congestion Cost Calculation**
  - The congestion component of Locational Imbalance Price (LIP) is calculated as the difference between the LIP and the System Marginal Price (SMP) for each settlement location
  - The settlement location congestion cost is the actual meter value multiplied by the congestion component
  - The net exposure is the sum of all settlement location congestion cost for a Market Participant

- **Schedule Congestion Hedge**
  - The settlement location congestion hedge is the scheduled meter value multiplied by the calculated congestion component
## TCR Analytic Examples
### Monthly Summary

<table>
<thead>
<tr>
<th>Month</th>
<th>Actual Congestion Cost</th>
<th>Congestion Credits from Schedules</th>
<th>Net Congestion Cost (Receipts)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aug-10</td>
<td>1,494,746</td>
<td>-1,458,838</td>
<td>35,907</td>
</tr>
<tr>
<td>Sep-10</td>
<td>404,131</td>
<td>-256,488</td>
<td>147,643</td>
</tr>
<tr>
<td>Oct-10</td>
<td>-84,153</td>
<td>-53,091</td>
<td>-137,244</td>
</tr>
<tr>
<td>Nov-10</td>
<td>163,838</td>
<td>-79,838</td>
<td>84,000</td>
</tr>
<tr>
<td>Dec-10</td>
<td>423,793</td>
<td>-409,901</td>
<td>13,892</td>
</tr>
<tr>
<td>Jan-11</td>
<td>1,196,258</td>
<td>-1,193,430</td>
<td>2,828</td>
</tr>
<tr>
<td>Feb-11</td>
<td>59,159</td>
<td>-52,082</td>
<td>7,077</td>
</tr>
<tr>
<td>Mar-11</td>
<td>1,183,547</td>
<td>-1,128,033</td>
<td>55,514</td>
</tr>
<tr>
<td>Apr-11</td>
<td>-73,232</td>
<td>49,462</td>
<td>-23,770</td>
</tr>
<tr>
<td>May-11</td>
<td>2,641,632</td>
<td>-3,217,150</td>
<td>-575,518</td>
</tr>
<tr>
<td>Jun-11</td>
<td>578,324</td>
<td>-538,515</td>
<td>39,809</td>
</tr>
<tr>
<td>Jul-11</td>
<td>3,931,717</td>
<td>-3,967,985</td>
<td>-36,267</td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td><strong>11,919,759</strong></td>
<td><strong>-12,305,887</strong></td>
<td><strong>-386,129</strong></td>
</tr>
</tbody>
</table>
TCR Analytic Examples
Potential Analysis Considerations

• Isolating On-peak and Off-peak trends
• Reviewing seasonal trends in congestion costs
• Reviewing off-market schedules for congestion exposure
Section 6

REFERENCE MATERIALS
Reference Materials

• Below is a list of helpful documents for reference during the TCR Mock Auction

• Integrated Marketplace Protocols 4.0
  http://spp.org/section.asp?pageID=143

• Integrated Marketplace Workstream – TCR Project Folder
  • TCR Kick-Off Meeting Materials
  • Congestion Hedging Analysis Example
  • Mock Registration Packet
  • GFA Registration Packet
  • GlobalScape FAQ

• System Marginal Price (SMP)
Find Reference Materials

• **Integrated Marketplace:**
  www.SPP.org > Integrated Marketplace
  - Integrated Marketplace Protocols
  - Marketplace Education Sessions
  - Marketplace Implementation Timelines

• **Market Working Group:**
  www.SPP.org > Org Groups > Market Working Group
  - Marketplace Protocol Revision Requests, design decisions, etc.

• **Change Working Group:**
  www.SPP.org > Org Groups > Change Working Group
  - Implementation information, timelines, etc.
Section 7

COURSE WRAP UP
Course Wrap Up
Knowledge Assessment Exams

• Attendees who are registered in the LMS will receive an email with instructions on how to access the course knowledge assessment exam

• Attendees who do not have LMS user accounts and wish to get credit for this course must create a user account in the SPP Learning Center (LMS)

• If there is more than one person attending the training on a single conference line:
  • Send list of names to mdaly@spp.org by the end of the day

• Attendees will have two weeks from today to complete the exam

• You will need to pass the exam by 75%

• If you should not pass the exam, you will have the opportunity to re-take the exam.

GOOD LUCK!
THANK YOU FOR PARTICIPATING!
Questions about this training session?

Gay Anthony
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501-688-1722
ganthony@spp.org

For all other questions:
501.614.3200
questions@spp.org