

Capacity Market Pre-Auction Activities

Version 1.01
7th January 2021

Includes general Pre-Auction Activities guidance for the upcoming T-1 and T-4
Capacity Auctions





Legal Disclaimer and Copyright

Disclaimer

This guidance document has been prepared by National Grid Electricity System Operator Limited (NGESO) and is provided voluntarily and without charge. Whilst NGESO has taken all reasonable care in preparing this document, no representation or warranty either expressed or implied is made as to the accuracy or completeness of the information that it contains and parties using information within the document should make their own enquiries as to its accuracy and suitability for the purpose for which they use it. Neither NGESO nor any other companies in the National Grid plc group, nor any Directors or employees of any such company shall be liable for any error or misstatement or opinion on which the recipient of this document relies or seeks to rely other than fraudulent misstatement or fraudulent misrepresentation and does not accept any responsibility for any use which is made of the information or the document or (to the extent permitted by law) for any damages or losses incurred. In the event of any conflict or inconsistency between this document and the Capacity Market Rules, the Electricity Capacity Regulations or the Auction Guidelines, the latter documents take precedence. Capitalised terms used in this document shall have the same meanings given in the Capacity Market Rules.

Confidentiality

This guidance document, and its contents should be considered as confidential in nature, and this document is supplied on this basis. No part of this document may be reproduced in any material form (including photocopying and restoring in any medium or electronic means and whether or not transiently or incidentally) without the written permission of NGESO.



Version Control

The table below will record the page numbers of any new changes to the document for each version. The new changes will be highlighted in yellow throughout the guidance document.

#	Changes	Pages	Date
1.00	<p>New consolidated guidance document for all pre-Auction related activities including the Withdrawal window, Bidder management, confirmation of entry to the Capacity Auction, duration of Capacity at Price Cap, DSR Bidding Capacity, Price-Maker Memorandum, Price-Maker Certificate and accessing the IT Auction System credentials.</p> <p>The guidance document covers the pre-Auction responsibilities of Participants, EMR DB Portal screens guidance and general FAQs the team have received over the past four years of running Capacity Auctions.</p>	-	13/10/2020
1.01	<p>Update to hyperlink regarding Ofgem's Price-Maker Memorandum Guidance</p>	36	07/01/2021



Contents

1. **Introduction**
2. **EMR DB Portal System Requirements**
3. **Pre-Auction Activities Matrix**
4. **Pre-Auction Activities Timeline**
5. **Bidder Management**
6. **Deferred Relevant Planning Consents**
7. **Price-Maker Memorandum and Certificate**
8. **Confirmation of Entry**
9. **Accessing User credentials to the IT Auction System**
10. **Pre-Auction Activities FAQs**



1 Introduction

- Following a successful Prequalification outcome, a CMU may have a number of Pre-Auction activities to complete, either within the EMR DB Portal or involving external bodies, before they will be able to participate in any of the 2 Auctions:
 - **T-1- 2nd of March and the 3rd of March 2021**
 - **T-4- 9th of March and the 10th of March 2021**
- There are some activities which can be commenced as soon as the CMU receives a Prequalified or Conditionally Prequalified outcome, this refers to the fact a Participant can start their Bidding Companies, Authorised Individuals etc, whereas others are not available until a specific window related to the Auction dates.
- The following guidance document has been created to assist Participants through various Pre-Auction activities they must complete and will identify the CMU types each activity relates to.
- Where specific actions are required in the EMR DB Portal, the document will provide user guidance.
- There will be a future “Auction Readiness Webinar” taking place, on the 5th of January, presented by the EMRDB, to further assist successful Prequalified Participants who will be entering any of the Auctions taking place early 2021.

2 EMR DB Portal System Requirements



Recommended PC Operating System:
Microsoft Windows
(e.g. Windows 2003 to Windows 10)

Recommended Internet Browsers:
Microsoft Edge, Goggle Chrome or Firefox



If multiple file uploads are not accepted:
Please compile files into a single PDF or ZIP

Maximum file size for uploads:
2GB

Mandatory file formats:
Microsoft Office files, PDF or JPEG
(e.g. .docx/.xlsx/.pdf)



3 Pre-Auction Activities Matrix

Activity	EXG	EXI	NBG	NBI	RFG	RFI	UDS	PDS
<u>Bidder Management</u>	Green	Green	Green	Green	Green	Green	Green	Green
<u>Deferred Planning Consents</u>	Red	Red	Yellow	Yellow	Yellow	Yellow	Red	Red
<u>Price-Maker Memorandum Consents</u>	Green	Green	Red	Green	Yellow	Green	Red	Red
<u>Confirmation of Entry:</u>	Red	Red	Green	Green	Green	Green	Green	Green
-Length of Agreement	Red	Red	Green	Green	Red	Green	Red	Red
-Bidding Capacity	Red	Red	Red	Red	Red	Red	Green	Green
<u>Accessing IT Auction System credentials</u>	Green	Green	Green	Green	Green	Green	Green	Green

Key
 EXG= Existing Generating CMU
 EXI= Existing Interconnector CMU
 NBG= New Building Generating CMU
 NBI= New Build Interconnector CMU

Key
 RFG= Refurbishing Generating CMU
 RFI= Refurbishing Interconnector CMU
 UDS= Unproven DSR CMU
 PDS= Proven DSR CMU

= Applicable to all
 = Applicable to some
 = Not Applicable

4 Pre-Auction Activities Timeline (Slide 1/2)- T-1

Auction for Delivery Year 2021/22



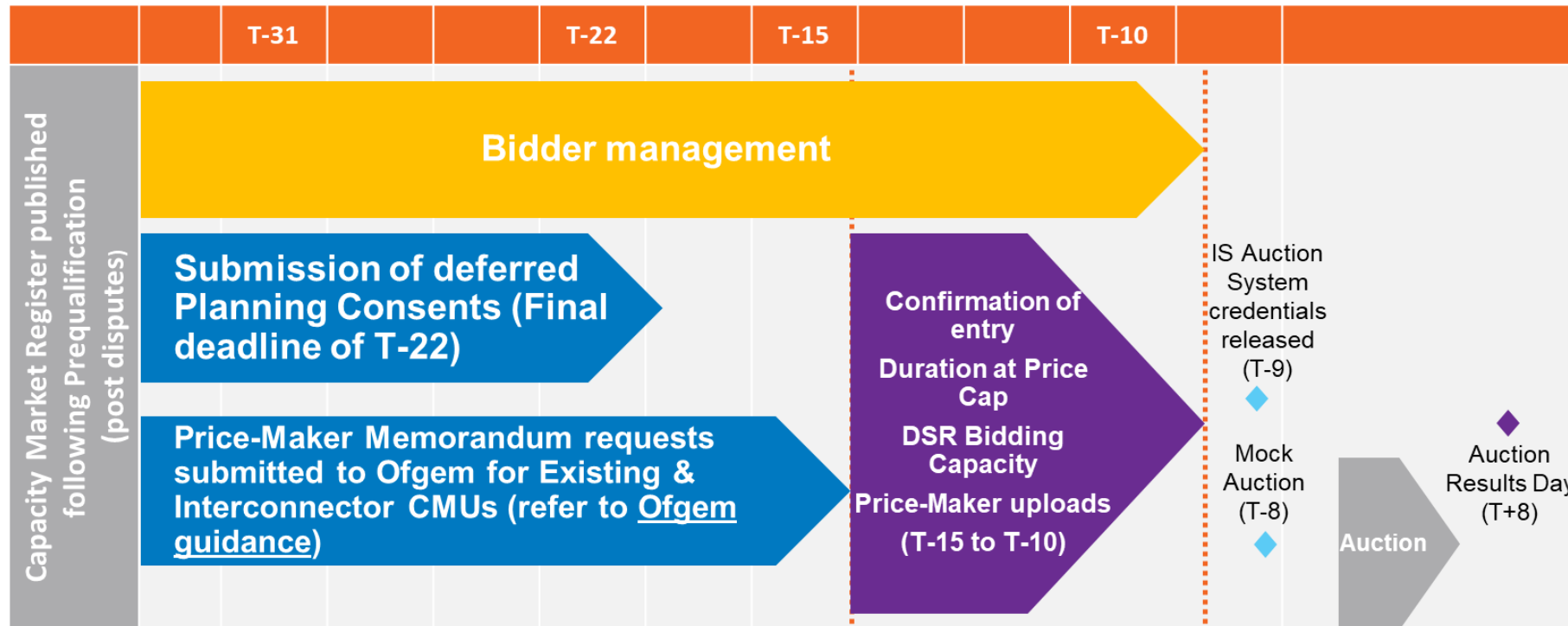
Below is a high-level timeline of the pre-Auction Activities which take place in the two months prior to the Capacity Auction. This guidance document focuses on all activities which interact with the EMR DB Portal, however information on the mock and actual Capacity Auction are provided as well for information.

T-31 Working Days - 18/01/2021

T-22 Working Days - 29/01/2021

T-15 Working Days - 09/02/2021

T-10 Working Days - 16/02/2021





4 Pre-Auction Activities Timeline (slide 2/2)- T-4

Auction for Delivery Year 2021/22

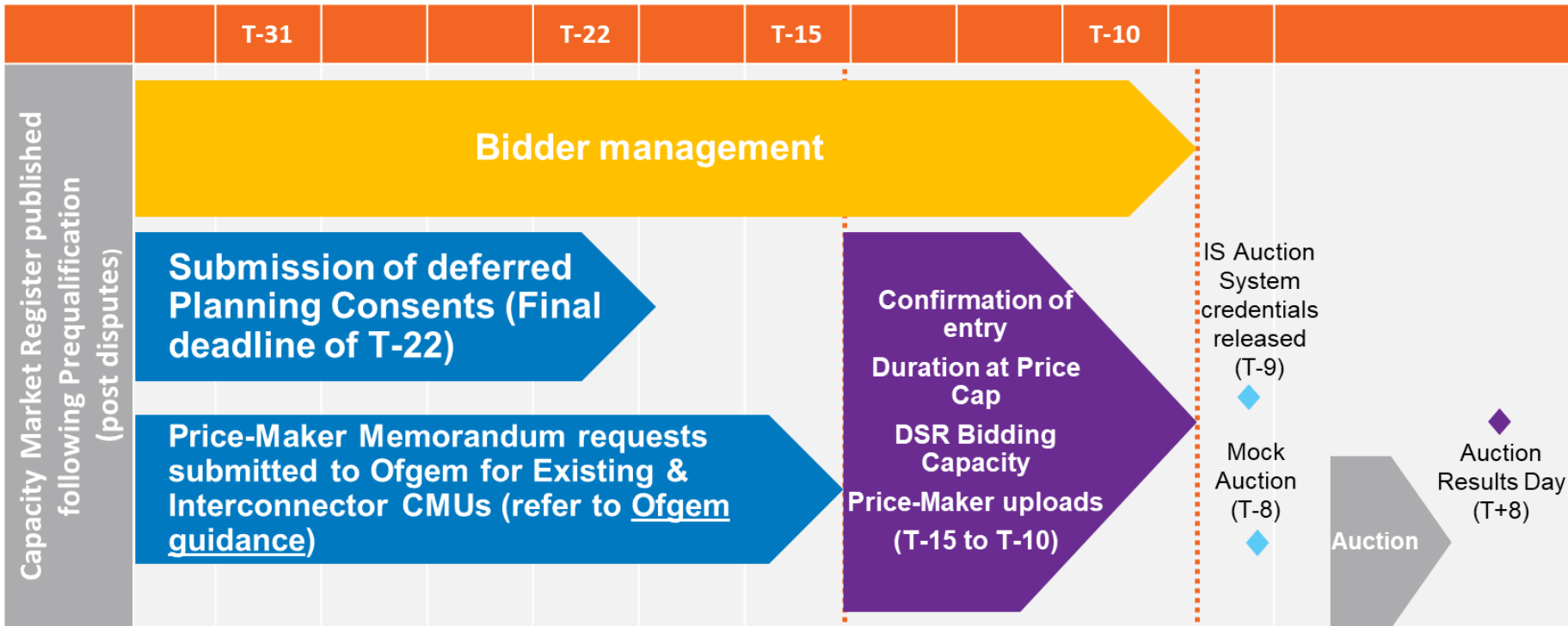
Below is a high-level timeline of the pre-Auction Activities which take place in the two months prior to the Capacity Auction. This guidance document focuses on all activities which interact with the EMR DB Portal, however information on the mock and actual Capacity Auction are provided as well for information.

T-31 Working Days - 25/01/2021

T-22 Working Days - 05/02/2021

T-15 Working Days - 16/02/2021

T-10 Working Days - 22/02/2021



5 Bidder Management (Slide 1/17)

Bidder Management is the set up of:

Bidding Companies

Authorised Individuals (AI's)

***These processes are required for access to the IT Auction System**

Who?

All Participants in the Capacity Market. Only a main administrator can manage this process.

When?

Available after Prequalification Results are released and can be amended up to 10 Working Days before the Auctions (T-1 and T-4), closing at 17:00.

Where?

All Bidder Management activities are completed via the EMR DB Portal in "**My Auctions**".

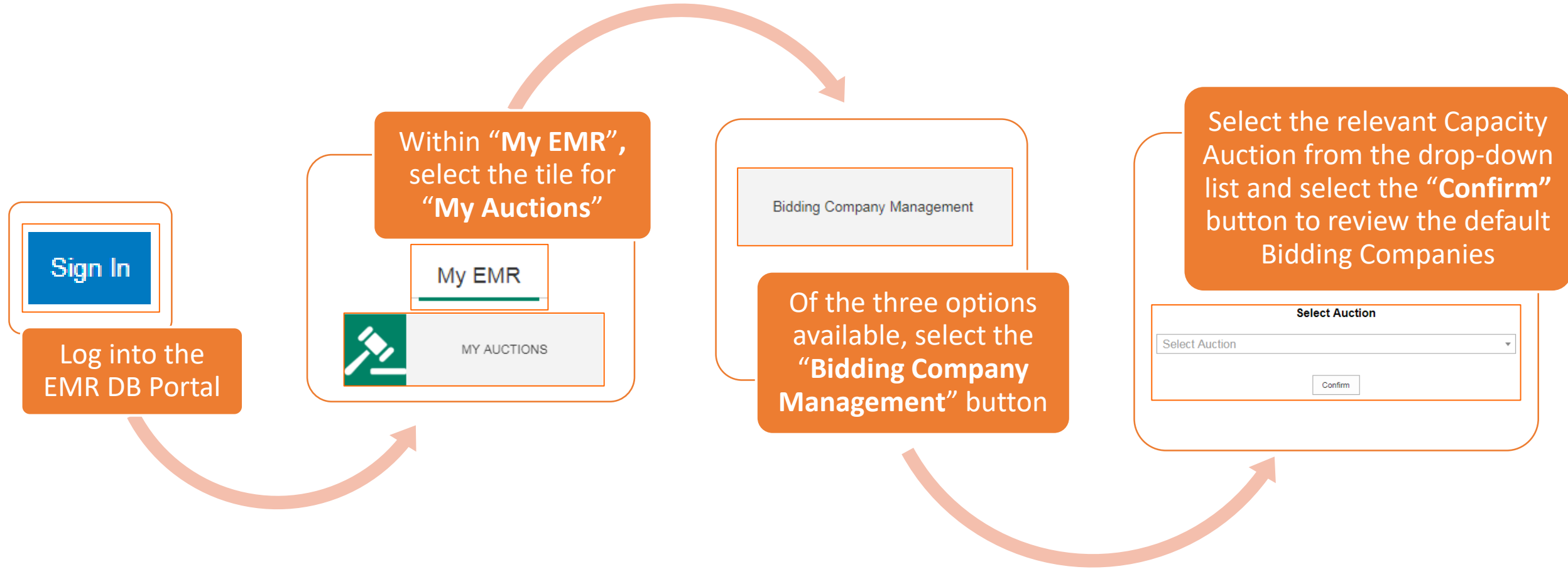
Why?

Bidder Management allows Participant companies to identify which Authorised Individuals (AI's) they wish to participate in the Auction on their behalf and how they share their CMUs between the bidders.

- All credentials to the IT Auction System are created and are stored on the EMR DB Portal.

5 Bidder Management (Slide 2/17)

Accessing “Bidding Company Management”



5 Bidder Management (Slide 3/17)

Reviewing “Bidding Company Management” Information

- All of the CMUs associated to the “**Main Company**” in the EMR DB Portal, that were Prequalified or Conditionally Prequalified following Prequalification and Tier 1 disputes, should appear on the screen.
- The EMR DB Portal will create default Bidder companies based upon the Participant company of the CMU in Prequalification.
- This will mean that if a “**Main Company**” has multiple sub companies that have applied in Prequalification, there will be a separate “**Bidding Company**” for each Participant company, which will mean separate login credentials for each Participant Company. You can amend or edit these default companies (See next slides).

CMU ID	CMU Type	Capacity	Company	Bidding Company Name
AUC111	Existing Generating CMU	675.000 MW	CM Auction Team Limited	CM Sub Auction 1 Ltd
AUC222	New Build Generating CMU	95.140 MW	CM Auction Team Limited	CM Sub Auction 2 Ltd
AUC333	Existing Generating CMU	42.847 MW	CM Auction Team Limited	CM Sub Auction 1 Ltd
AUC444	Existing Generating CMU	11.336 MW	CM Auction Team Limited	CM Sub Auction 1 Ltd
AUC555	New Build Generating CMU	38.056 MW	CM Auction Team Limited	CM Sub Auction 2 Ltd
AUC666	New Build Generating CMU	44.256 MW	CM Auction Team Limited	CM Sub Auction 2 Ltd
AUC777	Refurbishing Generating CMU	Pre: 475.647 MW / Post: 562.2...	CM Auction Team Limited	CM Sub Auction 2 Ltd
AUC888	Refurbishing Generating CMU	Pre: 22.922 MW / Post: 42.227	CM Auction Team Limited	CM Sub Auction 2 Ltd

Previous 1 Next Show 30 entries Showing 1 to 10 of 10 entries

Edit Companies Auction Menu

5 Bidder Management (slide 4/17)

Allocating a CMU to an alternative default “Bidding Company”

- To the right of the screen, the Bidder has the opportunity to amend the “**Bidding Company**” that a CMU is allocated to by selecting an option from the dropdown list of default companies. Once the new default company has been selected, the Bidder can then select “**Save Changes**” to confirm the selection.
- This option works best if a Bidder is comfortable for the CMUs to be allocated to a default company in the IT Auction System that may not reflect the actual Participant company (e.g. a related company in a wider group). Alternatively, the Bidder can create a new “**Bidding Company**”(See next slides).

Please note, all official Auction reporting will always relate to the original Participant Company regardless of these selections; “Bidding Companies” are only ever used in the IT Auction System.

Company	Bidding Company Name	
CM Auction Team Limited	CM Sub Auction 1 Ltd	CM Sub Auction 1 Ltd
CM Auction Team Limited	CM Sub Auction 2 Ltd	CM Sub Auction 2 Ltd
CM Auction Team Limited	CM Sub Auction 1 Ltd	CM Sub Auction 1 Ltd
CM Auction Team Limited	CM Sub Auction 1 Ltd	CM Sub Auction 1 Ltd
CM Auction Team Limited	CM Sub Auction 2 Ltd	CM Sub Auction 2 Ltd
CM Auction Team Limited	CM Sub Auction 2 Ltd	CM Sub Auction 2 Ltd
CM Auction Team Limited	CM Sub Auction 2 Ltd	CM Sub Auction 2 Ltd
CM Auction Team Limited	CM Sub Auction 2 Ltd	CM Sub Auction 2 Ltd

AUC666	New Build Generating CMU	44.256 MW
AUC777	Refurbishing Generating CMU	Pre: 475.647 MW / Post: 562.2...
AUC999	Refurbishing Generating CMU	Pre: 33.933 MW / Post: 42.327

Previous 1 Next Show 30 entries

Edit Companies Auction Menu **Save Changes**

5 Bidder Management (slide 5/17)

Creating a new "Bidding Company" (1/4)

If the Participant does not want to use a default "Bidding Company", there is the option to **Create a new one.**

Select "Edit Companies"

AUC666	New Build Generating CMU	44.256 MW
AUC777	Refurbishing Generating CMU	Pre: 475.647 MW / Post: 562.2...
AUC999	Refurbishing Generating CMU	Pre: 22.922 MW / Post: 42.227

Previous 1 Next Show 30 entries

Edit Companies Auction Menu Save Changes

Edit Bidding Companies

Select Bidding Company :

On the "Edit Bidding Companies" screen, select "Add"

5 Bidder Management (slide 6/17)

Creating a new “Bidding Company” (2/4)

- After selecting “Add”, two new fields appear on the screen:
 - “Company Name”
 - “Authorised Individuals”
- The Bidder can enter an appropriate “Company Name” of their choice. **Again, this name will only be used in the IT Auction System and will not appear on any official Auction reports or the Capacity Market Register**
- “Authorised Individuals” (AI's) are the users which will have access to the IT Auction System for the “Bidding Company”.
- Main administrators for the EMR DB Portal automatically default as an AI for the default “Bidding Companies” but when a new company is created, the main admin must select from the available AI's displayed on the list (you can add further AI's later- see [Slide 19](#)).

Edit Bidding Companies

Select Bidding Company :

Company Details

Company name

Authorised Individuals

Company Details

Company name

Authorised Individuals

<input type="checkbox"/>	Main Admin
<input type="checkbox"/>	Deputy AdminOne
<input type="checkbox"/>	Deputy AdminTwo

5 Bidder Management (slide 7/17)

Creating a new "Bidding Company" (3/4)

- After selecting the AI's you wish to participate for the "Bidding Company", select "Save Changes".
- Select the "Return to Overview" button to return to the main menu.
- Once the new "Bidding Company" has been created, CMUs can be allocated accordingly using the dropdown menu on the right side of the screen. Select "Save Changes" once complete.

Company Details

Company name

CM Auction New Bidding Company Ltd

Authorised Individuals

× Main Admin × Deputy AdminOne × Deputy AdminTwo |

Save Changes

Return to overview

CMU ID	CMU Type	Capacity	Company	Bidding Company Name
AUC333	Existing Generating CMU	42.847 MW	CM Auction Team Limited	CM Sub Auction 1 Ltd
AUC444	Existing Generating CMU	11.336 MW	CM Auction Team Limited	CM Sub Auction 1 Ltd
AUC555	New Build Generating CMU	38.056 MW	CM Auction Team Limited	CM Sub Auction 2 Ltd
AUC666	New Build Generating CMU	44.256 MW	CM Auction Team Limited	CM Sub Auction 2 Ltd
AUC777	Refurbishing Generating CMU	Pre: 475.647 MW / Post: 562.2...	CM Auction Team Limited	CM Sub Auction 2 Ltd
AUC888	Refurbishing Generating CMU	Pre: 32.823 MW / Post: 42.337...	CM Auction Team Limited	CM Sub Auction 2 Ltd
AUC996	Proven DSR CMU	12.221 MW	CM Auction Team Limited	CM Sub Auction 3 Ltd
AUC997	Unproven DSR CMU	8.428 MW	CM Auction Team Limited	CM Sub Auction 3 Ltd

Previous 1 Next Show 30 entries

Edit Companies Auction Menu **Save Changes**

5 Bidder Management (slide 8/17)

Creating a new “Bidding Company” (4/4)

- Once you have saved the amendments to the “**Bidding Company**”, select “**Edit Companies**”.

In the next screen, select the new “**Bidding Company**” that you have created and select “**Load**”.

- An overview of the “**Bidding Company**” will be displayed accordingly, with all of the associated CMUs which have been allocated to it.
- You may notice that some of these CMUs have “**OMW**” as the Capacity; this would indicate the CMUs are still Conditionally Prequalified and will need to become Prequalified before the CMUs can participate in the Auction. There is more information on this later in the document.
- If you are satisfied all of the CMUs you wish to allocate to the “**Bidding Company**” are included, select “**Return to Overview**” below the “**Associated CMUs**” table.

Edit Bidding Companies

Select Bidding Company : **Load** **Add**

- CM Auction New Bidding Company Ltd
- CM Sub Auction 1 Ltd
- CM Sub Auction 2 Ltd
- CM Sub Auction 3 Ltd

Edit Bidding Companies

Select Bidding Company : **Load** **Add**

Company Details

Company name

Authorised Individuals

Associated CMUs

CMU ID	Classification	Capacity
AUC111	CMRS	675.000 MW
AUC222	CMRS	0 MW
AUC333	NON_CMRS	42.847 MW
AUC444	NON_CMRS	11.336 MW
AUC555	NON_CMRS	0 MW

Return to overview

5 Bidder Management (Slide 9/17)

Updating “Authorised Individuals” (1/5)

- “**Authorised Individuals**” (AI's) act upon the Bidding CMU to place an Exit Bid and/or a Duration Bid Amendment during the Auction.
- AI's must be created and allocated to the Bidder Company in the EMR DB Portal before 17:00, 10 Working Days prior to the Auction.
- It is not possible to allocate AI's after this time, therefore the next few slides are important to ensure the correct AI's are operating on behalf of the correct Bidder CMUs.
- One Bidding Company is allowed up to 4 Authorised Individuals assigned, with the minimum recommended by the Delivery Body of 2
- Authorised Individuals receive their unique Auction System credentials from the EMR DB Portal
- These credentials are used to login into the separate Auction System area, a link is provided in the EMR Portal area AI's receive their Auction credentials

5 Bidder Management (Slide 10/17)

Updating “Authorised Individuals” (2/5)



MY AUCTIONS

To review the AI's allocated to a “Bidding Company” go to “My Auctions”

Once within My Auctions, go to “Bidding Company Management”

Bidding Company Management

Select Auction

Select Auction

Confirm

Select the relevant Capacity Auction from the dropdown list, selecting “Confirm” to show the CMUs.

5 Bidder Management (slide 11/17)

Updating "Authorised Individuals" (3/5)

CMU ID	CMU Type	Capacity	Company	Bidding Company Name	
AUC111	Existing Generating CMU	675.000 MW	CM Auction Team Limited	CM Auction New Bidding Company Ltd	CM Aur ▼
AUC222	New Build Generating CMU	95.140 MW	CM Auction Team Limited	CM Auction New Bidding Company Ltd	CM Aur ▼
AUC333	Existing Generating CMU	42.847 MW	CM Auction Team Limited	CM Auction New Bidding Company Ltd	CM Aur ▼
AUC444	Existing Generating CMU	11.336 MW	CM Auction Team Limited	CM Auction New Bidding Company Ltd	CM Aur ▼
AUC555	New Build Generating CMU	38.056 MW	CM Auction Team Limited	CM Auction New Bidding Company Ltd	CM Aur ▼
AUC666	New Build Generating CMU	44.256 MW	CM Auction Team Limited	CM Auction New Bidding Company Ltd	CM Aur ▼
AUC777	Refurbishing Generating CMU	Pre: 475.647 MW / Post: 562.207 MW	CM Auction Team Limited	CM Auction New Bidding Company Ltd	CM Aur ▼

Previous 1 Next Show 30 entries Showing 1 to 10 of 10 entries

Edit Companies Auction Menu

In the overview screen, select "Edit Companies"

From the dropdown list, select the "Bidding Company" that you wish to review the AI's for and select "Load" to view the information

Edit Bidding Companies

Select Bidding Company : **Load**

- CM Auction New Bidding Company Ltd
- CM Sub Auction 1 Ltd
- CM Sub Auction 2 Ltd
- CM Sub Auction 3 Ltd

5 Bidder Management (Slide 12/17)

Updating “Authorised Individuals” (4/5)

Edit Bidding Companies

Select Bidding Company : CM Auction New Bidding C... Load Add

Company Details

Company name
CM Auction New Bidding Company Ltd

Authorised Individuals

× Main Admin × Deputy AdminOne × Deputy AdminTwo

Delete Company Save Changes

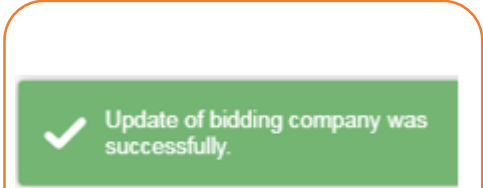
The “Authorised Individuals” box shows all of the AI's who have already been allocated to a “Bidding Company”

To remove an AI from a “Bidding Company” simply select the user you wish to remove by pressing “X”

Edit Bidding Companies

Select Bidding Company : Select bidding company... Load Add

- CM Auction New Bidding Company Ltd
- CM Sub Auction 1 Ltd
- CM Sub Auction 2 Ltd
- CM Sub Auction 3 Ltd



Select “Save Changes” to complete the process. The green pop-up message will confirm the changes have saved.

5 Bidder Management (slide 13/17)

Updating “Authorised Individuals” (5/5)

If a Bidder company has an EMR DB Portal user set up, who has been made an “**Authorised Individual**” previously, they should appear in the list of options to add.

To check, click into the “**Authorised Individuals**” field of the screen and unallocated AI's will appear.

Edit Bidding Companies

Select Bidding Company :

Company Details

Company name

Authorised Individuals

✓ Update of bidding company was successfully.

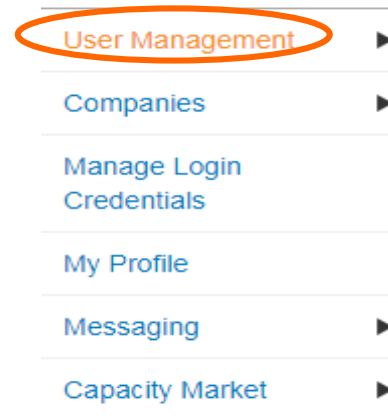
If the user is there, select them and press “**Save Changes**”. The green pop-up message will appear to show the amendment has been saved

If there is not an alternative AI or you wish to allocate another EMR DB Portal user (or new user) to the “**Bidding Company**”, please refer to the next slides as to how these are created.

5 Bidder Management (Slide 14/17)

Updating Existing User to be an Eligible AI

- If there is an existing user of the EMR DB Portal that the Bidder company wishes to be made an AI, they can update the user's privileges in the **"User Management"** section of the EMR DB Portal.
- Go to **"User Management"**, select the user you wish to update and select **"Manage"**.
- On the next screen, there is a section which indicates if the user is currently an **"Authorised Individual"**; this should be blank if the user did not appear in the previous option for the **"Bidding Company"**.
- Tick the box for **"Authorised Individual"** and then **"Save Changes"**.



Role*

Authorised Individual

Agent

Privileges Operator Approver Viewer

Status

* Required field

User type	
Deputy Main Admin	Manage
Deputy Main Admin	Manage
User	Manage
Main Admin	Manage

Country*

Mobile number*

Landline number

Role*

Authorised Individual

Agent

Privileges Operator Approver Viewer

Status

* Required field

: Processing...

Please wait while request is being processed...

5 Bidder Management (Slide 15/17)

Creating a New User to be an Eligible AI

- If the Bidder company wishes to have an AI that does not currently have an EMR DB Portal account, they will need to set up a new user accordingly.
- On the left hand menu of the EMR DB Portal, a main administrator should have the option on “User Management” to expand the menu, using the arrow, which then displays the option to “Add New EP User”.
- The “User Management” screen will then appear and the main administrator can set up the new EP user. Please refer to our other guidance found here for information on user types (e.g. Main admin, Deputy main admin, User), however for the purposes of participating in the Auction, the “Authorised Individual” option must be ticked to make them available.

User Management ▶
Companies ▶
Manage Login Credentials
My Profile
Messaging ▶
Capacity Market ▶

User Management ▼
Add New EP User

User management

Team*	CM ▼	Last Name*	Bloggs
First Name*	Joe	Confirm email address*	joe.bloggs@email.com
Email address*	joe.bloggs@email.com	Country code*	44
Country*	United Kingdom ▼	Confirm mobile number*	12345678910
Mobile number*	12345678910		
Landline number			
Role*	User ▼		
Authorised Individual	<input checked="" type="checkbox"/>		
Agent	<input type="checkbox"/>		
Privileges	Operator <input type="checkbox"/> Approver <input type="checkbox"/> Viewer <input checked="" type="checkbox"/>		
Status	Active ▼		

* Required field

Cancel Submit

5 Bidder Management (slide 16/17)

Updating “Bidding Company” with a new AI

- Once the updates have been made in “**User Management**”, return to the “**My Auctions**” section of the EMR DB Portal, select “**Bidding Company Management**”, select the relevant Auction from the dropdown list and select “**Confirm**”.
- Select “**Edit Companies**” at the bottom of the summary page and select the relevant “**Bidding Company**”, followed by “**Load**”.
- The user that has been updated to an AI should now be visible in the options to add.
- Select the user and “**Save Changes**” to update the AI's.
- The Delivery Body recommends that all “**Bidding Companies**” have at least AI's allocated, with a maximum of four allowed.

The screenshot displays the EMR DB Portal interface. At the top, there is a green header with a gavel icon and the text "MY AUCTIONS". Below this is a grey box containing "Bidding Company Management". A dropdown menu labeled "Select Auction" is visible, with a "Confirm" button below it. Further down, there is a box labeled "Edit Companies" and another section titled "Edit Bidding Companies" with a dropdown menu for "Select Bidding Company" and "Load" and "Add" buttons. At the bottom, there is a section for "Company Details" with a text input field for "Company name" containing "CM Auction New Bidding Company Ltd". Below this is a section for "Authorised Individuals" with a list of users: "Main Admin", "Deputy AdminOne", and "Deputy AdminTwo". A blue bar at the bottom of the interface contains the text "EP User".

5 Bidder Management (Slide 17/17)

Comms from the Delivery Body pre-Auction regarding AI's and Bidder Companies

- At regular intervals from a month before, to the end of the Confirmation of Entry window for a Capacity Auction (T-10 days), the Delivery Body will review the bidder companies set up in the EMR DB Portal and the associated AI's allocated to them.
- The Delivery Body will e-mail Participants if:
 - A Bidder Company has only one AI and/or
 - A “**Main Company**” has multiple Bidder Companies that could be optimised to reduce multiple login credentials for the IT Auction System.
- As mentioned on the last slide, the Delivery Body recommends there **at least two AI's** allocated to a “**Bidding Company**” to ensure that all Bidder Companies have a contingency in place.
- Optimising of “**Bidding Companies**” can only happen where all Participant companies are set up as sub companies of a “**Main Company**” in the EMR DB Portal.
- If Participants prefer to keep the sub companies separate in the IT Auction System, this is their prerogative.
- For clarity, it is not possible to optimise Bidder Companies for the IT Auction System if the Participant companies in the EMR DB Portal were set up as separate “**Main Companies**”; i.e. separate user IDs and logins for the EMR DB Portal.

The deadline for all amendments to Bidder Companies and AI's is 17:00, 10 Working days prior to the Capacity Auction.

6 Deferred Relevant Planning Consents (slide 1/7)



Submission of Deferred Planning Consents:

Conditional reasons for participating in the Capacity Market Auction

Failure to provide relevant Planning Consents will mean Application is **“Not Prequalified”**

Who?

All New Build and Refurbishing CMUs which **Deferred Relevant Planning Consents** at Prequalification.

When?

Available after Prequalification Results are released and can be submitted up to 22 Working Days before the Auction, closing at 17:00.

Where?

All deferred Planning Consents must be submitted to the EMR DB Portal in **“My CMUs”**.

Why?

CMUs which defer the submission of Relevant Planning Consents are **“Conditionally Prequalified”** until the deferred documents are submitted and approved by the Delivery Body. A CMU that fails to provide Planning Consents by the deadline, or they do not meet the requirements, become **“Not Prequalified”**, and will not take part in the Auction.

6 Deferred Relevant Planning Consents (Slide 2/7)

What are Relevant Planning Consents?

Each Participant for a New Build CMU must declare that it has obtained or will obtain all Relevant Planning Consents required for the construction and commissioning of the Prospective Generating Plant (excluding any ancillary infrastructure associated with, but not comprised in, the Prospective Generating Plant) and has the Legal Right to use the land on which the CMU is, or will be, located. Participants must also provide a copy of the Relevant Planning Consents to the Delivery Body for assessment.

Checklist- What is required?

- **Planning Consents Declaration and Directors Certificate**- Participants that have deferred Relevant Planning Consents at Prequalification are required to complete a Planning Consents Declaration and Directors Certificate when they provide their Relevant Planning Consents, as per Rule 4.7.1(b).
- **Copy of Relevant Planning Consent**- Electronic copy of the Relevant Planning Consent(s) applicable to the CMU.
- **Supporting Technical Evidence**- If Capacity stated in the Planning Document is smaller than the Connection Capacity of the CMU, technical documentary evidence is required justifying the difference.
- **Legal Right to use the Land**- Participant needs to select the declaration on the Planning Consent tab when providing the documents.

When are Relevant Planning Consents required if deferred at Prequalification?

- New Build CMUs can defer Relevant Planning Consents until 22 Working Days before the commencement of the Capacity Auction.



6 Deferred Relevant Planning Consents (Slide 3/7)

Types of Relevant Planning Consent (as defined in the Capacity Market Rules)

Participants should ensure they have the right type of Planning Consent(s) Applicable to their CMU (see below). **Note-** a combination of Planning Consents may be applicable for certain types of CMU i.e. for an Interconnector, multiple consents may be required including a Marine Licence for the offshore element.

The EMR Delivery Body cannot provide advice on what type of Planning Consent is required for your CMU

(a) Section 36 EA 1989 consent

(b) Section 37 EA 1989 consent

(c) an Order under the Transport and Works Act 1992 or the Transport and Works (Scotland) Act 2007

(d) a Town and Country Planning Act 1990 permission or a Town and Country Planning (Scotland) Act 1997 permission and may include one or more of the same

(e) a Development Consent Order under The Planning Act 2008

(f) a deemed planning permission granted under section 90 of the Town and Country Planning Act 1990 or section 57 of the Town and Country 33 Planning (Scotland) Act 1997 in conjunction with the any other Relevant Consents (a-e)

(g) In the case of an Interconnector CMU, the corresponding consents under the law of another country or territory required for the construction of the Non-GB Part

(h) a Marine Licence under the Marine and Coastal Access Act 2009



6 Deferred Relevant Planning Consents (slide 4/7)

EMR Delivery Body Planning Consents Assessment Checks



Participant Checklist

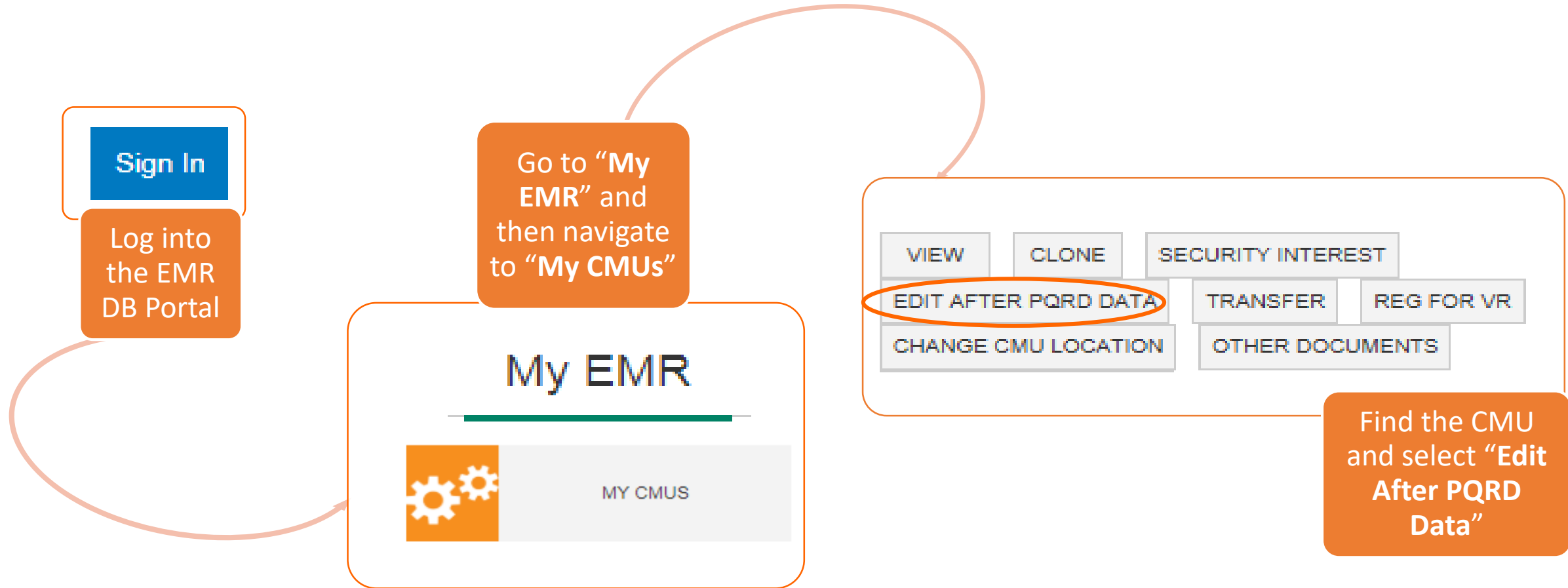
- **Planning Consents Declaration and Directors Certificate** for the CMU that deferred Planning at Prequalification
- **Planning Decision Notice** for EACH applicable Planning Consent signed and dated (electronic signature acceptable).
- **Supplementary Technical Evidence (covering letter)** confirming that any relevant Planning Conditions have been met that could otherwise restrict or inhibit development of the CMU by the start of the relevant Delivery Year

EMR Delivery Body Checks

- **Directors Certificate** correctly completed, signed by appropriate director(s) and dated.
- **Technology** matches CMU Component
- **Capacity** stated is not less than Connection Capacity of CMU.
- **Date of Grant** has not expired at time of Application or before Delivery Year Start
- **Site Address** matches the address details of the CMU Component
- **Planning Participant** details match that of the CM Participant (Covering Letter provided to explain relationship if not)
- **Full Planning** not outline Planning
- **Signed and Dated** by the Grantor
- **Planning Conditions** supplementary evidence provided confirming that conditions have been met
- **Legal Right to use the land** has been ticked

6 Deferred Relevant Planning Consents (slide 5/7)

Submitting Relevant Planning Consents documents via the EMR DB Portal (1/3)



All CM documents should be submitted via the [EMR Delivery Body Portal](#) for review (Submissions via e-mail will not be accepted)

6 Deferred Relevant Planning Consents (slide 6/7)

Submitting Relevant Planning Consents documents via the EMR DB Portal (2/3)



6 Deferred Relevant Planning Consents (slide 7/7)

Submitting Relevant Planning Consents documents via the EMR DB Portal (3/3)



All Relevant Planning Consents have been obtained and I have the Legal Right to use the land

Select the Tick Box to confirm Legal Right to use the land

Select "Submit". Then select "Yes" to the two pop up messages.

The screenshot shows a web interface with a 'Submit' button at the top, circled in orange. Below it are two pop-up messages. The first is titled 'Confirm' and asks 'Are you sure you wish to submit? Amendments are not possible once submitted', with 'Yes' and 'No' buttons, where 'Yes' is circled in orange. The second is titled 'Save the CMU' and asks 'Are you sure you want to save the CMU?', with 'Yes' and 'No' buttons, where 'Yes' is circled in orange.

7 Price-Maker Memorandum and Certificate (Slide 1/7)



Price Maker:

Allows a CMU to participate as a Price-Maker CMU (if not one already)

Participant submits a request to Ofgem to be a Price-Maker and then uploads approval to EMR DB Portal before the Capacity Auction

Who?

Price Taker CMUs that wish to be a Price-Maker in an Auction (**Existing and Interconnector CMUs**)

When?

Price-Taker CMUs can make a request to Ofgem to be a Price-Maker after receiving their Prequalification decision for an Auction. The Price-Maker Memorandum receipt and Price-Maker Certificate can only be uploaded in the confirmation of entry window for CMUs that have been granted Price-Maker status by Ofgem

Where?

Price-Maker Memorandum receipt and Price-Maker Certificate (Exhibit B) need to be uploaded to “**My Applications**” (Price-Maker status is Application level, rather than CMU level).

Why?

Bidder CMUs that would be a Price-Taker as default may need the flexibility to exit the Auction above the Price-Taker Threshold of £25/kW/year.

7 Price-Maker Memorandum and Certificate (Slide 2/7)

➤ Submitting a Price-Maker Memorandum to Ofgem:

- For the Purpose of a Capacity Auction, all CMUs are categorised as either a Price-Maker or Price-Taker CMU:
 - **Price-Maker CMU**- Can submit an Exit Bid in a Capacity Auction at any price (up to £75/kW/year), so long as the Auction has not cleared above the Exit Bid of the CMU.
 - **Price-Taker CMU**- Cannot submit an Exit Bid in excess of the Price-Taker Threshold of £25/kW/year in a Capacity Auction. They are permitted to exit the Auction at any price at or below the Price-Taker Threshold, so long as the Auction has not cleared above the Exit Bid of the CMU.
- The following CMUs always receive a “**Price-Taker**” status following a successful Prequalification Application:
 - Existing Generating CMU
 - Existing Interconnector CMU
 - Refurbishing Generating CMU (pre-refurb element)
 - New Build Interconnector CMU
 - Refurbishing Interconnector CMU (both pre & post-refurb elements)



7 Price-Maker Memorandum and Certificate (Slide 3/7)

Submitting a Price-Maker Memorandum to Ofgem:

- If an Participant for a Price-Taker CMU wishes to be a Price-Maker CMU in a Capacity Auction, they must lodge as Price-Maker Memorandum with the Authority (Ofgem) as per Rule 4.8.
- Ofgem has the following information on their website for the Price-Maker Memorandum process:
 - Guidance on how to submit a [Price-Maker Memorandum](#)
 - General information including [FAQS](#)
- Whilst the Rules do not specify a specific deadline for submitting a Price-Maker Memorandum to Ofgem, the Participant must (as per Rule 4.8.1), no later than 10 Working Days prior to the commencement of the first Bidding Round of the relevant Capacity Auction, submit:
 - The Authority's receipt of the Price-Maker Memorandum
 - Price-Maker Certificate for the CMU to the Delivery Body
- It is recommended that Participants wishing to submit a Price-Maker Memorandum to Ofgem should submit all relevant documents in advance of the Confirmation of Entry Window to ensure everything is processed in time.

For clarity, a CMU that was classed as a Price-Maker following Prequalification for the relevant Capacity Auction DOES NOT need to submit a Price-Maker Memorandum to Ofgem.



7 Price-Maker Memorandum and Certificate (Slide 4/7)



- If an Participant for a CMU has successfully applied to Ofgem to be a Price-Maker in the Capacity Auction, the Participant will need to complete an **Exhibit B: Form of Price-Maker Certificate** for each CMU that Ofgem has approved a Price-Maker status.
- The Participant should complete all of the necessary updates to the Exhibit in accordance with the instructions provided on the Exhibit itself. In particular:
 - The Participant Name and registered office
 - The Capacity Auction Application Year
 - The CMU ID and details of the relevant CMU (as per information submitted for Rule 3.4.3)
- The Price-Maker Certificate needs to be signed by two Directors (or one Director if the Participant has a sole Director) and the Exhibit must be dated and have printed Director names.

EXHIBIT B: FORM OF PRICE-MAKER CERTIFICATE

[NAME OF APPLICANT]
(Incorporated in England and Wales or Scotland under Registered No. [•])
[ADDRESS OF REGISTERED OFFICE]

[APPLICATION YEAR] Price-Maker Certificate

We, being directors of [APPLICANT] (the "Company"), HEREBY CERTIFY as at the date of this certificate that, having made due and careful enquiry and to the best of our knowledge, information and belief¹:

- (a) the Company has applied for Prequalification in a Capacity Auction in accordance with the Capacity Market Rules with respect to the following Existing Generating CMU:
- (b) [insert details of the relevant CMU as per the application information submitted pursuant to Rule 3.4.3] (the "Relevant CMU");
- (c) the Company has received notice from the Delivery Body that the Relevant CMU has Prequalified for the purposes of the Capacity Market Rules;
- (d) the Company's forecast economics are such that for the Relevant CMU to continue in economic operation into the Delivery Year will require the Company to secure a Capacity Agreement in the Capacity Auction with respect to the Relevant CMU at a Clearing Price which is above the Price-Taker Threshold; and
- (e) the Company's estimated net going forward costs with respect to the Relevant CMU (being the Company's total revenue requirement with respect to the Relevant CMU less risk-adjusted market value from sales of energy and ancillary services with respect to the Relevant CMU) exceed the Price-Taker Threshold.

The Company accordingly wishes to be a Price-Maker with respect to the Relevant CMU and has prepared a Price-Maker Memorandum which supports the statements in this certificate and lodged such Price-Maker Memorandum with the Authority.

Capitalised terms in this certificate have the meaning given to them in the Capacity Market Rules 2014 unless otherwise indicated.

DATED: [•]

Signed:

..... Director Director ²
Print Name:	Print Name:

¹ For sole director companies, substitute "I, being the director of [APPLICANT], HEREBY CERTIFY as at the date of this certificate that having made due and careful enquiry and to the best of my knowledge, information and belief".

² No second signature is required for sole director companies, see Rule 3.3.A.

242

7 Price-Maker Memorandum and Certificate (Slide 5/7)



Upload Price-Maker documents to EMR DB Portal (Slide 1/2)

- Between 15 and 10 Working Days before the Capacity Auction begins, an Participant for a CMU which has been approved by Ofgem to be a Price-Maker must upload relevant documents to the EMR DB Portal to ensure it is a Price-Maker in the IT Auction System.
- Log in to the EMR DB Portal, go to **“My EMR”** and then **“My Applications”**.
- Find the relevant Application for the CMU and select the **“Edit After PQRD Data”** button.

The screenshot shows the EMR DB Portal interface. At the top, there is a search bar and a "Sign In" button. Below the search bar is a navigation menu with links for Home, Capacity Market, Contracts for Difference, About EMR, Contact Us, and My EMR. The My EMR link is circled in orange. Below the navigation menu is a grid of application tiles. The "MY APPLICATIONS / OPT-OUTS" tile is circled in orange. Below the grid is a table with columns for Application ID, CMU Identifier, Type of CMU, and Company Name. The table contains one row with the following data: Application ID: A-T-4-2022-AUC111-00001, CMU Identifier: AUC111, Type of CMU: Existing Generating CMU, Company Name: CM Sub Aucti. The "EDIT AFTER PQRD DATA" button is circled in orange.

Application ID	CMU Identifier	Type of CMU	Company Name
A-T-4-2022-AUC111-00001	AUC111	Existing Generating CMU	CM Sub Aucti

7 Price-Maker Memorandum and Certificate (Slide 6/7)



Upload Price-Maker documents to EMR DB Portal (Slide 2/2)

- Go to the “**Price Maker Info**” tab of the Application.
- Upload the Price-Maker Certificate and the Price-Maker Memorandum receipt to the relevant fields (Use a ZIP file if you need to upload multiple documents to a field).
- Once you are satisfied, select the “**Submit**” button, followed by “**Yes**” on the confirmation pop-up.
- The Participant will receive a green pop-up message to confirm the upload was successful.

Landing Page Company and CMU Summary Page Application Page Credit Cover **Price Maker Info** Confirmation of Entry

Price Maker Status of the CMU *

Price Taker

Price Maker Certificate *

If wishing to become a Price maker, please upload a Price Maker Certificate

Choose File No file chosen

Price Maker Memorandum Receipt *

If wishing to become a Price maker, please upload a receipt from Ofgem for a Price Maker Memorandum

Choose File No file chosen

Save

Submit

* = Mandatory fields.

Landing Page Company and CMU Summary Page Application Page Credit Cover Price Maker Info Confirmation of Entry

Price Maker Status of the CMU *

Price Taker

Price Maker Certificate *

If wishing to become a Price maker, please upload a Price Maker Certificate

Choose File Exhibit B - Price-Maker Certificate.pdf

Price Maker Memorandum Receipt *

If wishing to become a Price maker, please upload a receipt from Ofgem for a

Choose File Price-Maker Memorandum receipt.pdf

Save

Submit

* = Mandatory fields.

Confirm

Are you sure you wish to submit *Price Maker Info*?
Amendments are not possible once submitted

Yes

No

Submitted
Changes have been successfully
submitted!

7 Price-Maker Memorandum and Certificate (Slide 7/7)

Checking that Price-Maker status have been accepted by the Delivery Body



- Once the Price-Maker Certificate and Price-Maker Memorandum receipts have been submitted to the EMR DB Portal, the Delivery Body will review the documentation and will update the status of the CMU in the EMR DB Portal if the Price-Maker status is approved. This is why the Participant is not able to update the Price-Maker status themselves in the EMR DB Portal.
- The Price-Maker status of a CMU is never published on the Capacity Market Register, however an Participant can log into the EMR DB Portal after the confirmation of entry window has closed to see if the CMU status has been changed accordingly.
- The Participant should also check the Price-Maker status of the CMU within the IT Auction System when they log into the Mock Auction (Scheduled for 7 Working Days before the Capacity Auction).

If the Participant believes that Price-Maker status for their CMU is incorrect, they should raise this to the Delivery Body as soon as possible to ensure the details are correct ahead of the first Bidding Round of the Capacity Auction. Please contact the EMR Delivery Body using emr@nationalgrideso.com or contact us via phone on +44 (0) 1926 655300.

8 Confirmation of Entry (Slide 1/16)

Confirmation of Entry:

New Build,
Refurbishing
and DSR
CMUs

T-15 to T-10 prior
to the Capacity
Auction

CMU specific
actions to
complete in
addition to
confirming
entry

Who?

All New Build, Refurbishing and DSR CMUs

When?

From 09:00, 15 Working Days to 10 Working Days before the Auction, closing at 17:00.

Where?

All Prequalified CMUs, apart from Existing Generating CMUs and Existing Interconnectors CMUs, must confirm if they wish to participate as a Bidder in a Capacity Auction.

In addition to confirming entry to the Auction, there are other activities that different CMU types need to check and update in the window, such as DSR Bidding Capacity and duration at Price Cap.

8 Confirmation of Entry (Slide 2/16)

Confirmation of entry process steps per CMU Type

- Between the dates falling 15 Working Days and 10 Working Days prior to the commencement of the first Bidding Window of the Capacity Auction, the Participant for each Prequalified New Build CMU, Refurbishing CMUs or DSR CMUs, must confirm if it will participate as a Bidder in the Auction.
- If an Participant for one of these CMUs misses the deadline or chooses to not complete any action, the CMU will not take part in the Auction.
- If a CMU has a Prequalification status that is either “Conditionally Prequalified”, ”Not Prequalified” or “Rejected”, it will not be possible to confirm entry into the Auction.
- In addition to this, there are additional steps these types of CMU can complete in the confirmation of entry window depending upon the type of Auction and the requirements of the Participant.
- Below are links to the different CMU types for the specific information (Ctrl+Click to follow).

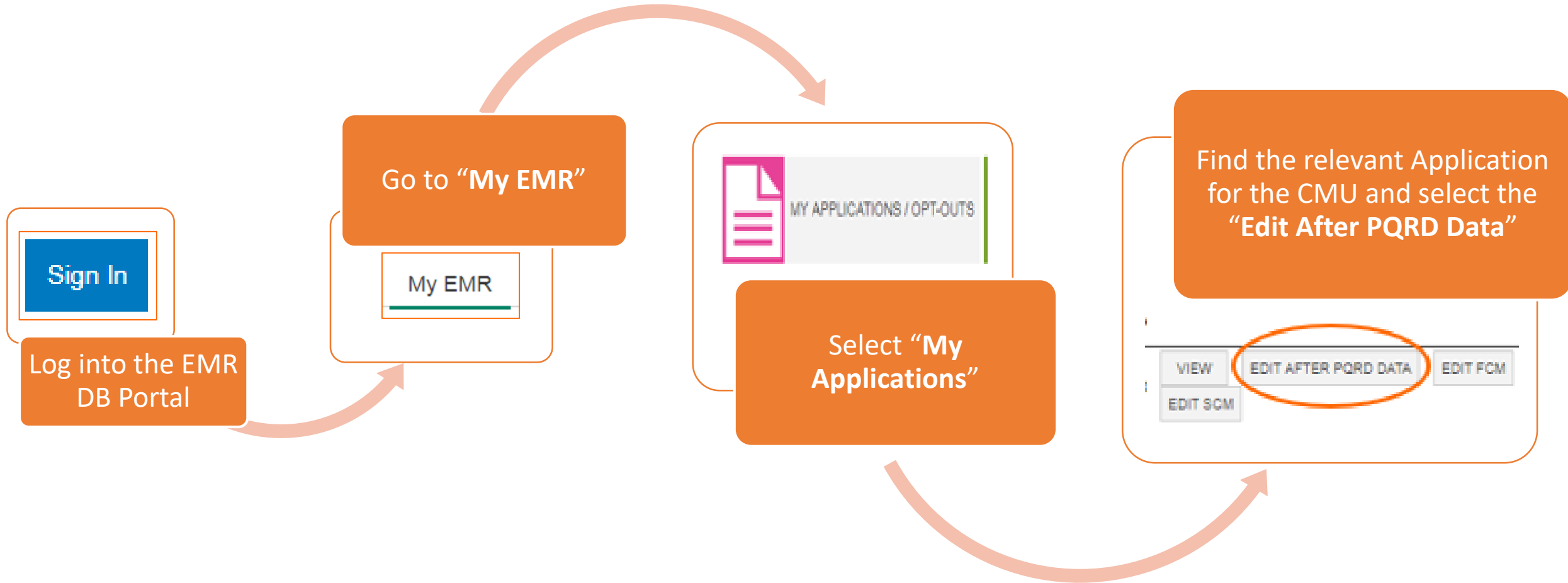
New Build CMUs

Refurbishing CMUs

DSR CMUs

8 Confirmation of Entry (Slide 3/16)

Confirmation of entry process for a New Build CMU (Slide 1/2)



8 Confirmation of Entry (Slide 4/16)

Confirmation of entry process for a New Build CMU (Slide 2/2)

Confirmation of Entry

Navigate to the "Confirmation of Entry" tab of the Application

The radio button defaults to "No", therefore if a Participant chooses not to complete any action, the CMU will be omitted from the Auction

Confirmation of Entry *
Please select "Yes" if you wish
Please select "No" if you do not
 Yes No

Confirmation of Entry *
Please select "Yes" if you wish
Please select "No" if you do not
 Yes No

* = Mandatory fields.

To participate in the Auction, select the "Yes" radio button and then "Submit"

On the pop-up message select "Yes" if happy to confirm entry. A green pop-up message will appear to confirm entry into the Auction.

Confirm ✕
Are you sure you wish to submit *Confirmation of Entry*?
Amendments are not possible once submitted
 Yes No

8 Confirmation of Entry (Slide 5/16)

T-4 Auction Only: Duration at Price Cap for New Build Generating CMU (Slide 1/3)

A New Build Generating CMU can receive a Capacity Agreement of up to 15 years in duration from a T-4 Capacity Auction

Sign In

Log into the EMR DB Portal

Go to "My EMR" and then navigate to "My Applications"

My EMR



MY APPLICATIONS / OPT-OUTS

VIEW

CLONE

SECURITY INTEREST

EDIT AFTER PQRD DATA

TRANSFER

REG FOR VR

CHANGE CMU LOCATION

OTHER DOCUMENTS

Find the relevant Application for the CMU and select the "Edit After PQRD Data" button

In the confirmation of entry window, a Participant can confirm or amend the duration at Price Cap they were awarded in Prequalification ahead of the Capacity Auction

8 Confirmation of Entry (Slide 6/16)

T-4 Auction Only: Duration at Price Cap for New Build Generating CMU (Slide 2/3)

Please contact the Delivery Body immediately if you think this is incorrect

Length of Agreement

Length of Agreement at Price Cap *

Please enter the length of agreement (in a whole number of years) that you would require at the end of the period

15

On the screen the “Length of Agreement at Price Cap” value is displayed and should reflect the duration published in the Capacity Market Register and the Prequalification results letter

A Participant can amend the duration, however if they enter a value greater than the duration awarded in Prequalification, they will receive an error message

Length of Agreement at Price Cap

Please enter the length of agreement (in a whole number of years) that you would require at the end of the period

12

Length of Agreement at Price Cap *

Please enter the length of agreement (in a whole number of years) that you would require at the end of the period

20

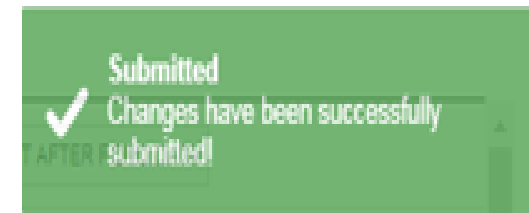
The value should be lower or equal to Maximum Obligation Period (15).

8 Confirmation of Entry (Slide 7/16)

T-4 Auction Only: Duration at Price Cap for New Build Generating CMU (Slide 3/3)

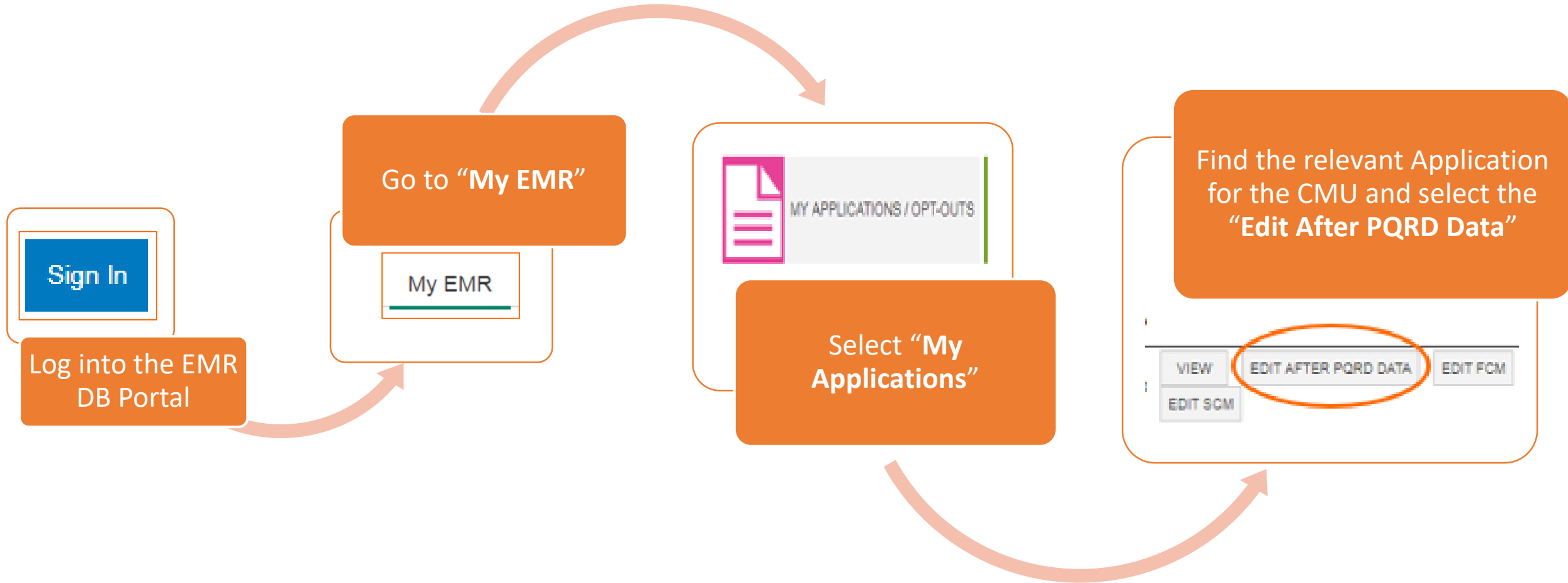
- If you are happy with the value entered into the “**Length of Agreement at Price Cap**” field, select the “**Submit**” button and then on the following pop-up message, select “**Yes**”.
- The Participant should then receive a green pop-up message to confirm the “**Length of Agreement at Price Cap**” has been successfully submitted.
- For information, in the Capacity Auction an Participant will have opportunity to submit a Duration Bid Amendment which means they can reduce the length of agreement of a potential Capacity Market Agreement to one year.
- It is not possible to reduce from maximum obligation period awarded to a smaller multi-year duration during the Auction (e.g. from 15 years to 10 years); you must start the Auction with the multi-year period you need.

The screenshot shows a web application interface with a navigation bar at the top containing: Landing Page, Company and CMU Summary Page, Application Page, Credit Cover, Price Maker Info, Milestones, Confirmation of Entry, and Length of Agreement. The main content area is titled "Length of Agreement at Price Cap *". Below the title is a text instruction: "Please enter the length of agreement (in a whole number of years) that you would require should the auction clear at the price cap. This value should be less than or equal to the Maximum Obligation Period". A text input field contains the number "15". Below the input field is a "Submit" button, which is circled in orange. Below the button is a note: "* = Mandatory fields." A white confirmation pop-up window is overlaid on the right side of the screen. The pop-up has a title bar "Confirm" with a close button (x). The text inside the pop-up asks: "Are you sure you wish to submit Length of Agreement? Amendments are not possible once submitted". At the bottom of the pop-up are two buttons: "Yes" and "No". The "Yes" button is circled in orange.



8 Confirmation of Entry (Slide 8/16)

Confirmation of entry for a Refurbishing CMU (Slide 1/2)



8 Confirmation of Entry (Slide 9/16)

Confirmation of entry for a Refurbishing CMU (Slide 2/2)

- A Refurbishing CMU will need to confirm if they wish to enter the Capacity Auction for both the pre and post Refurbishing state of the CMU.
- The Participant should go to the specific tabs and select whether the CMU is confirming entry for either section of the CMU.
- As with New Build CMUs, the radio button defaults to “No”, therefore if an Participant chooses not to complete any action, the CMU will be omitted from the Auction.
- An Participant may choose to confirm entry to both parts, one part or neither in the confirmation of entry window (the screenshot shows confirmation for post Refurbishing, non-confirmation for pre Refurbishing).
- An appropriate green pop-up message will appear to confirm the action taken.

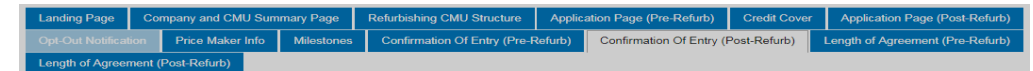


Applicant Company
CM Sub Auction 2 Ltd

CMU
AUC777
Auction 777

Auction
Auction Team Demo v1.0

* - Mandatory fields.



Post-Refurbishment Confirmation of Entry *
Please select "Yes" if you wish to participate in the selected upcoming Capacity Market Auction for the Post-Refurbishment element of this Refurbishing CMU. Please select "No" if you do not wish to participate in the selected upcoming Capacity Market Auction for the Post-Refurbishment element of this Refurbishing CMU.

Yes No

Submit

* - Mandatory fields.

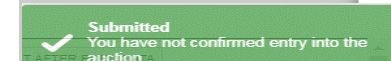


Pre-Refurbishment Confirmation of Entry *
Please select "Yes" if you wish to participate in the selected upcoming Capacity Market Auction for the Pre-Refurbishment element of this Refurbishing CMU. Please select "No" if you do not wish to participate in the selected upcoming Capacity Market Auction for the Pre-Refurbishment element of this Refurbishing CMU.

Yes No

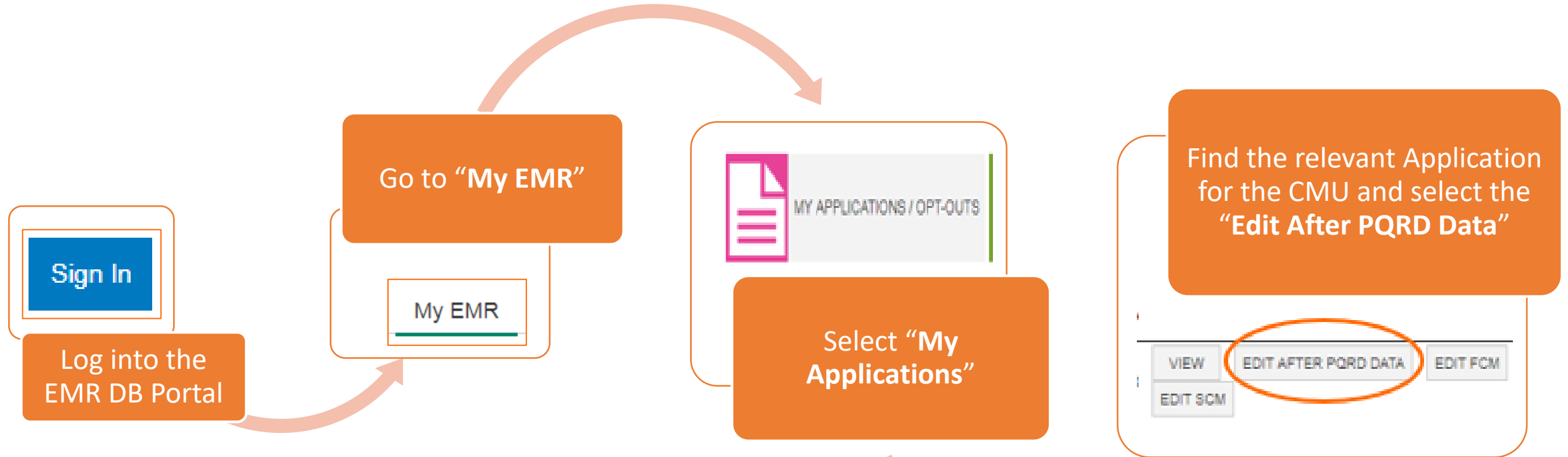
Submit

* - Mandatory fields.



8 Confirmation of Entry (Slide 10/16)

T-4 Auction only: Duration at Price Cap for Refurbishing Generating CMU (Slide 1/2)



A Refurbishing Generating CMU can receive a Capacity Agreement of up to 15 years in duration from a T-4 Capacity Auction.

In the confirmation of entry window, a Participant can confirm or amend the Duration at Price Cap they were awarded in Prequalification ahead of the Capacity Auction

8 Confirmation of Entry (Slide 11/16)

T-4 Auction only: Duration at Price Cap for Refurbishing Generating CMU (Slide 2/2)

- Go to the “Length of Agreement (Post-Refurb)” tab of the Application.
 - On the screen the “Post-Refurbishing Length of Agreement at Price Cap” value is displayed and should reflect the duration published on the Capacity Market Register and the Prequalification result letter.
- Please contact the Delivery Body immediately if you think this is incorrect.
- An Participant can amend the duration however if they enter a value greater than the duration awarded in Prequalification, they will receive an error message.
 - Once submitted, a green pop-up message will appear to confirm the submission.
 - Please note, it is not possible to amend the pre-Refurbishing duration but the tab is visible to users.

Landing Page	Company and CMU Summary Page	Refurbishing CMU Structure	Application Page (Pre-Refurb)	Credit Cover	Application Page (Post-Refurb)
Opt-Out Notification	Price Maker Info	Milestones	Confirmation Of Entry (Pre-Refurb)	Confirmation Of Entry (Post-Refurb)	Length of Agreement (Pre-Refurb)
Length of Agreement (Post-Refurb)					

Applicant Company
CM Sub Auction 2 Ltd

CMU
AUC777
Auction 777

Auction
Auction Team Demo v1.0

* = Mandatory fields.

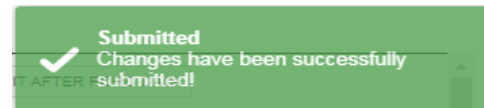
Landing Page	Company and CMU Summary Page	Refurbishing CMU Structure	Application Page (Pre-Refurb)	Credit Cover	Application Page (Post-Refurb)
Opt-Out Notification	Price Maker Info	Milestones	Confirmation Of Entry (Pre-Refurb)	Confirmation Of Entry (Post-Refurb)	Length of Agreement (Pre-Refurb)
Length of Agreement (Post-Refurb)					

Post-Refurbishment Length of Agreement at Price Cap *

Please enter the length of agreement (in a whole number of years) that you would require should the auction clear at the price cap for the post-refurbishment element of this CMU

Submit

* = Mandatory fields.



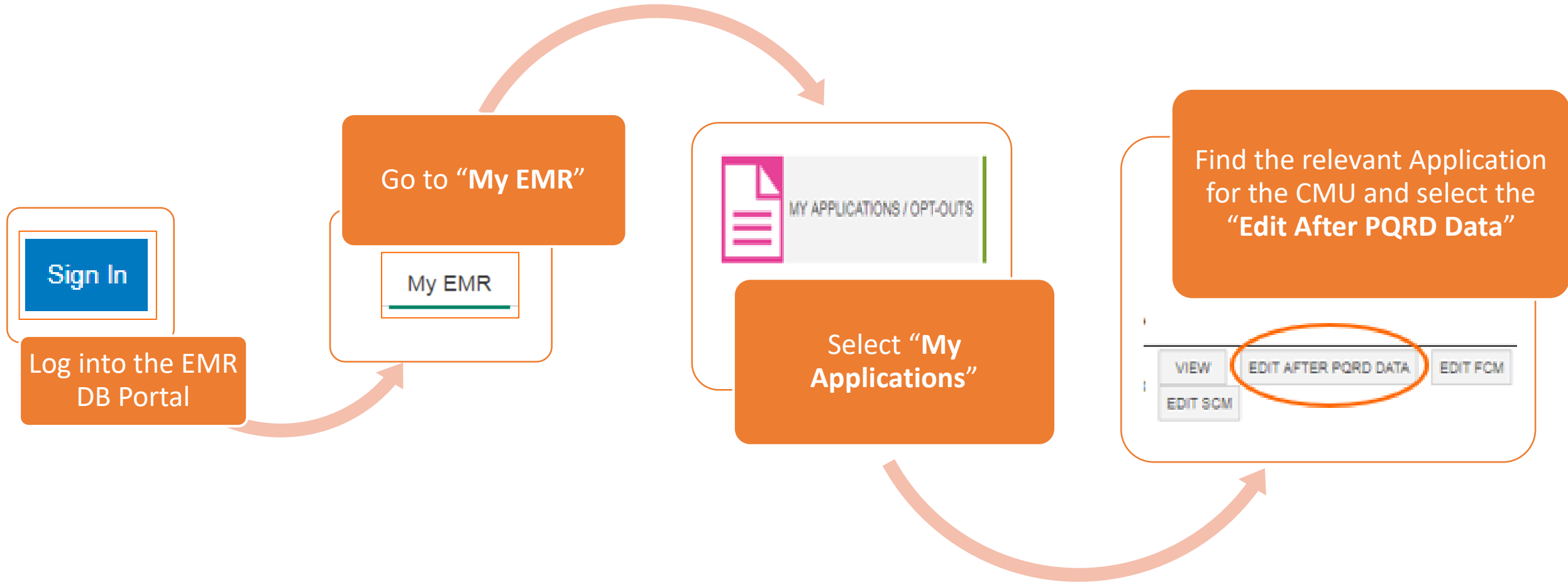
Pre-Refurbishment Length of Agreement at Price Cap *

Please enter the length of agreement (in a whole number of years) that you would require should the auction clear at the price cap for the pre-refurbishment element of this CMU

* = Mandatory fields.

8 Confirmation of Entry (Slide 12/16)

Confirmation of entry for a DSR CMU (Slide 1/2)



8 Confirmation of Entry (Slide 13/16)

Confirmation of entry for a DSR CMU (Slide 2/2)

- Go to the “Confirmation of Entry” tab of the Application.
- The radio button defaults to “No”, therefore if an Participant chooses not to complete any action, the CMU will be omitted from the Auction.
- If the Participant wishes to confirm entry, select the “Yes” radio button, and select “Submit”. On the pop up message select “Yes” if happy to confirm entry.
- A green pop-up message will appear to confirm entry to the Auction for the CMU.

Landing Page Company and CMU Summary Page Application Page Credit Cover Price Maker Info **Confirmation of Entry** DSR Bidding Capacity

Applicant Company
CM Sub Auction 3 Ltd

CMU
AUC996
Auction 996

Auction
Auction Team Demo v1.0

* - Mandatory fields.

Confirmation of Entry *
Please select "Yes" if you wish to participate in the selected upcoming Capacity Market Auction for this CMU
Please select "No" if you do not wish to participate in the selected upcoming Capacity Market Auction for this CMU

Yes No

Submit

* - Mandatory fields.

Confirm
Are you sure you wish to submit *Confirmation of Entry*?
Amendments are not possible once submitted

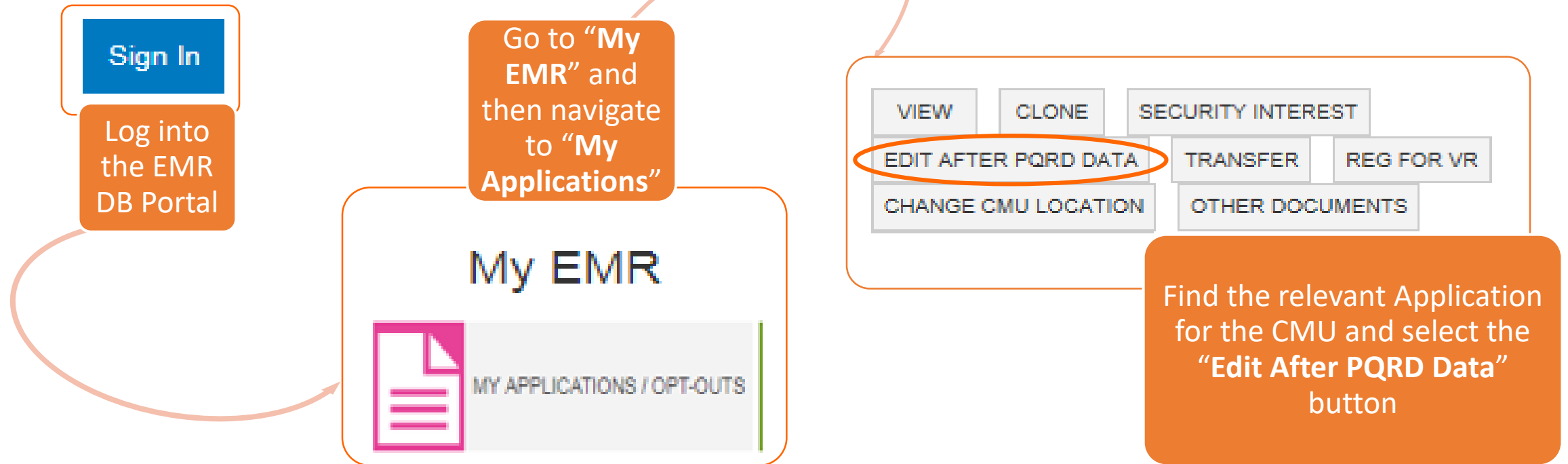
Yes No

Submitted
Your application entry is confirmed!

8 Confirmation of Entry (Slide 14/16)

DSR Bidding Capacity (Slide 1/3)

As per Rule 5.5.11, a DSR CMU can nominate a capacity (in MW) to bid into the Capacity Auction as long as it does not exceed the De-rated Capacity awarded in Prequalification



In the confirmation of entry window, a Participant can confirm or amend the DSR Capacity they were awarded in Prequalification ahead of the Capacity Auction

8 Confirmation of Entry (Slide 15/16)

DSR Bidding Capacity (Slide 2/3)

- Go to the “**DSR Bidding Capacity**” tab of the Application.
- The “**DSR Bidding Capacity**” displayed on the screen will reflect the De-rated Capacity awarded in Prequalification.

Please contact the Delivery Body immediately if you think this is incorrect.

- The Participant can amend this value however the value cannot exceed the original value, otherwise there will be an error message. Also, the capacity must be at least 2MW to meet the Minimum Capacity Threshold.

Landing Page Company and CMU Summary Page Application Page Credit Cover Price Maker Info Confirmation of Entry **DSR Bidding Capacity**

Applicant Company

CM Sub Auction 3 Ltd

CMU

AUC996

Auction 996

Auction

Auction Team Demo v1.0

* = Mandatory fields.

Landing Page Company and CMU Summary Page Application Page Credit Cover Price Maker Info Confirmation of Entry **DSR Bidding Capacity**

DSR Bidding Capacity *

Please enter the DSR Bidding Capacity for the CMU for the relevant auction in MW. Please note that this value must be less than or equal to the DB Verified De-Rated Capacity for the CMU

12.221 MW

Save

Submit

* = Mandatory fields.

Landing Page Company and CMU Summary Page Application Page Credit Cover Price Maker Info Confirmation of Entry **DSR Bidding Capacity**

DSR Bidding Capacity *

Please enter the DSR Bidding Capacity for the CMU for the relevant auction in MW. Please note that this value must be less than or equal to the DB Verified De-Rated Capacity for the CMU

14 MW

The value should be lower or equal to DB Verified De-Rated Capacity (12.221)

Save

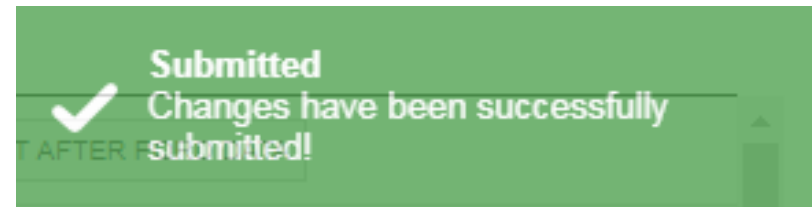
Submit

8 Confirmation of Entry (Slide 16/16)

DSR Bidding Capacity (Slide 3/3)

- Once the Participant has updated the “**DSR Bidding Capacity**” field with the MW capacity they wish to bid into the Auction, they should select the “**Submit**” button and then “**Yes**” on the confirmation pop-up message.
- A green pop-up message will appear to confirm the DSR Capacity has been submitted to the EMR DB Portal.
- Once the Capacity Market Register has been published following the confirmation of entry window, the Participant can request the partial return of credit cover from the CM Settlement Body, in accordance with Rule 5.5.13.

The screenshot shows a web interface with a navigation bar at the top containing tabs: Landing Page, Company and CMU Summary Page, Application Page, Credit Cover, Price Maker Info, Confirmation of Entry, and DSR Bidding Capacity. The main content area is titled "DSR Bidding Capacity *" and includes a text input field with the value "10" and the unit "MW". Below the input field are "Save" and "Submit" buttons, with the "Submit" button circled in red. A confirmation dialog box is overlaid on the page, titled "Confirm", with the text "Are you sure you wish to submit DSR Bidding Capacity? Amendments are not possible once submitted". The "Yes" button in the dialog is circled in red. A note below the input field states "* = Mandatory fields."





9 Accessing User Credentials to the IT Auction System (Slide 1/3)

User Credentials for the IT Auction System:

All Authorised Individuals (AI's) allocated to a "Bidding Company"

Accessed via the EMR DP Portal with individual login credentials per AI

Who?

All Authorised Individuals (AI's) allocated to participating Bidder

When?

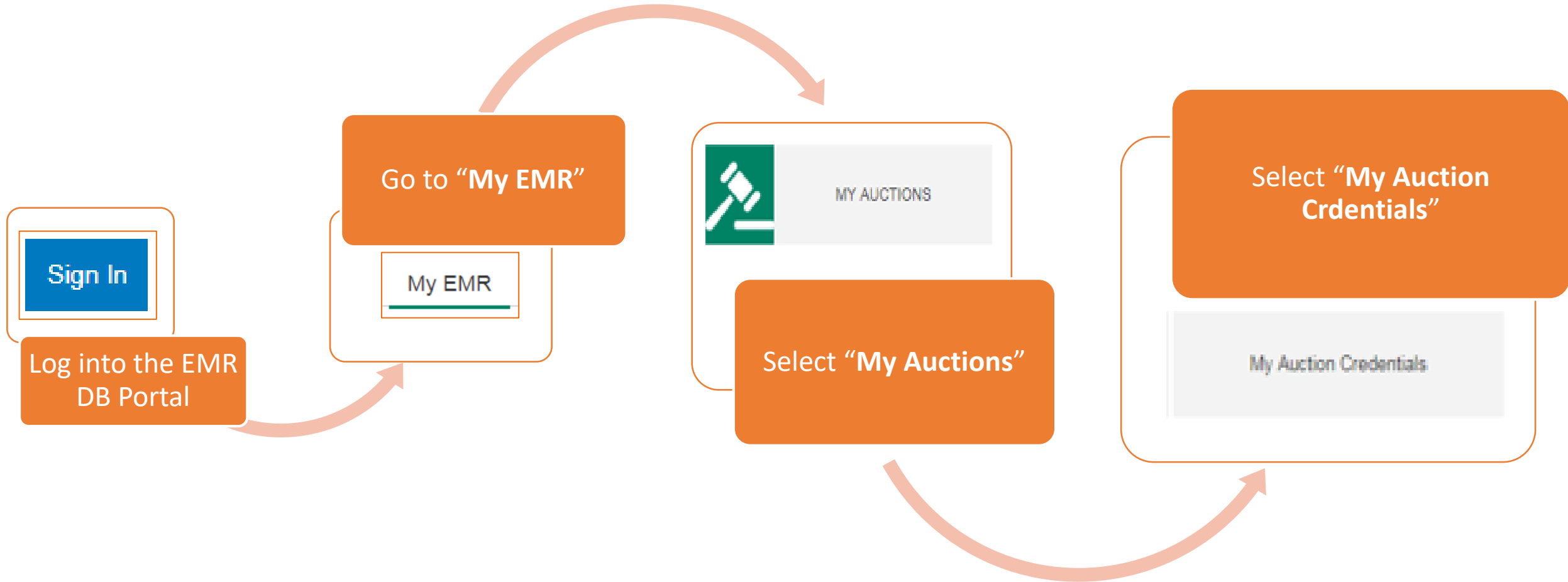
Available during the next Working Day after the confirmation of entry window has closed.

Why?

Due to the highly confidential nature of the Capacity Auction, only EMR DB Portal users which have been made an AI for a Bidder company can access credentials to the IT Auction System.

Users will have separate credentials for each Bidder company they are associated with, therefore may have to log into multiple EMR DB Portal accounts to access them.

9 Accessing User Credentials to the IT Auction System (Slide 2/3)



9 Accessing User Credentials to the IT Auction System (Slide 3/3)

- On the dropdown list, select the “Capacity Auction” which the CMU is participating in.
- Once selected from the dropdown, press the “Confirm” button.
- Select the “Bidding Company” from the dropdown list and then select “Show”.
- The username, password and PIN should then be visible to the user. It is possible to copy and paste these direct to the IT Auction System. A link is provided to the IT Auction System on the screen.
- Upon first login, the AI will be forced to change their password but the username and PIN will remain for the Capacity Auction
- The user credentials are unique to each Capacity Auction, therefore the details will be different between T-1 and T-4 Auctions.

Select Auction

Active Auction

Auction Team Demo v1.0

Select Auction

Auction Team Demo v1.0

Confirm

Select Bidding Company:

CM Auction New Bidding Company Ltd

CM Auction New Bidding Company Ltd

Show

CM AuctionSys Password

CM AuctionSys Pin

URL to Auction System :
<https://www.emrdbccapacityauction.com/>

Return to Overview

Select Bidding Company:

CM Auction New Bidding Company Ltd

Show

Auction User Name

main_admin_1731

CM AuctionSys Password

V[t\$mE@&

CM AuctionSys Pin

269548

URL to Auction System :
<https://www.emrdbccapacityauction.com/>

Return to Overview

10 Pre-Auction Activities FAQs (Slide 1/11)

General

1. We have not confirmed entry for a New Build CMU; when can I request the return of Credit Cover?
2. When will I know which CMUs have entered the Capacity Auction?
3. We had a Prequalification Tier 2 dispute overturned but were unable to confirm entry to the Auction as the CMU was Conditionally Prequalified; what happens next?

- 1) As soon as the Capacity Market Register has been published to show the CMU is not entering the Capacity Auction, and has no credit cover requirements, the Participant can request for the return of their credit cover for the EMR Settlement Body. Please refer to our credit cover guidance found [here](#) for more information.
- 2) The Delivery Body will release a Capacity Market Register following the closure of the confirmation of entry window, after 17:00, 10 Working days before the Capacity Auction. The Delivery Body will also publish a report with high level information on the CMUs taking part.
- 3) If an Participant has a Prequalification decision overturned in Tier 2 disputes but is not able to confirm entry to the Capacity Auction, the Delivery Body will offer the Clearing Price to the Participant upon the completion of the Capacity Auction, on the basis the Participant has posted Credit Cover with the EMR Settlement Body. The Participant is given 5 Working Days to Accept/Reject the offer.

Please note, if this scenario applies to an Participant, the Delivery Body will contact the Participant directly to confirm the specific steps.



10 Pre-Auction Activities FAQs (Slide 2/11)

Bidder Management (Slide 1/3)

1. I have multiple “Main Companies” on the EMR DB Portal; can I combine all of the related CMUs into a single “Bidding Company”?

2. Is it possible to remove a “Main Admin” user as an Authorised Individual (AI)?

1) No, if an Participant has multiple “**Main Companies**” in the EMR DB Portal, they cannot combine these into on “**Bidding Company**” in the IT Auction System. It is only possible to combine sub companies into one “**Bidding Company**” that sit under the same “**Main Company**” in the EMR DB Portal.

Simply put, if an Participant has multiple login credentials to the EMR DB Portal for their companies, they will have multiple login credentials to the IT Auction System.

2) Yes, you can remove a main admin as an AI in the Bidder Management screens in the EMR DB Portal. Please refer to the Bidder Management section of the guidance on updating users, found [here](#).

10 Pre-Auction Activities FAQs (Slide 3/11)

Bidder Management (Slide 2/3)

1. I have ticked the “**Authorised Individual**” button in the user management screen however the AI is not being added to my “**Bidding Company**”; am I missing something?

2. We recently changed our company name in the EMR DB Portal but the “**Bidding Company**” name is our old company name; can I change it?

- 1) During the pre-Auction activities process, this is one of the most common questions to the Delivery Body. Whilst the team will investigate potential system updates for the future, there are two stages in the process for updating users to make them an AI for a “**Bidding Company**”:
 - “**Authorised Individual**” button selected in the user management screen.
 - Add the new AI to the “**Bidding Company**” when editing. Please refer to the AI management section of the guidance found [here](#).
- 2) The default “**Bidding Company**” names are created when an Application is submitted to Prequalification, hence why the names do not update when the company name is updated in the EMR DP Portal. The Participant can create a new “**Bidding Company**” in the correct name and then add the CMUs to it. Alternatively, the “**Bidding Company**” names is only used in the IT Auction System and all official reporting and the Capacity Market Register will always use the Participant company name, so there is no obligation to make the “**Bidding Company**” name match official records.

10 Pre-Auction Activities FAQs (Slide 4/11)

Bidder Management (Slide 3/3)

1. I need to make an update to my Authorised Individuals (AIs) but the deadline has passed with the EMR DB Portal to amend them- what can I do?

2. I have created a new AI in the User Management section but they are not available to select in the Bidder Management screens- is there a problem?

1) Bidder Management is the responsibility of the Participant to manage and there is a significant window in which an Participant can make amendments to their AIs in the Bidder Management sections of the EMR DP Portal, from Prequalification Results Day through to the end of the confirmation of entry window, 10 Working Days before the Capacity Auction. As such, it is unlikely you will be allowed to make amendments after this date.

However, in exceptional circumstances the Delivery Body will consider requests from a main admin to remove access to an AI.

Please contact the Delivery Body immediately if you believe this is the case.

2) If a new user has been created to be an AI, the new user will need to complete their registration on the EMR DB Portal, which will include receiving a SMS message to receive their PIN. Please ensure a correct mobile phone number has been provided in set-up.

If the mobile number is a non-UK number and the user has not received their PIN, **please contact the Delivery Body as soon as possible to raise the problem.**

10 Pre-Auction Activities FAQs (Slide 5/11)

Relevant Planning Consents

1. Am I required to provide a Covering Letter with my Relevant Planning Consents?

2. I provided my Relevant Planning Consents at Prequalification but do I need to provide the Director's declaration too?

1) A covering letter is not mandatory to meet the requirements of Rule 4.7 (Deferred Planning Consents) but can be very helpful to the Delivery Body in its assessment of the documentation provided.

2) If an Participant has already provided Relevant Planning Consents as part of their Prequalification submission, a Director's Declaration is not required in the pre-Auction window. The declarations made as part of the Prequalification cover this requirement whereas deferred planning consents require a director's declaration as per Rule 4.7.1(b), which is specifically for deferred planning.

10 Pre-Auction Activities FAQs (Slide 6/11)

Price-Maker (Slide 1/2)

1. I am a New Build Generating CMU; do I need to complete and upload a Price-Maker Certificate?
2. Is there a deadline for when I must submit my Price-Maker Memorandum to Ofgem?

- 1) No, if you were give a Price-Maker status at Prequalification there is no action with regards to this. The only CMUs that would need to complete this action are those which were a Price-Taker and have submitted a Price-Maker Memorandum to Ofgem to participate in the Capacity Auction as a Price-Maker. The CMUs which default to Price-Takers are:
 - Existing Generating CMUs
 - All Interconnector CMUs
 - Refurbishing CMUs (pre-Refurb element only)
- 2) The overall deadline for the submission of Price-Maker documents to the EMR DB Portal is 17:00, 10 Working Days before the Capacity Auction. However, the initial submission of the Price-Maker Memorandum to Ofgem needs to be completed much earlier than this to ensure they have sufficient time to assess and approve the request, so please aim to have this activity completed before the confirmation of entry window begins.



10 Pre-Auction Activities FAQs (Slide 7/11)

Price-Maker (Slide 2/2)

1. How can I find out if any Existing CMUs have successfully applied to be a Price-Maker for a forthcoming Capacity auction?
2. Can any Price-Taker CMU request to be a Price-Maker in a Capacity Auction?

- 1) This information is not publicly available as per Rule 7.6.3, which excludes Price-Maker information from being included on the publicly available Capacity Market Register. Participants will only be able to view their Price-Maker or Price-Taker status in the IT Auction System.
- 2) All Price-Taker CMUs are allowed to submit a Price-Maker Memorandum to Ofgem, however they would need to justify the reason for the submission and there is no guarantee that the request will be approved. Please refer to the Ofgem guidance found [here](#).

10 Pre-Auction Activities FAQs (Slide 8/11)

Confirmation of entry (Slide 1/3)

1. I have an Existing CMU; do I need to do anything before the Capacity Auction to confirm I will be taking part?
2. I have tried to confirm entry for one of my New Build CMUs, but the tab is not available to select; any reason?

- 1) Once an Existing CMU has received a “**Prequalified**” status following Prequalification, the CMU is automatically entered into the Capacity Auction it has Prequalified for. If the Participant wishes to be a Price-Maker, they will need to complete the Price-Maker activities. The Delivery Body would also recommend the Participant checks their Bidder Management screens to ensure there are two Authorised Users (AIs) allocated to the “**Bidding Company**”.
- 2) There could be a number of reasons why the Participant cannot confirm entry to a Capacity Auction:
 - The confirmation of entry window is yet to open
 - The CMU does not have a “**Prequalified**” status
 - The confirmation of entry window has closed

Please contact the Delivery Body urgently, if you encounter any issues during the confirmation of entry window (15-10 Working Days before the Auction).

10 Pre-Auction Activities FAQs (Slide 9/11)

Confirmation of entry (Slide 2/3)

1. Due to a change in circumstances since Prequalification Results Day, I no longer want to participate in the Capacity Auction. What do I need to do to avoid participating and potentially getting an Agreement that I do not want?

- 1) Depending on the type of CMU that the Participant has, there are different opportunities to remove themselves from the Auction process or to reduce the likelihood of receiving an Agreement the CMU does not want, in the absence of an Auction Withdrawal Notice:
- If the Participant was Conditionally Prequalified and needed to lodge credit cover and/or Relevant Planning Consents, and has yet to do so, they could choose to miss the deadline. The CMU would become “**Not Prequalified**” and would not enter the Capacity Auction.
 - If the CMU was Prequalified but required to confirm entry (New Build, Refurbishing or DSR) they could choose to select the “**No**” option on the “**Confirmation of Entry**” screen in the EMR DB Portal screen for the CMU, meaning they will not enter the Capacity Auction. Please refer to the [Confirmation of Entry](#) section of the guidance.
 - If the Participant did nothing, the CMU would also default to the “**No**” option on the “**Confirmation of Entry**” screen and would not be entered into the Capacity Auction.
 - If the CMU was an Existing CMU, it would be entered into the Capacity Auction. In this instance, the Participant could request to be a Price-Maker to allow them to exit the Capacity Auction at the Price Cap (£75/kW/year), however the Participant would need to submit an Exit Bid in the IT Auction System. Please refer to the [Price-Maker](#) section of the guidance.

10 Pre-Auction Activities FAQs (Slide 10/11)

Confirmation of entry (Slide 3/3)

1. My New Build Generating CMU Prequalified for a 15 year obligation for a T-4 Auction but I only want a 10 year agreement; is this something I can change in the Confirmation of Entry window or during the Capacity Auction?
2. If I were to submit a DSR Bidding Capacity less than my De-rated Capacity; does this get De-rated?

- 1) If an Participant has Prequalified for a multi year agreement (3 or 15 years) for a T-4 auction but wishes to change the duration it begins the Capacity Auction with, this is done in the Confirmation of Entry window. Guidance on this process can be found here for these CMU type:
 - [New Build Generating CMUs](#)
 - [Refurbishing Generating CMUs](#)For information, a Bidder can submit a Duration Bid Amendment in the Capacity Auction (T-4 only) to reduce the duration of the agreement if the price falls below a certain level, however the duration would change to **One Year Only**.
- 1) DSR Bidding Capacity submitted in the confirmation of entry window does not get De-rated but must be greater than the Minimum Capacity Threshold of 2MW. For more guidance, please refer to the [DSR confirmation of entry](#) section of the guidance.



10 Pre-Auction Activities FAQs (Slide 11/11)

Accessing IT Auction System Credentials

1. I took part in the Capacity Auction last year; will my credentials still work?
2. I cannot find my credentials in the EMR DB Portal; am I able to participate as an AI for my company?
3. I have selected the Auction but the fields on the credentials screen are blank; is there a problem?

- 1) No, the IT Auction System credentials are unique to each Capacity Auction. If you are an Authorised Individual (AI) for the Capacity Auction the credentials will be available for you in the EMR DB Portal. See this section of the [guidance](#) for more details.
- 2) If the IT Auction System credentials have not been released yet, the details will not be available in the EMR DB Portal. The Delivery Body will notify users once they are available.
If they credentials have been released but the user does not have the auction to select in the credentials page, it means they have not been set up as an AI for the Capacity Auction.
- 3) If you have been able to select the relevant Capacity Auction and “**Bidding Company**” it is likely you have not selected the “**Show**” button, as described in the guidance [here](#). Once this has been selected, this should display your credentials. If you have any concerns please contact the Delivery Body for assistance.

If you require any further assistance or would like to ask a question to the EMR Delivery Body, please contact us on emr@nationalgrideso.com or contact us via phone on **+44 (0) 1926 655300**. The EMR Delivery Body will endeavor to answer all questions as soon as possible.

The EMR Delivery Body hopes this guidance has been helpful in ensuring all Pre-Auction Activities have been completed.

nationalgrideso.com

Faraday House, Warwick Technology
Park,
Gallows Hill, Warwick, CV346DA