nationalgrid

User Guide for the Capacity Market Electronic Auction System

Document Version: Version 1.0

Release Date: 24th October 2016

Copyright Notice

Trademarks

Power Auctions is a trademark of Power Auctions LLC. Microsoft and Windows are registered trademarks of Microsoft Corporation. Google Chrome is a registered trademark of Google Inc.

Contact Points

For Urgent queries <u>from D-9 onwards</u> only use the Auction System messaging functionality or call the Bidder Support Phone line **01926 65 65 74**. Please note that this number will not be active before D-9. Identify verification will be required.

For all auction related enquiries prior to D-9 please contact Capacity Market team on: emr@nationalgrid.com or **01926 65 53 00**

Important Notice

- This User Guide is provided as a service to facilitate participation in the CM Auctions for the 2016/2017 Auction Window. This User Support Guide must be used in conjunction with the Electricity Capacity Regulations 2014 and subsequent amendments (the "Regulations"), the Capacity Market Rules 2014 with subsequent amendments[1] (the "Rules") and the Capacity Market Auction Guidelines.

- All capitalised terms used but not defined in the User Guide shall have the meaning given to those terms in the Regulations and Rules.

- Recommendations and suggestions made in the User Guide do not constitute advice to the Bidders and may not be relied upon by the Bidders.

- Risks, delays and failures in the Internet and the software and hardware used to provide access to the Auction System may occur due to factors outside the control of National Grid. National Grid does not warrant that the Auction System will be uninterrupted, nor shall it bear any responsibility or liability for any risks, delays and failures arising from any such interruptions.

- All transactions made through the Auction System are made at the time recorded by the Auction System.

- Bidders will:

    - use the Auction System in accordance with the Regulations, the Rules and the Capacity Market Auction Guidelines and all applicable national or international laws and regulations;

    - not use the Auction System for any illegal purpose; and

    - not interfere with or disrupt networks connected to the Auction System.

- Bidders must not connect the Auction System to any computer software or take any other action that may cause the Auction System to fail or perform in a manner otherwise than in accordance with its intended functionality.

- Applicants are responsible for ensuring that all the individuals they authorise to submit Exit Bids and Duration Bid Amendments (DBAs) on their behalf maintain the confidentiality and security of their user name, password, PIN, offline verification codes and the security of their systems used to connect to the Auction System and agree to notify National Grid immediately upon becoming aware of any unauthorised use of their user name or password or any other breach of security.

---

[1]   For details of all amendments please visit https://www.gov.uk/government/publications/capacity-market-rules

- Each Applicant acknowledges that National Grid is not responsible for any damage the Applicant may suffer through failure by its Authorised Individuals to maintain security in relation to their systems, passwords/PINs or offline verification codes or through unauthorised use of their passwords/PINs or offline verification codes.

- Applicants are obliged to take all reasonable steps to ensure that the computers they use are in a secure location, contain the latest security patches for both the operating system and browser, and do not contain any "spyware" or similar software.

- **Please note that all data in the example screen shots, including CMU data, prices and schedules are for illustrative purposes only.**

Table of Contents

Appendices

   A. Key terms

   B. Verifying the authenticity of the auction site

   C. Download file formats

Figures

Change Summary

Revision	Date	Comments
Version 1.0	24th October 2016	Released Version

1. Introduction

1. The guide is addressed to CMU Applicant Companies, described in this User Guide as Bidders, and the individuals that they have authorised to place bids in the auction (described in this User Guide as Authorised Individuals). Each Bidder may have up to four Authorised Individuals.

2. The purpose of the User Guide is to:

   - briefly explain the auction process (Section 2);

   - describe the desktop features needed to use the system (Section 3) – **please note that specific browser settings are required**;

   - explains how Bidders' Authorised Individuals will access the system (Section 4);

   - provide a guide for Bidders on how to use the online Auction System before, during and after an auction (Sections 5-7);

   - explain how to request further support (Section 8); and

   - describe the procedures in the event of a disruption of access to, or operation of, the Auction System (Section 9).

3. Appendix A is a glossary of terms, Appendix B explains how to check the authenticity of the auction site, and Appendix C contains the format of files that can be downloaded from the Auction System by Bidders. The term "bid" (in lowercase) refers to either a DBA or an Exit Bid.

4. Further details about the auction can be found at www.emrdeliverybody.com. This User Support Guide must be used in conjunction with the Electricity Capacity Regulations 2014 (the "Regulations"), as subsequently amended, the Capacity Market Rules 2014 with subsequent amendments (the "Rules") and the Capacity Market Auction Guidelines. Not doing so may result in failure to gain a capacity agreement in the Capacity Auction or, alternatively, to acquiring a capacity agreement that was not wanted.

5. The text of the User Guide refers frequently to the different screens of the auction software. Figure 4 on page 17 has a diagram showing all screens with their relevant reference numbers e.g. Screen B8 is the messages screen.

6. Screenshots are taken using data from a T-4 auction but those for the T-1 and Transitional Auctions will be the same, albeit with different data. The text highlights any significant differences in the auction parameters.

7. Numbers used in the text, figures, and screens are purely illustrative unless otherwise noted.

8. Clickable buttons on the Auction System are depicted in this guide in the following manner: Button

9. Please note that the Auction will be observed by an Auction Monitor that National Grid is required to appoint under the Regulations. The role of the Auction Monitor is to

report on whether the procedures in the Regulations, Rules and Auction Guidelines have been properly followed in the conduct of the Capacity Auction.

8   Version 1.0

2. The Auction process

10. The Auction will be conducted over the Internet. This will allow Bidders' Authorised Individuals to participate in the Auction from their normal office locations. Bidders will use the Auction System from their own personal computers (PCs) connected to the Internet, using a browser. The Auction System has been designed to minimize the requirements on Authorised Individuals' equipment and to make the Auction process as straightforward as possible. There is no need to download any software.

11. Each Bidder's Authorised Individuals are permitted to submit Exit Bids and Duration Bid Amendments (DBAs) during the Bidding Windows on behalf of the Bidder. To ensure the Authorised Individuals' submissions remain secure and confidential, any information transferred across the Internet will be encrypted using Transport Layer Security (TLS) technology.

12. National Grid, with the support of its consultants IBM and Power Auctions, will act as Auctioneer. Support will be provided via telephone, e-mail, and using the messaging facility in the Auction System. These arrangements are described in Section 8.

13. The T-4 Auction will begin on **Tuesday, 6th December 2016 at 9:00 a.m. GMT.** The Auction System will be accessible from 23rd November ("D-9") to allow Bidders to check their CMUs with the T-4 Mock Auction being held on Thursday 24th November

14. The Early T-1 Auction will begin on **Tuesday, 31st January 2017 at 9:00 a.m. GMT.** The Auction System will be accessible from 18th January ("D-9") to allow Bidders to check their CMUs with the T-1 Mock Auction being held on Thursday 19th January

15. The Transitional Auction will begin on **Wednesday 22nd March 2017 at 9:00 am GMT** and the Auction System will be accessible from 9th March, with the Transitional Mock Auction being held on Friday 10th March.

16. Shortly before the Auction starts, the Auctioneer will formally announce the Price Floor for the first Bidding Round and the Clearing Capacity at that price on the basis of the Auction Guidelines. Bidders will be able to view this information as well as the Auction Schedule on the Auction System as soon as they have logged in.

17. Authorised Individuals will be able to set up hot lists of CMUs at this time, if they wish, to facilitate management of their CMUs in the Auction. Hotlists are described in Section 4.

18. The Auction is scheduled to be held over a period of up to four days. The precise number of Bidding Rounds required will depend on the bids received and the auction may conclude earlier. Bidders are encouraged to monitor the progress of the auction using the Auction System at regular intervals.

19. Once the first Bidding Window is open, it will be possible to submit Exit Bids and DBAs, as described in Section 6, until the Bidding Window closes. Note that Bidders that only have Price-Taker CMUs will only be able to submit Exit Bids at or below the Price Taker Threshold of £25/kW/year (adopted for all three auctions). Such bids, applicable in a future Bidding Round, are described in this User Guide as proxy bids - they will be saved by the Auction System and applied in the relevant Bidding Round.

20. After each Bidding Round's Bidding Window there will be a recess. During the recess the Auctioneer will post the results of the previous Bidding Round. In any Bidding Round that it is not the Clearing Round, this will be the spare capacity or excess i.e. the Remaining Auction Capacity when the Bidding Window closed minus the Clearing Capacity, rounded to the nearest 1000 MW in the T-4 and Early T-1 auctions or the nearest 100 MW in the Transitional Auction.

21. The Auctioneer will announce the Price Cap and Price Floor for the next Bidding Round shortly after the results for a Bidding Round have been posted, assuming it is not the Clearing Round. The Price Cap for the next Bidding Round will be the Price Floor for the previous Bidding Round.

22. It is recommended that Bidders monitor the status information at the top-right of every screen during the recess, as this indicates whether the results have been posted and whether prices have been announced.

23. The process will continue for subsequent Bidding Rounds until a Bidding Round is declared the Clearing Round.

Figure 1: Planned timescales for Bidding Rounds in the T-4 auction
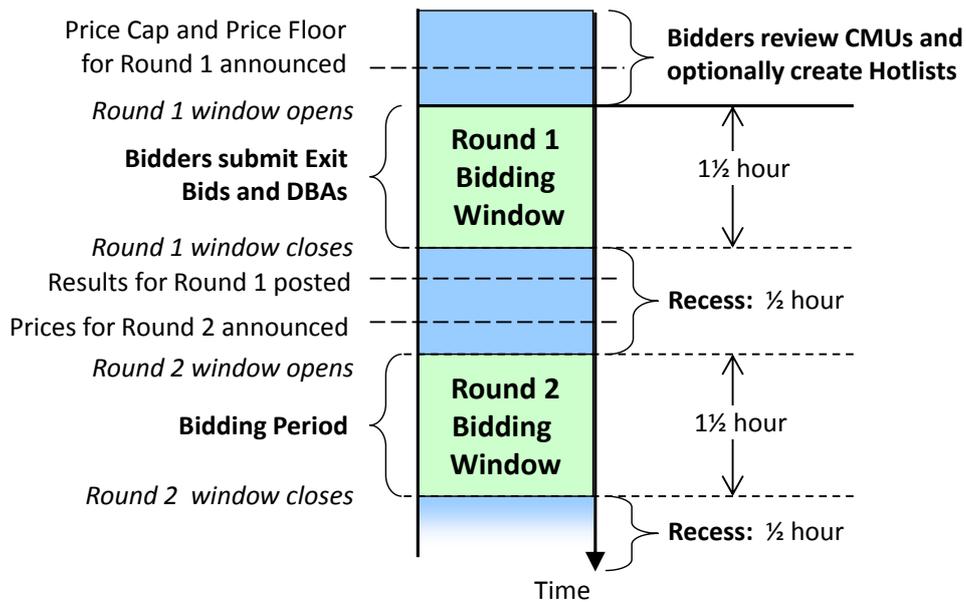
24. Please note that it is expected that the same round duration will apply to the early T-1 Auction but that a shorter round time may be adopted for the TA auction. Bidders should always check the auction schedule to confirm timescales before an auction starts.

25. Once the Price Cap for a Bidding Round reaches the Price-Taker Threshold, Exit Bids for Price-Taker CMUs that are applicable in the current round (i.e. that are not proxy Exit Bids) can also be submitted.

26. Authorised Individuals of Bidders that only have CMUs classified as Price-Takers are encouraged to log-in from the beginning to set up hotlists for their CMUs, view the Auction Schedule, optionally place proxy bids and monitor the progress of the auction.

Version 1.0

27.   The Auction will conclude when the Remaining Bidding Capacity at the end of a Bidding Round is less than or equal to the Clearing Capacity at the Floor Price in that Bidding Round – the condition for it to be declared the Clearing Round. The Auction System will then calculate the Clearing Price and determine which CMUs are to be awarded a Capacity Agreement on the basis of the Auction Rules. Once this has been done, the provisional results of the Auction will be announced on the Auction System within 24hours. Please refer to the Auction Guidelines for details of when the results will be announced.

3. System requirements

28. The Auction System can be accessed using a standard, Internet connected, PC with an Internet browser **with a minimum of TLS 1.1 security**. The supported configurations are as detailed below:

   - Intel Pentium (or equivalent) with 1.2 GHz processor or faster;

   - Windows 7, Windows 8.1 and Windows 10 operating systems;

   - Internet Explorer 11[2] or a recent version of Chrome or Firefox web browsers[3];

   - Access to the Internet; and

   - 1366x768 screen resolution or higher.

29. Authorised Individuals are discouraged from using web browsers containing third-party modifications such as search bars, tool bars, or other third-party browser extensions. Third-party browser extensions may potentially cause problems for users of interactive websites, including the Auction System, and may make Bidders' computers more vulnerable to hacker attacks. If in doubt, Authorised Individuals should consult their internal information technology departments in order to disable third-party browser extensions or, if necessary, obtain clean installations of a supported web browser.

30. Note that the Auction System may run on different Macs and PC configurations, including browsers not listed above, but it is the responsibility of the Authorised Individuals to ensure that they are able to use the Auction System on that configuration, preferably by testing that configuration during a training event.   Furthermore, Authorised Individuals are advised to ensure that they have installed the latest service pack and security patches for their operating system (including Internet Explorer), and the most recent version of Chrome or Firefox (where relevant), to maximize protection against potential security vulnerabilities.

31. **To test compatibility, we recommend that Authorised Individuals use the same configuration during training as the configuration that they intend to use for the live Auction.**

32. If a user has many CMUs, it is recommended that Chrome or Firefox is used instead of Internet Explorer, because pages in the Auction System with a lot of data load faster.

33. Authorised Individuals are advised to have available an alternative means of connecting to the internet, in case their primary connection fails, such as via 3G or 4G. In the event of a loss of the primary Internet access, and if there is no alternative means of

---

[2] Note that Microsoft withdrew support for Internet Explorer 9 and 10 for Windows 7 on 12th January 2016. In consequence we are no longer supporting these browsers. Users of these browsers should update to a supported browser as soon as possible.

[3] This was version 53 (Chrome) and version 49 (Firefox) at time of going to press.

connection, Authorised Individuals can use the backup procedures described in Section 8, but these are much more onerous.

4. Accessing the system

34. The Auction System is accessed via the link provided to bidders in the Auction Credentials section of the EMR portal. This will be available from D-9 for the relevant Auction.

35. As a security precaution, you are advised to close *all* windows/tabs in your browser before accessing the Auction System. You should then open a single browser window on your computer and manually type the URL provided for the Auction into the browser. Furthermore, you should avoid opening any other browser windows/tabs on your computer until after logging out of the Auction System[4].

36. In the event that a single person is nominated as an Authorised Individual for more than one Bidder, they will need to use more than one desktop and/or use more than one browser if they wish to be logged into the Auction System with more than one set of credentials at the same time.

37. In the exceptional event that the primary server is down, bidders will be contacted by the Auctioneer via e-mail and told to access the Auction System using the backup server. The arrangements are described in Section 8.

38. Users may see a message warning them that they are about to view a page over a secure connection. If such a message appears, click on 'OK' to access the Auction System. You should then be taken to welcome screen, as shown in Figure 2.

Figure 2: Welcome screen

---
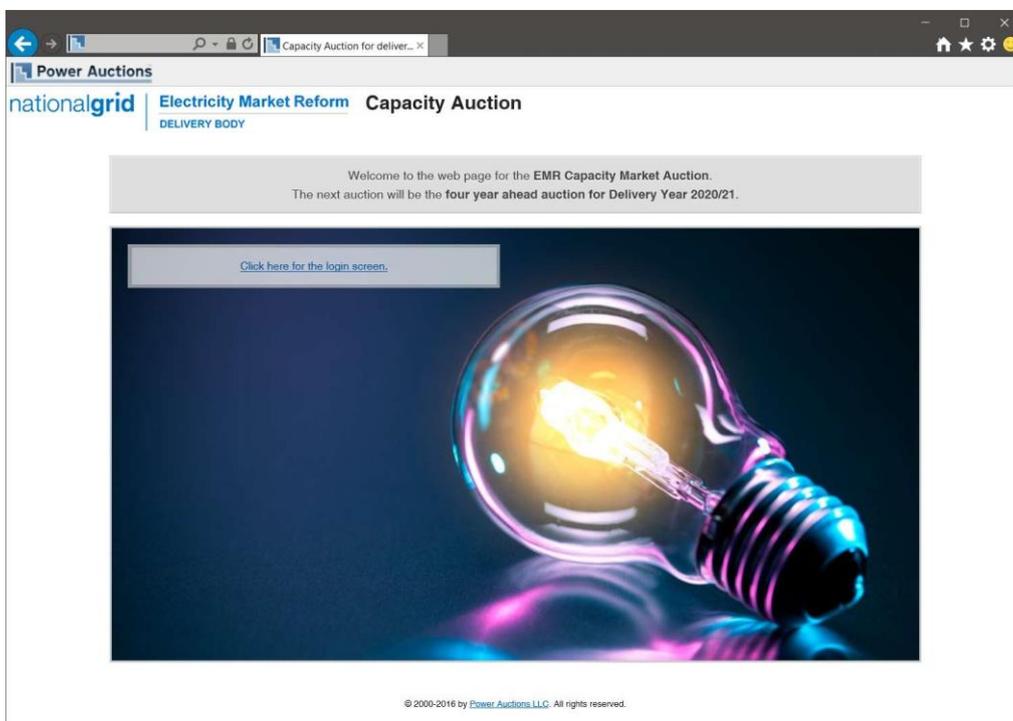
4   Please note that this is not a requirement in order to use the Auction System.

39. In Internet Explorer, a padlock or similar icon will be shown at the right of the internet address at the top of your browser screen when you access the introductory screen and all other screens in the Auction System, to show that the site is secure. If you are using Chrome or Firefox, this is shown by a padlock to the left of the internet address field at the top of your browser screen.

40. Before you log on, it is prudent to verify the general certificate information and the 'thumbprint' of the digital certificate of the site. How to do this is explained in Appendix B.

Logging in to the Auction System

41. The first page you will see in the Auction System will be the welcome screen, with a link to access the Auction System, as shown in Figure 2 above. If the Auction System is currently unavailable, this page will display a message stating when it will be available. You will not be able to access the Auction System until that time.

42. Please note that your browser **must have TLS 1.1 enabled**, and be able to accept cookies and JavaScript for you to be able to access the Auction System. The procedures to enable TLS 1.1, cookies, and JavaScript in supported browsers are described in the troubleshooting guide in Section 0.

43. After you click on the <u>Click here for the login screen</u> link, you will be taken to the log in screen shown below in Figure 3. If this link is not available, the auction system is not accessible (see paragraph 41 above).

Figure 3 Auction System log in page

44. Before the mock T-4 auction, Authorised Individuals must log in to the EMR Portal in order to obtain their default password and a PIN to access the Auction System. On first log on, Authorised Individuals will be asked to change their password to one of their own choosing. The PIN will remain unchanged. The same password and PIN will be used in both the mock and live T-4 auctions.

45. The same process will be adopted for the Early T-1 and Transitional Auctions. There will be separate passwords and PINs in each case.

> ✍ *You can change your password at any time by clicking on "Settings" menu in the main navigation bar of the Auction System.*
>
> *All passwords: must be a) 8 characters long, b) contain at least one upper case character, c) contain at least one lower case character, and d) contain at least one number or special character.*

46. If you forgot your password and/or PIN or believe that these credentials have been compromised, please contact Bidder Support and ask for a password reset.

47. Once you are logged into the Auction System, you will then be taken to the 'Auction Schedule' screen (Screen B7). This is one of a number of screens that you can now access in the secure site. The remainder of this section outlines the functions available to Bidders.

Authorised Individuals and Bidders

48. Each Authorised Individual of the same Bidder may log-in and access the Auction System at the same time using his or her own username, password and PIN. Any updates made to bids which are saved by one Authorised Individual (by clicking on the 'save' button described in Section 6) will be displayed on the screen of the other Authorised Individuals of the same Bidder as soon as they refresh the screen by clicking on the navigation bar of that screen. You should be careful when refreshing the screen, as it will reset any changes you have made to that screen, such as entering an Exit Bid price, before clicking on Save .

> ✍ *Remember to save any bid before refreshing the screen, moving to another the screen, or logging out. If you refresh the screen, move to another screen, or log out, any unsaved bids will be lost.*

49. Please note that you should not allow more than one Authorised Individual of a specific Bidder to modify bids for the same CMU at the same time. As the system will process the modifications received from all Authorised Individuals for a Bidder in the order received, the resulting bids may not reflect the bids that an Authorised Individual wanted[5]. Each Authorised Individual can set-up his or her own Hotlist of CMUs (as described in Section 5), and it is recommended that this facility is used to separate CMUs across Authorised Individuals who wish to bid in order to minimize the risk of conflicting bids.

50. It is not possible for an Authorised Individual for a specific Bidder to be logged on the Auction System with the same credentials on more than one computer at the same time. **If you attempt to use the same credentials to access the Auction System from more than one computer at a time, the Authorised Individual using the first computer will see a message indicating that someone else has logged in with that account**. This also occurs if you attempt to access the system using two different browsers on the

---

[5]   This will not cause any problem for the Auction System but may be confusing for the Bidder's Authorised Individuals unless there is close coordination among them.

same computer at the same time. If you see this message and you did not log in with the same credentials on a different machine or browser, you should contact the Bidder Support Team immediately.

51. **It is possible for a single Authorised Individual with two or more *different* sets of credentials, corresponding to *different* Bidders, to log into the system using each of these separate accounts at the same time but they must use different desktops and/or browsers to do so.**

52. As noted above the same passwords and PINs will be used in both the mock and the live auctions. It is therefore important to keep it secure. If you think that the security of your password has been compromised in some way, please contact the Bidder Support team.

53. Separate passwords and PINs will be provided for the T-4, T-1, and TA auctions.

Summary of Auction System and navigation

54. The diagram in Figure 4 below provides a summary of the screens that are available to Bidders and their function. Blue colours represent the main navigation relevant to all Bidders and the other colours indicate page tabs or boxes in which bid data is entered for specific CMU types. Pale green boxes are screens relevant only to CMUs that are Price-Makers (also indicated by a superscript of 'PM'); pale yellow boxes are screens relevant only to CMUs that are Price-Takers (also indicated by a superscript of 'PT'). The turquoise box represents Refurbishing/Pre-refurbishment CMUs which may be a combination of both Price-Takers and Price-Makers.

Figure 4: Structure of Auction System
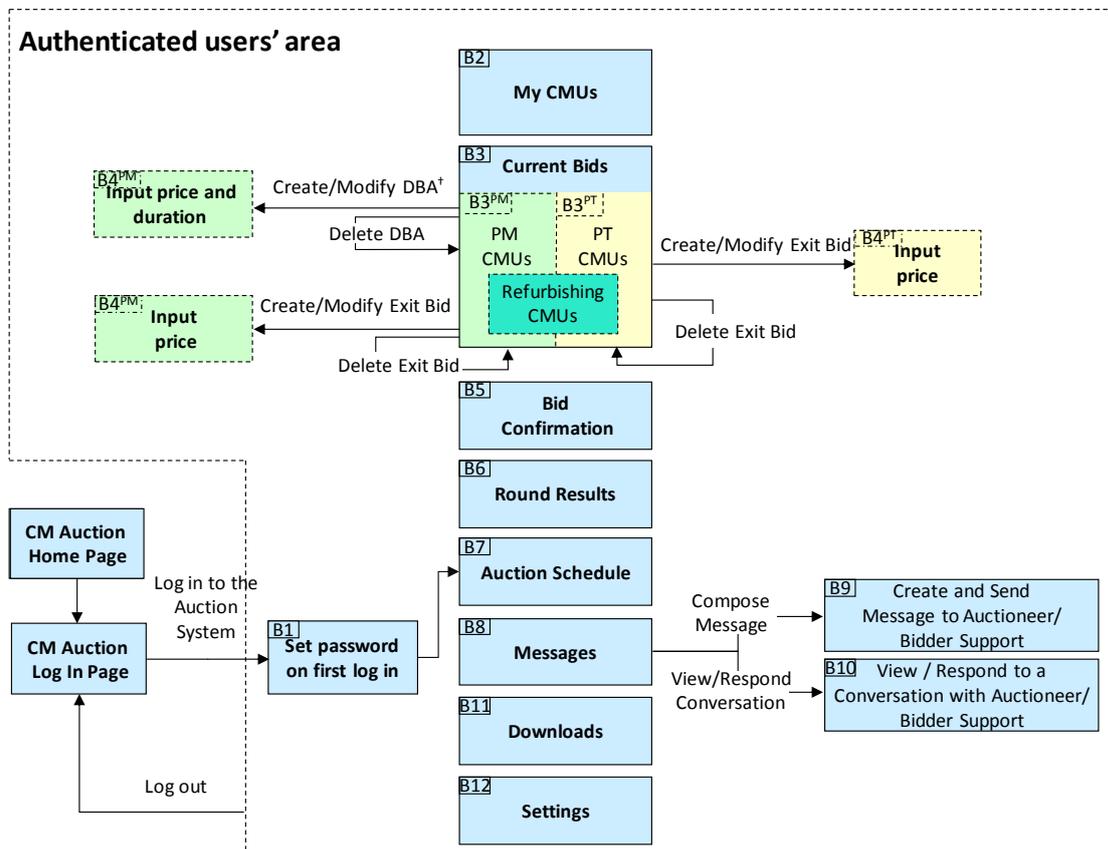
55.   Please note that:

(a)   The Price-Maker (PM), Price-Taker (PT) and Refurbishing CMUs are separated on the Current Bids and Bid Confirmation screens using tabs (Screens B3 and B5);

(b)   DBAs are only available for PMs which are prospective generators with a maximum obligation period of over one year[6]. The duration in a DBA will be set automatically to one year by the system on Screen B4; and

(c)   DBAs for refurbishing CMUs may also indicate that, at any price below that specified in the DBA, participation will continue using the pre-refurbishment CMU.

56.   The detailed functions of the different screens are explained in the subsequent sections of this User Guide.

57.   Navigation has been kept as simple as possible. To act as a common interface every screen includes summary information about the status of the Auction, as well as blue navigation buttons that you can use to move easily between screens. This is shown in Figure 5 below.

Figure 5: Summary Information and Main Navigation Bar before the Auction starts (Top of all screens except home page)

58.   The status information on the right hand side of the screen provides information about the Auction. The status information indicates when the first Bidding Round of the Auction will start. Once the Auction has started, as described in Section 6, the status area has details about the current Bidding Round as well. This status information is updated about every ten seconds and every time you display a screen by selecting it from the main navigation bar.

---

[6]   In the Early T-1 auction, only one year capacity agreements will be available. Even so, the system will still permit prospective generators to submit DBAs. This will only serve a purpose for refurbishing CMUs that wish to continue in the auction with the pre-refurbishment capacity.

Version 1.0

59. A yellow box on all screens alerts you that you have a new message which you have not yet read.

60. **Note that any warning messages displayed on the screen are also updated about every 10 seconds.** However, if you would like to prompt a manual refresh of the warning messages then simply select a menu item from the main navigation bar. Furthermore, if you suspect that your browser may have crashed and is not updating the Auction clock, it is recommended you select a menu item from the main navigation bar to determine if this solves the problem.

> ✍ *The relevant time for the Auction is that shown in the Auction System (the auction clock, shown on the right hand side of the screen above the status information) and not the time that is displayed on the Windows Task Bar (bottom right-hand side of your computer screen).*

61. If a screen has become out of date because a key event has occurred, such as a Bidding Round starting or ending, the screen will turn grey and you will be required to refresh the screen by clicking on the ⌈Update⌋ button that appears inside a yellow box with a warning message.

Figure 6: Alert when current screen is out of date
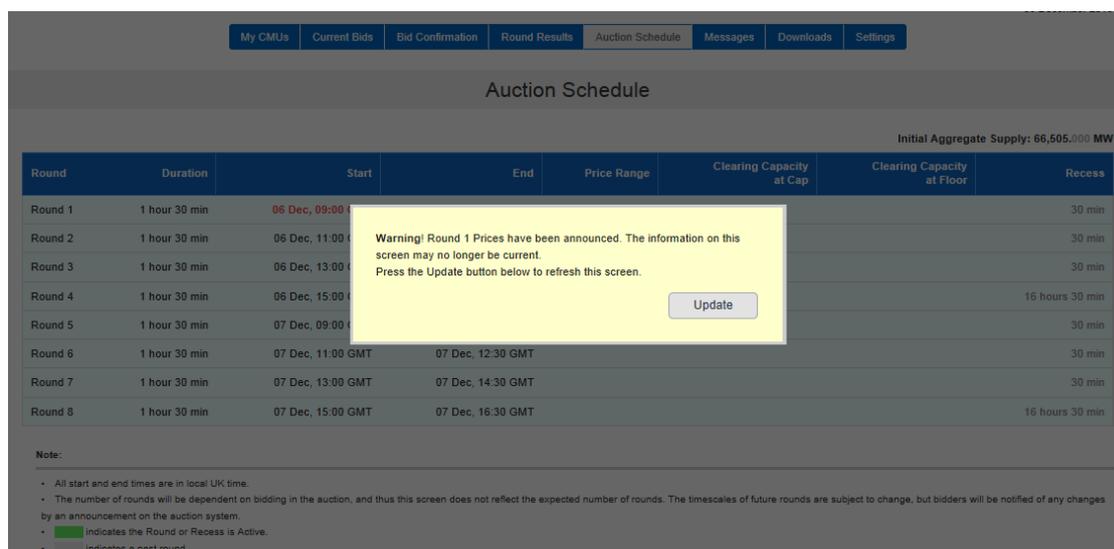
62. Note that on screens which have tabs, the selected tab is remembered when you move to a different screen. Therefore, if you selected the Price-Takers tab on the Current Bids screen, this tab would be in the foreground when you move to the Bid Confirmation screen.

63. Note that many screens, including Screens B2 (My CMUs), B5 (Bid Confirmation), B6 (Round Results), B7 (Auction Schedule), and B8 (Messages) can be printed by using File, Print on the browser menu or clicking on the ⌈Print this Page⌋ button for screens with tabs. Where the data for your CMUs is displayed on separate tabs, it will be shown together on a single page in the printable format.

64. As with any secure site, it is strongly recommended that you use the blue buttons on the main navigation bar to navigate through the Auction System instead of the standard navigation buttons on the toolbar in your browser (such as 'back' and 'forward' and 'refresh'/'reload'). This avoids the risk of viewing out-of-date information.

65. If all of the information from the Auction System cannot fit on your display, you can either zoom out using your Internet browser or scroll right and left using the scroll bars. To adjust the zoom, hold down the ctrl-key and use the "+" and "-" keys to zoom in and out.

66. All Quantities are in MW shown to 3 decimal places. Therefore, 230.100 represents 230.1 MW. The fractional part of the number (100 in this example) is shown in grey in the Auction System to distinguish it from the integer part.

67. All Prices in the Auction System are quoted in £ per kW per annum with precision to 2 decimal places, i.e. to one penny. For information on price indexation please consult the Capacity Market Rules.

68. Finally, you are advised not to leave your screen unattended without locking the screen or logging out using the black buttons on the top right of Figure 5. The distinction is that clicking on `Lock Screen` will only require the password to re-enter the Auction System whereas if you click `Logout` you will have to re-enter your full credentials.

Identity verification codes for use offline

69. The user support and back up arrangements include a protocol to verify the identity of Authorised Individuals who contact the Auctioneer or Bidder Support teams by telephone after the Auction System is opened for access at D-9.

70. These arrangements require the Authorised Individual to give an offline verification code to the member of the Auctioneer/Bidder Support team that answers the phone. These codes will be unique to each phone call. Identity verification is necessary because the Auction System contains confidential information and also because, in exceptional circumstances, it is possible to place a bid by telephone, as explained in Section 8.

71. It is therefore essential that each Authorised Individual views the Offline Verification Codes tab in the Settings Screen (Screen B12), and prints out these codes. There is a button on this page to print the 90 codes that are displayed. This is shown in Figure 7. **Please note that without these codes you will be unable to get support in relation to the Auction System after D-9 or to place a bid by phone if you lose your internet connection.**

Figure 7 Printing your Offline Verification Codes on Settings (Screen B12)
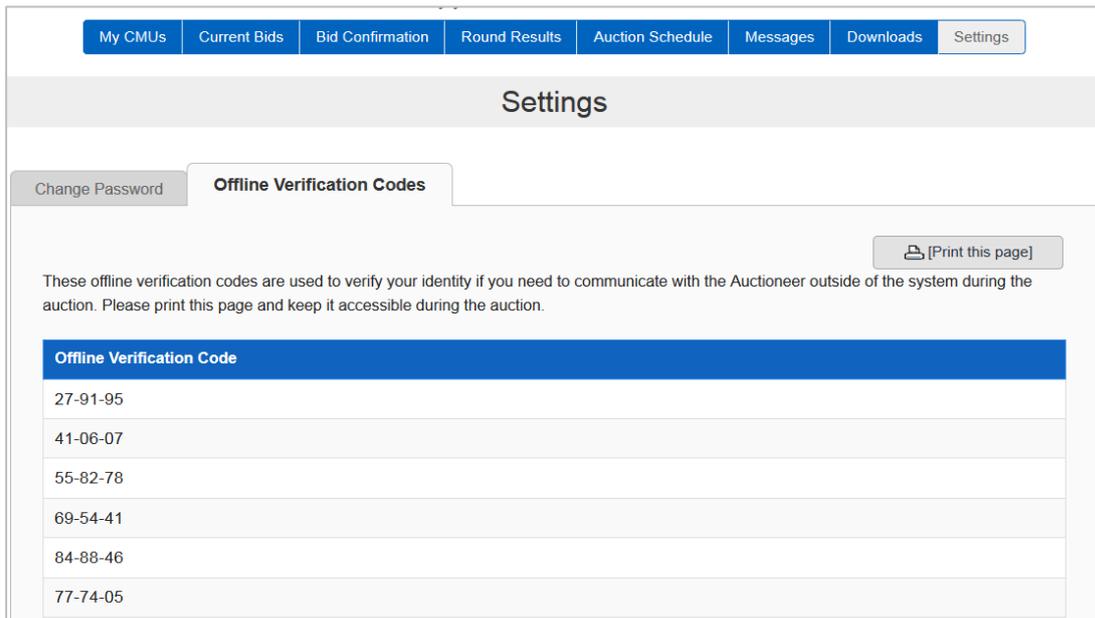
72.   Once printed, the Offline Verification Codes should be kept securely.

73.   After using an Offline Verification Code, please tick it off the list. The person you spoke to in the Auctioneer/Bidder Support team will do the same. Use the next code on the list if you make a further enquiry.

74.   Please note that the Offline Verification Codes are specific to each Authorised Individual.

5. Facilities available before and during the auction

Viewing the Auction Schedule

75. The schedule of the Auction can be accessed by selecting "Auction Schedule" on the main navigation bar. This displays the expected start times and end times of all Bidding Round Windows and start and end times of recesses (non-bidding periods between the Bidding Round Windows when results are posted and prices are announced) over the coming days of the auction. The Auction Schedule screen will display the announced Price Cap and Price Floor for a Bidding Round in the price range column when the prices for that round have been announced, shortly before the Bidding Window opens. The schedule also shows the Clearing Capacity at the announced Price Cap and Price Floor at the same time.

76. An example of the Auction Schedule screen at the start of a Round's Bidding Window for Round 2 is shown in Figure 8. Past rounds are shaded in grey, the current round or recess is shaded in bright green, and future rounds are shaded in pale blue. The time of the next key event (such as the Round starting or ending) is indicated in a bold red font. In the example in Figure 8 below, the next key event will be the closing of the Bidding Window for Round 2, which will occur at 12:30 GMT. The initial aggregate supply (i.e. at the start of the auction) is always shown above the schedule on the right hand side.

Figure 8 Example of Auction Schedule (Screen B7)
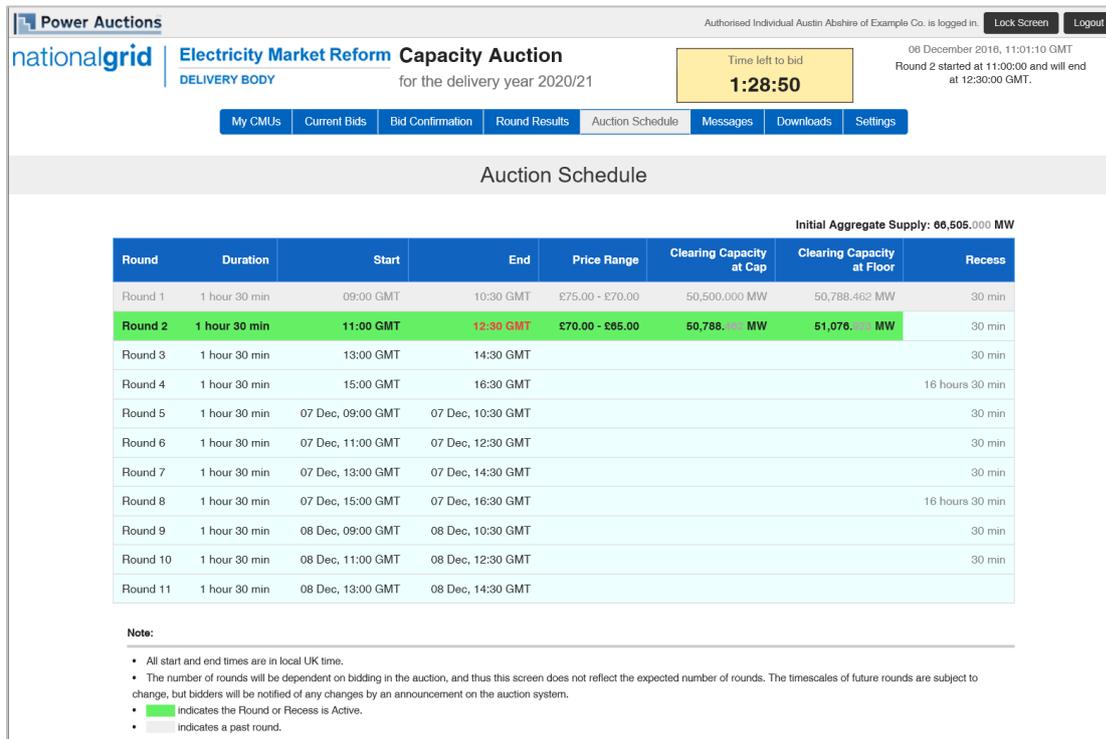
77. When a key event occurs, such as Prices being announced for a Bidding Round, this screen will become grey and you will be forced to update the screen as described in paragraph 61 above. Therefore, during the recesses between Bidding Windows, it is recommended that you monitor the Auction Schedule and the status information at the top right hand side of the screen, as this will indicate what information is currently available for that Bidding Round.

78. The screen can also be refreshed by clicking on the "Auction Schedule" button on the main navigation bar. If any new messages have been posted, this will also be indicated at the top of this and every screen.

79. Note that the data on this screen is identical for all Bidders.

Viewing Information about your CMUs

80. The Auction System contains the list of your CMUs and information about each of these CMUs. The CMU information is available to Bidders when the Auction System is on-line from D-9. Bidders should review the details about their CMUs during this period before the auction starts to check that the data is consistent with what they would expect. Any issues should be raised immediately with Bidder Support.

81. To view your CMUs, click on "My CMUs" on the main navigation bar. A screen listing your CMUs will be displayed, similar to that shown in Figure 9 below. Note that CMUs of all types are displayed in a single table. The list shows:

    (a)   the type of CMU;

    (b)   the capacity of the CMU in MW. This is the De-rated Capacity of Generating and Interconnector CMUs. For Demand Side Response (DSR) CMUs, it is the DSR Bidding Capacity as confirmed at D-10 (which may be less than the De-rated Capacity).

    (c)   whether it is a Price-Maker or a Price-Taker;

    (d)   the duration chosen by the Bidder in the case of New Build and Refurbishing Generating CMUs (otherwise 1 year is shown)[7]; and

    (e)   in the case of Refurbishing CMUs, details for the Pre-Refurbishment CMU (if it was not opted out).

---

[7]   In the Early T-1 auction, only capacity agreements of 1 year are available, so new build and refurbishing CMUs will have no choice with respect to duration.

Figure 9: My CMUs Summary (Screen B2)

Setting up and reviewing Hotlists

82. Hotlists are a quick way to view a subset of CMUs that may be of interest at a particular point in the auction. They can also be used to divide the responsibility for a Bidder's CMUs among its Authorised Individuals. However, setting up a Hotlist is completely optional: if you do not set-up a Hotlist, the Auction System does not restrict in any way what actions you can perform during the Auction[8].

83. Bidders are permitted to have up to four Authorised Individuals with access to the Auction System, and each Authorised Individual can have his or her unique selection of CMUs within his or her Hotlist. **Note that the Hotlists are the only data that can be different for Authorised Individuals** for a single Bidder. All other data is identical for all Authorised Individuals of that Bidder.

84. It is recommended that the Authorised Individuals of each Bidder who wish to use this feature set-up their Hotlists before the Auction starts.

> ✎ *Note that a Hotlist is specific to a single auction. Therefore a Hotlist set-up during the mock auction will not be maintained for the live Auction. You must create a new Hotlist for the live Auction. For this reason, you may wish to print a copy of any Hotlist which you wish to use again.*

85. You can create or modify your Hotlist in the "My CMUs" screen, (Figure 9, page 24). Note that there is a single Hotlist for all CMUs and it is applied across the Current Bids,

---

[8] Please note that CMUs placed on the Hotlist of one Authorised Individual will still be visible and available for bidding by other Authorised Individuals of the same Bidder. It is for the Bidder to coordinate the actions of its Authorised Individuals.

Bid Confirmation and Round Results screens. Where a screen has tabs for different types of CMU, the Hotlist is applied to each tab for the relevant type of CMU.

86. To add a CMU to the Hotlist, click on the [+] by the CMU name, and it will be added to the Hotlist. The [+] will then change to a [-] and the row will be shaded in blue. Clicking on the [-] will remove the CMU from the Hotlist. In Figure 10, a New Build Generating CMU, a Refurbishing Generating CMU, and an Existing Interconnector CMU have been added to the hotlist as shown by the blue shading and the change of sign at the right hand side of the first column.

Figure 10: My CMUs screen showing some CMUs selected for a hotlist

87. To view only the CMUs that are included in your hotlist select "Show Hotlist Only [--]" link shown circled in red in Figure 10. This will display a screen similar to that shown in Figure 11 below. A warning in a yellow box appears above the CMU list to alert you that you are in Hotlist View.

Figure 11: My CMUs with hotlist filter selected

88. Note that there is no limit on the number of CMUs that may be added to a Hotlist. CMUs not included in the Hotlist are still available on all relevant screens by clicking on

89. the Show All [++] link on the top left of the screen. Therefore, you are not excluded from placing bids for CMUs that are not in your Hotlist.

89. Hotlists can be modified at any time during the auction. Please note that you can only modify your hotlist in the "My CMUs" screen, by clicking on the [+] to add a CMU to the Hotlist and [-] to remove a CMU from the Hotlist.

Viewing announcements and viewing and sending messages

Viewing announcements and messages

90. The Auctioneer or the Bidder Support Team may send announcements to all Bidders during or before an auction is scheduled to begin to keep you informed of events and issues. As shown in Figure 5 on page 18, every page will include a notification stating that you have new messages if you have not read an announcement that has been sent. Announcements are received by all Authorised Individuals.

91. To read the announcement, click on "Messages" in the main navigation bar. This will take you to the screen similar to that shown below which displays all announcements and conversations in reverse chronological order. The "Announcements" section displays any (one-way) messages that are sent from the Auctioneer / Bidder Support Team to *all* Bidders. The "My Conversations" section displays any (two-way) messages between an *individual* Bidder and the Auctioneer / Bidder Support Team. No other Bidders will see these messages (any information of general relevance will be conveyed in an announcement). Therefore, if you ask the Auctioneer / Bidder Support Team a question, it will appear in your "My Conversations" section of the screen, as will the reply. The same message appears in "My Conversations" for **all** Authorised Individuals of the same Bidder. All messages are recorded by the Auction System.

Figure 12: Messages (Screen B8) viewing messages and announcements received
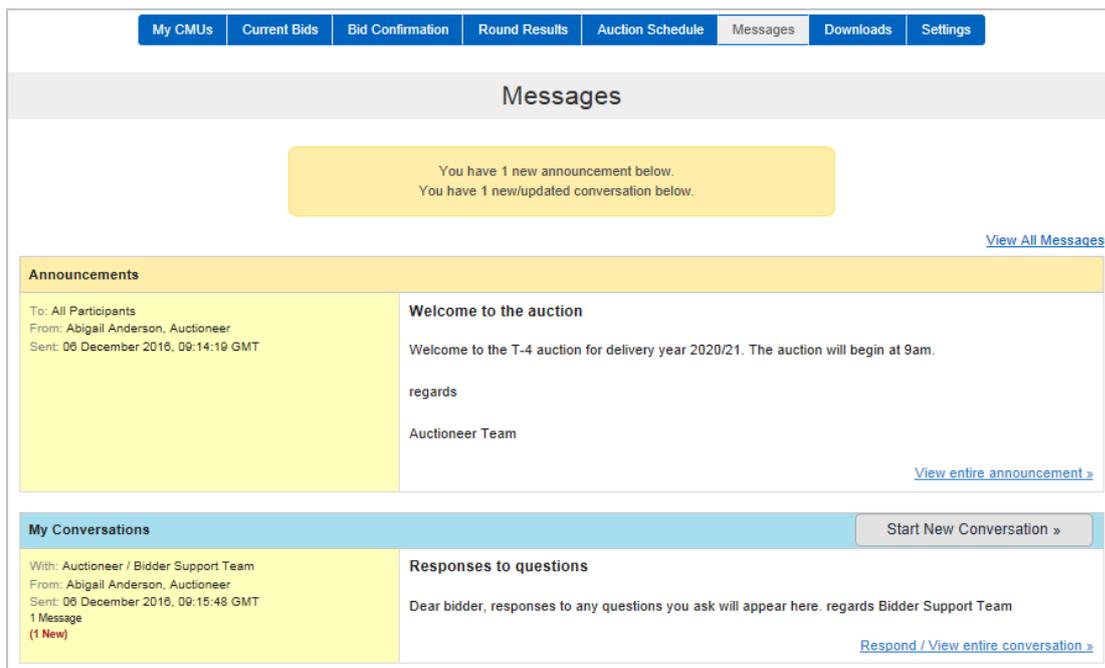
92. If you have new announcements or new or updated conversations, a box will be displayed at the top of the screen indicating the number of new announcements and/or

the number of new/updated conversations. New announcements and new/updated conversations are highlighted in yellow. After you have viewed this screen, the notification that informed you that you had a new message will not be shown until the Auctioneer or Bidder Support sends a new announcement or message.

> ✍ *Note that an old announcement may not be shown in its entirety. To view the entire contents of an announcement, click on 'View entire announcement »'.*

Sending messages

93. You can also send messages to the Auctioneer and the Bidder Support Team. These messages are grouped in conversations shown in the "My Conversations" section of the screen above. To start a new conversation, click on the "**Start New Conversation »**" button.

94. You will then be taken to a screen where you can enter the subject of the conversation and content of the message as shown in Screen B9 below. Once you have entered both the subject and content, you will be able to click on "Send" to send the message. Alternatively, you can click on "Back to Messages" at any time to cancel the message and return to Screen B8.

Figure 13: Creating and Sending a Message (Screen B9)

95. The message sent as described above will be added as a new conversation in the "My Messages" section of the "Messages" screen (Screen B8). Any further messages relating to that conversation (either sent by the Auctioneer/ Bidder Support or by you) will be incorporated into that conversation, and only the most recent message of the conversation will be shown in Screen B8.

96. Please note that all members of the Auctioneer/Bidder Support team will receive any message that is sent. The conversation will show the identity of the person from this group that responds.

97. As with announcements, receiving a new message in a conversation will result in a notification on every screen. On the Messages screen (Screen B8), the summary box at

the top of the screen will indicate the number of new or updated conversations. If a conversation is marked as "updated", this means that a new message has been added to the conversation, and the new message(s) will be highlighted in yellow.

98. To view all messages relating to a conversation in their entirety, click on "Respond / View entire conversation »" for that conversation. This will take you to a screen similar to Screen B10 below.

Figure 14: Viewing and Responding to a Conversation (Screen B10)
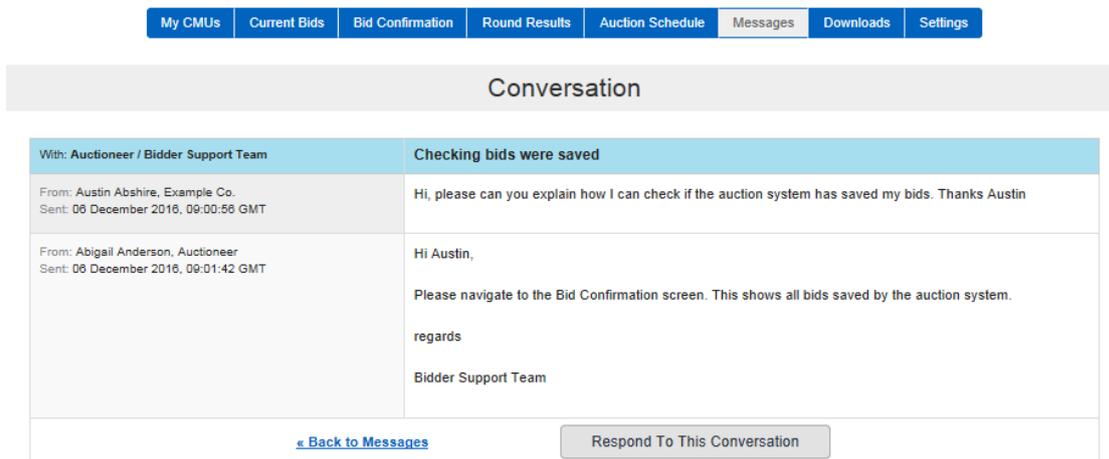
99. You can also use this screen to send a further message to the Auctioneer / Bidder Support team relating to this conversation by clicking on Respond To This Conversation . The screen will then allow you to enter and send a further message to the Auctioneer / Bidder Support team. To return to Screen B8, click on the "Back to Messages" link.

100. Note that you do not need to wait for a response from the Auctioneer / Bidder Support team to respond to a conversation. Similarly, you can send a new message to create a new conversation with the Auctioneer at any time during the Auction.

101. You can view all announcements received and all messages sent and received on a single page by clicking on the "View All Messages" link to the top right of the title "Announcements". This new page can then be printed using the Print this page button on the screen.

6. Using the Auction System during the Auction

102.   In this section, the guide describes:

      (a)   the status information shown on every screen during the auction;

      (b)   how to place an Exit Bid for Price-Maker and Price-Taker CMUs;

      (c)   how to place a Duration Bid Amendment (DBA) for Price-Maker CMUs;

      (d)   how to place Exit Bids and DBAs for Refurbishing CMUs;

      (e)   reviewing the Exit Bids and DBAs saved by the system for confirmation;

      (f)   viewing the excess supply for posted rounds; and

      (g)   available file downloads.

Status information

103.   Once the Auction has started, the status information, which is shown on every screen, will indicate whether a Round has started and, if so, the start and end times, as shown in Figure 15 below.

Figure 15: Summary Information and Main Navigation Bar during Bidding Round 1

104.   At other times during the Auction, the status line will indicate when a Bidding Round will start, whether or not the Auctioneer has posted the results for a Bidding Round, whether or not Prices have been announced for the next Bidding Round, and whether the Auction has concluded. As described in paragraphs 58 – 61, this status line is updated approximately every ten seconds and every time you display a screen by selecting it from the main navigation bar.

105.   In the upper right corner of each screen, the auction clock is displayed. If a Bidding Round is running, this also indicates the time remaining before the Bidding Window for the Round closes (the "Time left to bid"). The font is in red when there is less than 10 minutes remaining. All Exit Bids and DBAs applicable in this Round must be entered before the Round ends.

Placing an Exit Bid for Price-Makers and Price-Takers

106. In accordance with the Capacity Market Rules (5.7.1), if there is no Exit Bid placed on a CMU, a Continuing Bid will be deemed to be in place by the Auction System when the Bidding Window closes. **An important consequence is that if no Exit Bid is placed for a CMU, it will be awarded a Capacity Agreement in the Auction**.

107. To place Exit Bids for CMUs, you must first select Current Bids in the main navigation bar and then choose the relevant tab – there are separate tabs for Price-Makers and Price-Takers. A third tab shows Refurbishing CMUs and bidding for these CMUs is described separately. The Current Bids screen is only available during the Bidding Window. To place an Exit Bid, click on Add Exit Bid and then enter a price in the box that appears. To save the Bid, click on Save or simply press return.

108. Figure 16 show this process in progress for a New Build Generating CMU.

Figure 16: Placing an Exit Bid for a Price-Maker

109. Once the Exit Bid has been saved, it will be displayed in the Exit Bid column and the final CMU status column will say "Exiting" if the Exit Bid is applicable in the price range of the current Bidding Round, as shown in Figure 17. The status of CMUs which are not Exiting is automatically shown as "Continue". The button next to the displayed price can be used to Edit the Exit Bid and the Exit Bid can be removed using the Remove link. This is shown in Figure 17.

> ✎ *Please note that prices can be expressed in pounds and pennies. If Bidders wish to limit the possibility of tie breaks, they can use both decimal places to choose prices that are less likely to be chosen by others.*

Figure 17 CMU Status and display of saved Exit Bids

Proxy Exit Bids

110. In any Bidding Round, an Exit Bid can be entered at any positive price equal to or below the Bidding Round Price Cap (Rule 5.8.3). Only Exit Bids that are above the Bidding Round Price Floor are taken into account when computing the Remaining Capacity after the Bidding Window has closed. All other Exit Bids are considered as "proxy" bids by the Auction System – they are saved and placed automatically in the subsequent Bidding Round in which the price of the Exit Bid falls within the Bidding Round Price Spread. Such proxy Exit Bids remain editable in the future Rounds so long as the corresponding price is equal to or below the Bidding Round Price Cap of the current Round. This is summarised in Figure 18 for a notional "Round x".

Figure 18 Price ranges for Exit Bids (Rule 5.8.3)

Exit Bids reduce CMU capacity to zero at £0.01
below the price of the Exit Bid
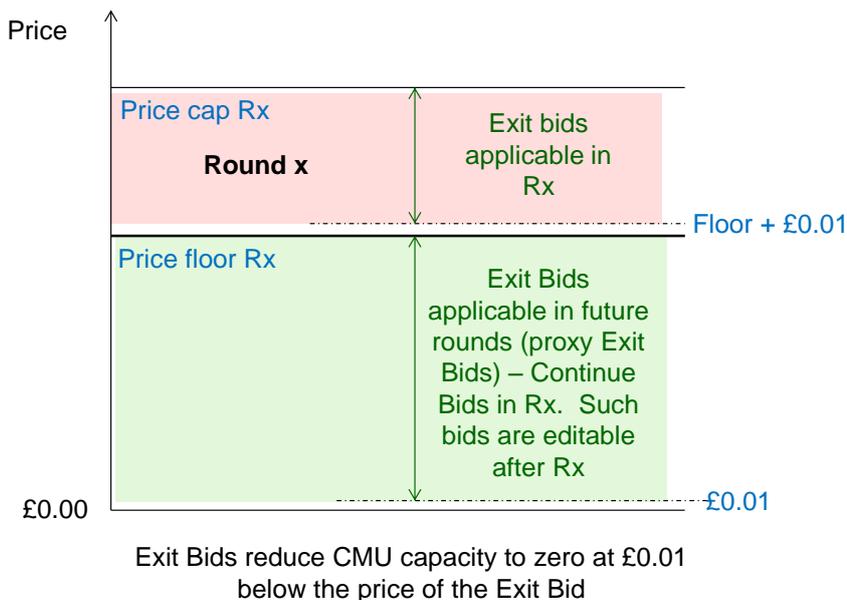
111. An important consequence of this arrangement is that it is possible to place proxy Exit Bids at or below the Price-Taker Threshold for Price-Taker CMUs at an early stage in the

Auction. An example is shown in Figure 19 for a proxy Exit Bid placed in Round 3. Note that the CMU status of proxy Exit Bids is "Continue" until the Bidding Round is reached in which such bids are applicable.

Figure 19. An example of a proxy Exit Bid for a Price-Taker CMU

112. It is not possible to enter Exit Bids that are in conflict with Rule 5.8.3. For example, an attempt to enter a price for an Exit Bid above the Bidding Round Price Cap will result in an error message, and the bid cannot be saved.

Placing a DBA for Price-Makers

113. The "My CMUs" screen shows the duration of the Capacity Agreement required by the Bidder at the Auction Price Cap for each New Build and Refurbishing CMU specified in the notice submitted to the Delivery Body confirming a Bidder's intention to participate in the Auction under Rule 5.5.14. This duration may be amended during the course of the Auction using a DBA. The duration for all other types of CMU is fixed. It should be noted that all Price Maker CMUs in the Transitional Auction and all CMUs in the Early T-1 auction will have a 1 year agreement period at the price cap and therefore will be unable to change their duration using a DBA during the auction.

114. A DBA can only be used to change the duration to 1 year at a chosen price which must be equal to or less than the Bidding Round Price Cap. Like an Exit Bid, a DBA must be placed during the Bidding Window. In order to place a DBA, click on [+] or Variable in the DBA column of the table of the Current Bid screen, Price-Maker or Refurbishing tabs, as shown in Figure 23 above. A new window will then pop up as shown in Figure 20a. A price is entered in the box, in this case £61.77. After clicking Add DBA , the DBA is shown in the table at the foot of the pop up window with the number of the DBA, the specified price and the duration of 1 year. This is shown in Figure 20b. A price can be cleared before the DBA has been added by clicking on [X] Clear. To remove a DBA after it has been added, click on the Remove link for that DBA on the right hand side of the list. To close the pop up window, click on ^[Hide DBA details] in the window itself or on [-] Variable in the main screen.

Figure 20 Entering a DBA

Figure 20a: Entering the price of the DBA

Figure 20b: After adding the DBA

115.   You may add up to 15 DBAs[9] but the duration will remain 1 year.

116.   Having added a DBA within the price spread for the Round and returned to the main Current Bids screen, the "Duration at Price" column will show a 1 year duration at the Bidding Round Price Floor, as shown in Figure 21. The DBA column will also show that one DBA has been placed. Please note that to see the exact price at which the duration changes, you need click again on [+] or Variable; or view the Bid Confirmation screen described later in this section.

**Figure 21 Impact of the DBA on the Current Bids screen**

---

[9] This includes any proxy DBAs (i.e. DBAs at a price at or below the Price Floor of the current Round) that have been placed in the current or previous Rounds.

117. A DBA changes the Duration at all prices below the price specified (Rule 5.6.7). Just as for Exit Bids, DBAs may be added which are applicable in the current Round or DBAs may be added which the system will place in future rounds (proxy DBAs) when the price specified is within the relevant range. Figure 22 shows the price ranges for DBAs. Proxy DBAs are editable in future Rounds.

118. Like an Exit Bid, a DBA can be placed at the Price Cap for the Round. A DBA at the Price Floor is a proxy DBA because the change in duration takes placed at £0.01 below the specified price. If a CMU is awarded a Capacity Agreement in the Auction, its Duration will depend on the Duration that is applicable at the Clearing Price.

Figure 22 Price ranges for DBAs (Rule 5.6)

DBAs change the duration at £0.01 below the
price of the DBA
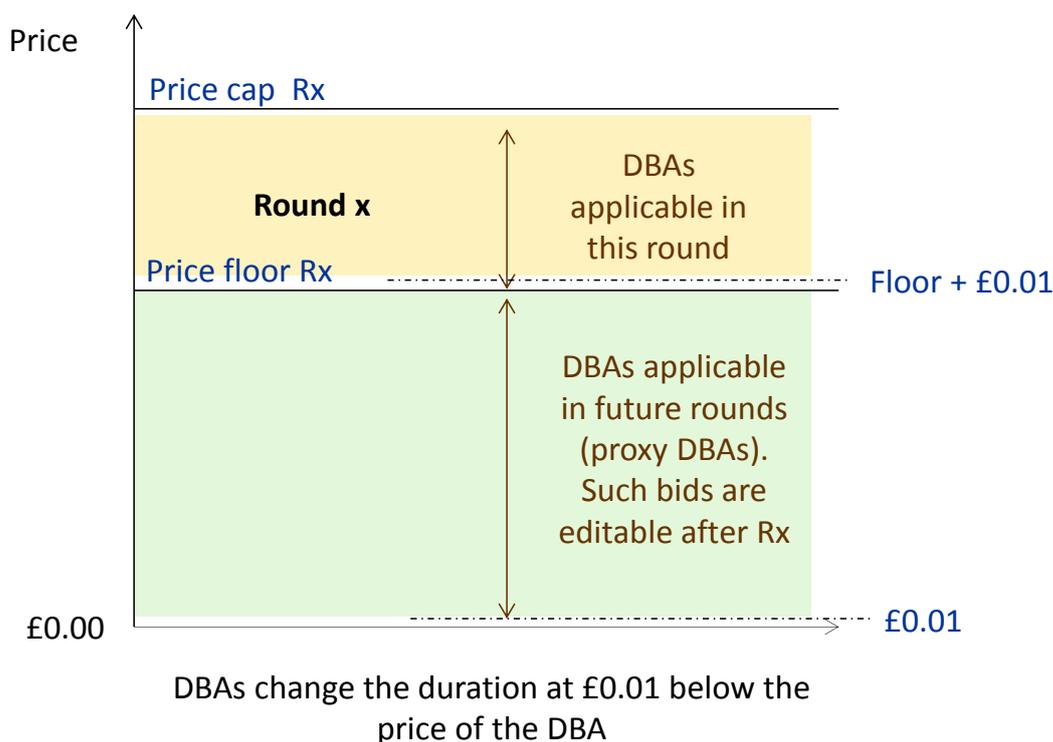
119. Another restriction on DBAs imposed by the Auction System is that it is not possible to add a DBA at a price equal to or below that of an Exit Bid i.e. it is not possible to change the duration at a price at which the capacity of the CMU is reduced to zero. Any attempt to do this will lead to an error message asking the Bidder to remove the Exit Bid. For the same reason, it is not possible to place an Exit Bid at a price equal to or above that of an existing DBA. Any attempt to do so will lead to an error message asking the Bidder to remove the DBA.

Exit Bids and DBAs for Refurbishing CMUs

120. The guide deals separately with Exit Bids and DBAs for Refurbishing CMUs because they have some unique features.

Exit Bids for Refurbishing CMUs

121. The Refurbishing tab shows each CMU across two rows, one representing the Refurbishing CMU capacity and the other representing the Pre-Refurbishment CMU

capacity. You can place an Exit Bid applicable to the full capacity if any one of the following conditions is satisfied:

(a)   the Pre-Refurbishment CMU is classified as a Price-Maker;

(b)   the Pre-Refurbishment CMU opted out at Prequalification and its capacity is not in the Auction; and

(c)   the price of the Exit Bid is at or below the Price-Taker threshold.

122.   Figure 23 shows a Bidder with two Refurbishing CMUs, with two Exit Bids having been placed. The first Exit Bid, applicable in the current round, has been put in place for the first CMU, Phoenix 1, for which the Pre-Refurbishment CMU has opted out. The second Exit Bid is a proxy Exit Bid applicable in a future Round and is in place for the second Refurbishing CMU, Regen 1, for which the Pre-Refurbishment CMU is a Price-Taker. This bid could not have been placed at a price above the Price-Taker Threshold.

Figure 23 Exit Bids for Refurbishing CMUs

123.   Bidders with Refurbishing CMUs have another option besides placing an Exit Bid for the full capacity of the CMU. This option is to reduce the Duration to one year and indicate that they wish to continue in the Auction with the Pre-Refurbishment CMU capacity. In order to do this they need to place a DBA, as explained in the following section. Note that this option can be used even if the Duration is already one year e.g. because the Duration has already been reduced or because it is the Early T-1 auction in which all Durations will be one year at the start.

DBAs for Refurbishing CMUs

124.   DBAs for Refurbishing CMUs include the option to continue in the Auction with the capacity of the Pre-Refurbishment CMU. The option is available only when the Duration is reduced to one year (or maintained at one year) using a DBA.

125.   To choose this option use the tick box marked "**Continue with Pre-Refurbishment Capacity**" under the box where the price is entered, ringed in red in Figure 24a. After ticking the box and adding the DBA, the words "Pre-Refurb" is shown in brackets after

the duration for that DBA in the DBA list. Please note that to "**Continue with Pre-Refurbishment Capacity**" is <u>optional</u> – it is possible to use a DBA to set the duration to 1 year and to continue with the full Refurbishing CMU capacity by not ticking the box.

126. Please note that the capacity reduction and the Duration change associated with a DBA that includes an election to "Continue with Pre-Refurbishment Capacity" takes place at £0.01 below the price specified in the DBA (Rule 5.6.7). There are two important consequences:

(a) if such a DBA is placed and the Clearing Price turns out to be equal to the price of the DBA, then a Capacity Agreement for the originally chosen duration may[10] be awarded for the full capacity of the Refurbishing CMU; and

(b) if such a DBA is placed at the Bidding Round Price Floor, the capacity reduction will not be taken into account until the following Round. This is a proxy DBA.

Figure 24 Entering a DBA for a Refurbishing CMU which continues with the Pre-Refurbishment Capacity

Figure 24a: Entering the price of the DBA and using the tick box to Continue with Pre-Refurbishment Capacity.

Figure 24b: After adding the DBA, the duration of 1 year is shown with Pre-Refurb in brackets

127. As noted before, it is possible to add more than one DBA for each CMU. In the case of a Refurbishing CMU it is therefore possible to reduce the Duration to one year at a specified price without making the election to continue with Pre-Refurbishment Capacity and then add a second DBA which includes this election at a lower price (maintaining the one year Duration). Alternatively, you can combine both the change in Duration and the election to "**Continue with Pre-Refurbishment Capacity**" into a single DBA, as shown in the example above.

---

[10] It will depend on whether there are other exit bids placed at the same price and the application of the clearing rules.

Version 1.0

128. After closing the pop up window with the DBA details, the Current Bids screen shows the duration change and CMU status as "Continuing as Pre-Refurb", assuming the DBA is applicable in the current Round. This is illustrated in Figure 25.

Figure 25: Current Bids screen, Refurbishing tab after placing DBA

Changing an Exit Bid or DBA for any CMU

129. After placing the Exit Bids and DBAs that a Bidder wishes to place for a Round, it is recommended that the Bidder views the Bid Confirmation screen, as described in the following section, to view the bids that have been placed.

130. However, as long as the Bidding Window is still open, Bidders can continue to revise their bids for the Round. While the Bidding Window is open, Exit Bids and DBAs for the Round (i.e. at prices less than or equal to the Price Cap of the Round) can be changed or removed, as described above.

131. Only once the Bidding Window of the current round has closed (which ends at the time indicated in the Auction Schedule and in the status line on every page), is it no longer possible to make any further changes to your bids for that Round. At that time, it will no longer be possible to access the Current Bids screen.

Reviewing Exit Bids and DBAs saved by the Auction System

132. The Exit Bids and DBAs saved on the Auction System can be reviewed on the Bid Confirmation screen (Screen B5). The screen is accessible at all times. By default, this screen shows the current Round, but it is possible to view the confirmation screen of past rounds by selecting the relevant Round in the drop down box at the top left hand side of the screen. When a past Round is selected, this screen displays the bids that *were in place* at that time when that Round was posted. To see the most up-to-date information, Bidders should view the bid confirmation of the current round – as described and illustrated below.

133. For each CMU, the screen shows the information in two tables:

(a)   The first table shows Exit Bids and DBAs that have been placed within the price range of the Round selected; and

(b)   The second table shows Exit Bids and DBAs that will take effect after the Round selected i.e. proxy Exit Bids and DBAs. This table will not be displayed for a CMU if there are no such bids for that CMU. Reviewing bids within the price range of a round

134.   The table for Exit Bids and DBAs within the price range of the Round selected shows:

(a)   the price range that applies to each duration;

(b)   a green background to indicate a Continuing Bid and the corresponding price range (as illustrated in Figure 26);

(c)   a yellow background where a Refurbishing CMU elects to continue with the Pre-Refurbishment CMU capacity (as illustrated in Figure 27); and

(d)   a pale red background to indicate an Exit Bid and the corresponding price range starting £0.01 below the price specified in the Exit Bid (as illustrated in Figure 26).

135.   Figure 26 shows an example for a New Build CMU called Sunrise 1 in Round 3 for which a DBA has been placed at £61.77 (reducing the duration to 1 year at prices below £61.77), and an Exit Bid has been placed at £60.08.

Figure 26: Bid Confirmation screen with table for bids in price range of Round

Price	Duration	Bid
£65.00 - £61.77	15 yrs	from previous Round
£61.76 - £60.08	1 yr	DBA
£60.07 - £0.00	N/A - Exiting	Exit

> ✎   *The confirmation screen indicates the price at which an Exit Bid changes the capacity to zero. If the Clearing Price is one penny above that price, the clearing rules will apply and the CMU may or may not be awarded a Capacity Agreement at that Clearing Price[11].*

---

[11]   If multiple CMUs submit Exit Bids (or DBAs to the Pre-Refurbishment state) where the "Exit Price" (or "Trigger Price") exactly matches the Clearing Price, some of these units may not be awarded

Reviewing bids that take effect in later Rounds

136. Figure 27 shows an example of a Refurbishing CMU for which a duration change has been made in the price range of the current Round, with an election to continue with the Pre-Refurbishment Capacity, and a proxy Exit Bid placed below the Price-Taker Threshold. The first table shows details for the price range of the current Round and the second table (without shading colours) shows the proxy Exit Bid, with the price range in which the capacity is included in the auction and the price range in which it has exited.

Figure 27: Part of Bid Confirmation screen which includes one bid that will take effect in a later Round

Printing the Bid Confirmation screen

137. Bidders should click on the Print this page button at the top right hand side of the screen in order to obtain a paper copy of the data – see Figure 26. This button will print all three tabs in a single report.

View excess supply for posted Bidding Rounds

138. After the results of a round have been posted, the status information at the top of the screen will say "Round X results have been posted". Bidders can then click on the hyperlink in the status message or navigate to the Round Results screen (Screen B6) to see the results. The screen is in two parts as follows:

an Agreement. Successful units are determined according to Capacity Market Rules 5.9.4, 5.9.5, 5.9.6, 5.9.7 and 5.9.8.

(a)   a table at the top showing the aggregate results: Round number, Price Floor, Clearing Capacity and the excess supply[12] (rounded to the nearest 1000 MW in a T-4 and in the Early T-1 Auction or 100 MW in a Transitional Auction); and

(b)   a second table at the bottom showing data about each CMU with a final column showing its status at the end of last Round in terms of whether the CMU has exited (and if so in which Round) or will continue and the corresponding duration.

139.   An example of the table of Aggregate Results after a Round of the T-4 auction that is not a Clearing Round is shown in Figure 28. This shows that over the course of 5 rounds, the excess supply has decreased from 14 GW to 8 GW. Given rounding, this means that at the end of Round 5 the excess supply is between 7.500 and 8.499 GW. The information displayed in the aggregate results table is identical for all Bidders.

Figure 28: Round Results (Screen B6) – aggregate results table

140.   When the excess supply falls below 1 GW for the T-4 and the Early T-1 Auctions, the aggregate results will display "below 1000 MW" as in Figure 29 below. The equivalent for the Transitional Auction is that when excess supply falls below 100 MW, the aggregate results will display "below 100 MW".

---

[12]   Excess supply is the Remaining Capacity less the Clearing Capacity.

Figure 29: Excess supply below 1000 MW in a T-4 and in the Early T-1 Auction

141.   Below the table of Aggregate Results is a table showing the status of each of the Bidder's CMU. This information appears in the final column on the right hand side. An example is shown in Figure 30. The status information indicates whether the CMU is staying in at the Bidding Round Price Floor and, if so, the duration at that price. If the CMU has exited, the column indicates the round in which the Exit Bid was applicable (i.e. when it was within the Price Spread of the round).

Figure 30: Round Results (Screen B6) – CMU status table

142.   In the Clearing Round, the Round Results screen is different in the following respects:

(a)   by definition, there is no longer any excess supply in the Clearing Round, and the aggregate results are not displayed for this round. The table still displays the results from Round 1 to the penultimate round; and

(b)   the CMU status table is replaced by a table showing provisional results for the auction, as described in Section 7.

143. An example of the provisional results table is given in Section 7.

Downloads

144. The Auction System also includes the facility to allow you to download data before, during and after the Auction that you can use for your own internal purposes. The files are available as an ".xls" (Microsoft Excel) or a ".csv" (comma separated variable). The exact format of the files is provided in Appendix C.

145. To access the download screen, select "Downloads" in the main navigation bar. A screen like that shown in Figure 31 below will be displayed before and during the auction. After the auction has concluded there will also be a fifth file containing the provisional results.

Figure 31: Downloads Screen before the Clearing Round (Screen B11)
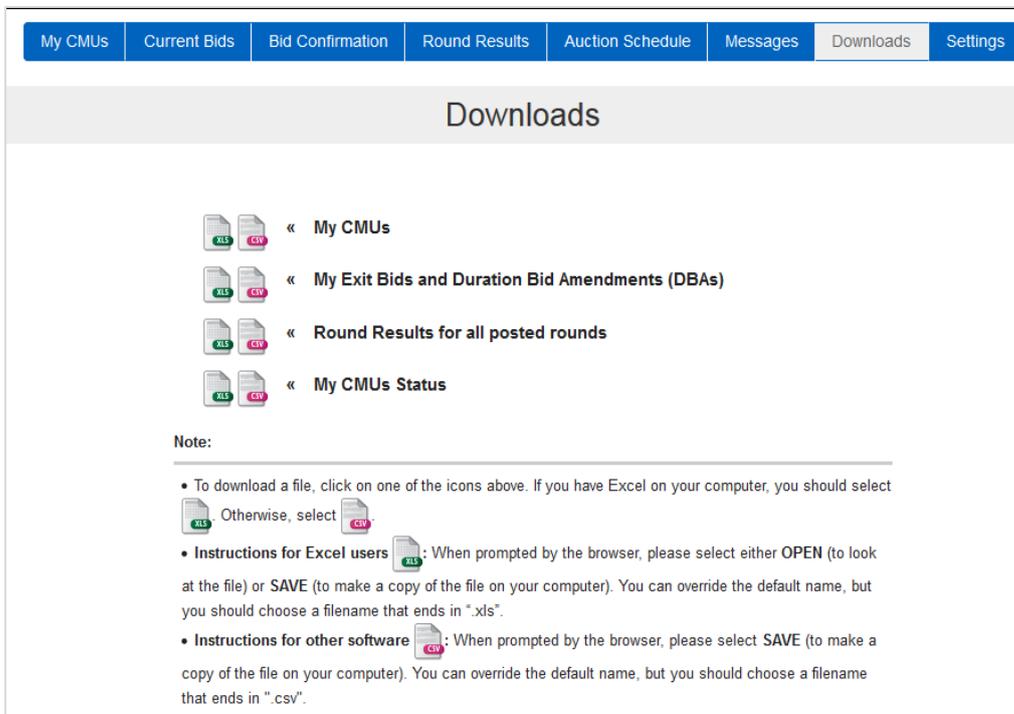
> ✎ *Before downloading files, please check that you know the location where your browser saves such files.*

146. The content of each of the files is as follows:

    (a)   **My CMUs**: this contains a table identical to that shown in the "My CMUs" screen – it does not change during the auction;

    (b)   **My Exit Bids and DBAs**: for each Round, this contains a list of CMUs which were the subject of an Exit Bid or a DBA, gives the bid type, the price of the bid, consequential change in capacity or duration, whether it was a proxy bid and the name of the user that placed the bid. This file is updated continuously as the auction progresses, and contains data for the current and all past rounds. Proxy bids are repeated in all rounds from the round in which it was

placed until the round in which it was relevant (i.e. where it was not a proxy bid). For example a proxy bid placed in Round 3 that is relevant (and no longer a proxy bid) in round 6 will be shown against Rounds 3, 4, 5, and 6. Note further that the information displayed in this file is historical. For example, if the proxy bid placed in Round 3 in the above example is changed in Round 5, the original proxy bid will be shown against Rounds 3 and 4, while the revised proxy bid will be shown against Rounds 5 and 6.

(c)   **Round results for all posted rounds**: this corresponds to the top table in the round results screen, listing the Price Floor for each Round, the clearing capacity and the excess supply, rounded as required by the Rules[13]. This file is updated after the results for each round have been posted;

(d)   **My CMUs status**: this corresponds to the second table in the Round Results screen and includes data to identify the CMU and, in the final column, the status of the CMU at the Bidding Round Price Floor of the current Round. The status is updated after the results of each Round have been posted; and

(e)   **My Provisional Results:** this is only available once the auction has cleared, and is described in Section 7.

147.   Details of the file formats are given in Appendix C.

---

[13]   Note that in the unlikely event that the auction were to close in Round 1, this file would be blank because excess supply does not exist in the Clearing Round.

7. Using the Auction System after the Auction has concluded

148. After the final round, an announcement will be sent to all bidders indicating this. However, it may be a few hours before the provisional results for the Clearing Round are posted. More details are contained in the Auction Guidelines.

149. Once the provisional results are posted, the status area at the top right hand side of the screen will clearly indicate that the Auction has concluded, as shown in Figure 32. At this time it is possible to view and download the provisional results. The Auction Schedule will also show that the auction has concluded.

Figure 32: Status information when the Auction has concluded

Viewing the provisional results

150. The Auction System displays provisional results. This display will fulfil the obligation of the Delivery Body to publish the provisional results within 24 hours. These results need to be confirmed by the Secretary of State after submission of a report by the Auction Monitor. The final results will be published on the EMR Delivery Body portal.

151. The provisional results are displayed in the lower table on the Round Results screen. Provisional results for an example bidder are shown in Figure 33 below for an auction which cleared at a price of £23.50 per kW. The third column indicates for each CMU whether or not it was awarded a Capacity Agreement. For refurbishing CMUs, the table also indicates whether it was the Refurbishing or the Pre-Refurbishment CMU that was successful. The penultimate column gives the duration of the Capacity Agreement awarded and the final column shows the clearing price.

152. A file containing this table is also available to download on the Downloads screen (entitled "My Provisional Results") and the format of this file is provided in Appendix C.

Figure 33: Provisional results displayed on Round Results (Screen B6)

The Auction has concluded. The following table provides the provisional results, indicating which CMUs have been awarded capacity. The Clearing Price is £23.50.

Provisional results

CMU ID	CMU Name	Capacity Awarded	Classification	Capacity (MW)	CMU state	Duration (yr)	Clearing price
SUNR-1	Sunrise1	No	New Build Generating CMU	N/A	N/A	N/A	N/A
NULOAD	NuLoad	No	Unproven DSR CMU	N/A	N/A	N/A	N/A
PPGAS1	Gas 1 PP	No	Existing Generating CMU	N/A	N/A	N/A	N/A
PHOENX	Phoenix 1	No	Refurbishing Generating CMU	N/A	N/A	N/A	N/A
REGEN1	Regen 1	No	Refurbishing Generating CMU	N/A	N/A	N/A	N/A
OLLINK	Old-link1	Yes	Existing Interconnector CMU	500.000 MW		1 yr	£23.50
LOAD-1	Load 1	Yes	Proven DSR CMU	30.000 MW		1 yr	£23.50
OEXIST	Old-exist	Yes	Existing Generating CMU	900.000 MW		1 yr	£23.50

Total Capacity: 1,430.000 MW

Accessing the Auction System after the auction has concluded

153. The Auction System will remain online for 48 hours after the auction has concluded. It can be accessed to download any files that Bidder may not have had a chance to download during the auction or to print information, such as copies of the Bid Confirmation screen for specific Rounds.

8. User support and back up arrangements

154. This section describes:

    (a)   the use of identity verification codes for Bidders to obtain support by telephone after the Auction System has come online after D-10;

    (b)   arrangements for bidding by telephone in the event that a Bidder loses their internet connections;

    (c)   the back-up arrangements that will apply in the unlikely event that the main server on which the auction is hosted fail; and

    (d)   the telephone numbers and e-mail address to obtain additional support.

Identity verification codes for user support by telephone

155. Shortly after D-10, when CMU participation has been confirmed, CMU data for the Auction will be loaded on to the system and Bidders' Authorised Individuals will be able access the system for the first time and verify their CMU data. It will also be possible for such authenticated users to put questions to the Auctioneer and the Bidder Support team using the messaging system within the Auction System.

156. Telephone support will also be available after D-10 but callers will be required to identify themselves using the identify verification codes that each Authorised Individual should download shortly after first accessing the system, as described at the end of Section 4 on page 20. After D-10, the Bidder Support representatives answering the telephone will:

    (a)   ask the Authorised Individual their own name and the name of the Bidder they are representing;

    (b)   ask for the first unused identity verification code in the list they have downloaded from the system;

    (c)   verify that the code given does indeed correspond to the relevant Authorised Individual;

    (d)   log the time of the call and the identity of the caller; and

    (e)   mark the code on the list as "used" and then ask how they can help.

157. Please note that Bidder Support representatives are not able to distinguish between general enquiries that some Authorised Individuals may think does not warrant identity verification and more specific enquiries that might involve confidential information and for which identity verification is clearly essential. The policy for identity verification for all calls has been adopted in the light of experience with other auctions.

158. Authorised Individuals should also mark identity verification codes as used during or at the end of the calls and use the next code if they make a second call.

159. In the unlikely event that all 90 codes for an Authorised Individual are used up, subsequent calls should reuse the codes starting from the top of the list.

Placing bids by telephone

160. Bidders are strongly encouraged to arrange for <u>two</u> independent internet connections in case their primary internet connection fails and they are unable to access the Auction System. These connections could also be used by different Bidders.

161. However, in the event that a Bidder is genuinely unable to access the Auction System, it is possible to place Exit Bids and DBAs by telephone. In order to do this, it is essential that the phone call is made within the Bidding Window. Please do not wait until the last 5 minutes!   Authorised Individuals are therefore encouraged to print the Auction Schedule when they first have access to the system.

162. To place an Exit Bid or DBA by phone, the following procedure will be followed:

    (a)   the identity verification procedure described above will first be applied;

    (b)   once the Bidder Support representative understands that the Authorised Individual wishes to place a bid by telephone, the representative will ask for each CMU for which a bid is to be placed:

    - whether the CMU is a Price-Taker, Price-Maker or Refurbishing CMU for the purpose of the tabs on the Current Bids screen;

    - the name and ID of the CMU;

    - the type of bid that the Bidder wishes to place – Exit Bid or DBA;

    - the price of the bid and, if applicable, the duration of the DBA; and

    - in the case of a Refurbishing CMU, whether the Bidder wishes to continue in the Auction with the Pre-Refurbishment CMU capacity.

    (c)   the Bidder Support representative will log the details and repeat them back to the caller for confirmation before placing the bid in the Auction System;

    (d)   those Bidders that have provided a fax machine number may, if they wish, request that a copy of the Bid Confirmation screen be sent to them by fax for their records.

163. Bidders are reminded that the arrangements for telephone bidding have been put in place for exceptional cases. Bidders should attempt to regain internet access as quickly as possible following an internet outage.

Back up arrangements in the event of server failure

164. In the event of a failure of the main server, the Auctioneer / Bidder Support Team will immediately contact all Authorised Individuals by email to make them aware of the issue. Therefore, if an individual finds that they are suddenly no longer able to access the auction system but can continue to access other sites, it is recommended that they check their email before telephoning the Bidder Support Team.

165. In the event that the Auctioneer needs to prevent Authorised Individuals from accessing the Auction System, this will be explained in the e-mail. Authorised Individuals may or

47   Version 1.0

may not need to log out of the Auction System, depending on the problem. For most circumstances, Authorised Individuals will be allowed to stay logged in, but whenever they attempt to access an Auction System function, they will see a message such as: "Bidder Access is Currently Closed". The message may also contain additional information as to when access will be resumed.

166. Depending on the situation, the auction will either continue on the principal server (once it is made available again) or a back-up server. The Auctioneer / Bidder Support Team will send an email to all Authorised Individuals telling them whether to log back into the Auction System on the principal server or to log in to the back-up server.

167. **The url of the back-up server will be made available to Bidders by secure e-mail**.

168. The Bidder Support Team will also make Bidders aware of the revised schedule, and allow time for Bidders to log in following an outage.

169. If the failure occurs during the Bidding Window of a round, that round will typically be restarted and bidders will be asked to resubmit their bids for that round.

Contact points

170. Details of the phone numbers and the e-mail address to use for additional support, depending on the date relative to the date of the live auction, are sat out below.

For Urgent queries <u>from D-9 onwards</u> only use the Auction System messaging functionality or call the Bidder Support Phone line **01926 65 65 74**. Please note that this number will not be active before D-9. Identify verification will be required.

For all auction related enquiries prior to D-9 please contact Capacity Market team on: <u>emr@nationalgrid.com</u> or **01926 65 53 00**

---

9. Troubleshooting guide

171. This section provides examples of typical situations where the Auction System does not function as you would expect, and details actions you can carry out that may solve the problem. It is recommended that you contact your IT support team before making any changes to the configuration of your browser.

172. Note that if anything unexpected occurs while you are entering bids for a round, it is recommended that, before continuing, you view Screen B5, the 'Bid Confirmation' screen, to view your bids for the Round.

173. If during a round you are concerned that you may not be able to enter your bids in the Auction System because of system problems, it is recommended that you contact the Bidder Support Team immediately and inform them that you plan to submit your bids using the backup procedures.

174. The following situations are covered in this guide:

> Situation 1 – 'page cannot be displayed' screen on first access.

> Situation 2 – 'Cookies must be enabled' displayed when you access the Auction System.

> Situation 3 – 'JavaScript must be enabled' displayed when you access the Auction System.

> Situation 4 – 'page cannot be displayed' displayed when you move to a different screen in the Auction System.

> Situation 5 – 'this page has expired' displayed when you press the back button on your browser.

> Situation 6 – Your security settings do not allow you to download a file in Internet Explorer.

> Situation 7 – Your computer crashes while you are using the Auction System.

> Situation 8 – You receive a certificate error message when you access the Auction System.

Situation 1 – 'page cannot be displayed' screen on first access

Figure 34: Typical "page cannot be displayed" messages
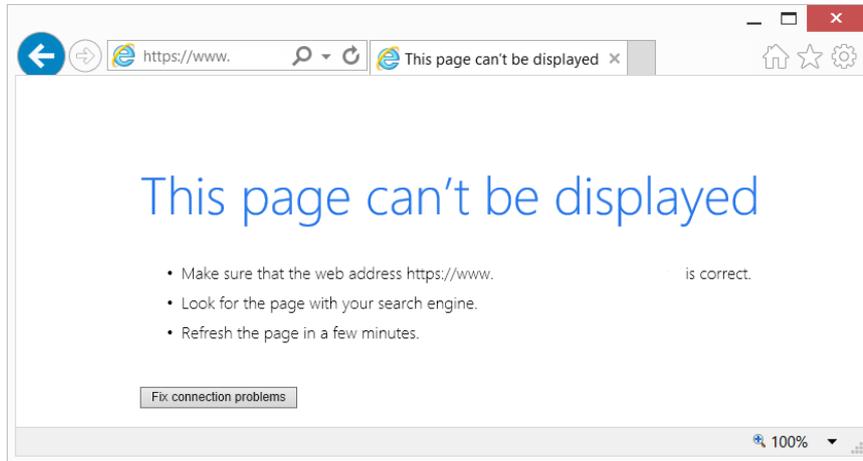
(Internet Explorer)
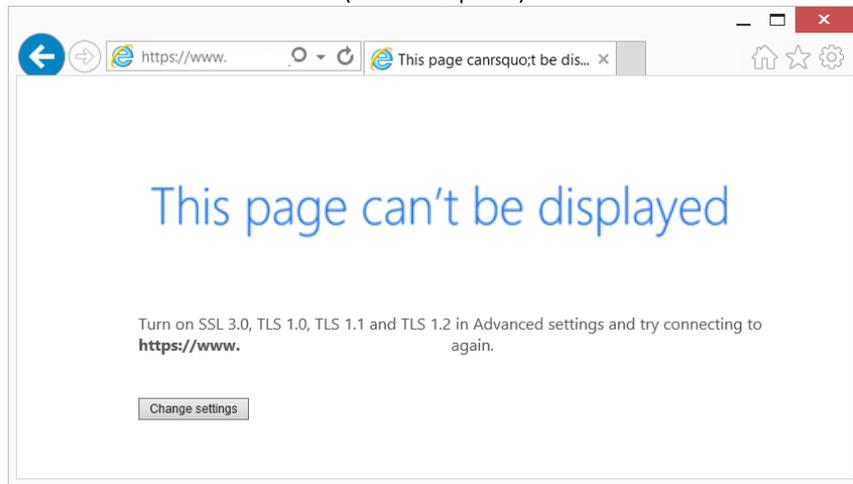
(Internet Explorer error message that may be displayed when TLS 1.1 is disabled)
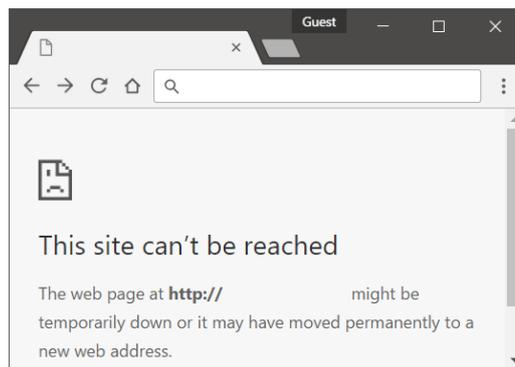
(Chrome)
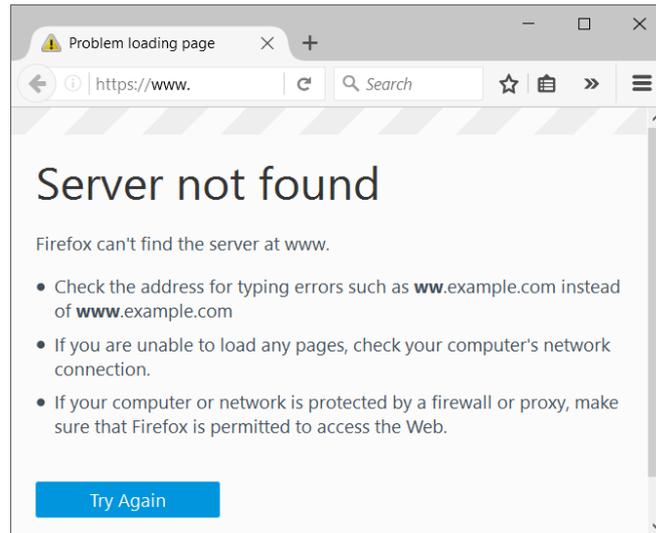
(Firefox)

175. If one of the above screens appears when you attempt to access the Auction System for the first time, there may be a number of reasons why this has occurred. To attempt to determine the problem, carry out the following steps:

(a) Check whether you can access the internet by accessing 'http://www.google.com'. If you are not able to access this site, then the computer does not have external internet access. You will need to contact your IT department to correct this or use a computer which does have internet access.

(b) Check whether you are using the correct URL for the Auction System.

(c) If you are using Internet Explorer, check whether TLS 1.1 has been enabled on your browser. The process to do this is described below.

(d) Your corporate firewall may not accept TLS. Check with your IT department to discover if this is the case.

(e) Your organisation may only allow you to access certain external websites. Check with your IT department to find out if this is the case.

(f) You may not have selected the 'OK' button when the message appeared stating that you are about to enter a secure site. To check, close the browser and retry.

(g) Check whether you are using the correct browser version by clicking on the 'Tools' icon (which can be found in the top right-hand corner of your browser and is ⚙ for Internet Explorer, ⋮ for Chrome, and ≡ for Firefox), followed by the 'Help, About...' menu item. Check these against the requirements in Section 3.

(h) If the above does not help, contact the Bidder Support Team.

Setting Internet Explorer to use TLS 1.1

176. To enable TLS 1.1 in Internet Explorer, perform the following steps:

(a) Click on the 'tools' icon (⚙) in the top-right hand corner of your browser.

(b) Select the 'Internet options' menu and then select the 'Advanced' tab of the window that appears.

(c) Scroll down to the bottom of the list of 'settings'. Make sure that "Use TLS 1.1" is ticked, as shown in Figure 35.

(d) Click on 'OK' to close the window.

177. If you are unable to change the settings, you will need to contact your IT department to do this.

Figure 35: TLS settings for Internet Explorer
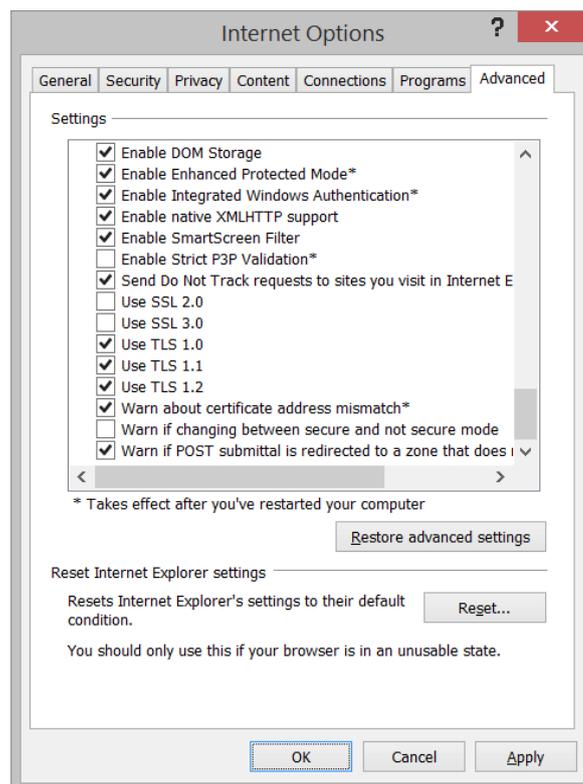
Setting Google Chrome/Mozilla Firefox to use TLS 1.1

178. Chrome and Firefox support TLS 1.1 by default. No changes are required.

Situation 2 – 'Cookies must be enabled' displayed when you access the Auction System

179. The Auction System requires that cookies are enabled on your browser. If cookies are disabled then you will see a message stating that cookies should be enabled.

180. To enable cookies in Internet Explorer, carry out the following steps:

(a) Click on the 'Tools' icon (⚙) in the top-right hand corner of your browser, 'Internet Options', and click on the 'Privacy' tab of the 'Internet Options' box that appears; and

52

(b) If you are using Windows 8.1 or earlier, change the privacy setting to 'Medium High' or lower, as shown in Figure 36.

(c) If you are using Windows 10, click on 'Advanced' (see Figure 37a) and ensure that "Accept" is selected for first-party and third-party cookies, and that "Always allow session cookies" is selected, as shown in Figure 37b. Click on 'OK'.

(d) Click on 'OK' and restart your browser. You should now be able to log in to the Auction System.

Figure 36: Enabling cookies in Internet Explorer (Windows 8.1 and earlier)
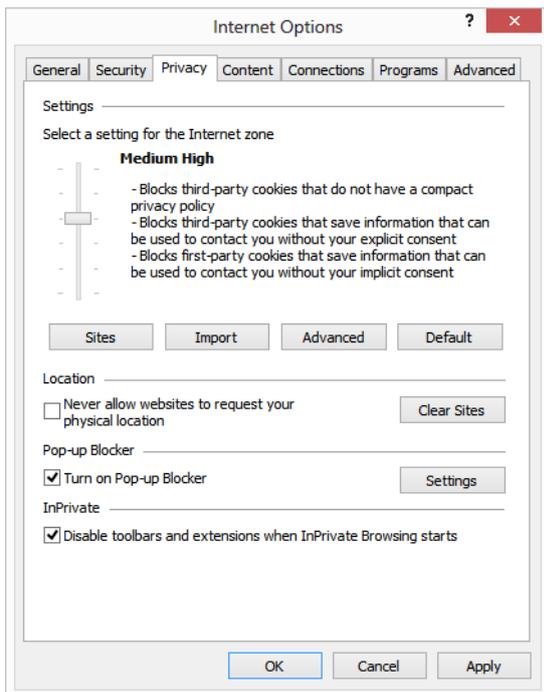
Figure 37: Enabling cookies in Internet Explorer (Windows 10)
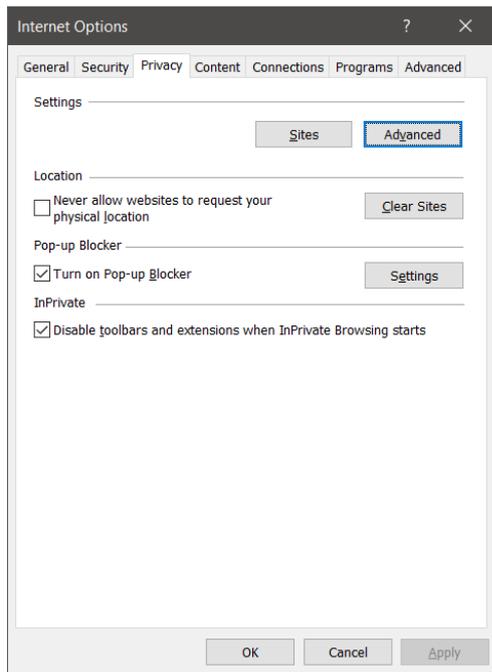
| (Figure 37a: Privacy Settings) | (Figure 37b: Advanced Settings) |

181.   To enable cookies in Chrome, carry out the following steps:

(a)   Click on the 'Tools' icon (⋮) in the top-right hand corner of your browser, 'Settings, and click on the 'Show advanced settings' link at the bottom of the "Settings" tab that appears.

(b)   In the 'Privacy' section, click on the "Content Settings…" button, to display a screen similar to that shown in Figure 38.

(c)   Select the radio-box "Allow local data to be set (recommended)", as shown in Figure 38.

(d)   Click on 'Done' to save the settings, and close the "Settings" tab.

(e)   You should now be able to log in to the Auction System.

Figure 38: Enabling cookies in Chrome
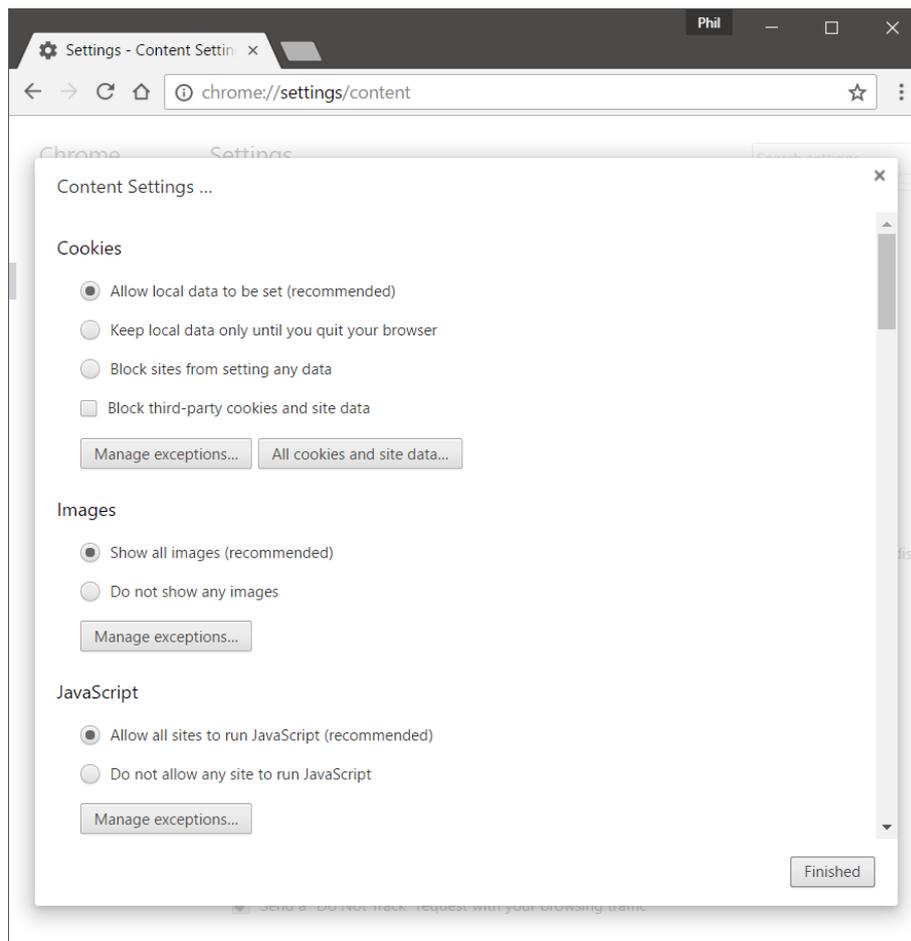
182.   To enable cookies in Firefox, carry out the following steps:

(a)   Click on the 'Tools' icon (☰) in the top-right hand corner of your browser, 'Options', and click on 'Privacy' on the left of the "Options" tab that appears.

(b)   In the 'History' section, click on the drop-down to indicate that Firefox will "Remember history", as shown in Figure 39.

(c)   Close the "Options" tab.

(d)   You should now be able to log in to the Auction System.

Version 1.0

Figure 39: Enabling cookies in Firefox
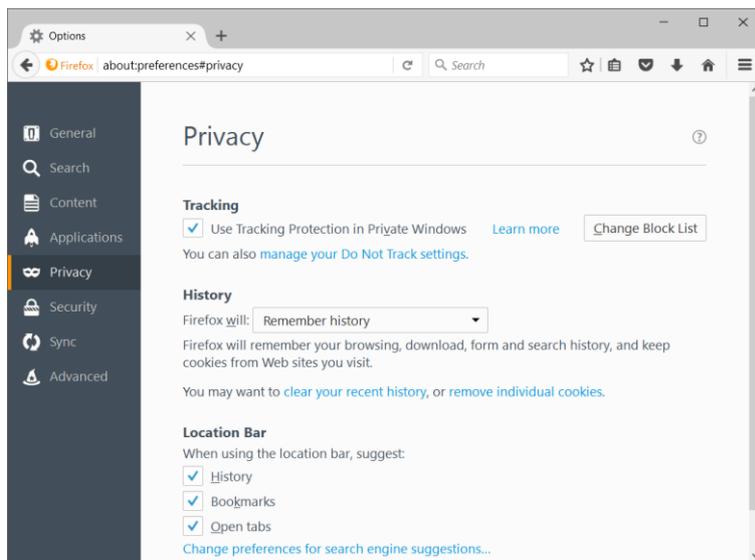
183. If you have any questions regarding your corporate policy on cookies, please contact your IT department for further guidance.

Situation 3 – 'JavaScript must be enabled' displayed when you access the Auction System

184. The Auction System requires that JavaScript is enabled on your browser. If JavaScript is disabled then you will see a message stating that 'JavaScript in this browser is not enabled or is not working'.

185. To enable JavaScript in Internet Explorer, you can either set your security level to its default or manually enable 'active scripting', as described below.

(a) Click on the 'Tools' icon (⚙) in the top-right hand corner of your browser, 'Internet Options', and click on the 'Security' tab of the 'Internet Options' box that appears.

(b) Either click on the 'Default Level' button (which will return your security settings to 'Medium-high' as shown in Figure 40a) or click on the 'Custom Level …' button and click on 'Enable' for 'Active Scripting' as shown in Figure 40b.

(c) Click on 'OK', and 'OK' again if necessary.

Figure 40: Enabling JavaScript in Internet Explorer
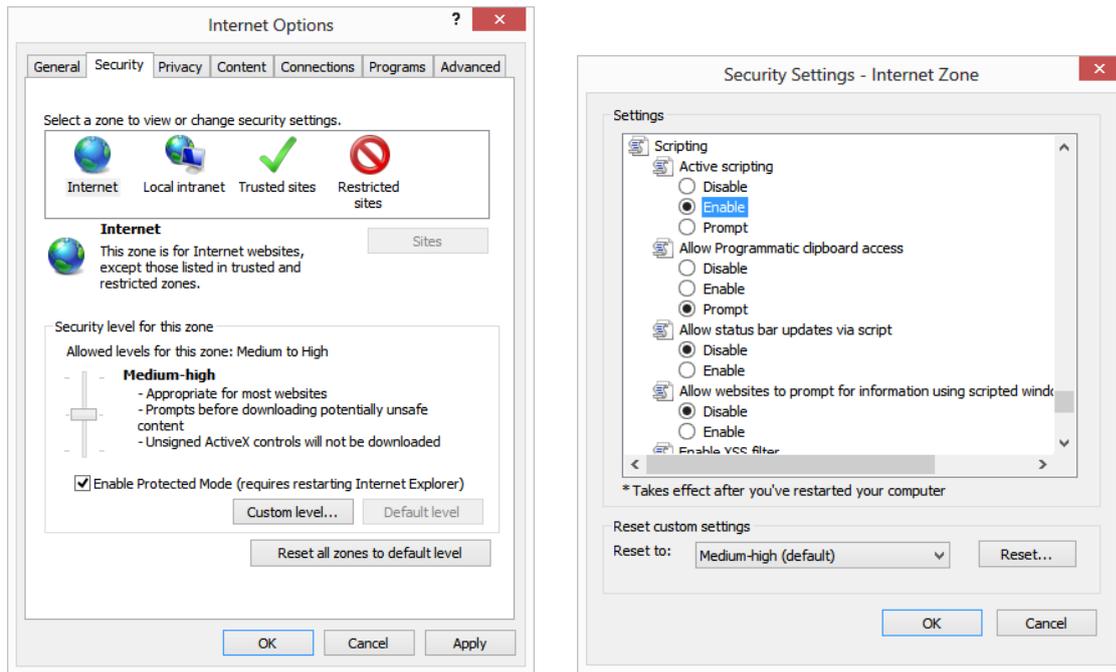
<div align="center">(Figure 40a: Default security settings)   (Figure 40b: Enabling JavaScript)</div>

186. To enable JavaScript on Chrome, carry out the following steps:

(a) Click on the 'Tools' icon (⋮) in the top-right hand corner of your browser, 'Settings, and click on the 'Show advanced settings' link at the bottom of the "Settings" tab that appears.

(b) In the 'Privacy' section, click on the "Content Settings…" button, to display a screen similar to that shown in Figure 38.

(c) Select the radio-box "Allow all sites to run JavaScript (recommended)", as shown in Figure 38.

(d) Click on 'Done' to save the settings, and close the "Settings" tab.

187. Note that it is not possible to disable/enable JavaScript in Firefox – it is enabled by default.

Situation 4 – 'page cannot be displayed' shown when you move to a different screen in the Auction System

188. If you have successfully been using the Auction System but suddenly Figure 34 appears when you click on a 'link' or a button, then carry out the following steps:

(a) Click on the 'Refresh'/'Reload' button, to attempt to reload the page. If that is successful and the error occurred when you had clicked on a button such as 'Save' for a bid, go to Screen B5 (Generate Bid Confirmation) to check whether the change was implemented.

(b) Your internet connection may have gone down. To check this, try accessing a site such as 'www.google.com' to see whether the same message appears.

(c)   The Auction System may have gone down. To check this, attempt to access the home page shown in Figure 2. If you are unable to view this page, or the page states that the Auction System is unavailable but you can successfully access other internet sites, then this is the case. Please check to see whether you have received an email from the Auctioneer / Bidder Support Team indicating that there is a problem. You will be informed when the Auction System is expected to be available again.

(d)   If the above does not help, contact the Bidder Support Team.

Situation 5 – 'this page has expired' displayed when you press the back button on your browser

189.   You should not use the 'Back' button to access a previous screen. Instead, choose the appropriate menu button from the blue navigation bar. If this message is displayed, try clicking on the refresh/reload button on your browser.

Situation 6 – Your security settings do not allow you to download a file in Internet Explorer

190.   If Internet Explorer does not allow a file to be downloaded from the Auction System and displays the message shown in the Figure 41, this is because downloads have been disabled in your browser.

Figure 41: Security message in Internet Explorer
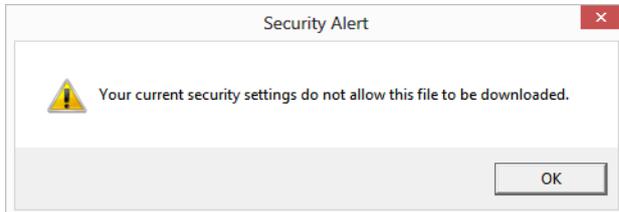
191.   There are two ways of re-enabling downloads in Internet Explorer, as described below.

(a)   Click on the 'Tools' icon (⚙) in the top-right hand corner of your browser, 'Internet Options', and click on the 'Security' tab of the 'Internet Options' box that appears.

(b)   Either click on the 'Default Level' button (which will return your security settings to 'Medium-High' as shown in Figure 40a, page 59) or click on the 'Custom Level…' button and click on 'Enable' for 'File Download' as shown in Figure 42.

(c)   Click on 'OK', and 'OK' again if necessary.

Figure 42: Enabling downloads in Internet Explorer
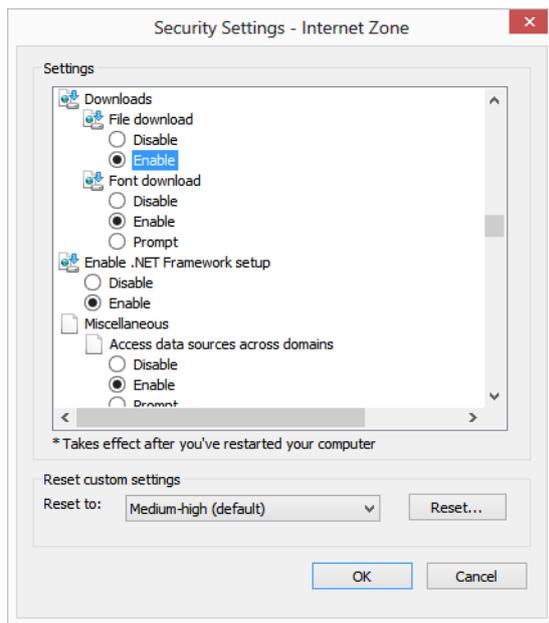
Situation 7 – your computer crashes while you are using the Auction System

192. If either your browser crashes or your computer freezes, it is recommended that you reboot the machine (or use a different machine) to access the Auction System.

193. If you entered a price for a bid but had not clicked on save, that bid will have been lost, and you will need to re-enter it. All saved bids will be unaffected.

194. If the computer crashes while you are using the Auction System, you are able to access the Auction System using a different computer, as it will automatically log you out of the malfunctioning computer.

Situation 8 – You receive a certificate error message when you access the Auction System

195. If you access the Auction System and see a security message similar to that shown in Figure 43, you should not proceed. Contact the Bidder Support Team immediately.

Figure 43: Security messages for Internet Explorer Chrome and Firefox
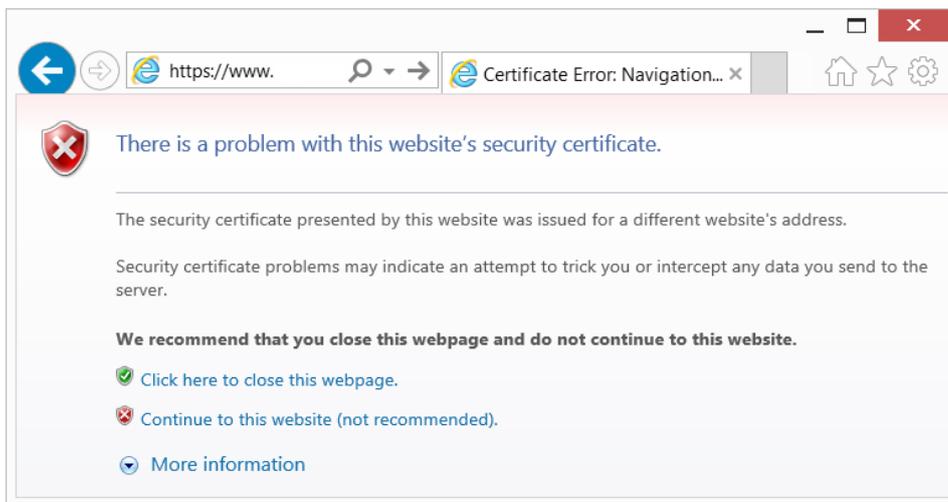
(Internet Explorer)
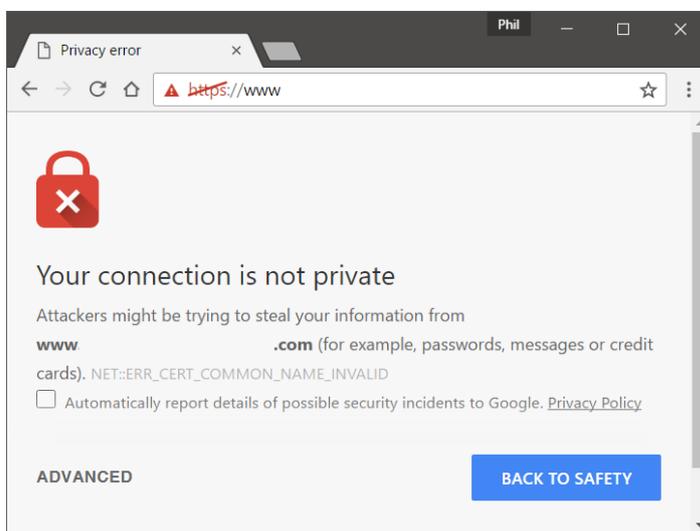
(Chrome)
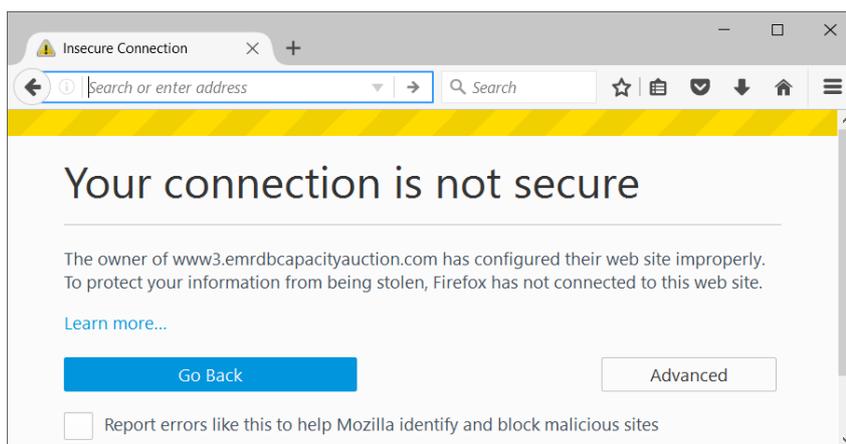
(Firefox)

Appendix A – Glossary

196. The table below lists the key terms that are used in this document.

Term	Definition
Authorised Individual	A person nominated to place bids on behalf of a Bidder
Bidder Support Team	The National Grid EMR team supporting Bidders
CM	Capacity Market
DBA	Duration Bid Amendment
D-10, D-9	The day 10 or 9 working days before the live auction is scheduled to begin
Hotlist	A selection of CMUs that can be viewed as a list to the exclusion of other CMUs when the Hotlist filter is applied
PM	Price-Maker
Power Auctions	Power Auctions LLC, the Auction System software provider
PT	Price-Taker
PTT	Price-Taker Threshold
Regulations	Electricity Capacity Regulations 2014 with subsequent amendments
Rules	The Capacity Market Rules 2014 with subsequent amendments
TA	Transitional Auction
TLS	Transport Layer Security
URL	Unique resource location on the internet

197. Other capitalized terms can be found in the Regulations and/or the Rules.

Appendix B – Verifying the authenticity of the auction site

198. In Internet Explorer, a padlock or similar icon will be shown at the right of the internet address at the top of your browser screen when you access the introductory screen and all other screens in the Auction System, to show that the site is secure. If you are using Chrome or Firefox, this is shown by a padlock to the left of the internet address field at the top of your browser screen.

199. Before using a computer to log into the Auction System, Bidders may verify the general certificate information and the 'thumbprint' of the digital certificate of the site. It is prudent to do this every time you start up a browser session to access the Auction System. The thumbprint is a unique set of characters and numbers identifying the certificate that has been assigned to a specific website.

200. The approach to display the certificate details depends on the browser being used:

   (a)   **Internet Explorer:** click on the padlock at the right-hand side of the internet address and then click on 'View certificates' on the website identification box that appears.

   (b)   **Google Chrome:** click on the padlock to the left of the internet address field and then click on 'Details' on the website identification box that appears. A "Security overview" window will appear at the bottom of the browser screen, as shown in Figure 44a. Click on the 'View Certificate' button.

   (c)   **Firefox:** click on the padlock to the left of the internet address field and click on the right arrow next to the internet address on the website identification box that appears (see Figure 44b). Then click on "More Information" at the bottom of the website identification box. Then click on the 'View Certificate' button on the "Page info" window that appears (shown in Figure 44c).

Figure 44: Website identification box
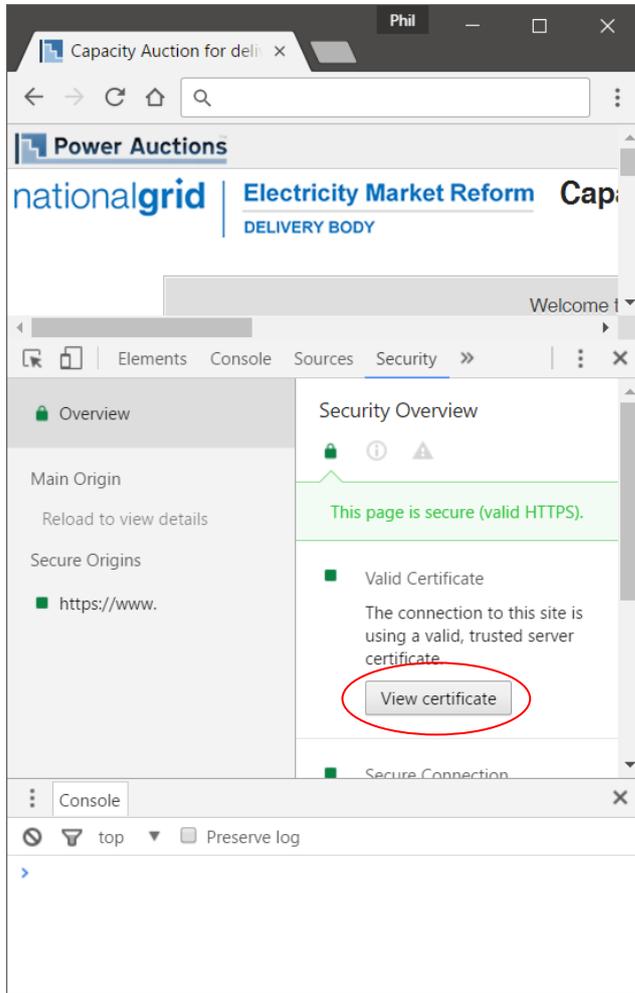
Figure 44a: Chrome
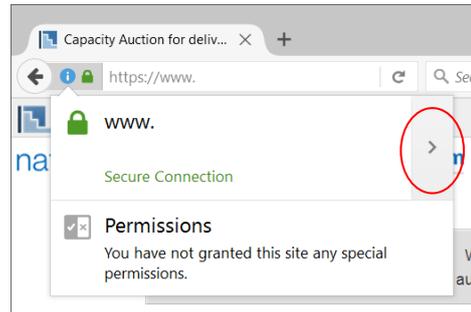
Figure 44b: Firefox website identification box
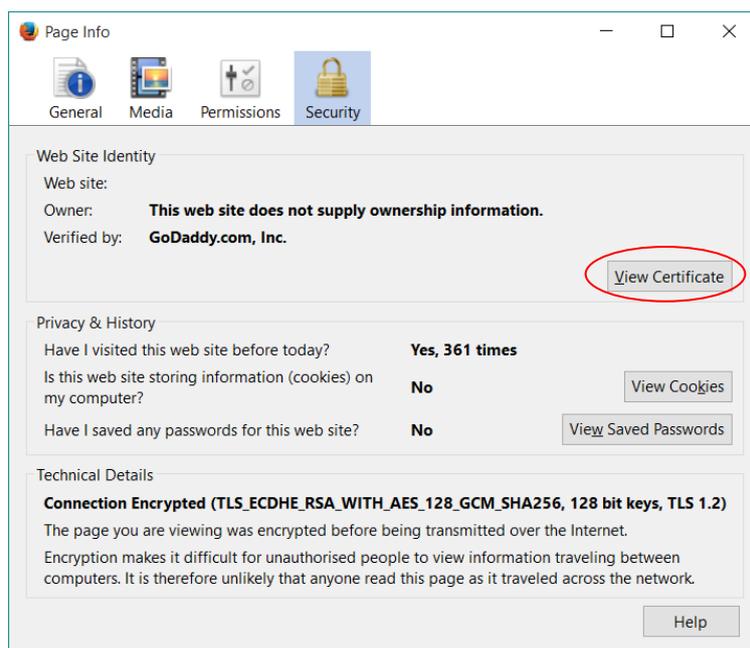
Figure 44c: Firefox page info window

201. Users of Internet Explorer and Chrome should see a digital certificate similar to that shown in Figure 45a. Choose the 'General' tab to view the general information for the digital certificate. The 'Issued by', 'Valid from', and 'Valid to' fields should match those on the screen in Figure 45a. You should then check the thumbprint by selecting 'Details' tab, scrolling down to the bottom of the list, and clicking on 'Thumbprint'. Users of Firefox should see a screen similar to Figure 45c, which displays the thumbprint at the bottom of the screen (note it is known as the "SHA1 Fingerprint" in Firefox). The thumbprint/SHA1 fingerprint should be identical to that shown in Figure 45.

Figure 45: Digital certificate information
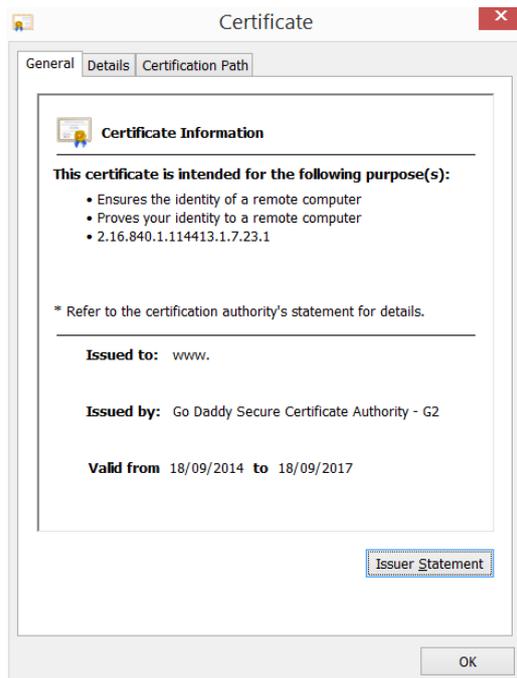
Figure 45a: General certificate information (Chrome & IE)   Figure 45b: Certificate thumbprint (Chrome & IE)
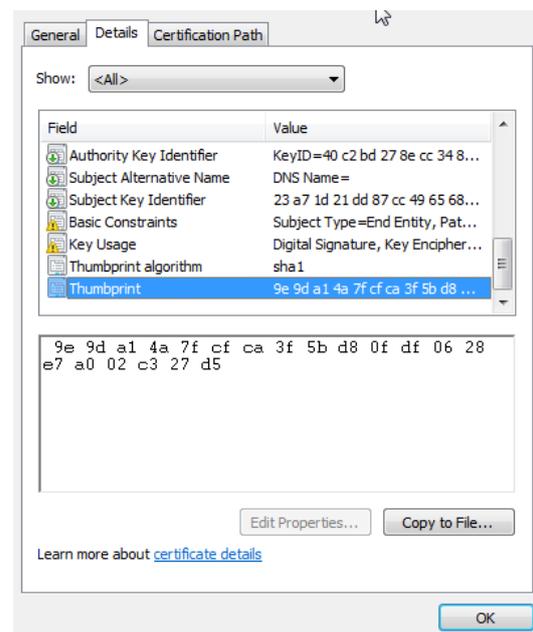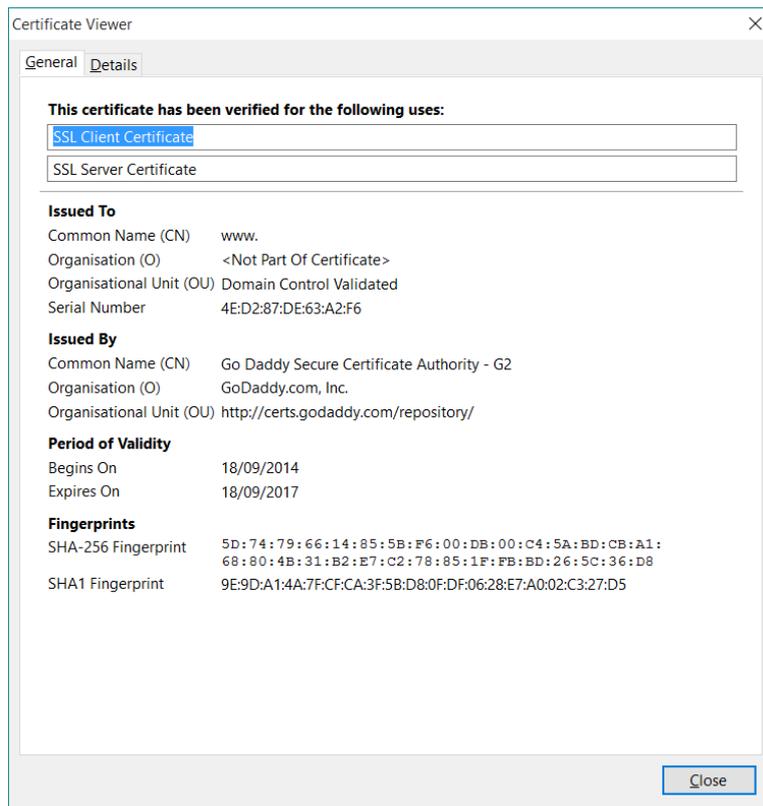
Figure 45c: Certificate thumbprint (Firefox)

202. Some anti-virus programs, such as Avast!, can alter the thumbprint. Please refer to the documentation of your anti-virus program to disable this feature (often known as "SSL protocol checking", "HTTPS scanning" or "HTTPS interception") or white-list the auction site.

203. If the general certificate or thumbprint information on your screen differs from that shown in Figure 45, and this is not explained by your anti-virus software, or you are in doubt, please contact the Auctioneer.

Appendix C – Download File Format

Files may be downloaded as ".xls" files (Microsoft Excel, compatible with versions 98 and onwards) or as ".csv" files.

The formats of each file are set out below using Excel. The csv files have an identical format but data items are separated by commas rather than appearing in cells. For presentational purposes, the headers are shown here as vertical text but in the actual files the text is horizontal.

The numbers at the end of the file name are the date and time of the download. For example, My_Provisional_Results.151211.092822.xls refers to a file downloaded on the 11th December 2015 at 09:28:22 GMT.

My CMUs

Bidding Company ID	Bidding Company Name	CMU ID	CMU Name	Classification	Capacity (MW)	PM/PT flag	Duration (yr)	Pre-Refurbishment Capacity (MW)	Pre-Refurbishment PM/PT flag
1	Example Co.	SUNR-1	Sunrise1	New Build Generating CMU	1200.000	Price Make	15		
1	Example Co.	NULOAD	NuLoad	Unproven DSR CMU	45.000	Price Make	1		
1	Example Co.	PPGAS1	Gas 1 PP	Existing Generating CMU	50.000	Price Make	1		
1	Example Co.	PHOENX	Phoenix 1	Refurbishing Generating CMU	600.000	Price Make	3	0.000	Price Taker
1	Example Co.	REGEN1	Regen 1	Refurbishing Generating CMU	500.000	Price Make	2	300.000	Price Taker
1	Example Co.	OLLINK	Old-link1	Existing Interconnector CMU	500.000	Price Taker	1		
1	Example Co.	LOAD-1	Load 1	Proven DSR CMU	30.000	Price Make	1		
1	Example Co.	OEXIST	Old-exist	Existing Generating CMU	900.000	Price Taker	1		

My Exit Bids and DBAs

Round	Bidding Company ID	Bidding Company Name	CMU ID	CMU Name	Classification	PM/PT	Bid Type	Price (£)	Capacity at Price (MW)	Capacity at Price-0.01 (MW)	Duration at Price (yr)	Duration at Price-0.01 (yr)	Proxy Bid?	Entered By
Round 3	1	Example Co.	REGEN1	Regen 1	Refurbishing Generating CMU	PM	DBA - Continue as Pre-Refurb	62.77	500.000	300.000	2	1	N	Austin Abshire
Round 3	1	Example Co.	SUNR-1	Sunrise1	New Build Generating CMU	PM	Exit Bid	63.00	1200.000	0.000	15	0	N	Austin Abshire
Round 5	1	Example Co.	NULOAD	NuLoad	Unproven DSR CMU	PM	Exit Bid	52.87	45.000	0.000	1	0	N	Austin Abshire
Round 8	1	Example Co.	PHOENX	Phoenix 1	Refurbishing Generating CMU	PM	Exit Bid	40.00	600.000	0.000	3	0	N	Austin Abshire
Round 8	1	Example Co.	PPGAS1	Gas 1 PP	Existing Generating CMU	PM	Exit Bid	35.42	50.000	0.000	1	0	N	Austin Abshire

Round Results

Round	Price Floor (£)	Clearing Capacity (MW)	Excess Supply (Rounded to the nearest 1000 MW)
Round 1	70.00	43453.462	15000.000
Round 2	65.00	43741.923	13000.000
Round 3	60.00	44030.385	11000.000
Round 4	55.00	44318.846	11000.000
Round 5	50.00	44607.308	8000.000
Round 6	45.00	44787.449	7000.000
Round 7	40.00	44940.510	6000.000
Round 8	35.00	45093.571	4000.000
Round 9	30.00	45246.633	2000.000
Round 10	25.00	45399.694	Below 1000.0

My CMUs status

Shown as at the end of Round 8

Bidding Company ID	Bidding Company Name	CMU ID	CMU Name	Classification	Capacity (MW)	PM/PT flag	Initial Duration (yr)	Pre-Refurbishment Capacity (MW)	Status*
1	Example Co.	SUNR-1	Sunrise1	New Build Generating CMU	1200.000	Price Maker	15		Exited at: £63.00 (Round 3)
1	Example Co.	NULOAD	NuLoad	Unproven DSR CMU	45.000	Price Maker	1		Exited at: £52.87 (Round 5)
1	Example Co.	PPGAS1	Gas 1 PP	Existing Generating CMU	50.000	Price Maker	1		Exited at: £35.42 (Round 8)
1	Example Co.	PHOENX	Phoenix 1	Refurbishing Generating CMU	600.000	Price Maker	3	0.000	Exited at: £40.00 (Round 8)
1	Example Co.	REGEN1	Regen 1	Refurbishing Generating CMU	500.000	Price Maker	2	300.000	Staying in as Pre-Refurbishment, 1yr (Round 3)
1	Example Co.	OLLINK	Old-link1	Existing Interconnector CMU	500.000	Price Taker	1		Staying in, 1 yr
1	Example Co.	LOAD-1	Load 1	Proven DSR CMU	30.000	Price Maker	1		Staying in, 1 yr
1	Example Co.	OEXIST	Old-exist	Existing Generating CMU	900.000	Price Taker	1		Staying in, 1 yr
*CMU Status as of Round 8 Price Floor									

My Provisional Results

Bidding Company ID	Bidding Company Name	CMU ID	CMU Name	Capacity Awarded	Classification	Capacity (MW)	CMU state	Duration (yr)	Clearing price (£)
1	Example Co.	SUNR-1	Sunrise1	No	New Build Generating CMU	N/A	N/A	N/A	N/A
1	Example Co.	NULOAD	NuLoad	No	Unproven DSR CMU	N/A	N/A	N/A	N/A
1	Example Co.	PPGAS1	Gas 1 PP	No	Existing Generating CMU	N/A	N/A	N/A	N/A
1	Example Co.	PHOENX	Phoenix 1	No	Refurbishing Generating CMU	N/A	N/A	N/A	N/A
1	Example Co.	REGEN1	Regen 1	No	Refurbishing Generating CMU	N/A	N/A	N/A	N/A
1	Example Co.	OLLINK	Old-link1	Yes	Existing Interconnector CMU	500.000		1	23.50
1	Example Co.	LOAD-1	Load 1	Yes	Proven DSR CMU	30.000		1	23.50
1	Example Co.	OEXIST	Old-exist	Yes	Existing Generating CMU	900.000		1	23.50

Contact Points

For Urgent queries <u>from D-9 onwards</u> only use the Auction System messaging functionality or call the Bidder Support Phone line **01926 65 65 74**. Please note that this number will not be active before D-9. Identify verification will be required.

For all auction related enquiries prior to D-9 please contact Capacity Market team on: emr@nationalgrid.com or **01926 65 53 00**