



# **Internal Bilateral Transactions User Interface**

## **Contract Upload File Formats**

## *SMS Contract File Upload Tracking Table*

Ref Number	Change	Date
46545	“&” changed to “+”, examples updated	01/15/03
3050	Added line that Contains a name of fixed MW pattern for On-peak - Off-peak patterns, if any. This name can be one of these: On-Peak 5x16, On-Peak 2x16, Off-Peak 5x8, Off-Peak 7x8, Off-Peak 2x24, Off-Peak 5x8 & 2x24	12/16/2002
22316	Changed XML File Format section to refer to online DTD, and XML File Examples section to use up-to-date DOCTYPE	8/18/2003
56917	Daylight saving extra hour format description is changed from “02:00:00*” to “2*:00:00” to reflect the implemented format.	9/15/2003
33384	Added FR_TMNSR, FR_TMOR contract categories	02/21/2006
33384	On the XML file format, changed the system and public IDs to refer to the new DTD version 1.1 (1_1)	08/03/2006
WARP	Updated URL on the XML file	09/28/2006
36117	Added CSV and XML Contract Extension File Format Excluded External ICAP Imports from the contracts submitted with Schedule	10/01/2006
Q2 2008	Accepted previous revision changes	01/18/2008

<b>Date</b>	<b>By</b>	<b>Version</b>	<b>Comments</b>
12/01/2008	Alla Tosenko	Q2_2009	Added External ICAP with Flexible Reservations Contract file upload format
05/05/2009	Alla Tosenko	FCM 2	Added Capacity Load Obligation Contract Type
06/03/2009	Vlad Antonevich	FCM2	Added examples of file upload formats for Capacity Obligation Contract, updated DOCTYPE to the new DTD version (1.3) in XML file examples
06/30/2009	Alla Tosenko	FCM 2	Added Capacity Supplemental Availability contract type; Removed contract length definition since it is defined in the <i>Internal Contracts Functional Specification</i> document
8/24/2009	Alla Tosenko	FCM 2	Changed Capacity Load Obligation, Capacity Supplemental Availability contract type labels to FCM Load Obligation, FCM Supplemental Availability respectively
10/28/2009	Alla Tosenko	FCM 2	Updated examples of the Capacity Supplemental Availability contract in XML file format
05/24/2010	Subhasish Parida	CBE v1	Added Marginal Loss Revenue Allocation Flag upload specification and example file.
06/16/2010	Jim Doyle	CBE v2	<p>Moved MLR Flag from required line 1000 to new optional line 2050 in sections:</p> <ul style="list-style-type: none"> <li>• CSV File Format: CSV Contract Entry Upload File Format for both Contract Only and Contract and Schedule</li> <li>• CSV File Examples: CSV Hourly Contract Entry Upload File Example for both Contract Only and Contract and Schedule</li> <li>• CSV File Format Definitions</li> </ul> <p>Clarified MLR Flag description (only for DA and RT Energy contracts, includes/excludes contract in MLRLO) in sections:</p> <ul style="list-style-type: none"> <li>• CSV File Format Definitions</li> <li>• XML Contract Upload File Format Definitions – Submit_Contracts</li> </ul> <p>Updated Public Id and System Id from Contract Submission 1.3 to 1.4 and submit_contracts_1_3.dtd to submit_contracts_1_4.dtd in sections:</p> <ul style="list-style-type: none"> <li>• XML File Format</li> <li>• XML File Examples: XML Hourly Contract Entry Upload File Examples and XML Monthly Entry Upload File Examples</li> </ul>
06/22/2010	Jim Doyle	CBE v3	<p>Added start date validation to MLR Flag description in sections:</p> <ul style="list-style-type: none"> <li>• CSV File Format Definitions</li> <li>• XML Contract Upload File Format Definitions – Submit_Contracts</li> </ul>

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## CSV File Format

### CSV Contract Entry Upload File Format - Contract Only

<Component>  
<Contract Entry>  
\*\*\*  
1000,<Contract Category >,<Seller ID>,<Buyer ID>,< Location ID>,<Reference ID>,<Begin Date>,<End Date>  
2000,<Confirm Level Flag>  
2050,<MLR Flag>  
3000,<Fixed MW Amount>  
3050,<Fixed MW Pattern>  
5000,<Asset Id>,<Transaction Type>,<EFORd>  
6000, <Supplementing Resource ID>,<Supplemented Resource ID>\*\*\*

### CSV Contract Entry Upload File Format - Contract and Schedule

<Component>  
<Contract Entry>  
\*\*\*  
1000,<Contract Category >,<Seller ID>,<Buyer ID>,< Location ID>,<Reference ID>,<Begin Date>,<End Date>  
2000,<Confirm Level Flag>  
2050,<MLR Flag>  
3000,<Fixed MW Amount>  
4XXX,<Date>  
4XXX,<Profile Interval>,<MW>  
4XXX,<Profile Interval>,<MW>  
4XXX,<Profile Interval>,<MW>  
(up to 25 of these for each day of the contract)  
5000,<Asset Id>,<Transaction Type>,<EFORd>  
6000, <Supplementing Resource ID>,<Supplemented Resource ID>

### CSV Schedule Profile Entry Upload File Format

<Component>  
<Contract Entry>  
\*\*\*  
1001<Contract ID>,<Contract Category >,<Seller ID>,<Buyer ID>  
4XXX,<Date>  
4XXX,< Profile Interval>,<MW>  
4XXX,< Profile Interval>,<MW>  
4XXX,< Profile Interval>,<MW>  
(up to 25 of these for each day of the contract)

## **CSV Contract Termination Upload File Format**

<Component>

<Contract Entry>

\*\*\*

9000,<Contract ID>,<Contract Category >,<Seller ID>,<Buyer ID>,<Termination Begin Date>

## **CSV Contract Extension Upload File Format**

<Component>

<Contract Entry>

\*\*\*

8000,<Contract ID>,<Contract Category >,<Seller ID>,<Buyer ID>,<Extension End Date>

## CSV File Examples

### CSV Hourly Contract Entry Upload File Example - Contract Only

Contract

Cont

\*\*\*

1000,ENERGY\_DA,1,2,901,xxx,11/01/2002 11:00:00,11/3/2003 6:00:00

2000,C

3000,50.675

3050,On-Peak 5x16

\*\*\*

1000,ENERGY\_DA,1,2,401,xxx,11/01/2002 11:00:00,11/3/2003 6:00:00

2000,P

\*\*\*

1000,ENERGY\_DA,1,2,401,xxx,12/01/2010 11:00:00,12/03/2010 6:00:00

2000,P

2050,N

\*\*\*

1000,ENERGY\_RT,1,2,401,xxx,02/21/2002 01:00:00,02/28/2002 24:00:00

2000,C

3000,50.675

\*\*\*

1000,ENERGY\_RT,1,2,401,xxx,02/21/2002 01:00:00,02/28/2002 24:00:00

2000,P

\*\*\*

1000,ENERGY\_RT,1,2,401,xxx,12/21/2010 01:00:00,12/28/2010 24:00:00

2000,P

2050,Y

\*\*\*

1000,LOAD\_RT,1,3,601,xxx,11/21/2002 01:00:00,11/23/2003 6:00:00

2000,C

\*\*\*

1000,REGULATION\_RT,1,2, ,xxx,11/01/2002 11:00:00,11/3/2003 6:00:00

2000,P

\*\*\*

1000,FR\_TMNSR,1,2,801,xxx,10/01/2006 08:00:00,11/2/2006 23:00:00

2000,P

3000,10.000

3050,On-Peak 5x16

\*\*\*

1000,FR\_TMOR,1,2,802,xxx,10/01/2006 01:00:00,05/31/2007 24:00:00

2000,C

\*\*\*

1000,FCM\_SUPPLEMENTAL\_AVAILABILITY,1,2, ,xxx,06/29/2010 01:00:00,06/30/2010 24:00:00

2000,P

6000, 1101,1107

\*\*\*

## CSV Monthly Contract Entry Upload File Example - Contract Only

### Internal ICAP

Contract

Cont

\*\*\*

1000,ICAP\_INTERNAL,1,2, ,xxx,12/01/2002 01:00:00,3/31/2003 24:00:00

2000,P

\*\*\*

1000,ICAP\_INTERNAL,1,2, ,xxx,12/01/2002 01:00:00,3/31/2003 24:00:00

2000,C

\*\*\*

1000,ICAP\_INTERNAL,1,2, ,xxx,12/01/2002 01:00:00,12/31/2002 24:00:00

2000,C

3000,20.000

### External ICAP

Contract

Cont

\*\*\*

1000,ICAP\_EXTERNAL,2,10,407,xxx-export,12/01/2002 01:00:00,01/31/2003 24:00:00

3000,1.900

5000,103,U

\*\*\*

1000,ICAP\_EXTERNAL,2,10,407,xxx-export,12/01/2002 01:00:00,01/31/2003 24:00:00

5000,103,U

\*\*\*

1000,ICAP\_EXTERNAL,10,2,406,xxx-importUnit,11/1/2006 1:00:00,12/31/2006 24:00:00

3000,99

5000,NY\_UnitXXX,U,2.55

\*\*\*

1000,ICAP\_EXTERNAL,50012,,2,406,xxx-importControlArea,11/1/2006 1:00:00,12/31/2006 24:00:00

3000,50

5000, ,C,33.333

### External ICAP with Flexible Reservations

Contract

Cont

\*\*\*

1000,ICAP\_EXTERNAL\_FLEX, 50001,2,406,xxx-importUnit, 07/01/2009 01:00:00,10/31/2009 24:00:00

3000,400

5000,UnitHQXXX,U,12.55

\*\*\*

1000,ICAP\_EXTERNAL\_FLEX,50001,2,406,xxx-importControlArea, 05/01/2009 01:00:00,06/30/2009 24:00:00

3000,600

5000, ,C,33.333

## CSV Hourly Contract Entry Upload File Example - Contract and Schedule

Contract

Cont

\*\*\*

1000,ENERGY\_RT,1,2,401,xxx,12/21/2010 01:00:00,12/28/2010 24:00:00

2000,P

2050,Y

4001,12/21/2010

4001,1,75

4001,2,75

... (lines for hours 0300 to 2300)

4001,24,75.9

\*\*\*

1000,LOAD\_RT,1,3,601,xxx,11/21/2002 01:00:00,11/23/2003 6:00:00

2000,C

4001,11/21/2002

4001,1,150

4001,2,250

... (lines for hours 0300 to 2300)

4001,24,150

4002,11/23/2002

4002,1,100

4002,2,200

... (lines for hours 0300 to 2300)

4002,24,100

\*\*\*

1000,FR\_TMNSR,1,2,801,xxx,10/01/2006 08:00:00,10/02/2006 23:00:00

2000,P

4001,10/01/2006

4001,8,150

4001,9,250

... (lines for hours 1000 to 2200)

4001,23,150

4002,10/02/2006

4002,8,100

4002,9,200

... (lines for hours 1000 to 2200)

4002,23,100

\*\*\*

1000,FCM\_SUPPLEMENTAL\_AVAILABILITY,1,2, ,xxx,06/29/2010 16:00:00,06/30/2010 24:00:00

2000,P

4001,06/29/2010

4001,16,5.549

4001,17,5.549

4002,06/30/2010

4002,17,25

4002,18,25

4002,23,50

4002,24,50

6000,1101,1107

## CSV Monthly Contract Entry Upload File Example - Contract and Schedule

Contract

Cont

\*\*\*

1000,ICAP\_INTERNAL,1,2, ,xxx,11/01/2002 01:00:00,01/31/2003 24:00:00

2000,P

4001,11,50

4001,12,100

4001,01,75

\*\*\*

1000,ICAP\_EXTERNAL,2,50012,406,xxx(Export),12/1/2006 1:00:00,05/31/2007 24:00:00

4001,12,50

4001,1,100

... (lines for months 2 ,3,4)

4001,5,75

5000,103,U

## CSV Hourly Schedule Profile Upload File Example

Contract

Sched Profile

\*\*\*

1001,20001, ENERGY\_RT,1,2

4001,02/21/2002

4001,1,75.1

4001,2,75.2

... (lines for hours 0300 to 2300)

4001,24,75.245

\*\*\*

1001,20002, ENERGY\_DA,1,3

4001,11/21/2002

4001,1,100

4001,2,120

... (lines for hours 0300 to 2300)

4001,24,110

4002,11/23/2002

4002,1,110

4002,2,120

... (lines for hours 0300 to 2300)

4002,24,120

\*\*\*

1000,30001,FR\_TMNSR,1,2,

4001,10/01/2006

4001,8,150

4001,9,250

... (lines for hours 1000 to 2200)

4001,23,150

4002,10/02/2006

4002,8,100

4002,9,200

... (lines for hours 1000 to 2200)

4002,23,100

\*\*\*

1000,50201,FCM\_SUPPLEMENTAL\_AVAILABILITY,1,2  
4001,06/29/2010  
4001,16,5.349  
4001,17,5.549  
4002,06/30/2010  
4002,17,25  
4002,18,25  
4002,23,50  
4002,24,50

### **CSV Monthly Schedule Profile Upload File Example**

Contract  
Sched Profile

\*\*\*

1001,20003,ICAP\_INTERNAL,1,2  
4001,6,75  
4001,7,65  
4001,8,50

\*\*\*

1001,20004,ICAP\_EXTERNAL,2,10  
4001,12,50  
4001,1,75  
4001,2,65

\*\*\*

1001,299001,ICAP\_EXTERNAL\_FLEX,50001,2  
4001,7,120  
4001,8,200

\*\*\*

### **CSV Contract Termination Upload File Example**

Contract  
Termination

\*\*\*

9000,20001,ENERGY\_RT,1,2,11/3/2002 16:00:00

\*\*\*

9000,20004,ICAP\_EXTERNAL,2,10,2/1/2003 1:00:00

### **CSV Contract Extension Upload File Example**

Contract  
Extension

\*\*\*

8000,20005,ICAP\_EXTERNAL,50012,2,1/31/2007 24:00:00

## CSV File Format Definitions

### CSV Contract Upload File Format Definitions - Line Code

Code	Description
Component	Contract
Contract Entry	Will contain one of the following: Cont, Sched Profile, Extension, Termination
XXX	Sequential number starting from 00 or 001. Lines with code XX and XXX mean this contract can have multiple lines of the same format: each additional line will have the number incremented by 1.
1000	For Cont Entry. Line with code 1000 contains initial contract information.
1001	For Sched Profile Entry. Line with code 1001 contains existing contract information to be linked to the Schedule Profile.
2000	For Cont Entry. Contains Confirmation Level choice (contract only confirm, schedule confirm). Not used for External ICAP, External ICAP with Flexible Reservations contract entry.
2050	For Cont Entry. Contains MLR Flag. Only used for DA and RT Energy contract entry. Optional line, see MLR Flag Field definition below.
3000	Contains a fixed MW amount for the entire contract duration, if chosen. Required for External ICAP Imports, External ICAP with Flexible Reservations
3050	Contains a name of fixed MW pattern for On-peak - Off-peak patterns, if any. Not applicable for contracts with monthly profiles. This name can be one of these: On-Peak 5x16, On-Peak 2x16, Off-Peak 5x8, Off-Peak 7x8, Off-Peak 2x24, Off-Peak 5x8 + 2x24.
4XXX	<p>Lines with code 4XXX contain schedule profile information. Not used with the <b>Cont Entry</b> for the External ICAP with Flexible Reservations</p> <p>Hourly Profiles for contract sequential day XXX (4001 code is used for the first day of profile lines, 4002 – for the second day, etc.):</p> <ul style="list-style-type: none"> <li>• the first in 4XXX line series specifies Date of the contract;</li> <li>• the remaining (25 or less) in 4XXX line series contain Profile Hour and MW Amount</li> <li>• series of lines for a day are separated by the divider line (“***”)</li> </ul> <p>Monthly Profiles:</p> <ul style="list-style-type: none"> <li>• Only 4001 code is used</li> <li>• 4001 lines (12 or less) contain Profile Month and MW amount</li> <li>• Not Allowed for External ICAP Imports submitted for the Transition Payment settlement</li> </ul> <p>ICAP External Imports are not allowed to be submitted with schedule profile for the Transition Payment settlement. With the exception of ICAP External contract, the first 4001 line specifies the date, while the remaining (25 or less) 4001 lines contain the Profile Hour, MW amount. For ICAP External Export contract 4001 lines contain the Profile Month (1-12), MW amount. Cannot be used at the same time as 3000.</p>
5000	For Cont Entry (External ICAP and External ICAP with Flexible Reservations only). Line with code 5000 contains Asset Id associated with ICAP contracts, Transaction Type, and EFORd field.

6000	For Cont Entry of the FCM Supplemental Availability contract type only. Contains Supplementing Resource ID and Supplemented Resource ID
8000	For Extension Entry. Contains information to identify a contract to extend and an extension end date.
9000	For Termination Entry. Contains information to identify a contract to terminate and a termination date.

## CSV Contract Upload File Format Definitions - Field

CSV Line Code	Field	Description	Format	Required
N/A	Component	Contains the word "Contract" to describe what kind of file upload this is.	N/A	Yes
N/A	Contract Entry	Will contain one of the following: <ul style="list-style-type: none"> <li>• <i>Cont</i></li> <li>• <i>Sched Profile</i></li> <li>• <i>Extension</i></li> <li>• <i>Termination</i></li> </ul>	N/A	Yes
N/A	***	Three Asterisks – Used to separate Contracts.	N/A	Yes
1000	Contract Category	Will contain one of the following: <i>ENERGY_DA</i> – Internal Bilateral contract for Energy Day Ahead Market , <i>ENERGY_RT</i> – Internal Bilateral contract for Energy Real Time Market, <i>REGULATION_RT</i> – Internal Bilateral contract for Regulation Market, <i>LOAD_RT</i> – Internal Bilateral contract for Energy Real Time Load, <i>ICAP_INTERNAL</i> – Internal Bilateral contract for ICAP Market, <i>ICAP_EXTERNAL*</i> – External Bilateral contract for ICAP Market <i>ICAP_EXTERNAL_FLEX</i> – External Bilateral contract with flexible reservations for ICAP Market <i>FR_TMNSR</i> – Internal Bilateral contract for Ten-Minute Non-Spinning Reserve in the Locational Forward Reserve Market <i>FR_TMOR</i> – Internal Bilateral contract for Thirty-Minute Operating Reserve in the Locational Forward Reserve Market <i>FCM_LOAD_OBLIGATION</i> – Internal Bilateral contract for the Forward Capacity Market (FCM) <i>FCM_SUPPLEMENTAL_AVAILABILITY</i> – Supplemental Availability Bilateral contract for the Forward Capacity Market (FCM)  * ICAP External Imports are not allowed to be submitted with Schedule for the Transition Payment settlement	N/A	Yes
1000	Seller Identifier	Contains the numeric identifier of the customer who is supplying market service through a Contract. For an External ICAP Contract it can be a Participant or Non-Participant. For an Internal Contract it must be a Participant	Maximum length is 9 characters.	Yes
1000	Buyer Identifier	Contains the numeric identifier of the customer who is receiving market service through a Contract. For an External ICAP Contract it can be a	Maximum length is 9 characters.	Yes

CSV Line Code	Field	Description	Format	Required
		Participant or Non-Participant. For an Internal Contract it must be a Participant.		
1000	Location ID	Contains the numeric identifier of the Contract Location Identifier (Network Node Id, or Load Zone Id, or Reserve Zone, or HUB Id, or Capacity Zone). If Contract category is ICAP_INTERNAL, REGULATION_RT, or FCM_SUPPLEMENTAL_AVAILABILITY then the "Location ID" must be BLANK. If Contract category is ICAP_EXTERNAL, then the "Location ID" must be an external node.	Maximum length is 9 characters.	Yes
1000	Participants Reference ID	Contains an internal reference identifier for the Participant's use. Note: Do not use commas within the data contained in the field. For contract with no reference ID leave blank.	Maximum length is 25 characters and free form.	No
1000	Begin Date	Contains the starting date for which the contract will be effective (hour ending).	MM/DD/YYYY HH:MM:SS Length must be less or equal 19 characters. (daylight savings extra hour = 2*:00:00)	Yes
1000	End Date	Contains the ending date of the contract (hour ending).	MM/DD/YYYY HH:MM:SS Length must be less or equal 19 characters. (daylight savings extra hour = 2*:00:00)	Yes
1001	Contract Identifier	Numeric Identifier of the contract which this schedule is part of. This Identifier was generated when contract was entered into the Market System.	Maximum length is 9 characters.	Yes
1001	Contract Category	Contains one of the following (see Line 1000 definitions): ENERGY_DA, ENERGY_RT, REGULATION_RT, LOAD_RT, ICAP_INTERNAL, ICAP_EXTERNAL ICAP_EXTERNAL_FLEX FR_TMNSR FR_TMOR FCM_LOAD_OBLIGATION	Validate against the original contract Category	Yes

CSV Line Code	Field	Description	Format	Required
		FCM_SUPPLEMENTAL_AVAILABILITY		
1001	Seller Identifier	Contains the numeric identifier of the customer who is supplying market service through a Contract. For an External ICAP Contract it can be a Participant or Non-Participant. For an Internal Contract it must be a Participant.	Maximum length is 9 characters. Validate against the original contract Seller ID.	Yes
1001	Buyer Identifier	Contains the numeric identifier of the customer who is receiving market service through a Contract. For an External ICAP Contract it can be a Participant or Non-Participant. For an Internal Contract it must be a Participant.	Maximum length is 9 characters. Validate against the original contract Buyer ID.	Yes
2000	Confirm Level flag	Contains Confirmation Level choice (contract only confirm, schedule profile confirm). Not applicable for ICAP_EXTERNAL and ICAP_EXTERNAL_FLEX contract.	‘C’ - Contract confirm = Only the initial contract need be confirm. Any subsequent schedules entered are automatically confirmed. ‘P’ - Schedule Profile Confirm = All schedules entered as well as the initial contract must be confirmed.  Maximum length is 1 character.	Yes
2050	Marginal Loss Revenue Allocation Flag	Line 2050 is only used for DA and RT Energy contracts, and specifies the contract's Marginal Loss Revenue Allocation Flag. For DA and RT Energy contracts the line is optional, and if not supplied, then the contract's flag is defaulted to be Y. If the line is supplied, it must specify a Y or N value for the flag. If the contract's flag is Y, then the contract will be included in the calculation of Marginal Loss Revenue Load Obligation used in the allocation	Maximum length is 1 character which is either “Y” or “N”	No

CSV Line Code	Field	Description	Format	Required
		of Marginal Loss Revenues. If the contract's flag is N, then the contract will be excluded from the calculation of Marginal Loss Revenue Load Obligation used in the allocation of the Marginal Loss Revenues. The contract's flag must be Y when the contract's Begin Date is prior to the Credit and Billing Enhancements Start Date 12/01/2010, or the upload will be rejected.		
3000	Fixed MW Amount	Contains MW Amount for the entire contract duration. For an hourly market contract, this value will be applied to each hour of the contract. If Fixed MW Pattern field is specified, this value will be applied according to the pattern specified. For a monthly market contract, this value will be applied to each month of the contract. If this field is not blank then the "Contract Level flag" must equal "C", except for the ICAP_EXTERNAL_FLEX	Total length cannot exceed 10 characters and it includes 3 decimal places.	No
3050	Fixed MW Pattern	Can contain a name for the On-peak - Off-peak pattern. This can be applied to contracts where Fixed MW Amount field is specified. For FR_TMNSR and FR_TMOR contracts only the On-Peak 5x16 (weekdays) pattern is applicable. Not applicable for any ICAP and FCM_LOAD_OBLIGATION contracts.	Can contain one of the following: On-Peak 5x16 On-Peak 2x16 Off-Peak 5x8 Off-Peak 7x8 Off-Peak 2x24 Off-Peak 5x8 + 2x24	No
4XXX	Date	Contains the specific date for which the following contract mw information will be applied to. Not applicable for any ICAP and FCM_LOAD_OBLIGATION contract.	MM/DD/YYYY Length must equal 10 characters.	Yes
4XXX	Profile Interval	Contains the ending hour corresponding to the MW amount below. For ICAP this contains the month corresponding to the MW below. Not applicable for ICAP External Import contracts	Hourly – Numeric from 1 – 24 (daylight-saving extra hour = 2*). Monthly – Numeric from 1-12.	Yes
4XXX	MW	Contains the Schedule Profile MW amount. Not applicable for ICAP External Import contracts	Total length cannot exceed 10 characters and it includes 3 decimal places.	Yes
5000	Asset ID	Asset Id associated with External ICAP or External ICAP with Flexible Reservations contract: Export – numeric identifier of a Market System Generating Unit Import – alpha-numeric identifier of an external Asset	Import – Maximum length is 50 characters and free form Export – Maximum length is 9 characters.	Yes – for Exports Yes – for Imports with Transaction

CSV Line Code	Field	Description	Format	Required
				Type = "U"
5000	Transaction Type	Contains the Transaction Type choice for External ICAP or External ICAP with Flexible Reservations contract. Can be either "U" or "C" for imports. Can only be "U" for exports.	"U" - for Unit Transaction Type "C" - for Control Area Transaction Type (imports only)	Yes
5000	EFORd	Contain the external Unit/Control Area EFORd value for External ICAP or External ICAP with Flexible Reservations import contract.	Total length cannot exceed 7 characters and it includes 4 decimal places.	No – for Exports Yes – for Imports with Transaction Type = "U"
6000	Supplementing Resource ID	Numeric identifier of the Supplementing Resource ID associated with a FCM_SUPPLEMENTAL_AVAILABILITY contract	Maximum length is 9 characters.	Yes
6000	Supplemented Resource ID	Numeric identifier of the Supplemented Resource ID associated with a FCM_SUPPLEMENTAL_AVAILABILITY contract	Maximum length is 9 characters.	Yes
8000	Contract ID	Numeric Identifier of the contract to be extended. This Identifier was generated when contract was entered into the Market System. Applicable for External ICAP Import, External ICAP with Flexible Reservations contracts only.	Maximum length is 9 characters.	Yes
8000	Contract Category	Contains only the following (see Line 1000 definitions): ICAP_EXTERNAL ICAP_EXTERNAL_FLEX	Validate against the original contract Category.	Yes
8000	Seller Identifier	Contains the numeric identifier of the customer supplying the Market Service for the contract that is to be extended. Since only External ICAP and External ICAP with Flexible Reservations import contracts are allowed to be extended, it must be a Non-Participant.	Maximum length is 9 characters. Validate against the original contract Seller ID.	Yes
8000	Buyer Identifier	Contains the numeric identifier of the customer receiving the Market Service for the contract that is to be extended. Since only External ICAP and External ICAP with Flexible Reservations import contracts are allowed to be extended, it must be a Participant.	Maximum length is 9 characters. Validate against the original contract Buyer ID	Yes
8000	Extension End Date	Contains the date on which the contract will be extended. This date must be next to the current contract End Date.	MM/DD/YYYY HH:MM:SS Length must be less or equal 19 characters.	Yes

CSV Line Code	Field	Description	Format	Required
		<b>NOTE:</b> The duration of External ICAP, External ICAP with Flexible Reservations import contracts cannot be changed to such date as to violate the minimum 2 month duration with both months within the same ICAP Commitment Period rule. (Commitment Periods are as follows: November - April and May - October which are different than our summer and winter capability periods)	Date is always a month end date and time (hour ending)	
9000	Contract ID	Numeric Identifier of the contract to be terminated. This Identifier was generated when contract was entered into the Market System.	Maximum length is 9 characters.	Yes
9000	Contract Category	Contains one of the following (see Line 1000 definitions): ENERGY_DA, ENERGY_RT, REGULATION_RT, LOAD_RT, ICAP_INTERNAL, ICAP_EXTERNAL ICAP_EXTERNAL_FLEX FR_TMNSR FR_TMOR FCM_LOAD_OBLIGATION FCM_SUPPLEMENTAL_AVAILABILITY	Validate against the original contract Category.	Yes
9000	Seller Identifier	Contains the numeric identifier of the customer supplying the Market Service for the contract that is to be terminated. For an Internal contract it can be a Participant or Non-Participant. For an External import it must be a Non-Participant.	Maximum length is 9 characters. Validate against the original contract Seller ID.	Yes
9000	Buyer Identifier	Contains the numeric identifier of the customer receiving the Market Service for the contract that is to be terminated. For an Internal contract it can be a Participant or Non-Participant. For an External import it must be a Participant.	Maximum length is 9 characters. Validate against the original contract Buyer ID	Yes
9000	Termination Begin Date	Contains the date on which the contract will be terminated. This date must fall within the start and stop dates of the contract. This hour is the first hour of contract inactivity. <b>NOTE:</b> The duration of an External ICAP Import contract cannot be changed such that it violates the minimum 2 month duration with both months within the same ICAP Commitment Period. (Commitment Periods are as follows: November - April and May - October which are different than our summer and winter capability periods)	MM/DD/YYYY HH:MM:SS Length must be less or equal 19 characters. (daylight savings extra hour = 2*:00:00)	Yes

## XML File Format

The following table lists the “Public Id” and “System Id” for each type of IBT upload file.

The “Public Id” is a unique name describing the file format. When a customer uploads a file to a system at ISO-NE, the system recognizes the file format based on the Public Id.

The “System Id” is a URL where the file format itself can be retrieved. Anyone may download the file format from the System Id URL and read it. For instance, the file format for XML Contract Entry Upload may be read in a web browser like Internet Explorer by opening the URL “[http://www.iso-ne.com/support/tech/dtd/sms/submit\\_contracts\\_1\\_4.dtd](http://www.iso-ne.com/support/tech/dtd/sms/submit_contracts_1_4.dtd)”. The System Id has other purposes as well. When a customer views an upload file in a tool like Internet Explorer, the tool uses the System Id to download the file format and process the upload file for display.

Every XML upload file is expected to start with two lines: the XML line, and a DOCTYPE line with the Public Id and the System Id. For instance, an XML Contract Entry Upload file must begin with these two lines:

```
<?xml version="1.0" encoding="ISO-8859-1"?>
<!DOCTYPE Submit_Contracts PUBLIC "-//ISO New England, Inc//DTD Contract
Submission 1.4//EN" 'http://www.iso-
ne.com/support/tech/dtd/sms/submit_contracts_1_4.dtd'>
```

<b>Upload Type</b>	<b>Public Id</b>	<b>ISO-NE published System Id</b>
XML Contract Entry Upload	-//ISO New England, Inc//DTD Contract Submission 1.4//EN	<a href="http://www.iso-ne.com/support/tech/dtd/sms/submit_contracts_1_4.dtd">http://www.iso-ne.com/support/tech/dtd/sms/submit_contracts_1_4.dtd</a>
XML Schedule Profile Upload	-//ISO New England, Inc//DTD Schedule Submission 1.3//EN	<a href="http://www.iso-ne.com/support/tech/dtd/sms/submit_schedules_1_3.dtd">http://www.iso-ne.com/support/tech/dtd/sms/submit_schedules_1_3.dtd</a>
XML Contract Termination Upload	-//ISO New England, Inc//DTD Contract Termination 1.3//EN	<a href="http://www.iso-ne.com/support/tech/dtd/sms/terminate_contracts_1_3.dtd">http://www.iso-ne.com/support/tech/dtd/sms/terminate_contracts_1_3.dtd</a>
XML Contract Extension Upload*	-//ISO New England, Inc//DTD Contract Extension 1.0//EN	<a href="http://www.iso-ne.com/support/tech/dtd/sms/extend_contracts_1_0.dtd">http://www.iso-ne.com/support/tech/dtd/sms/extend_contracts_1_0.dtd</a>

\*Please note the different version 1\_0 for Contract Extension Upload

## XML File Examples

### XML Hourly Contract Entry Upload File Example - Contract Only

```
<?xml version="1.0" encoding="ISO-8859-1" ?>
<!DOCTYPE Submit_Contracts PUBLIC "-//ISO New England, Inc//DTD Contract Submission 1.4//EN" 'http://www.iso-
ne.com/support/tech/dtd/sms/submit_contracts_1_4.dtd'>
```

```
<Submit_Contracts>
```

```
  <Contract Category="ENERGY_DA" Seller="1" Buyer="2" Location="901" ConfirmationLevel="C"
Reference="xxx" MLRFlag="Y">
    <BeginDate>11/1/2002 11:00:00 </BeginDate>
    <EndDate> 11/03/2003 06:00:00 </EndDate>
    <FixedMWAmount>50.675</FixedMWAmount>
    <FixedMWAmountPattern>On-Peak 5x16</FixedMWAmountPattern>
  </Contract>
```

```
  <Contract Category="ENERGY_DA" Seller="1" Buyer="2" Location="401" ConfirmationLevel="P"
Reference="xxx">
    <BeginDate>11/1/2002 11:00:00 </BeginDate>
    <EndDate> 11/03/2003 06:00:00 </EndDate>
  </Contract>
```

```
  <Contract Category="ENERGY_RT" Seller="1" Buyer="2" Location="401" ConfirmationLevel="C"
Reference="xxx" MLRFlag="Y">
    <BeginDate>12/21/2010 1:00:00 </BeginDate>
    <EndDate> 12/28/2010 24:00:00 </EndDate>
    <FixedMWAmount>50.675</FixedMWAmount>
  </Contract>
```

```
  <Contract Category="ENERGY_RT" Seller="1" Buyer="2" Location="401" ConfirmationLevel="C"
Reference="xxx" MLRFlag="N">
    <BeginDate>12/21/2010 1:00:00 </BeginDate>
    <EndDate> 12/28/2010 24:00:00 </EndDate>
  </Contract>
```

```
  <Contract Category="FR_TMNSR" Seller="1" Buyer="2" Location="801" ConfirmationLevel="P" Reference="xxx">
    <BeginDate>10/01/2006 8:00:00 </BeginDate>
    <EndDate> 10/02/2006 23:00:00 </EndDate>
    <FixedMWAmount>10.000</FixedMWAmount>
    <FixedMWAmountPattern>On-Peak 5x16</FixedMWAmountPattern>
  </Contract>
```

```
  <Contract Category="FR_TMOR" Seller="1" Buyer="2" Location="802" ConfirmationLevel="C" Reference="xxx">
    <BeginDate>10/01/2006 01:00:00 </BeginDate>
    <EndDate> 05/31/2007 24:00:00 </EndDate>
  </Contract>
```

```
  <Contract Category="FCM_SUPPLEMENTAL_AVAILABILITY " Seller="1" Buyer="2" Location=" "
ConfirmationLevel="P" Reference="xxx">
    <BeginDate>06/29/2010 16:00:00 </BeginDate>
```

<EndDate> 06/30/2010 24:00:00 </EndDate>  
<SupplementingResourceID>1103</SupplementingResourceID>  
<SupplementedResourceID>1102</SupplementedResourceID>  
</Contract>  
</Submit\_Contracts>

## XML Monthly Entry Upload File Example - Contract only

### Internal ICAP

```
<?xml version="1.0" encoding="ISO-8859-1" ?>
<!DOCTYPE Submit_Contracts PUBLIC "-//ISO New England, Inc//DTD Contract Submission 1.4//EN" 'http://www.iso-
ne.com/support/tech/dtd/sms/submit_contracts_1_4.dtd'>
<Submit_Contracts>
  <Contract Category="ICAP_INTERNAL" Seller="1" Buyer="2" ConfirmationLevel="P" Reference="xxx">
    <BeginDate>12/01/2002 1:00:00</BeginDate>
    <EndDate> 03/31/2003 24:00:00</EndDate>
  </Contract>
  <Contract Category="ICAP_INTERNAL" Seller="50001" Buyer="2" ConfirmationLevel="C" Reference="xxx">
    <BeginDate>05/01/2009 1:00:00</BeginDate>
    <EndDate>06/30/2009 24:00:00</EndDate>
  </Contract>
  <Contract Category="ICAP_INTERNAL" Seller="50001" Buyer="2" ConfirmationLevel="C" Reference="xxx">
    <BeginDate>05/01/2009 1:00:00</BeginDate>
    <EndDate>06/30/2009 24:00:00</EndDate>
    <FixedMWAmount>20.000</FixedMWAmount>
  </Contract>
</Submit_Contracts>
```

### External ICAP

```
<?xml version="1.0" encoding="ISO-8859-1" ?>
<!DOCTYPE Submit_Contracts PUBLIC "-//ISO New England, Inc//DTD Contract Submission 1.4//EN" 'http://www.iso-
ne.com/support/tech/dtd/sms/submit_contracts_1_4.dtd'>

<Submit_Contracts>
  <Contract Category="ICAP_EXTERNAL" Seller="2" Buyer="50010" Location="407" Reference="xxx-export">
    <BeginDate>12/01/2002 1:00:00</BeginDate>
    <EndDate> 01/31/2002 24:00:00</EndDate>
    <FixedMWAmount>1.900</FixedMWAmount>
    <Asset Id="103" TransactionType="U"/>
  </Contract>

  <Contract Category="ICAP_EXTERNAL" Seller="2" Buyer="50010" Location="407" Reference="xxx-export">
    <BeginDate>12/01/2002 1:00:00</BeginDate>
    <EndDate> 01/31/2002 24:00:00</EndDate>
    <Asset Id="103" TransactionType="U"/>
  </Contract>

  <Contract Category="ICAP_EXTERNAL" Seller="50010" Buyer="2" Location="407" Reference="xxx-import-unit">
    <BeginDate>11/01/2006 1:00:00</BeginDate>
    <EndDate>12/31/2006 24:00:00</EndDate>
    <FixedMWAmount>99</FixedMWAmount>
    <Asset Id="NY_UnitXXX" TransactionType="U" EFORD="2.55"/>
  </Contract>
```

```
<Contract Category="ICAP_EXTERNAL" Seller="50001" Buyer="2" Location="406" Reference="xxx-importCA">
  <BeginDate>11/01/2006 1:00:00</BeginDate>
  <EndDate>12/31/2006 24:00:00</EndDate>
  <FixedMWAmount>50</FixedMWAmount>
  <TransactionType="C" EFORD="33.333"/>
</Contract>
</Submit_Contracts>
```

## **External ICAP with Flexible Reservations**

```
<?xml version="1.0" encoding="ISO-8859-1" ?>
<!DOCTYPE Submit_Contracts PUBLIC "-//ISO New England, Inc//DTD Contract Submission 1.4//EN" 'http://www.iso-
ne.com/support/tech/dtd/sms/submit_contracts_1_4.dtd'>
```

```
<Submit_Contracts>
  <Contract Category="ICAP_EXTERNAL_FLEX" Seller="50001" Buyer="2" Location="406" Reference="xxx">
    <BeginDate>07/01/2009 1:00:00</BeginDate>
    <EndDate> 10/31/2009 24:00:00</EndDate>
    <FixedMWAmount>400</FixedMWAmount>
    <Asset Id="UnitHQXXX" TransactionType="U" EFORD="12.55"/>
  </Contract>
  <Contract Category="ICAP_EXTERNAL_FLEX" Seller="50001" Buyer="2" Location="406" Reference="xxx">
    <BeginDate>05/01/2009 1:00:00</BeginDate>
    <EndDate>06/30/2009 24:00:00</EndDate>
    <FixedMWAmount>600</FixedMWAmount>
    <TransactionType="C" EFORD="12.55"/>
  </Contract>
</Submit_Contracts>
```

## **FCM Load Obligation**

```
<?xml version="1.0" encoding="ISO-8859-1" ?>
<!DOCTYPE Submit_Contracts PUBLIC "-//ISO New England, Inc//DTD Contract Submission 1.4//EN" 'http://www.iso-
ne.com/support/tech/dtd/sms/submit_contracts_1_4.dtd'>
<Submit_Contracts>
  <Contract Category='FCM_LOAD_OBLIGATION' Seller='1' Buyer='2' Location='2001' ConfirmationLevel='P'
Reference='xxx'>
  <BeginDate>12/01/2010 1:00:00</BeginDate>
  <EndDate> 03/31/2011 24:00:00</EndDate>
</Contract>
  <Contract Category='FCM_LOAD_OBLIGATION' Seller='50001' Buyer='2' Location='2001' ConfirmationLevel='C'
Reference='xxx'>
  <BeginDate>06/01/2010 1:00:00</BeginDate>
  <EndDate>06/30/2010 24:00:00</EndDate>
</Contract>
  <Contract Category='FCM_LOAD_OBLIGATION' Seller='50001' Buyer='2' Location='2001' ConfirmationLevel='C'
Reference='xxx'>
  <BeginDate>06/01/2010 1:00:00</BeginDate>
  <EndDate>05/31/2011 24:00:00</EndDate>
  <FixedMWAmount>20.000</FixedMWAmount>
</Contract>
</Submit_Contracts>
```

## XML Hourly Contract Entry Upload File Example - Contract and Schedule

```
<?xml version="1.0" encoding="ISO-8859-1" ?>
<!DOCTYPE Submit_Contracts PUBLIC "-//ISO New England, Inc//DTD Contract Submission 1.4//EN" 'http://www.iso-
ne.com/support/tech/dtd/sms/submit_contracts_1_4.dtd'>
```

```
<Submit_Contracts>
```

```
<Contract Category="ENERGY_RT" Seller="1" Buyer="2" Location="401" ConfirmationLevel="P" Reference="xxx"
MLRFlag="Y">
```

```
<BeginDate>2/21/2003 1:00:00 </BeginDate>
<EndDate> 2/28/2003 24:00:00 </EndDate>
<Schedule Date="2/21/2003">
  <Profile Interval ="1" MWAmount="75"/>
  <Profile Interval ="2" MWAmount="75"/>
  <Profile Interval ="24" MWAmount="75.9"/>
</Schedule>
<Schedule Date="2/21/2003">
  <Profile Interval ="1" MWAmount="25"/>
  <Profile Interval ="2" MWAmount="25"/>
  <Profile Interval ="24" MWAmount="25"/>
</Schedule>
</Contract>
```

```
<Contract Category="LOAD_RT" Seller="1" Buyer="3" Location="601" ConfirmationLevel="C" Reference="xxx">
```

```
<BeginDate>11/21/2002 1:00:00 </BeginDate>
<EndDate> 11/23/2003 6:00:00 </EndDate>
<Schedule Date="11/21/2002">
  <Profile Interval ="1" MWAmount="150"/>
  <Profile Interval ="2" MWAmount="250"/>
  <Profile Interval ="24" MWAmount="150"/>
</Schedule>
<Schedule Date="11/23/2002">
  <Profile Interval ="1" MWAmount="100"/>
  <Profile Interval ="2" MWAmount="200"/>
  <Profile Interval ="24" MWAmount="100"/>
</Schedule>
</Contract>
```

```
<Contract Category="FR_TMOR" Seller="1" Buyer="2" Location="803" ConfirmationLevel="C" Reference="xxx">
```

```
<BeginDate>11/21/2006 8:00:00 </BeginDate>
<EndDate> 11/22/2006 10:00:00 </EndDate>
<Schedule Date="11/21/2006">
  <Profile Interval ="8" MWAmount="150"/>
  <Profile Interval ="9" MWAmount="250"/>
  <Profile Interval ="10" MWAmount="150"/>
</Schedule>
<Schedule Date="11/22/2006">
  <Profile Interval ="8" MWAmount="100"/>
  <Profile Interval ="9" MWAmount="200"/>
  <Profile Interval ="10" MWAmount="100"/>
</Schedule>
</Contract>
```

```
<Contract Category="FCM_SUPPLEMENTAL_AVAILABILITY " Seller="1" Buyer="2" Location=" "
ConfirmationLevel="P" Reference="xxx">
  <BeginDate>06/29/2010 16:00:00 </BeginDate>
  <EndDate> 06/30/2010 24:00:00 </EndDate>
  <Schedule Date="06/29/2010">
    <Profile Interval ="16" MWAmount="5.549"/>
    <Profile Interval ="17" MWAmount="5.549"/>
  </Schedule>
  <Schedule Date="06/30/2010">
    <Profile Interval ="17" MWAmount="25"/>
    <Profile Interval ="18" MWAmount="25"/>
    <Profile Interval ="23" MWAmount="50"/>
    <Profile Interval ="24" MWAmount="50"/>
  </Schedule>
  <SupplementingResourceID>1103</SupplementingResourceID>
  <SupplementedResourceID>1102</SupplementedResourceID>
</Contract>

</Submit_Contracts>
```

## XML Monthly Entry Upload File Example - Contract and Schedule

```
<?xml version="1.0" encoding="ISO-8859-1" ?>
<!DOCTYPE Submit_Contracts PUBLIC "-//ISO New England, Inc//DTD Contract Submission 1.4//EN" 'http://www.iso-
ne.com/support/tech/dtd/sms/submit_contracts_1_4.dtd'>

<Submit_Contracts>

  <Contract Category="ICAP_INTERNAL" Seller="1" Buyer="2" Location=" " ConfirmationLevel="P"
  Reference="xxx">
    <BeginDate> 11/01/2002 1:00:00 </BeginDate>
    <EndDate> 01/31/2003 24:00:00 </EndDate>
    <Schedule>
      <Profile Interval ="11" MWAmount="50"/>
      <Profile Interval ="12" MWAmount="100"/>
      <Profile Interval ="1" MWAmount="75"/>
    </Schedule>
  </Contract>

  <Contract Category='FCM_LOAD_OBLIGATION' Seller='1' Buyer='2' Location='2001' ConfirmationLevel='P'
  Reference='xxx'>
    <BeginDate> 11/01/2010 1:00:00 </BeginDate>
    <EndDate> 01/31/2011 24:00:00 </EndDate>
    <Schedule>
      <Profile Interval ='11' MWAmount='50'/>
      <Profile Interval ='12' MWAmount='100'/>
      <Profile Interval ='1' MWAmount='75'/>
    </Schedule>
  </Contract>

  <Contract Category="ICAP_EXTERNAL" Seller="2" Buyer="10" Location="406" Reference="xxx(Export)">
    <BeginDate>12/1/2002 1:00:00 </BeginDate>
    <EndDate> 5/31/2003 24:00:00 </EndDate>
    <Schedule>
      <Profile Interval ="12" MWAmount="50"/>
      <Profile Interval ="1" MWAmount="100"/>
      <Profile Interval ="5" MWAmount="75"/>
    </Schedule>
    <Asset Id="103" TransactionType="U" />
  </Contract></Submit_Contracts>
```

## XML Hourly Schedule Profile Upload File Example

```
<?xml version="1.0" encoding="ISO-8859-1" ?>
<!DOCTYPE Submit_Schedules PUBLIC "-//ISO New England, Inc//DTD Schedule Submission 1.3//EN"
'http://www.iso-ne.com/support/tech/dtd/sms/submit_schedules_1_3.dtd'>

<Submit_Schedules>

  <Contract ID="20001" Category="ENERGY_RT" Seller="1" Buyer="2">
    <Schedule Date="2/21/2002">
      <Profile Interval ="1" MWAmount="75.1"/>
      <Profile Interval ="2" MWAmount="75.2"/>
      <Profile Interval ="24" MWAmount="24.245"/>
    </Schedule>
  </Contract>

  <Contract ID="20002" Category="ENERGY_DA" Seller="1" Buyer="3">

    <Schedule Date="11/21/2002">
      <Profile Interval ="1" MWAmount="100"/>
      <Profile Interval ="2" MWAmount="120"/>
      <Profile Interval ="24" MWAmount="110"/>
    </Schedule>

    <Schedule Date="11/23/2002">
      <Profile Interval ="1" MWAmount="110"/>
      <Profile Interval ="2" MWAmount="120"/>
      <Profile Interval ="24" MWAmount="120"/>
    </Schedule>

  </Contract>

  <Contract ID="30099" Category="FR_TMOR" Seller="1" Buyer="2">

    <Schedule Date="11/21/2006">
      <Profile Interval ="8" MWAmount="100"/>
      <Profile Interval ="9" MWAmount="120"/>
      <Profile Interval ="10" MWAmount="110"/>
    </Schedule>

    <Schedule Date="11/22/2006">
      <Profile Interval ="8" MWAmount="110"/>
      <Profile Interval ="9" MWAmount="120"/>
      <Profile Interval ="10" MWAmount="120"/>
    </Schedule>

  </Contract>

  <Contract ID="50202" Category="FCM_SUPPLEMENTAL_AVAILABILITY " Seller="1" Buyer="2">
    <Schedule Date="06/29/2010">
      <Profile Interval ="16" MWAmount="5.549"/>
      <Profile Interval ="17" MWAmount="5.549"/>
    </Schedule>

  </Contract>
```

```
<Schedule Date="06/30/2010">  
  <Profile Interval ="17" MWAmount="25"/>  
  <Profile Interval ="18" MWAmount="25"/>  
  <Profile Interval ="23" MWAmount="50"/>  
  <Profile Interval ="24" MWAmount="50"/>  
</Schedule>  
</Contract>  
</Submit_Schedules>
```

## XML Monthly Schedule Profile Upload File Example

```
<?xml version="1.0" encoding="ISO-8859-1" ?>
<!DOCTYPE Submit_Schedules PUBLIC "-//ISO New England, Inc//DTD Schedule Submission 1.0//EN"
'http://www.iso-ne.com/support/tech/dtd/sms/submit_schedules_1_3.dtd'>
```

```
<Submit_Schedules>
```

```
  <Contract ID="20003" Category="ICAP_INTERNAL" Seller="1" Buyer="2">
```

```
    <Schedule>
```

```
      <Profile Interval ="6" MWAmount="75"/>
```

```
      <Profile Interval ="7" MWAmount="65"/>
```

```
      <Profile Interval ="8" MWAmount="50"/>
```

```
    </Schedule>
```

```
  </Contract>
```

```
  <Contract ID="20004" Category="ICAP_EXTERNAL" Seller="50010" Buyer="2">
```

```
    <Schedule>
```

```
      <Profile Interval ="12" MWAmount="50"/>
```

```
      <Profile Interval ="1" MWAmount="75"/>
```

```
      <Profile Interval ="2" MWAmount="65"/>
```

```
    </Schedule>
```

```
  </Contract>
```

```
  <Contract ID="299001" Category="ICAP_EXTERNAL_FLEX" Seller="50001" Buyer="2">
```

```
    <Schedule>
```

```
      <Profile Interval ="7" MWAmount="120"/>
```

```
      <Profile Interval ="8" MWAmount="200"/>
```

```
    </Schedule>
```

```
  </Contract>
```

```
<Contract ID='20003' Category=FCM_LOAD_OBLIGATION' Seller='1' Buyer='2'>
```

```
  <Schedule>
```

```
    <Profile Interval ='6' MWAmount='75'/>
```

```
    <Profile Interval ='7' MWAmount='65'/>
```

```
    <Profile Interval ='8' MWAmount='50'/>
```

```
  </Schedule>
```

```
</Contract>
```

```
</Submit_Schedules>
```

## XML Contract Termination Upload File Example

```
<?xml version="1.0" encoding="ISO-8859-1" ?>
<!DOCTYPE Terminate_Contracts PUBLIC "-//ISO New England, Inc//DTD Contract Termination 1.3//EN"
'http://www.iso-ne.com/support/tech/dtd/sms/terminate_contracts_1_3.dtd'>
```

```
<Terminate_Contracts>
```

```
  <Contract ID="20001" Category="ENERGY_RT" Seller="1" Buyer="2">
```

```
    <TerminationDate>
```

```
      11/3/2002 16:00:00
```

```
    </TerminationDate>
```

```
  </Contract>
```

```
  <Contract ID="20004" Category="ICAP_EXTERNAL" Seller="2" Buyer="10">
```

```
<TerminationDate>
  2/1/2003 1:00:00
</TerminationDate>
</Contract>

<Contract ID="30098" Category="FR_TMNSR" Seller="1" Buyer="2">
  <TerminationDate>
    11/22/2006 1:00:00
  </TerminationDate>
</Contract>

</Terminate_Contracts>
```

## **XML Contract Extension Upload File Example**

```
<?xml version="1.0" encoding="ISO-8859-1" ?>
<!DOCTYPE Extend_Contracts PUBLIC "-//ISO New England, Inc//DTD Contract Extension 1.0//EN" 'http://www.iso-
ne.com/support/tech/dtd/sms/extend_contracts_1_0.dtd'>

<Extend_Contracts>
  <Contract ID="20005" Category="ICAP_EXTERNAL" Seller="50012" Buyer="2" ExtensionEndDate="1/31/2007
  24:00:00">
    </Contract>
  <Contract ID="299001" Category="ICAP_EXTERNAL_FLEX" Seller="50001" Buyer="2"
  ExtensionEndDate="12/31/2009 24:00:00">
    </Contract>
</Extend_Contracts>
```

## XML File Format Definitions

### XML Contract Upload File Format Definitions - Submit Contracts (W/WO Schedule)

XML Tag	Description	Format	Required
Contract Category	<p>Will contain one of the following:</p> <p><b>ENERGY_DA</b> – Internal Bilateral contract for Energy Day Ahead Market ,</p> <p><b>ENERGY_RT</b> – Internal Bilateral contract for Energy Real Time Market,</p> <p><b>REGULATION_RT</b> – Internal Bilateral contract for Regulation Market,</p> <p><b>LOAD_RT</b> – Internal Bilateral contract for Energy Real Time Load</p> <p><b>ICAP_INTERNAL</b> – Internal Bilateral contract for ICAP</p> <p><b>ICAP_EXTERNAL*</b> –External Bilateral contract for ICAP</p> <p><b>ICAP_EXTERNAL_FLEX</b> – External Bilateral Contract with Flexible Reservations for ICAP – submitted without Schedule</p> <p><b>FR_TMNSR</b> – Internal Bilateral contract for Ten-Minute Non-Spinning Reserve in the Locational Forward Reserve Market</p> <p><b>FR_TMOR</b> – Internal Bilateral contract for Thirty-Minute Operating Reserve in the Locational Forward Reserve Market</p> <p><b>FCM_LOAD_OBLIGATION</b> – Internal Bilateral contract for the Forward Capacity Market (FCM)</p> <p><b>FCM_SUPPLEMENTAL_AVAILABILITY</b> – Supplemental Availability Bilateral contract for the Forward Capacity Market (FCM)</p> <p>* ICAP External Imports are not allowed to be submitted with Schedule for the Transition Payment settlement</p>	N/A	Yes
Seller	Contains the numeric identifier of the customer who is supplying market service through a Contract. For an External ICAP Contract it can be a Participant or Non-Participant. For an Internal Contract it must be a Participant.	Maximum length is 9 characters.	Yes
Buyer	Contains the numeric identifier of the customer who is receiving market service through a Contract. It must be a Participant.	Maximum length is 9 characters.	Yes
Location	Contains the numeric identifier of the Contract Location Identifier (Network Node Id, or Load Zone Id, or Reserve Zone, or HUB Id, or Capacity Zone). If Contract category is ICAP_INTERNAL, REGULATION_RT, or FCM_SUPPLEMENTAL_AVAILABILITY then the "Location ID" must be BLANK. If Contract category is ICAP_EXTERNAL, then "Location ID" must be equal to an external node.	Maximum length is 9 characters.	Yes

XML Tag	Description	Format	Required
ConfirmationLevel	<p>Contains Confirmation Level choice (contract only confirm, schedule profile confirm)            Not applicable for ICAP_EXTERNAL and ICAP_EXTERNAL_FLEX contract</p>	<p>'C' -            Contract confirm = Only the initial contract need be confirm. Any subsequent schedules entered are automatically confirmed.            'P' -            Schedule Profile Confirm = All schedules entered as well as the initial contract must be confirmed.</p> <p>Maximum length is 1 character.</p>	Yes
Reference	<p>Contains an internal reference identifier for the Participant's use. Note: Do not use commas within the data contained in the field. For contract with no reference ID leave blank.</p>	<p>Maximum length is 25 characters and free form.</p>	Yes
MLRFlag	<p>Only applicable to ENERGY_DA and ENERGY_RT contracts. Optional attribute for ENERGY_DA and ENERGY_RT contracts and is defaulted to be Y if not supplied. If the contract's flag is Y, then the contract will be included in the calculation of Marginal Loss Revenue Load Obligation used in the allocation of Marginal Loss Revenues. If the contract's flag is N, then the contract will be excluded from the calculation of Marginal Loss Revenue Load Obligation used in the allocation of the Marginal Loss Revenues. The contract's flag must be Y when the contract's Begin Date is prior to the Credit and Billing Enhancements Start Date 12/01/2010, or the upload will be rejected.</p>	<p>Maximum length is 1 character which is either "Y" or "N".</p>	No
Begin Date	<p>Contains the starting date for which the contract will be effective (hour ending).</p>	<p>MM/DD/YYYY HH:MM:SS            Length must be less or equal 19 characters.            (daylight savings extra hour = 2*:00:00)</p>	Yes
End Date	<p>Contains the ending date of the contract (hour ending).</p>	<p>MM/DD/YYYY HH:MM:SS            Length must be less or equal 19 characters.            (daylight savings extra hour = 2*:00:00)</p>	Yes
FixedMWAmount	<p>Contains MW amount for the entire contract duration.            This value will be applied to each hour of the contract. If FixedMWAmountPattern is specified, this value will be applied to all hours based on the selected pattern.            On ICAP/and FCM_LOAD_OBLIGATION contracts (monthly market), this value will be applied to each month of the contract.</p> <p>If this field is not blank then the "ConfirmationLevel" must equal "C", except for ICAP_EXTERNAL_FLEX.</p>	<p>Total length cannot exceed 10 characters and it includes 3 decimal places.</p>	No

XML Tag	Description	Format	Required
FixedMWAmount Pattern	This field can contain a name of the pattern, according to which FixedMWAmount is applied to the contract. For FR_TMNSR and FR_TMOR contracts only the On-Peak 5x16 (weekdays) pattern is applicable. Not applicable for any ICAP and FCM_LOAD_OBLIGATION contracts.	Can contain one of the following: On-Peak 5x16 On-Peak 2x16 Off-Peak 5x8 Off-Peak 7x8 Off-Peak 2x24 Off-Peak 5x8 + 2x24	No
Schedule Date	Contains the specific date for which the following contract MW information will be applied. Not applicable for any ICAP and FCM_LOAD_OBLIGATION contracts.	Total length cannot exceed 10 characters and it includes 3 decimal places.	Yes
Profile Interval	Contains the ending hour corresponding to the MW amount below For ICAP this contains the month corresponding to the MW below. Not applicable for External ICAP Import contracts	Numeric from 1-24 (daylight-saving extra hour = 2*)	Yes
MW Amount	Contains the schedule MW amount Not applicable for External ICAP Import contracts	Total length cannot exceed 10 characters and it includes 3 decimal places.	Yes
AssetID	Asset Id associated with an external ICAP contract: Export – numeric identifier of a Market System Generating Unit Import – alpha-numeric identifier of an external Asset	Import – Maximum length is 50 characters and free form Export – Maximum length is 9 characters.	Yes – for Exports Yes – for Imports with Transaction Type = "U"
TransactionType	Contains the Transaction Type choice for External ICAP or External ICAP with Flexible Reservations contracts. Can be either "U" or "C" for imports. Can only be "U" for exports.	"U" - for Unit Transaction Type "C" - for Control Area Transaction Type (imports only)	Yes
EFORd	This field will contain the external Unit/Control Area EFORd value for imports.	Total length cannot exceed 7 characters and it includes 4 decimal places.	No – for Exports Yes – for Imports
Supplementing Resource ID	Numeric identifier of the Supplementing Resource ID associated with a FCM_SUPPLEMENTAL_AVAILABILITY contract	Maximum length is 9 characters.	Yes
Supplemented Resource ID	Numeric identifier of the Supplemented Resource ID associated with an FCM_SUPPLEMENTAL contract	Maximum length is 9 characters.	Yes

## XML Schedule Profile Upload File Format Definitions - Submit Schedules

XML Tag	Description	Format	Required
Contract ID	Numeric Identifier of the contract for which this scheduled is to entered. This Identifier was generated when the contract was entered into the Market System.	Maximum length is 9 characters.	Yes
Contract Category	<p>Will contain one of the following:</p> <p>ENERGY_DA – Internal Bilateral contract for Energy Day Ahead Market ,</p> <p>ENERGY_RT – Internal Bilateral contract for Energy Real Time Market,</p> <p>REGULATION_RT – Internal Bilateral contract for Regulation Market,</p> <p>LOAD_RT – Internal Bilateral contract for Energy Real Time Load</p> <p>ICAP_INTERNAL – Internal Bilateral contract for ICAP</p> <p>ICAP_EXTERNAL* –External Bilateral contract for ICAP</p> <p>ICAP_EXTERNAL_FLEX – External Bilateral contract with flexible reservations for ICAP Market</p> <p>FR_TMNSR – Internal Bilateral contract for Ten-Minute Non-Spinning Reserve in the Forward Reserve Market</p> <p>FR_TMOR – Internal Bilateral contract for Thirty-Minute Operating Reserve in the Forward Reserve Market</p> <p>FCM_LOAD_OBLIGATION – Internal Bilateral contract for FCM</p> <p>FCM_SUPPLEMENTAL_AVAILABILITY – Internal Bilateral contract for FCM</p> <p>*ICAP External Imports are not allowed to be submitted with schedule profile for the Transition Payment settlement</p>	N/A	Yes
Seller	Contains the numeric identifier of the customer who is supplying market service through a Contract. For an External ICAP Contract it can be a Participant or Non-Participant. For an Internal Contract it must be a Participant.	Maximum length is 9 characters.	Yes
Buyer	Contains the numeric identifier of the customer who is receiving market service through a Contract. For an External ICAP Contract it can be a Participant or Non-Participant. For an Internal Contract it must be a Participant.	Maximum length is 9 characters.	Yes
Schedule Date	Contains the specific date for which the following contract MW information will be applied. Not applicable for ICAP and FCM_LOAD_OBLIGATION contracts	MM/DD/YYYY	Yes
Profile Interval	Contains the ending hour corresponding to the MW amount below for an hourly market contract. For ICAP/ FCM_LOAD_OBLIGATION this contains the month corresponding to the MW below. Not applicable for ICAP External Import contract	Hourly – Numeric from 1 – 24 (daylight-saving extra hour = 2*); Monthly – Numeric from 1-12	Yes

XML Tag	Description	Format	Required
MW Amount	Contains the schedule MW amount Not applicable for ICAP External Import contract	Total length cannot exceed 10 characters and it includes 3 decimal places.	Yes

## XML Contract Termination Upload File Format Definitions - Terminate Contracts

XML Tag	Description	Format	Required
Contract ID	Numeric Identifier of the contract to be terminated. This Identifier was generated when contract was entered into the Market System.	Maximum length is 9 characters.	Yes
Contract Category	Will contain one of the following: ENERGY_DA – Internal Bilateral contract for Energy Day Ahead Market , ENERGY_RT – Internal Bilateral contract for Energy Real Time Market, REGULATION_RT – Internal Bilateral contract for Regulation Market, LOAD_RT – Internal Bilateral contract for Energy Real Time Load ICAP_INTERNAL – Internal Bilateral contract for ICAP Market ICAP_EXTERNAL – External Bilateral contract for ICAP Market ICAP_EXTERNAL_FLEX – External Bilateral contract with flexible reservations for ICAP Market FR_TMNSR – Internal Bilateral contract for Ten-Minute Non-Spinning Reserve in the Locational Forward Reserve Market FR_TMOR – Internal Bilateral contract for Thirty-Minute Operating Reserve in the Locational Forward Reserve Market FCM_LOAD_OBLIGATION – Internal Bilateral contract for FCM FCM_SUPPLEMENTAL_AVAILABILITY – Supplemental Availability Bilateral contract for FCM	N/A	Yes
Seller	Contains the numeric identifier of the customer supplying the Market Service for the contract that is to be terminated. For External ICAP, External ICAP with Flexible Reservations import contracts it must be a Non-Participant. For an Internal Contract it can be a Participant or Non-Participant.	Maximum length is 9 characters.	Yes
Buyer	Contains the numeric identifier of the customer receiving the Market Service for the contract that is to be terminated. For an External ICAP, External ICAP with Flexible Reservations import contracts it must be a Participant. For an Internal Contract it can be a Participant or Non-Participant.	Maximum length is 9 characters.	Yes
Termination Date	Contains the date on which the contract will be terminated. This date must fall within the start and stop dates of the contract. This hour is the first hour of contract inactivity.  <b>NOTE:</b> The duration of External ICAP, External ICAP with Flexible Reservations import contracts cannot be changed such that it violates the minimum 2 month duration with both months within the same ICAP Commitment Period. (Commitment Periods are as follows: November - April and May - October which are different than our summer and winter capability periods)	MM/DD/YYYY HH:MM:SS (daylight savings extra hour = 2*:00:00)	Yes

## XML Contract Extension Upload File Format Definitions - Extend Contracts

XML Tag	Description	Format	Required
Contract ID	Numeric Identifier of the contract to be terminated. This Identifier was generated when contract was entered into the Market System. Applicable for ICAP External, ICAP External with Flexible Reservations import contracts only.	Maximum length is 9 characters.	Yes
Contract Category	Will contain only the following: ICAP_EXTERNAL –External Bilateral Import contract for ICAP ICAP_EXTERNAL_FLEX – External Bilateral contract with flexible reservations for ICAP Market	N/A	Yes
Seller	Contains the numeric identifier of the customer supplying the Market Service for the contract that is to be extended. Since only External ICAP, External ICAP with Flexible Reservations import contracts are allowed, it must be a Non-Participant.	Maximum length is 9 characters.	Yes
Buyer	Contains the numeric identifier of the customer receiving the Market Service for the contract that is to be extended. Since only External ICAP, External ICAP with Flexible Reservations import contracts are allowed, it must be a Participant.	Maximum length is 9 characters.	Yes
Extension End Date	Contains the date on which the contract extension will end. This date must be the last day and hour of month. Extension begins on the date next to the current contract end date.  <b>NOTE:</b> The duration of External ICAP, External ICAP with Flexible Reservations import contracts cannot be changed such that it violates the minimum 2 month duration with both months within the same ICAP Commitment Period. (Commitment Periods are as follows: November - April and May - October which are different than our summer and winter capability periods)	MM/DD/YYYY HH:MM:SS Date is always a month end date and time	Yes