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Contact Points

For Urgent queries from D-9 onwards 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 see the contact details on the EMR Portal

https://emrdeliverybody.com/Pages/ContactUs.aspx

emr@nationalgrid.com and 01926 65 53 00
Important Notice

- This User Guide is provided as a service to facilitate participation in the CM Auctions for the 2015/2016 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 amendments¹ (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 (DBA) 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.
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Change Summary

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<th>Date</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Version 1.0</td>
<td>5 November 2014</td>
<td>Initial release</td>
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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 the 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, Appendix C describes key differences between a Variable Price Duration Auction (VPDA) and a Non-Variable Price Duration Auction (NVPDA) and Appendix D 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 https://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 Transitional Auction 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.
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, 8th December 2015 at 9:00 a.m. GMT**. The Auction System will be accessible from 25th November (“D-9”) to allow Bidders to check their CMUs with the T-4 Mock Auction being held on Thursday 26th November. The Transitional Auction will begin on **26th January at 9:00 am GMT** and the Auction System will be accessible from 13th January 2016, with the Transitional Mock Auction being held on Thursday 14th January.

14. 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.

15. 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.

16. 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.

17. 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 (£25/kW/year for the T-4 auction or £15/kW/year for the Transitional Auction). 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.

18. After each 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 auction or the nearest 100 MW in the Transitional Auction.

19. 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.

20. 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.

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

Figure 1: Planned timescales for Bidding Rounds

22. 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.

23. 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.

24. 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 24 hours.
3. System requirements

25. The Auction System can be accessed using a standard, Internet connected, PC with an Internet browser with a minimum of TLS 1.1 security\(^2\). The supported configurations are as detailed below:

- Intel Pentium (or equivalent) with 1.2 GHz processor or faster;
- Windows 7, Windows 8.1 operating systems;
- Internet Explorer 9, 10 or 11\(^3\) or a recent version of Google Chrome or Firefox web browsers\(^4\);
- Access to the Internet; and
- 1366x768 screen resolution or higher.

26. 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.

27. 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 (where relevant), to maximize protection against potential security vulnerabilities.

28. 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.

\(^2\) Internet Explorer versions 9-10 typically have TLS 1.1 disabled by default. Please refer to Section 9, the troubleshooting guide, on instructions to enable TLS 1.1.

\(^3\) Note that Microsoft is withdrawing support for Internet Explorer 9 and 10 for Windows 7 on 12\(^{th}\) January 2016. Therefore, these will be the last auctions to support Internet Explorer 9 and 10. Users of these browsers should update to a supported browser before the 2020/21 auction.

\(^4\) This was version 46 (Chrome) and version 41 (Firefox) at time of going to press.
29. 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.

30. As Windows XP is no longer supported by Microsoft, this operating system is not supported by the Auction System. Any Authorised Individual who decides to use Windows XP does so at his/her own risk. Furthermore, it should be noted that Internet Explorer cannot be used with Windows XP, as versions that are available for XP do not support TLS 1.1 (a requirement of the Auction System).

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

32. The Auction System is accessed by directing your browser to a URL that will be provided to all Bidders by secure e-mail.

33. 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.

34. 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.

35. 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.

36. 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.

5 Please note that this is not a requirement in order to use the Auction System.
37. 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, this is shown by a padlock to the left of the internet address field at the top of your browser screen.

38. 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

39. 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.

40. 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 9.

41. After you click on the Click here for the login screen 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 39 above).
42. Before the mock auction, Authorised Individuals will receive an individual e-mail requesting them to set their password. This e-mail will contain the Username and a link to a password tool. After clicking on the link you will be taken to a secure site and prompted to set a password of your choice. Once your password has been set, your PIN will be displayed. Please note that, for security reasons, this link can only be used once.

43. The same process will be used for the Transitional Auction. Bidders who qualify to participate in both auctions will need a separate password for the Transitional Auction.

44. 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.

45. 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.

46. 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 Individual and Bidders**

46. 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 $\text{Save}$.

47. 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$^6$. 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 in order to minimize the risk of conflicting bids.

48. 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 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.

49. 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.

50. Please note that the same password 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.

**Summary of Auction System and navigation**

51. 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.

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$^6$ 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.
52. Please note that:

(a) The P-M, P-T 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. In an NVPDA, duration in a DBA is 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. NB This reflects an amendment to the CM Rules since the T-4 2014 auction.

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

54. 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.
55. 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.

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

57. **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.

```markdown
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).
```
58. 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**

59. 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.

60. 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 CMUs is displayed on separate tabs, it will be shown together on a single page in the printable format.

61. 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 Internet Explorer and Chrome (such as ‘back’ and ‘forward’ and ‘refresh’/’reload’). This avoids the risk of viewing out-of-date information.

62. 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.
63. 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.

64. All Prices in the Auction System are quoted in £ per kW per annum with precision to 2 decimal places, i.e. to one penny. Prices are in 2014/15 money and are subject to indexation according to the Capacity Market Rules.

65. 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 will only require the password to re-enter the Auction System whereas if you click you will have to re-enter your full credentials.

Identity verification codes for use offline

66. 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.

67. 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.

68. 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.

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7 This means that the basis for indexation is the average CPI for the period October 2014 to April 2015 inclusive.
69. Once printed, the Offline Verification Codes should be kept securely.

70. 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.

71. 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

72. 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.

73. 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 05:44 BST. 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)

74. 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 58 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.

75. 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.
76. Note that the data on this screen is identical for all Bidders.

**Viewing Information about your CMUs**

77. 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.

78. 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 on the following page. 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); and

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

**Figure 9: My CMUs Summary (Screen B2)**
Setting up and reviewing Hotlists

79. 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.

80. 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.

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

82. You can create or modify your Hotlist in the “My CMUs” screen, (Figure 9, page 23). Note that there is a single Hotlist for all CMUs and it is applied across the Current Bids, 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.

83. 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 CMUs, a Refurbishing 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.

---

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.
84. 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

85. 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 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.

86. 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

87. 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.

88. 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

89. 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

90. 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.

91. 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)

92. 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.

93. 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.

94. 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.
95. 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)**

96. 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.

97. 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.

98. 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

99. 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

100. 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

101. 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 55 – 58, this status line is updated approximately every ten seconds and every time you display a screen by selecting it from the main navigation bar.

102. 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

103. 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.

104. 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.

105. Figure 16 show this process in progress for a New Build Generating CMU. Note the yellow box showing “Time left to bid” – in the last 10 minutes the time left is displayed in a red font.

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

![Current Bids screenshot]

106. 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.
Proxy Exit Bids

107. 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
- 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**

109. 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**

110. 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 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.

111. Rules for DBAs are different for a Non-Variable Price Duration Auction (NVPDA) and for a Variable Price-Duration Auction (VPDA). This guide focuses on NVPDAs, the auction format that will be used in 2015. Appendix C describes the main differences between an NVPDA and a VPDA.

112. In an NVPDA, 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**

![DBA Details of](image1.png)

**DBA Details of**

Add DBA

<table>
<thead>
<tr>
<th>£ 61.77</th>
<th>- 1 yr</th>
</tr>
</thead>
<tbody>
<tr>
<td>Set Agreement Duration to 1 yr below £61.77</td>
<td></td>
</tr>
<tr>
<td>Add DBA</td>
<td>Del Clear</td>
</tr>
</tbody>
</table>

**DBA List**

<table>
<thead>
<tr>
<th>#</th>
<th>Price</th>
<th>Agreement Duration For Prices less than Price of DBA</th>
</tr>
</thead>
<tbody>
<tr>
<td>START</td>
<td>£75.00</td>
<td>15 yrs</td>
</tr>
<tr>
<td>1</td>
<td>£61.77</td>
<td>1 yr</td>
</tr>
</tbody>
</table>

![DBA Details of](image2.png)

**DBA Details of**

Add DBA

<table>
<thead>
<tr>
<th>£</th>
<th>- 1 yr</th>
</tr>
</thead>
<tbody>
<tr>
<td>Please enter Price for 1 yr Agreement Duration.</td>
<td></td>
</tr>
<tr>
<td>Add DBA</td>
<td>Del Clear</td>
</tr>
</tbody>
</table>

**DBA List**

<table>
<thead>
<tr>
<th>#</th>
<th>Price</th>
<th>Agreement Duration For Prices less than Price of DBA</th>
</tr>
</thead>
<tbody>
<tr>
<td>START</td>
<td>£75.00</td>
<td>15 yrs</td>
</tr>
<tr>
<td>1</td>
<td>£61.77</td>
<td>1 yr</td>
</tr>
</tbody>
</table>

![DBA Details of](image3.png)

**DBA Details of**

Add DBA

<table>
<thead>
<tr>
<th>£</th>
<th>- 1 yr</th>
</tr>
</thead>
<tbody>
<tr>
<td>Please enter Price for 1 yr Agreement Duration.</td>
<td></td>
</tr>
<tr>
<td>Add DBA</td>
<td>Del Clear</td>
</tr>
</tbody>
</table>

**DBA List**

<table>
<thead>
<tr>
<th>#</th>
<th>Price</th>
<th>Agreement Duration For Prices less than Price of DBA</th>
</tr>
</thead>
<tbody>
<tr>
<td>START</td>
<td>£75.00</td>
<td>15 yrs</td>
</tr>
<tr>
<td>1</td>
<td>£61.77</td>
<td>1 yr</td>
</tr>
</tbody>
</table>

**Figure 20a: Entering the price of the DBA**

**Figure 20b: After adding the DBA**

113. You may add up to 15 DBAs but the duration will remain 1 year.

114. 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.

---

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.
A DBA changes the Duration at all prices below the price specified (Rule 5.6). 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.

Like an Exit Bid, a DBA can be placed at the Price Cap for the Round and a DBA at the Price Floor is a proxy DBA because the change in duration takes place 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. Note that this rule for DBAs is an amendment to that which applied in 2014.
117. 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**

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

**Exit Bids for Refurbishing CMUs**

119. 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.

120. 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.
121. 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.

**DBAs for Refurbishing CMUs**

122. 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 Duration is reduced to one year using a DBA.

123. 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 optional – 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.

124. 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**

![DBA Details](image1)

![DBA Details](image2)

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.

125. 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. 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.

126. 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.

---

\(^{10}\) It will depend on whether there are other exit bids placed at the same price and the application of the clearing rules.
Changing an Exit Bid or DBA for any CMU

127. 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.

128. 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.

129. Only once the Bidding Window of the current round has closed (which ends at the time indicated in the Auction Schedule and 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

130. 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.

131. 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
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.

132. 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).

133. 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**

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.\(^\text{11}\)

\[^{11}\] 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 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.
**Reviewing bids that take effect in later Rounds**

134. 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**

![Bid Confirmation screen](image)

**Printing the Bid Confirmation screen**

135. 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**

136. 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 also in two parts as follows:
(a) a table at the top showing the aggregate results: Round number, Price Floor, Clearing Capacity and the excess supply\(^\text{12}\) (rounded to the nearest 1000 MW in a T-4 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.

137. 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 15 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**

<table>
<thead>
<tr>
<th>Round</th>
<th>Price Floor</th>
<th>Clearing Capacity</th>
<th>Excess Supply (Rounded)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Round 1</td>
<td>750.00</td>
<td>43,453,462 MW</td>
<td>15,000,000 MW</td>
</tr>
<tr>
<td>Round 2</td>
<td>695.00</td>
<td>43,741,393 MW</td>
<td>13,000,000 MW</td>
</tr>
<tr>
<td>Round 3</td>
<td>650.00</td>
<td>44,032,385 MW</td>
<td>11,000,000 MW</td>
</tr>
<tr>
<td>Round 4</td>
<td>650.00</td>
<td>44,315,946 MW</td>
<td>11,000,000 MW</td>
</tr>
<tr>
<td>Round 5</td>
<td>650.00</td>
<td>44,607,300 MW</td>
<td>0,000,000 MW</td>
</tr>
</tbody>
</table>

138. When the excess supply falls below 1 GW, 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 auction

<table>
<thead>
<tr>
<th>Round</th>
<th>Price Floor</th>
<th>Clearing Capacity</th>
<th>Excess Supply ( Rounded)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Round 1</td>
<td>$730.00</td>
<td>42,450.402 MW</td>
<td>15,000,000 MW</td>
</tr>
<tr>
<td>Round 2</td>
<td>$555.00</td>
<td>43,741.923 MW</td>
<td>13,000,000 MW</td>
</tr>
<tr>
<td>Round 3</td>
<td>$685.00</td>
<td>44,030.309 MW</td>
<td>11,000,000 MW</td>
</tr>
<tr>
<td>Round 4</td>
<td>$655.00</td>
<td>44,319.848 MW</td>
<td>11,000,000 MW</td>
</tr>
<tr>
<td>Round 5</td>
<td>$550.00</td>
<td>44,607.008 MW</td>
<td>8,000,000 MW</td>
</tr>
<tr>
<td>Round 6</td>
<td>$451.00</td>
<td>44,787.495 MW</td>
<td>7,000,000 MW</td>
</tr>
<tr>
<td>Round 7</td>
<td>$450.00</td>
<td>44,904.510 MW</td>
<td>6,000,000 MW</td>
</tr>
<tr>
<td>Round 8</td>
<td>$355.00</td>
<td>45,003.571 MW</td>
<td>4,000,000 MW</td>
</tr>
<tr>
<td>Round 9</td>
<td>$350.00</td>
<td>45,264.032 MW</td>
<td>2,000,000 MW</td>
</tr>
<tr>
<td>Round 10</td>
<td>$250.00</td>
<td>45,395.694 MW</td>
<td>Below 1,000,000 MW</td>
</tr>
</tbody>
</table>

139. 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

<table>
<thead>
<tr>
<th>Price CMU: 500 MW or Larger Only</th>
<th>Capacity (MW)</th>
<th>Price-Maker/Price-Taker</th>
<th>Initial Duration</th>
<th>Pre-Reflub</th>
<th>Status at Price Floor</th>
</tr>
</thead>
<tbody>
<tr>
<td>San Jose Solar 1</td>
<td>1,200,000 MW</td>
<td>Price-Maker</td>
<td>15 yrs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NAGDS Ulta</td>
<td>45,000 MW</td>
<td>Price-Maker</td>
<td>1 yr</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PPS Gas 1 PP</td>
<td>50,000 MW</td>
<td>Price-Maker</td>
<td>1 yr</td>
<td></td>
<td>Staying In, 1 yr</td>
</tr>
<tr>
<td>Phoenix 1</td>
<td>600,000 MW</td>
<td>Price-Maker</td>
<td>3 yrs</td>
<td>Opted out</td>
<td>Staying In, 3 yrs</td>
</tr>
<tr>
<td>Regen 1</td>
<td>500,000 MW</td>
<td>Price-Maker</td>
<td>2 yrs</td>
<td>300,000 MW (Price-Taker)</td>
<td>Staying In, Pre-Reflub, 4 yrs (Round 3)</td>
</tr>
<tr>
<td>Old-Blik1</td>
<td>500,000 MW</td>
<td>Price-Taker</td>
<td>1 yr</td>
<td></td>
<td>Staying In, 1 yr</td>
</tr>
<tr>
<td>UD-1 Load 1</td>
<td>30,000 MW</td>
<td>Price-Maker</td>
<td>1 yr</td>
<td></td>
<td>Staying In, 1 yr</td>
</tr>
<tr>
<td>CER Old-exist</td>
<td>600,000 MW</td>
<td>Price-Taker</td>
<td>1 yr</td>
<td></td>
<td>Staying In, 1 yr</td>
</tr>
</tbody>
</table>

140. 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.

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

142. 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 D.

143. 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)

To download a file, click on one of the icons above. If you have Excel on your computer, you should select "Excel". Otherwise, select "PDF".

Instructions for Excel users: When prompted by the browser, please select either "OPEN" (to look at the file) or "SAVE" (to make a copy of the file on your computer). You can override the default name, but you should choose a filename that ends in "xls".

Instructions for other software: When prompted by the browser, please select "SAVE" (to make a copy of the file on your computer). You can override the default name, but you should choose a filename that ends in "csv".

144. 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. 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.

145. Details of the file formats are given in Appendix D.

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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

146. 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 will be contained in the final Auction Guidelines.

147. 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

148. 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.

149. 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.

150. 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 D.
Accessing the Auction System after the auction has concluded

151. 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

152. 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

153. 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.

154. 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.

155. 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.

156. 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.
157. 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**

158. Bidders are strongly encouraged to arrange for two 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.

159. 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.

160. 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.

161. 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**

162. 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.
163. 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 may not need to log out of the Auction System, depending on the problem. For most circumstances, Bidders 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.

164. 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.

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

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

167. 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**

168. 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 set out below.

**For Urgent queries from D-9 onwards 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** see the contact details on the EMR Portal

https://emrdeliverybody.com/Pages/ContactUs.aspx

emr@nationalgrid.com and **01926 65 53 00**
9. **Troubleshooting guide**

169. 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.

170. Note that if anything unexpected occurs while you are entering bids for a round, it is recommended that, before continuing, you view Screen 2, the ‘Bid Confirmation’ screen, to view your bids for the Round.

171. 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.

172. 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: Page cannot be displayed messages

[Images of web browser error messages]

(Internet Explorer)

This page can’t be displayed

- Make sure that the web address https://www. is correct.
- Look for the page with your search engine.
- Refresh the page in a few minutes.

(Internet Explorer) error message that may be displayed when TLS 1.1 is disabled

.Chrome)

This webpage is not available

Reload Details
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 and for Chrome/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

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.

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

Setting Google Chrome/Firefox to use TLS 1.1

176. Google Chrome and Firefox supports TLS 1.1 by default. No changes are required.

Figure 35: TLS settings for Internet Explorer

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

177. 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.

178. To enable cookies in Internet Explorer, carry out the following steps:
(a) Click on the ‘Tools’ icon (ейчас) 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

(b) Change the privacy setting to ‘Medium High’ or lower, as shown in Figure 36. 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

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

(a) Click on the ‘Tools’ icon (owntown) 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 37.

(c) Select the radio-box “Allow local data to be set (recommended)”, as shown in Figure 37.

(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.
180. 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 38.

(c) Close the “Options” tab.

(d) You should now be able to log in to the Auction System.
Figure 38: Enabling cookies in Firefox

181. 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

182. 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’.

183. 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 (ıldır) 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 39a) or click on the ‘Custom Level …’ button and click on ‘Enable’ for ‘Active Scripting’ as shown in Figure 39b.

(c) Click on ‘OK’, and ‘OK’ again if necessary.
184. 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 37.

(c) Select the radio-box “Allow all sites to run JavaScript (recommended)”, as shown in Figure 37.

(d) Click on ‘Done’ to save the settings, and close the “Settings” tab.

185. 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**

186. 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 2 (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.
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.

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**

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**

If Internet Explorer does not allow a file to be downloaded from the Auction System and displays the message shown in Figure 40, this is because downloads have been disabled in your browser.

**Figure 40: Security message in Internet Explorer**

189. 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 39a, page 59) or click on the ‘Custom Level...’ button and click on ‘Enable’ for ‘File Download’ as shown in Figure 41.

(c) Click on ‘OK’, and ‘OK’ again if necessary.
Situation 7 – your computer crashes while you are using the Auction System

190. 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.

191. 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.

192. 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

193. If you access the Auction System and see a security message similar to that shown in Figure 42, you should not proceed. Contact the Bidder Support Team immediately.
Figure 42: Security messages for Internet Explorer and Chrome

(Internet Explorer)

(Chrome)

(Firefox)
## Appendix A – Glossary

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

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

195. Other capitalized terms can be found in the Regulations and/or the Rules.
Appendix B – Verifying the authenticity of the auction site

196. 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.

197. 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.

198. 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 (shown in Figure 43a).

(b) **Google Chrome:** click on the padlock to the left of the internet address field, selecting the “Connection” tab of the website identification box (shown in Figure 43b) and clicking on the ‘Certificate information’ link.

(c) **Firefox:** click on the padlock to the left of the internet address field and click on “More Information”. Then click on the ‘View Certificate’ button on the window that appears (shown in Figure 43c).
199. Users of Internet Explorer and Chrome should see a digital certificate similar to that shown in Figure 44a. Choose the ‘General’ tab to view the general information for the digital certificate. The ‘Issued to’, ‘Issued by’, and ‘Valid from’ fields should match those on the screen in Figure 44a. 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 44c, 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 44.
Figure 44: Digital certificate information

Figure 44a: General certificate information (Chrome & IE)  Figure 44b: Certificate thumbprint (Chrome & IE)

Figure 44c: Certificate thumbprint (Firefox)

200. 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.
201. If the general certificate or thumbprint information on your screen differs from that shown in Figure 44, and this is not explained by your anti-virus software, or you are in doubt, please contact the Auctioneer.
Appendix C – Variable Price Duration Auctions

202. The 2015 T-4 auction is an NVPDA; therefore VPDA functionality is not available to Bidders in the mock auction or live T-4 Auction in 2015. This appendix is included for information only as it may be relevant in future years.

203. In a VPDA, the process to enter Exit Bids is identical, while the process to enter DBAs is only slightly different.

204. In a VPDA, the two differences that apply to DBAs are:

   (a) a Bidder may specify both price and duration for a New Build or a Refurbishing CMU, subject to the relevant Maximum Obligation Period i.e. duration is not restricted to 1 year; and

   (b) a Bidder may place up to fifteen DBAs in a round (including proxy DBAs) specifying different durations and prices, subject to the limitations referred to in the main part of the User Guide. All such DBAs are added to the DBA list.

205. All prices in the Auction System are expressed as prices for a one year capacity agreement. Data published by the Secretary of State will indicate how such prices are adjusted for a capacity agreement with a duration in excess of one year.
Appendix D – 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

<table>
<thead>
<tr>
<th>Round</th>
<th>Bidding Company ID</th>
<th>Bidding Company Name</th>
<th>CMU ID</th>
<th>CMU Name</th>
<th>Classification</th>
<th>Capacity (MW)</th>
<th>PM/PT flag</th>
<th>Duration (yr)</th>
<th>Pre-Refurbishment Capacity (MW)</th>
<th>Pre-Refurbishment PM/PT flag</th>
<th>Entered By</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Example Co.</td>
<td>SUNR-1</td>
<td></td>
<td>Sunrise1</td>
<td>New Build Generating CMU</td>
<td>1200.000</td>
<td>Price Make</td>
<td>15</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Example Co.</td>
<td>NULOAD</td>
<td></td>
<td>NuLoad</td>
<td>Unproven DSR CMU</td>
<td>45.000</td>
<td>Price Make</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Example Co.</td>
<td>PPGAS1</td>
<td>Gas 1</td>
<td>Gas 1 PP</td>
<td>Existing Generating CMU</td>
<td>50.000</td>
<td>Price Make</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Example Co.</td>
<td>PHOENX</td>
<td>Phoenix</td>
<td>Phoenix 1</td>
<td>Refurbishing Generating CMU</td>
<td>600.000</td>
<td>Price Make</td>
<td>3</td>
<td>0.000</td>
<td>Price Taker</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Example Co.</td>
<td>OLINK</td>
<td>Old-link1</td>
<td>Old-link1</td>
<td>Existing Interconnector CMU</td>
<td>500.000</td>
<td>Price Taker</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Example Co.</td>
<td>LOAD-1</td>
<td>Load</td>
<td>Load 1</td>
<td>Proven DSR CMU</td>
<td>30.000</td>
<td>Price Make</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Example Co.</td>
<td>OEXIST</td>
<td>Old-exist</td>
<td>Old-exist</td>
<td>Existing Generating CMU</td>
<td>900.000</td>
<td>Price Taker</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

My Exit Bids and DBAs

<table>
<thead>
<tr>
<th>Round</th>
<th>Bidding Company ID</th>
<th>Bidding Company Name</th>
<th>CMU ID</th>
<th>CMU Name</th>
<th>Classification</th>
<th>PM/PT</th>
<th>DAB Type</th>
<th>Proxy BID</th>
<th>Capacity at Price (MW)</th>
<th>Duration at Price (yr)</th>
<th>Proxy BID</th>
<th>Entered By</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>Example Co.</td>
<td>REGEN1</td>
<td>Regen1</td>
<td>Regen 1</td>
<td>Refurbishing Generating CMU</td>
<td>PM</td>
<td>Exit Bid</td>
<td>63.77</td>
<td>1200.000</td>
<td>0.000</td>
<td>15</td>
<td>Austin Abshire</td>
</tr>
<tr>
<td>3</td>
<td>Example Co.</td>
<td>SUNR-1</td>
<td>Sunrise1</td>
<td>Sunrise1</td>
<td>New Build Generating CMU</td>
<td>PM</td>
<td>Exit Bid</td>
<td>63.00</td>
<td>1200.000</td>
<td>0.000</td>
<td>15</td>
<td>Austin Abshire</td>
</tr>
<tr>
<td>5</td>
<td>Example Co.</td>
<td>NULOAD</td>
<td>NuLoad</td>
<td>NuLoad</td>
<td>Unproven DSR CMU</td>
<td>PM</td>
<td>Exit Bid</td>
<td>52.87</td>
<td>45.000</td>
<td>0.000</td>
<td>1</td>
<td>Austin Abshire</td>
</tr>
<tr>
<td>8</td>
<td>Example Co.</td>
<td>PHOENX</td>
<td>Phoenix1</td>
<td>Phoenix 1</td>
<td>Refurbishing Generating CMU</td>
<td>PM</td>
<td>Exit Bid</td>
<td>40.00</td>
<td>600.000</td>
<td>0.000</td>
<td>1</td>
<td>Austin Abshire</td>
</tr>
<tr>
<td>8</td>
<td>Example Co.</td>
<td>PPGAS1</td>
<td>Gas 1</td>
<td>Gas 1 PP</td>
<td>Existing Generating CMU</td>
<td>PM</td>
<td>Exit Bid</td>
<td>35.42</td>
<td>50.000</td>
<td>0.000</td>
<td>1</td>
<td>Austin Abshire</td>
</tr>
</tbody>
</table>
## Round Results

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

## My CMUs status

Shown as at the end of Round 8

<table>
<thead>
<tr>
<th>Bidding Company ID</th>
<th>Bidding Company Name</th>
<th>CMU ID</th>
<th>CMU Name</th>
<th>Classification</th>
<th>Capacity (MW)</th>
<th>PM/PT flag</th>
<th>Initial Duration (yr)</th>
<th>Pre-refurbishment Capacity (MW)</th>
<th>Status*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example Co.</td>
<td>SUNR1</td>
<td>SUN1</td>
<td>Sunrise1</td>
<td>New Build Generating CMU</td>
<td>1200.000</td>
<td>Price Maker</td>
<td>15 Exited at: £63.00 (Round 3)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Example Co.</td>
<td>NULOAD</td>
<td>NULoad</td>
<td>NuLoad</td>
<td>Unproven DSR CMU</td>
<td>45.000</td>
<td>Price Maker</td>
<td>1 Exited at: £52.87 (Round 5)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Example Co.</td>
<td>PPgas1</td>
<td>Gas1PP</td>
<td>Existing Generating CMU</td>
<td>50.000</td>
<td>Price Maker</td>
<td>1 Exited at: £35.42 (Round 8)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Example Co.</td>
<td>PHOENIX</td>
<td>Phoenix1</td>
<td>Refurbishing Generating CMU</td>
<td>600.000</td>
<td>Price Maker</td>
<td>3 0.000 Exited at: £40.00 (Round 8)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Example Co.</td>
<td>REGEN1</td>
<td>Regen1</td>
<td>Refurbishing Generating CMU</td>
<td>500.000</td>
<td>Price Maker</td>
<td>2 300.000 Staying in as Pre-Refurbishment, 1yr (Round 3)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Example Co.</td>
<td>OLINK</td>
<td>Old-link1</td>
<td>Existing Interconnector CMU</td>
<td>200.000</td>
<td>Price Maker</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Example Co.</td>
<td>LOAD1</td>
<td>Load1</td>
<td>Proven DSR CMU</td>
<td>30.000</td>
<td>Price Maker</td>
<td>1 Staying in, 1 yr</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Example Co.</td>
<td>OEXIST</td>
<td>Old-exist</td>
<td>Existing Generating CMU</td>
<td>900.000</td>
<td>Price Maker</td>
<td>1 Staying in, 1 yr</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*CMU Status as of Round 8 Price Floor
My Provisional Results

<table>
<thead>
<tr>
<th>Bidding Company ID</th>
<th>Bidding Company Name</th>
<th>CMU ID</th>
<th>CMU Name</th>
<th>Capacity Awarded</th>
<th>Classification</th>
<th>Capacity (MW)</th>
<th>CMU state</th>
<th>Duration (yr)</th>
<th>Clearing price (£)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Example Co.</td>
<td>SUNR-1</td>
<td>CMU1</td>
<td>Sunrise1</td>
<td>No</td>
<td>New Build Generating CMU</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>1 Example Co.</td>
<td>NULOAD</td>
<td>CMU2</td>
<td>NuLoad</td>
<td>No</td>
<td>Unproven DSR CMU</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>1 Example Co.</td>
<td>PPGAS1</td>
<td>CMU3</td>
<td>Gas 1 PP</td>
<td>No</td>
<td>Existing Generating CMU</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>1 Example Co.</td>
<td>PHOENX</td>
<td>CMU4</td>
<td>Phoenix 1</td>
<td>No</td>
<td>Refurbishing Generating CMU</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>1 Example Co.</td>
<td>REGEN1</td>
<td>CMU5</td>
<td>Regen 1</td>
<td>No</td>
<td>Refurbishing Generating CMU</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>1 Example Co.</td>
<td>OLLINK</td>
<td>CMU6</td>
<td>Old-link1</td>
<td>Yes</td>
<td>Existing Interconnector CMU</td>
<td>500.000</td>
<td>1</td>
<td>23.50</td>
<td></td>
</tr>
<tr>
<td>1 Example Co.</td>
<td>LOAD-1</td>
<td>CMU7</td>
<td>Load 1</td>
<td>Yes</td>
<td>Proven DSR CMU</td>
<td>30.000</td>
<td>1</td>
<td>23.50</td>
<td></td>
</tr>
<tr>
<td>1 Example Co.</td>
<td>OEXIST</td>
<td>CMU8</td>
<td>Old-exist</td>
<td>Yes</td>
<td>Existing Generating CMU</td>
<td>900.000</td>
<td>1</td>
<td>23.50</td>
<td></td>
</tr>
</tbody>
</table>

Contact Points

For Urgent queries from D-9 onwards 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 see the contact details on the EMR Portal

https://emrdeliverybody.com/Pages/ContactUs.aspx
emr@nationalgrid.com and 01926 65 53 00