

**Compliance
Templates
for the
NYSRC
Reliability Rules**

Version 26

April 10, 2014



COMPLIANCE TEMPLATES
for the
NYSRC Reliability Rules

Version 26
April 10, 2014

New York State Reliability Council, L.L.C.

**NYSRC RELIABILITY RULE
COMPLIANCE TEMPLATES**

Table of Contents

I. INTRODUCTION 2
 TABLE 1: COMPLIANCE TEMPLATE FORMAT 5
 TABLE 2: COMPLIANCE TEMPLATE INDEX 6
II. COMPLIANCE TEMPLATES 8
III. VERSION HISTORY 82

I. INTRODUCTION

1. Foreword

This document contains the New York State Reliability Council, L.L.C. (NYSRC) Compliance Templates for the Reliability Rules for Planning and Operating the New York State Power System (Compliance Templates). The Compliance Templates are guides for use by the NYSRC and New York Independent System Operator (NYISO) by which compliance with the Reliability Rules are reviewed and evaluated.

2. Background

The mission of the NYSRC is to promote and preserve the reliability of the New York State Power System in the New York Control Area (NYCA). The NYSRC carries out its mission in accordance with the NYSRC and NYISO/NYSRC Agreements.

This mission includes developing, maintaining, and updating the Reliability Rules, which must be complied with by the NYISO and Market Participants. The Reliability Rules are contained in the document, "NYSRC Reliability Rules for Planning and Operating the New York State Power System."

The NYSRC mission also includes monitoring compliance with the Reliability Rules. NYSRC Policy 4, "Procedure for Monitoring Compliance with the NYSRC Reliability Rules," describes the compliance monitoring process. The Compliance Templates are an essential element of this process. Policy 4 describes the application of the Compliance Templates within the context of the entire NYSRC compliance review process.

The Reliability Rules, NYSRC Policy 4, Compliance Templates, and other NYSRC documents may be downloaded from the NYSRC web site, <http://www.nysrc.org>.

3. Application of the Compliance Templates

A compliance template provides the requirements for achieving full compliance with a measurement associated with one or more Reliability Rules, in addition to factors which may contribute to non-compliance. The compliance template assists those entities responsible for complying with the Reliability Rules, as well as those entities responsible for monitoring compliance with the Reliability Rules.

The NYISO is responsible for achieving compliance with all of the measurements covered by the Compliance Templates. The NYSRC Reliability Compliance Monitoring Subcommittee (RCMS) is responsible for monitoring NYISO compliance with those measurements for which the NYISO has direct responsibility for achieving compliance, using the Compliance Templates.

Market Participants (Transmission Owners, Generation Owners, Installed Capacity Providers, Blackstart Providers, Equipment Owners, Developers, and LSEs) are directly responsible for achieving compliance with certain measurements. There is a dual compliance monitoring process for these measurements. First, the NYISO is responsible for monitoring Market Participant compliance with those measurements, and is encouraged to use the Compliance Templates for this process. Second, the NYISO prepares a statement in which it certifies that it has found a Market Participant either in full compliance or non-compliance with a measurement. The certification includes the NYISO's compliance evaluation and applicable references. RCMS reviews the NYISO certification and determines whether the NYISO is subject to a finding of full compliance or non-compliance in accordance with the Compliance Templates. A non-

compliance finding is designated when the NYISO cannot certify that a market participant is in full compliance (note that the NYISO is responsible for achieving compliance with all measurements – see NYSRC Policy 4 for more details).

Since more than one measurement may be applicable to a given Reliability Rule, measurements may be addressed as a group to determine if compliance to a particular Reliability Rule is achieved.

The Compliance Templates are supplemented or revised as measurements are added or modified.

4. Compliance Template Format

The format of the compliance template is shown in Table 1. A description of each major heading in the template is included.

5. Violations of NYSRC Compliance Requirements

Non-monetary sanctions for violations of requirements stated in the compliance templates are imposed in the form of letters to the NYISO officers and/or regulatory bodies. These letters are described in Policy 4. Policy 4 also covers NYSRC procedures when compliance documentation from the NYISO is overdue.

6. Compliance Template Index

Table 2 is a Compliance Template index shows for each compliance template -- the applicable measurement, the related Reliability Rule(s), the entity responsible for complying with the measurement (applicable entity), the entity responsible for monitoring compliance, and compliance report frequency.

TABLE 1: COMPLIANCE TEMPLATE FORMAT

- **Reliability Rule Section and Measurement Number:** As in Reliability Rule document.
- **Reliability Rule Reference(s):** The number and name of related Reliability Rule(s). The wording of the Reliability Rule(s) may be found in the “NYSRC Reliability Rules for Planning and Operating the New York State Power System” Manual.
- **Measurement:** The number and exact wording of the template measurement as in the Reliability Rules document. A measurement identifies what actions are to be performed or what outcomes are to be achieved, for complying with the related Reliability Rule.
- **Compliance Monitoring Process:**
 - Compliance Documentation Reporting Responsibility: This is the entity responsible for complying with the measurement and submitting documentation showing the actions that have been performed for achieving compliance.
 - Compliance Monitoring Responsibility: This is the entity responsible for evaluating compliance documentation or certification statements to assess whether the data or other information reported complies with the requirements in the measurement. When a market participant is responsible for complying with a measurement, a dual NYISO/RCMS compliance process described in Section 3 is implemented.
 - Compliance Documentation Reporting Frequency: The frequency or timetable for providing required documentation.
- **Full (100%) Compliance:** Clear statement of compliance reporting requirements for demonstrating compliance with the measurement. The statement may include references to related Reliability Rules and measurements.
- **Levels of Non-Compliance:** In increasing levels of non-compliance. Some levels may not be applicable.
 - Level 1
 - Level 2
 - Level 3
 - Level 4
- **Full (100%) Compliance:** Clear statement of compliance reporting requirements for demonstrating compliance with the measurement. The statement may include references to related Reliability Rules and measurements.
- **Levels of Non-Compliance:** In increasing levels of non-compliance. Some levels may not be applicable.
 - Level 1
 - Level 2
 - Level 3
 - Level 4

TABLE 2: COMPLIANCE TEMPLATE INDEX

| | Measurement/ Compliance Template | Reliability Rule | Applicable Entity ¹ | Compliance Monitoring Entity or Entities ² | Reporting Frequency | Page Number |
|-----------|------------------------------------------------|---------------------|-----------------------------------|----------------------------------------------------------------|------------------------|----------------|
| A. | Resource Adequacy | | | | | |
| | A-M1 | A-R1 | ICS | RCMS | Annually | 9 |
| | A-M2 | A-R2,3 | NYISO | RCMS | Annually | 10 |
| | A-M3 | A-R2,3 | LSEs | NYISO/RCMS | Annually | 11 |
| | A-M4 | A-R2 | NYISO | RCMS | As Required | 12 |
| B. | Transmission Capability - Planning | | | | | |
| | B-M1 | B-R1-3 | NYISO | RCMS | Annually | 13 |
| | B-M2 | B-R4 | NYISO | RCMS | Annually | 14 |
| | B-M3 | B-R5 | NYISO | RCMS | Annually | 15 |
| | B-M4 | B-R6 | NYISO | RCMS | On Request | 16 |
| C. | Resource & Demand Data Requirements | | | | | |
| | C-M1 | C-R1 | NYISO | RCMS | On Request | 17 |
| | C-M2 | C-R1 | GOs | NYISO/RCMS | On Request | 19 |
| | C-M3 | C-R1 | GOs | NYISO/RCMS | On Request | 20 |
| | C-M4 | C-R2 | NYISO | RCMS | On Request | 21 |
| | C-M5 | C-R2 | ICPs | NYISO/RCMS | On Request | 23 |
| | C-M6 | C-R2 | NYISO | RCMS | Annually | 24 |
| | C-M7 | C-R3 | NYISO | RCMS | On Request | 25 |
| | C-M8 | C-R3 | NYISO | RCMS | Annually | 26 |
| | C-M9 | C-R4 | NYISO | RCMS | On Request | 27 |
| | C-M10 | C-R4 | NYISO | RCMS | On Request | 29 |
| | C-M11 | C-R4 | TOs & DEVs | NYISO/RCMS | On Request | 30 |
| | C-M12 | C-R5 | NYISO | RCMS | On Request | 31 |
| | C-M13 | C-R5 | MPs | NYISO/RCMS | On Request | 32 |
| | C-M14 | C-R2 | NYISO | RCMS | On Request | 33 |
| | C-M15 | C-R2 | RIPs | NYISO/RCMS | On Request | 35 |
| D. | Operating Reserves | | | | | |
| | D-M2 | D-R1-3 | NYISO | RCMS | On Request | 36 |
| E. | Transmission Capability - Operating | | | | | |
| | E-M1 | E-R1-3 | NYISO | RCMS | On Request | 37 |
| | E-M3 | E-R5 | NYISO | RCMS | On Request | 38 |
| | E-M4 | E-R6 | NYISO | RCMS | On Request | 39 |
| | E-M6 | E-R8 | NYISO | RCMS | On Request | 40 |
| | E-M7 | E-R8 | EOs | NYISO/RCMS | On Request | 41 |
| | E-M8 | E-R8 | NYISO | RCMS | On Request | 42 |
| | E-M9 | E-R10 | NYISO | RCMS | Annually | 43 |
| F. | Operating During Major Emergencies | | | | | |
| | F-M1 | F-R1-7 | NYISO | RCMS | On Request | 45 |
| | F-M2 | F-R1-7 | NYISO | RCMS | As Required | 46 |
| | F-M3 | F-R8 | NYISO | RCMS | On Request | 47 |
| | F-M4 | F-R8 | TOs | RCMS | On Request | 48 |
| | F-M6 | F-R5 | NYISO | RCMS | Annually | 49 |

TABLE 2: COMPLIANCE TEMPLATE INDEX (CONTINUED)

| | Measurement/ Compliance Template | Reliability Rule | Applicable Entity ¹ | Compliance Monitoring Entity or Entities ² | Reporting Frequency | Page Number |
|-----------|--------------------------------------------|---------------------|-----------------------------------|----------------------------------------------------------------|------------------------|----------------|
| G. | System Restoration | | | | | |
| | G-M1 | G-R1-2 | NYISO | RCMS | On Request | 50 |
| | G-M2 | G-R1 | TOs | NYISO/RCMS | On Request | 53 |
| | G-M3 | G-R2 | BPs | NYISO/RCMS | On Request | 55 |
| | G-M4 | G-R3 | NYISO | RCMS | On Request | 58 |
| I. | Local Reliability Rules | | | | | |
| | I-M1 | I-R1,3,4 | NYISO | RCMS | On Request | 59 |
| | I-M2 | I-R5 | NYISO | RCMS | On Request | 60 |
| | I-M3 | I-R2 | NYISO | RCMS | On Request | 61 |
| | I-M4 | I-R1-5 | NYISO | RCMS | Annually | 62 |
| | I-M5 | I-R1,3,4 | Con Edison | NYISO/RCMS | On Request | 63 |
| | I-M6 | I-R5 | LIPA | NYISO/RCMS | On Request | 64 |
| | I-M7 | I-R6 | NYISO | RCMS | On Request | 65 |
| | I-M8 | I-R6 | Con Edison | NYISO/RCMS | On Request | 68 |
| J. | NYISO Control Center Communications | | | | | |
| | J-M1 | J-R1-2 | NYISO | RCMS | On Request | 70 |
| | J-M2 | J-R2 | NYISO | RCMS | On Request | 71 |
| | J-M3 | J-R2 | NYISO | RCMS | As Required | 72 |
| K. | Reliability Assessment | | | | | |
| | K-M1 | K-R1 | NYISO | RCMS | On Request | 73 |
| | K-M2.a | K-R2 | NYISO | RCMS | Annually | 74 |
| | K-M2.b | K-R2 | NYISO | RCMS | Annually | 76 |
| | K-M2.c | K-R2 | NYISO | RCMS | On Request | 77 |
| | K-M2.d | K-R2 | NYISO | RCMS | Monthly | 78 |
| | K-M2.e | K-R2 | NYISO | RCMS | On Request | 80 |
| | K-M2.f | K-R2 | NYISO | RCMS | On Request | 81 |
| | K-M3 | K-R3 | NYISO | RCMS | Annually | 82 |

Table 4 Footnotes

- Entity responsible for achieving compliance with the measurement and submitting compliance documentation.

ICS – Installed Capacity Subcommittee
LSE – Load Serving Entity
GO – Generation Owner
ICP – Installed Capacity Provider
TO – Transmission Owner
DEV - Developer
MP – Market Participant
EO – Equipment Owner
BP – Blackstart Provider
RIP – Responsible Interface Party
- See Section 3 and Table 1, Compliance Template Format, for an explanation of the dual NYISO/RCMS compliance monitoring process.

II.
COMPLIANCE TEMPLATES

**Compliance Templates
NYSRC Reliability Rules**

RESOURCE ADEQUACY

A-M1

Reliability Rule Reference

A-R1 NYCA Installed Reserve Margin Requirement

Measurement

A-M1 The NYSRC shall periodically perform resource adequacy studies to update the required statewide installed reserve margin. A report shall be prepared providing the assumptions, procedures, and results of the study.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility: Installed Capacity Subcommittee (ICS)

Compliance Monitoring Responsibility: Review of ICS Compliance Documentation – RCMS

Compliance Documentation Reporting Frequency: On Request

Levels of Compliance

| | |
|-------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYSRC Installed Capacity Subcommittee conducted the annual resource adequacy study for the following capability period, and reported the results of the study in accordance with Measurement A-M1. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | A report was submitted, but was incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | A report was not submitted. |

Compliance Templates NYSRC Reliability Rules

RESOURCE ADEQUACY

A-M2

Reliability Rule Reference

A-R2 LSE Installed Capacity Requirement

A-R3 External Installed Capacity

Measurement

A-M2 The NYISO shall prepare a report for the next capability period showing (1) LSE installed reserve margin and capacity requirements so as to meet statewide installed reserve margin requirements, (2) LSE locational installed capacity requirements for applicable NYS zones, such as New York City and Long Island, and (3) the allowable amount of LSE ICAP requirements that may be located externally to the NYCA. The report shall include the procedures, factors, and assumptions utilized by the NYISO to determine these LSE ICAP requirements. The NYISO Installed Capacity Manual shall include procedures to establish LSE ICAP requirements.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:

NYISO

Compliance Monitoring Responsibility: Review of NYISO

Compliance Documentation – RCMS

Compliance Monitoring Reporting Frequency: Annually

Levels of Compliance

| | |
|-------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO conducted the annual analyses to establish LSE and locational installed capacity (ICAP) requirements for the next capability year. The analyses were based on NYCA ICAP requirements established by the NYSRC and utilizes models and assumptions consistent with those used by the NYSRC for its ICAP requirement study. A report was prepared in accordance with Measurement A-M2, which addresses the results of the study, models utilized, study procedures and assumptions, and other study considerations. The report demonstrates that the LSE and locational ICAP requirements established by the NYISO meets NYSRC Reliability Rules. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO report, or analyses of LSE and locational ICAP requirements, was incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Analyses of LSE and locational ICAP requirements did not meet NYSRC Reliability Rules, or did not meet NYCA ICAP requirements established by the NYSRC. |
| <input type="checkbox"/> Non-Compliance Level 4 | Analyses of LSE and locational ICAP requirements were not provided. |

Compliance Templates NYSRC Reliability Rules

RESOURCE ADEQUACY

A-M3

Reliability Rule Reference

A-R2 LSE Installed Capacity Requirement

A-R3 External Installed Capacity

Measurement

A-M3 Each LSE shall certify and maintain its ICAP obligation for the next capability period, including any locational and external installed capacity, in accordance with LSE ICAP requirements established by the NYISO Tariff and the NYISO Installed Capacity Manual.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility: Load Serving Entities

Compliance Monitoring Responsibility:

1. Review of Load Serving Entity Compliance Documentation – NYISO
2. Review of NYISO Compliance Certification – RCMS

Compliance Documentation Reporting Frequency: On Request

Levels of Compliance

| | |
|-------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | Each LSE demonstrated that it procured sufficient capacity from Installed Capacity Suppliers to meet its ICAP requirement, in accordance with Measurement A-M3. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The LSE fails to comply with NYISO requirements to demonstrate that it procured sufficient capacity to meet its ICAP obligation. |

Compliance Templates NYSRC Reliability Rules

RESOURCE ADEQUACY

A-M4

Reliability Rule Reference

| |
|------------------------------------------------|
| A-R2 LSE Installed Capacity Requirement |
|------------------------------------------------|

Measurement

| |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>A-M4 The NYISO shall notify those LSEs that are determined to be deficient in meeting their ICAP requirements, including locational installed capacity requirements, for the next capability period. This notification shall specify appropriate deficiency charges. The NYSRC shall be immediately notified of such capacity deficiencies, including any measures that may be planned to minimize reliability impacts.</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Compliance Monitoring Process

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|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Compliance Documentation Reporting Responsibility: NYISO</p> <p>Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS</p> <p>Compliance Monitoring Reporting Frequency: As Required</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Levels of Compliance

| | |
|-------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO immediately notified the NYSRC that a LSE failed to demonstrate that it meets its ICAP requirement for the next capability period, in addition to other requirements specified in Measurement A-M4. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO did not notify the NYSRC when an LSE failed to demonstrate that it meets its ICAP requirement for the next capability period. |

Compliance Templates NYSRC Reliability Rules

TRANSMISSION CAPABILITY – PLANNING

B-M1

Reliability Rule Reference

B-R1 Thermal Assessment
B-R2 Voltage Assessment
B-R3 Stability Assessment
B-R7 Fault Current Assessment

Measurement

B-M1 The NYISO shall ensure that the thermal, voltage, short-circuit, and stability performance of the NYS Bulk Power System, as planned, is in accordance with NYSRC thermal, voltage, fault duty, and stability assessment criteria, and applicable NPCC Criteria.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:
 NYISO
Compliance Monitoring Responsibility: Review of NYISO
 Compliance Documentation – RCMS
Compliance Monitoring Reporting Frequency: Annually

Levels of Compliance

| | |
|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO assessed the performance of the planned NYS bulk power transmission system in meeting thermal, voltage, fault duty and stability criteria in accordance with NYSRC Reliability Rules B-R1, B-R2, B-R3, and B-R7. These assessments must indicate that the planned NYS bulk power transmission system is compliant with Reliability Rules. Documentation of results of these reliability assessments were reported for the current year to the NYSRC in accordance with Measurement K-M2.a. |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO assessment was completed and submitted. However, the NYS bulk power transmission system was found to be non-compliant with Reliability Rules B-R1, B-R2, B-R3 or B-R7. The NYISO submitted an acceptable plan and schedule for addressing the area(s) of noncompliance. |
| <input type="checkbox"/> Non-Compliance Level 2 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO assessment was completed and submitted. However, the NYSRC bulk power transmission system was found to be non-compliant with Reliability Rules B-R1, B-R2, B-R3, or B-R7. The NYISO either failed to submit a plan and schedule to meet the Reliability Rules, or the plan was found to be unacceptable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO assessment was not submitted. |

Compliance Templates NYSRC Reliability Rules

TRANSMISSION CAPABILITY – PLANNING

B-M2

Reliability Rule Reference

| |
|--------------------------------------------|
| B-R4 Extreme Contingency Assessment |
|--------------------------------------------|

Measurement

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| B-M2 The NYISO shall assess the risks and system performance resulting from the extreme contingencies in Table B of the NYSRC Reliability Rules, and shall utilize measures, where appropriate, to reduce the frequency of occurrence of such contingencies, or to mitigate the consequences that are indicated as a result of testing for such contingencies. |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Compliance Monitoring Process

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|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Compliance Documentation Reporting Responsibility: NYISO</p> <p>Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS</p> <p>Compliance Monitoring Reporting Frequency: Annually</p> |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Levels of Compliance

| | |
|-------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO conducted the annual assessment of the risks and system performance resulting from extreme contingencies of the planned NYS bulk power transmission system in accordance with NYSRC Reliability Rule B-R4 and Measurement B-M2. Where simulations indicated that the system could become unstable, the NYISO documented measures and procedures to mitigate or eliminate the extent and effects on system performance and loss of customer demand. Documentation of results of these reliability assessments were reported for the current year to the NYSRC in accordance with Measurement K-M2.a. |
| <input type="checkbox"/> Non-Compliance Level 1 | Simulation testing was completed in accordance with B-R4; however, mitigation measures were not fully explored for all conditions analyzed. |
| <input type="checkbox"/> Non-Compliance Level 2 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | Simulation testing was not completed in accordance with B-R4. |

Compliance Templates NYSRC Reliability Rules

TRANSMISSION CAPABILITY – PLANNING

B-M3

Reliability Rule Reference

| |
|-------------------------|
| B-R5 Restoration |
|-------------------------|

Measurement

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|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>B-M3 The NYISO shall develop, maintain, and execute procedures to evaluate system expansion or reconfiguration plans and identify their impact on the NYCA SRP. This process shall be performed every year as part of the NYISO annual transmission assessment. Any impacts identified shall be described in terms of how and where the SRP may need to be modified, and made available to the NYISO Operating Group and the operating function of the appropriate transmission owners for consideration in the annual review and update of NYISO and transmission owner restoration plans as required by Reliability Rule G-R1.</p> |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Compliance Monitoring Process

| |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Compliance Documentation Reporting Responsibility: NYISO</p> <p>Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS</p> <p>Compliance Monitoring Reporting Frequency: Annually</p> |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Levels of Compliance

| | |
|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO prepared and adequately implemented a procedure to assess the impact of system expansion plans on the NYCA System Restoration Plan, in accordance with Measurement B-M3. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO prepared the required procedure, but the procedure was not adequately implemented. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO did not prepare the required procedure. |
| <input type="checkbox"/> Non-Compliance Level 4 | Not applicable. |

Compliance Templates NYSRC Reliability Rules

TRANSMISSION CAPABILITY – PLANNING

B-M4

Reliability Rule Reference

| |
|------------------------------------------------------|
| B-R6 List of NYS Bulk Power System Facilities |
|------------------------------------------------------|

Measurement

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|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| B-M4 The NYISO shall establish and maintain a procedure for developing a list of NYS Bulk Power System facilities. On request, the NYISO shall submit this procedure and list of NYS Bulk Power System facilities to the NYSRC for review. |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Compliance Monitoring Process

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|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Compliance Documentation Reporting Responsibility: NYISO</p> <p>Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS</p> <p>Compliance Monitoring Reporting Frequency: On Request</p> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Levels of Compliance

| | |
|-------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO established and maintained a procedure for developing a list of NYS Bulk Power System facilities and submitted a list of NYS Bulk Power System facilities to the NYSRC when requested, in accordance with Measurement B-M4. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | Documentation of NYISO procedures for developing and maintaining a list of NYS Bulk Power System facilities was incomplete in one or more areas, or a list of NYS Bulk Power System facilities was not submitted to the NYSRC when requested. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | Procedures for developing and maintaining a list of NYS Bulk Power System facilities was not provided. |

Compliance Templates NYSRC Reliability Rules

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M1

Reliability Rule Reference

C-R1 Verification Testing of Resource Capacity

Measurement

The *NYISO* shall establish and maintain procedures for *resource capacity* data verification testing or demonstration for all equipment utilized for providing *installed capacity* and *reactive power capacity* to the NYCA.

The data to be provided to the *NYISO* shall include *resource net dependable capacity* for all resources that are participating in the *NYISO* installed capacity market, and *reactive power capacity* for all resources that are voltage support ancillary service providers. The procedures shall include requirements for resource providers to provide to the *NYISO* the net MW at the time of the DMNC test, and the net MW and gross MVAR quantities taken simultaneously at the time of the *reactive power capability* test. These reactive power tests shall be undertaken for both leading and lagging reactive power operation.

NYISO procedures shall further require that generation equipment owners perform leading reactive power tests once every three calendar years and lagging reactive power tests once every calendar year for all generators that are voltage support ancillary service providers. These tests shall verify the maximum *reactive power capacity* offered into the voltage support service program. The AVR shall be in service at all times during the test. The resource capacity test results reported to the *NYISO* shall include the actual test date(s) for each generator and the MW output at the time of the test.

In addition, *NYISO* procedures shall include a requirement that, following leading reactive power testing, each *generation* equipment owner shall provide a certification to the *NYISO* that the data submitted for the leading reactive power test accurately demonstrates the maximum leading reactive power of the generator at the time of the test.

The *NYISO* shall provide dependable net capacity and gross reactive power capacity data to the operating function of the *Transmission Owner* that the resource connects to, within 60 calendar days following the close of the seasonal capability period or annual test period, respectively. Documentation of the *NYISO* procedures and verification results shall be provided to the *NYSRC* upon request.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:

NYISO

Compliance Monitoring Responsibility: Review of NYISO

Compliance Documentation – RCMS

Compliance Monitoring Reporting Frequency: On Request

Compliance Templates NYSRC Reliability Rules

Levels of Compliance

| | |
|-------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO established and maintained resource capacity verification procedures in accordance with Measurement C-M1. The schedule for the testing of generation equipment and the schedule for submission of the verification or tests to the NYISO was included in these NYISO procedures. The dependable net capacity and gross reactive capacity data was forwarded to the operating function of the Transmission Owner in accordance with time requirements specified in C-M1. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | Documentation of NYISO procedures for resource capacity equipment testing did not meet Measurement C-M1 requirements in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO did not provide capacity data to the Transmission Owners within the time requirements specified in Measurement C-M1. |
| <input type="checkbox"/> Non-Compliance Level 4 | Documentation of NYISO procedures for resource capacity equipment testing in accordance with Measurement C-M1 requirements were not provided. |

Compliance Templates NYSRC Reliability Rules

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M2

Reliability Rule Reference

| |
|-------------------------------------------------------|
| C-R1 Verification Testing of Resource Capacity |
|-------------------------------------------------------|

Measurement

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| C-M2 Owners of resources responsible for providing ICAP shall seasonally verify the net dependable capacity of their equipment and report these results to the NYISO in accordance with NYISO procedures and schedules as required in Measurement C-M1. |
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Compliance Monitoring Process

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| Compliance Documentation Reporting Responsibility: Generation Owners |
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Compliance Monitoring Responsibility:

1. Review of Generation Owner Compliance Documentation – NYISO
2. Review of NYISO Compliance Certification – RCMS

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| Compliance Documentation Reporting Frequency: On Request |
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Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO certified that all applicable generation owners responsible for providing ICAP verified the net dependable capacity of their equipment and reported these results to the NYISO as specified by NYISO procedures and schedules under Measurement C-M1, in accordance with Measurement C-M2. |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO certified that one generation owner did not submit complete verified dependable net capacity test results to the NYISO as required by NYISO procedures and Measurement C-M2. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO certified that two generation owners did not submit complete verified dependable net capacity test results to the NYISO as required by NYISO procedures and Measurement C-M2. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO certified that three generation owners did not submit complete verified dependable net test results to the NYISO as required by NYISO procedures and Measurement C-M2. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO certified that four or more generation owners did not submit complete verified dependable net capacity test results to the NYISO as required by NYISO procedures and Measurement C-M2. |

Compliance Templates NYSRC Reliability Rules

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M3

Reliability Rule Reference

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| C-R1 Verification Testing of Resource Capacity |
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Measurement

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| <p>C-M3 <i>Generation</i> equipment owners shall annually perform lagging reactive power tests for all generators that are voltage support ancillary service providers. <i>Generation</i> equipment owners shall perform leading <i>reactive power</i> tests once every three calendar years for all generators that are voltage support ancillary service providers. These tests shall verify the maximum reactive power capacity offered into the voltage support service program. Test results shall be reported to the <i>NYISO</i>, in accordance with <i>NYISO</i> procedures and schedules as required in Measurement C-M1.</p> |
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Compliance Monitoring Process

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| <p>Compliance Documentation Reporting Responsibility: Generation Owners</p> |
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Compliance Monitoring Responsibility:

1. Review of Generation Owner Compliance Documentation – NYISO
2. Review of NYISO Compliance Certification – RCMS

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| <p>Compliance Documentation Reporting Frequency: On Request</p> |
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Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO certified that all applicable generation owners performed tests to verify the reactive power capacity for their generators, and reported these test results to the NYISO as specified by NYISO procedures and schedules under Measurement C-M1, in accordance with Measurement C-M3. |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO certified that one or more generation owners failed to submit test results to the NYISO on schedule. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO certified that generator reactive power capacity verification testing reports were incomplete in one or more areas for one or more generator owners, as specified by NYISO procedures. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO certified that generator reactive power capacity verification tests was either not completed, or testing results not provided to the NYISO, as specified by NYISO procedures and schedules, for one or more generator owners. |

Compliance Templates NYSRC Reliability Rules

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M4

Reliability Rule Reference

C-R2 Generating Unit Availability and Special Case Resource Performance

Measurement

C-M4 The NYISO shall establish, maintain and follow procedures to address Installed Capacity Provider generating unit outage data reporting requirements and methods of processing outage data. These procedures shall be designed to provide complete, consistent and accurate data to support NYSRC and NYISO reliability studies. This data shall include, but not be limited to, forced, partial and maintenance outage statistics. NYISO outage data reporting and processing procedures shall include the following requirements:

Outage Data Reporting Procedure

1. Installed Capacity Provider generating unit outage data reporting instructions.
2. Installed Capacity Provider outage data reporting schedules.
3. Training programs for Installed Capacity Providers that focus on proper generating unit outage data collection and reporting methods for submission of accurate data to the NYISO.
4. The consequences to an Installed Capacity Provider of failing to submit complete, accurate and timely data to the NYISO.

Outage Data Processing Procedures

5. Due diligence NYISO processes for screening of all generating unit outage data received from Installed Capacity Providers. These processes shall be designed to screen outage data and replace misreported outage data or *Suspect Data* with corrected or proxy data as necessary, and shall be employed by the NYISO before the data is used in NYSRC and NYISO reliability studies. On request by the NYSRC, the NYISO shall make available for inspection documentation covering its processes for reviewing and screening outage data.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:

NYISO

Compliance Monitoring Responsibility: Review of NYISO

Compliance Documentation – RCMS

Compliance Monitoring Reporting Frequency: On Request

Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO had full documentation of its generating unit outage data reporting procedures (Requirements 1-4) and outage data processing procedures (Requirement 5), as specified in Measurement C-M4. The NYISO made available, on request, documentation describing its generating unit outage data processes. The NYISO provided documentation showing that it |
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**Compliance Templates
NYSRC Reliability Rules**

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| | has employed its generating unit outage data processes for review and screening of all reported outage data, and corrected misreported outage data or developed proxy data, as necessary,, before the data was used in NYSRC and NYISO reliability studies. |
| <input type="checkbox"/> Non-Compliance Level 1 | NYISO generating unit outage data reporting and processing procedures were provided, but were incomplete relative to one of the five requirements defined in C-M4. Following a NYSRC request, the NYISO did not make available documentation describing its outage data processes. |
| <input type="checkbox"/> Non-Compliance Level 2 | NYISO compliance documentation showed that not all reported generating unit outage data were reviewed, screened and corrected using the NYISO generating unit outage data process procedure before the data was used in NYSRC and NYISO reliability studies. |
| <input type="checkbox"/> Non-Compliance Level 3 | NYISO generating unit outage data reporting and processing procedures were provided, but were incomplete relative to two of the five C-M4 requirements defined in C-M4. |
| <input type="checkbox"/> Non-Compliance Level 4 | NYISO generating unit outage data reporting and processing procedures were provided, but were incomplete relative to three or more of the five C-M4 requirements defined in C-M4. |

Compliance Templates NYSRC Reliability Rules

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M5

Reliability Rule Reference

C-R2 Generating Unit Availability and Special Case Resource Performance

Measurement

C-M5 Installed Capacity Providers located in or serving the NYCA shall provide generating unit outage data for their generating units in accordance with NYISO procedures, tariffs and schedules for reporting outage data to the NYISO.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility: Installed Capacity Providers

Compliance Monitoring Responsibility:

1. Review of Installed Capacity Provider Compliance Documentation – NYISO
2. Review of NYISO Compliance Certification – RCMS

Compliance Documentation Reporting Frequency: On Request

Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO certified that, during the time period designated by the NYSRC, all Installed Capacity Providers reported generating unit outage data in accordance with applicable NYISO procedures, tariffs and schedules. |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO certified that an Installed Capacity Provider failed to report its generating unit outage data in accordance with NYISO data reporting schedules. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO certified that generating unit outage data from an Installed Capacity Provider was found to be misreported after the data was used in reliability studies. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO certified that generating unit outage data from a single Installed Capacity Provider was found to be misreported two or more times over a two-year period, after the data was used in reliability studies. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO certified that an Installed Capacity Provider did not report its generating unit outage data in accordance with applicable NYISO procedures and tariffs. |

Compliance Templates NYSRC Reliability Rules

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M6

Reliability Rule Reference

C-R2 Generating Unit Availability and Special Case Resource Performance

Measurement

C-M6 The NYISO shall annually prepare, from generating unit outage data received under C-M5, a document depicting outage data statistics to be specified by the NYSRC, and submitted in accordance with NYSRC time schedules.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:
NYISO
Compliance Monitoring Responsibility: Review of NYISO
Compliance Documentation – RCMS
Compliance Monitoring Reporting Frequency: Annually

Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO prepared the annual document depicting NYCA generating unit outage statistics from outage data received from Installed Capacity Providers, as specified in Measurement C-M6. This document was submitted to the NYSRC in accordance with NYSRC time schedules. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The required document depicting NYCA generating unit outage statistics was not submitted to the NYSRC. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | Not applicable. |

Compliance Templates NYSRC Reliability Rules

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M7

Reliability Rule Reference

C-R3 Load Forecasting

Measurement

C-M7 The NYISO shall have documentation identifying the scope and details of the actual and forecast (a) demand data and (b) net energy for load data to be reported for system modeling and reliability analyses. The documentation of the scope and details of the data reporting requirements shall be available to the NYSRC on request.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:

NYISO

Compliance Monitoring Responsibility: Review of NYISO

Compliance Documentation – RCMS

Compliance Monitoring Reporting Frequency: On Request

Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO prepared procedures specifying load data requirements in accordance with Measurement C-M7, which shall address the data requirements in Measurement C-M8, as well as a schedule for reporting this data. |
| <input type="checkbox"/> Non-Compliance Level 1 | Procedures specifying load data requirements were incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 2 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | Procedures specifying load data requirements were not provided. |

Compliance Templates NYSRC Reliability Rules

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M8

Reliability Rule Reference

C-R3 Load Forecasting

Measurement

C-M8 The following information shall be provided annually to the NYSRC as specified by NYISO procedures required under C-M7:

- a. Annual peak hour actual demands in megawatts (MW) and net energy for load in gigawatthours (GWh) for the prior year, on an aggregated statewide and transmission district basis.
- b. Annual peak hour forecast demands in MW (summer and winter) in MW and annual net energy in GWh for at least five years and up to ten years into the future, on an aggregated statewide and transmission owner basis. In addition, annual peak hour forecast demands for the NYCA zones, for a specified future period, will be provided to the NYSRC on request.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:

NYISO

Compliance Monitoring Responsibility: Review of NYISO

Compliance Documentation – RCMS

Compliance Monitoring Reporting Frequency: Annually

Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | Aggregated actual and forecast demand and net energy for load data was provided when requested in accordance with Measurement C-M8. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | Actual and forecast demand and energy data was not provided when requested in one or more of the areas as required by Measurement C-M8. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | No actual and forecast demand and energy data, as required by Measurement C-M8, was provided when requested. |

Compliance Templates NYSRC Reliability Rules

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M9

Reliability Rule Reference

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| C-R4 System Data Requirements |
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Measurement

C-M9. The NYISO shall establish and maintain procedures for the development and maintenance of load flow, short circuit, and stability data bases. These procedures shall:

1. Require Market Participants and Developers to report to the NYISO accurate equipment data, including changes, which affect these data bases. The procedure shall address appropriate time requirements for reporting such data.
2. Include guidelines for checking the reasonableness of equipment data (load flow, short circuit and stability data) to identify Suspect Data. The guidelines shall specify reasonable data parameters.
3. Require the NYISO to apply the guidelines in C-M9.2 to data provided to the NYISO.
4. Require the NYISO to request verification or corrections of any Suspect Data from the Market Participant or Developer that provided the data.

Compliance Monitoring Process

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| Compliance Documentation Reporting Responsibility: |
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NYISO

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| Compliance Monitoring Responsibility: Review of NYISO |
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Compliance Documentation – RCMS

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| Compliance Monitoring Reporting Frequency: On Request |
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Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO had in place procedures for the development and maintenance of load flow, short-circuit and stability data bases, including Market Participant and Developer requirements to report accurate equipment data, including changes which affect these data bases, to the NYISO, in accordance with Measurement C-M9. These procedures also addressed time requirements for reporting such data. In addition, the NYISO applied data reasonableness guidelines for all data provided to the NYISO for identifying Suspect Data, as described in C-M9, and requested verification or corrections of Suspect Data from the Market Participant or Developer that provided the data. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | NYISO procedures for development and maintenance of load flow, short-circuit, and stability data bases have been prepared, but were incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | It was determined that the NYISO did not adequately apply its guidelines for identifying Suspect Data for certain data provided by Market Participants and Developers after a review of |

Compliance Templates
NYSRC Reliability Rules

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| | equipment data used in a planning or operating study indicated that the data fell outside the range of reasonable data parameters. |
| <input type="checkbox"/> Non-Compliance Level 4 | NYISO procedures for development and maintenance of load flow, short-circuit, and stability data bases have not been prepared, or the NYISO has not prepared guidelines for identifying Suspect Data. |

**Compliance Templates
NYSRC Reliability Rules**

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M10

Reliability Rule Reference

C-R4 System Data Requirements

Measurement

C-M10 Load flow, short-circuit and stability data bases shall be updated by the NYISO on an annual basis or whenever system changes warrant an update, as specified by NYISO procedures required under Measurement C-M9. These data bases shall be made available per NYISO procedures.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:
NYISO
Compliance Monitoring Responsibility: Review of NYISO
Compliance Documentation – RCMS
Compliance Monitoring Reporting Frequency: On Request

Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | Load flow, short-circuit, and stability data bases were updated as specified by NYISO procedures and schedules, in accordance with Measurement C-M10. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | Load flow, short-circuit, or stability data bases were not updated as specified by NYISO procedures and schedules. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | None of the load flow, short-circuit, and stability data bases were updated as specified by NYISO procedures and schedules. |

Compliance Templates NYSRC Reliability Rules

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M11

Reliability Rule Reference

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| C-R4 System Data Requirements |
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Measurement

C-M11. Market Participants and Developers shall:

1. Provide to the NYISO accurate load flow, short circuit and stability data in the time frame and format as specified by NYISO procedures required under C-M9. This data will be used to maintain up-to-date data bases required under Measurement C-M10.
2. Respond to NYISO requests for data verification or correction of Suspect Data.
3. Review and check their equipment data (load flow, short circuit and stability data) within data bases provided by the NYISO to ensure accuracy.

Compliance Monitoring Process

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| Compliance Documentation Reporting Responsibility: Transmission Owners |
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| Compliance Monitoring Responsibility: |
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1. Review of Transmission Owner & Developer Compliance Documentation – NYISO
2. Review of NYISO Compliance Certification – RCMS

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| Compliance Documentation Reporting Frequency: On Request |
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Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO certified that all Market Participants and Developers provided the NYISO with load flow, short circuit, and stability data bases in accordance with Measurement C-M11. In addition, the NYISO certified that all Market Participants and Developers reviewed their data bases for accuracy and responded to NYISO requests for data verification or correction of Suspect Data. |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO certified that the required data that was provided was complete, but was not submitted to the NYISO by the specified time by one or more designated Market Participants and Developers. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO certified that the required data was submitted to the NYISO on time, but was incomplete in one or more areas for one or more designated Market Participants and Developers. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO certified that one or more Market Participants and Developers did not check the accuracy of its data, or did not respond to the NYISO for requests for data verification or correction of Suspect Data. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO certified that the required data from one or more designated Market Participants and Developers was not submitted to the NYISO. |

Compliance Templates NYSRC Reliability Rules

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M12

Reliability Rule Reference

C-R5 Disturbance Recording

Measurement

C-M12 The NYISO shall develop requirements and procedures for the installation of disturbance recording devices and the reporting of data to assist in the analysis of NYCA performance during system disturbances. The NYISO shall maintain a database of all NYCA disturbance recording device installations.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:

NYISO

Compliance Monitoring Responsibility: Review of NYISO

Compliance Documentation – RCMS

Compliance Monitoring Reporting Frequency: On Request

Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO has in place requirements and procedures for the installation of disturbance recording devices in the NYCA and the reporting of data to assist in the conduct of system disturbance analyses, in accordance with Measurement C-M12. This documentation was provided to the NYSRC on request. |
| <input type="checkbox"/> Non-Compliance Level 1 | Documentation providing NYISO requirements and procedures for the installation of disturbance recording devices and the reporting of data to assist in the conduct of system disturbance analyses was complete, but the required database of NYCA disturbance recording devices was not provided. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO had in place documentation providing requirements and procedures for the installation of dynamic recording devices and the reporting of data to assist in the conduct of system disturbance analyses, but was incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO did not have documentation providing requirements and procedures for the installation of disturbance monitoring devices and the reporting of data to assist in the conduct of system disturbance analyses. |

**Compliance Templates
NYSRC Reliability Rules**

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M13

Reliability Rule Reference

C-R5 Disturbance Recording

Measurement

C-M13 Market Participants shall install disturbance monitoring devices and report data in accordance with NYISO requirements and procedures.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility: Market Participants

Compliance Monitoring Responsibility:

1. Market Participant Compliance Documentation NYISO
2. Review of NYISO Compliance Certification – RCMS

Compliance Documentation Reporting Frequency: On Request

Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO certified that all Market Participants have installed disturbance monitoring devices and reported data in accordance with Measurement C-M13. This documentation was provided to the NYSRC on request. |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO certified that all Market Participants installed disturbance recording devices as required by NYISO procedures, but that one or more Market Participants did not report data provided by these recordings to the NYISO, as required by these NYISO procedures. |
| <input type="checkbox"/> Non-Compliance Level 2 | Not Applicable |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO certified that one or more Market Participants did not comply with NYISO requirements by failing to install disturbance recording devices as required by NYISO procedures. |
| <input type="checkbox"/> Non-Compliance Level 4 | Not Applicable |

Compliance Templates NYSRC Reliability Rules

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M14

Reliability Rule Reference

C-R2 Generating Unit Availability and Special Case Resource Performance

Measurement

C-M14 The NYISO shall establish, maintain and follow procedures to address Responsible Interface Party reporting requirements for submitting performance data for all installed capacity associated with Special Case Resources (SCRs), and requirements for calculating SCR performance. These procedures shall be designed to provide estimates of the amount of load reduction that can be expected at the time of a SCR activation for supporting NYSRC and NYISO reliability studies. NYISO SCR performance data reporting and calculation procedures shall include the following requirements:

1. Reporting requirements and instructions for Responsible Interface Parties to provide SCR performance data to the NYISO. These instructions shall include requirements that Responsible Interface Parties report data for any SCR that was required to provide load reduction for NYISO-deployed test or event.
2. Reporting schedules for Responsible Interface Parties to provide SCR performance data to the NYISO.
3. NYISO procedures for calculating and measuring SCR performance based on data received from the Responsible Interface Parties (Requirements #1 and #2).
4. An annual report that presents SCR performance results for the most recent Capability Year, prepared in accordance with Requirement #3 and specified by the NYSRC. The report shall be submitted to the NYSRC in accordance with NYSRC time schedules, no earlier than 90 days after the end of the Capability Year.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility: NYISO

Compliance Monitoring Responsibility: Review of NYISO

Compliance Documentation – RCMS

Compliance Documentation Reporting Frequency: On Request

Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO prepared documentation of its Responsible Interface Party SCR performance data reporting instructions (C-M14 Requirements 1 and 2) and SCR performance data calculation procedures (C-M14 Requirement 3). The NYISO prepared an annual report depicting SCR performance results – as specified by the NYSRC – and submitted to the NYSRC in accordance with NYSRC time schedules (C-M14 Requirement 4). |
| <input type="checkbox"/> Non-Compliance Level 1 | NYISO SCR performance data reporting instructions and calculation procedures were provided when requested, but were |

Compliance Templates
NYSRC Reliability Rules

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| | incomplete relative to C-M14 Requirements 1, 2 or 3; or a SCR performance data report for the previous Capability Year (C-M14 Requirement 4) was provided, but did not follow NYSRC specifications. |
| <input type="checkbox"/> Non-Compliance Level 2 | Not Applicable |
| <input type="checkbox"/> Non-Compliance Level 3 | The required annual report providing SCR performance data results for the previous Capability Year (C-M14 Requirement 4) was not prepared. |
| <input type="checkbox"/> Non-Compliance Level 4 | NYISO SCR performance data reporting instructions and calculation procedures in accordance with C-M14 Requirements 1, 2 and 3 were not prepared. |

**Compliance Templates
NYSRC Reliability Rules**

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M15

Reliability Rule Reference

C-R2 Generating Unit Availability and Special Case Resource Performance

Measurement

C-M15 Responsible Interface Parties serving the NYCA shall provide performance data to the NYISO for their Special Case Resources (SCRs) in accordance with Measurement C-M14 and NYISO procedures, tariffs and schedules..

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility: Responsible Interface Parties

Compliance Monitoring Responsibility:

1. Review of Responsible Interface Party Compliance Documentation – NYISO
2. Review of NYISO Compliance Certification – RCMS

Compliance Documentation Reporting Frequency: On Request

Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO certified that, during the previous Capability Year, all Responsible Interface Parties reported required information in accordance with C-M15 and applicable NYISO procedures, tariffs, and schedules and that the data provided was sufficient to provide a statistically valid estimate of the amount of load reduction that could be expected at the time of an SCR call. |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO certified that one or more Responsible Interface Parties reported SCR information in accordance with NYISO instructions during the previous Capability Year, but did not meet NYISO reporting schedules. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO certified that one or more Responsible Interface Parties reported SCR information during the previous Capability Year, but failed to report this information in accordance with NYISO instructions. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not Applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO certified that one or more Responsible Interface Parties failed to report required SCR information during the previous Capability Year. |

Compliance Templates NYSRC Reliability Rules

OPERATING RESERVES

D-M2

Reliability Rule Reference

- D-R1 Operating Resource Adequacy**
- D-R2 Minimum Operating Reserve Requirement**
- D-R3 Availability and Category**
- D-R4 Restoration of Ten (10) Minute Reserves**

Measurement

D-M2 The NYISO shall maintain procedures and systems that ensure the adequacy of operating reserves, and shall provide documentation of these procedures and systems. The NYISO must notify the NYSRC of any changes to these procedures and systems.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:
NYISO

Compliance Monitoring Responsibility: Review of NYISO
Compliance Documentation – RCMS

Compliance Monitoring Reporting Frequency: On Request

Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | In accordance with Measurement D-M2, NYISO has procedures consistent with maintaining the requirements for operating resource adequacy (D-R1), and the requirement to maintain availability and minimum level in all operating reserve categories (D-R2 and D-R3). NYISO commitment and dispatch systems maintain systems maintained resources and operating reserve consistent with the requirements of Reliability Rules D-R1 to D-R4. To the extent necessary these procedures and systems took into consideration Local Reliability Rules I-R1 and I-R2. The NYISO notified NYSRC of any changes to the procedures or systems. |
| <input type="checkbox"/> Non-Compliance Level 1 | NYISO did not have adequate procedures or systems in place, or failed to notify NYSRC of a change to its procedures or systems. |
| <input type="checkbox"/> Non-Compliance Level 2 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO did not provide the required procedures. |

Compliance Templates NYSRC Reliability Rules

TRANSMISSION CAPABILITY – OPERATING

E-M1

Reliability Rule Reference

E-R1 Thermal Assessment
E-R2 Voltage Assessment
E-R3 Stability Assessment

Measurement

E-M1 The NYISO shall maintain procedures and systems that ensure that appropriate actions are taken when thermal, voltage, and/or stability limits are violated. The NYISO must notify the NYSRC of any changes to these procedures and systems.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:
 NYISO
Compliance Monitoring Responsibility: Review of NYISO
 Compliance Documentation – RCMS
Compliance Monitoring Reporting Frequency: On Request

Levels of Compliance

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|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO maintained procedures and systems in accordance with Measurement E-M1 which identify appropriate actions to be taken whenever the bulk power transmission system’s thermal, voltage, and stability limits are violated. Any revisions to these procedures or systems were reported to the NYSRC. |
| <input type="checkbox"/> Non-Compliance Level 1 | Revisions to existing procedures or systems were not reported to the NYSRC. |
| <input type="checkbox"/> Non-Compliance Level 2 | Documentation of NYISO procedures and systems for violation of thermal, voltage, and stability limits was incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | Documentation of NYISO procedures and systems for violation of thermal, voltage, and stability limits was not provided. |

Compliance Templates NYSRC Reliability Rules

TRANSMISSION CAPABILITY – OPERATING

E-M3

Reliability Rule Reference

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| E-R5 Outage Coordination |
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Measurement

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| E-M3 The NYISO shall maintain procedures and systems which ensure that outages of transmission facilities are coordinated in such a manner to ensure reliability. The NYISO must notify the NYSRC of any changes to these procedures and systems. |
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Compliance Monitoring Process

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| Compliance Documentation Reporting Responsibility: NYISO Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS Compliance Monitoring Reporting Frequency: On Request |
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Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO maintained transmission outage coordination procedures and systems in accordance with Measurement E-M3. Any revisions to these procedures or systems were reported to the NYSRC. |
| <input type="checkbox"/> Non-Compliance Level 1 | Revisions to existing procedures or systems were not reported to the NYSRC. |
| <input type="checkbox"/> Non-Compliance Level 2 | Documentation of NYISO procedures and systems for coordination of transmission facility outages was incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | Documentation of NYISO procedures and systems for coordination of transmission facility outages was not provided. |

Compliance Templates NYSRC Reliability Rules

TRANSMISSION CAPABILITY – OPERATING

E-M4

Reliability Rule Reference

E-R6 Operation During Impending Severe Weather
E-R7 Operation During a Severe Solar Magnetic Disturbance

Measurement

E-M4 The NYISO shall maintain procedures and systems which allow for more stringent operating restrictions prior to, and during, severe weather conditions, and severe solar magnetic disturbances. The NYISO must notify the NYSRC of any changes to these procedures and systems.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:
 NYISO
Compliance Monitoring Responsibility: Review of NYISO
 Compliance Documentation – RCMS
Compliance Monitoring Reporting Frequency: On Request

Levels of Compliance

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|-------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO maintained procedures and systems for operation during severe impending weather or solar magnetic disturbances in accordance with Measurement E-M4. Any revisions to these procedures or systems were reported to the NYSRC. |
| <input type="checkbox"/> Non-Compliance Level 1 | Revisions to existing procedures or systems were not reported to the NYSRC. |
| <input type="checkbox"/> Non-Compliance Level 2 | Documentation of NYISO procedures and systems for operation during severe impending weather or solar magnetic disturbances was incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | Documentation of NYISO procedures and systems for operation during severe impending weather or solar magnetic disturbances was not provided. |

Compliance Templates NYSRC Reliability Rules

TRANSMISSION CAPABILITY – OPERATING

E-M6

Reliability Rule Reference

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| E-R8 Fault Current Assessment |
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Measurement

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| E-M6 | <p>a. The NYISO shall perform pre-seasonal assessments, and additional re-evaluations if required by system changes, to evaluate fault duty at each NYS Bulk Power System station. The NYISO shall notify the applicable equipment owner and other potentially affected Market Participants of any location expected to exceed equipment ratings.</p> <p>b. After the equipment owner has reported its findings on the NYISO’s assessment (as required by Measurement E-M7), the NYISO, in consultation with the equipment owner and the other potentially affected Market Participants, shall develop, if necessary, an appropriate mitigation plan.</p> |
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Compliance Monitoring Process

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| <p>Compliance Documentation Reporting Responsibility: NYISO</p> <p>Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS</p> <p>Compliance Monitoring Reporting Frequency: On Request</p> |
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Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO (a) performed fault duty assessments, and (b) developed mitigation plans, if necessary, in accordance with Measurement E-M6. Documentation of these assessments and mitigation plans were reported to the NYSRC as requested. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 3 | The required fault duty assessment was completed, but the NYISO failed to notify breaker owners of pending conditions whereby fault duty levels may exceed appropriate ratings in sufficient time to permit the condition from being prevented. |
| <input type="checkbox"/> Non-Compliance Level 4 | The required fault duty assessment was not completed; or the fault duty assessment was completed, but the NYISO failed to develop the required mitigation plan. |

**Compliance Templates
NYSRC Reliability Rules**

TRANSMISSION CAPABILITY – OPERATING

E-M7

Reliability Rule Reference

E-R8 Fault Current Assessment

Measurement

E-M7 After evaluating and considering the NYISO assessment concerning a location for which fault duty levels may exceed appropriate equipment ratings, the applicable equipment owner shall assess the condition and report its findings to the NYISO in accordance with NYISO requirements (see Measurement M-6a).

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility: Equipment Owners

Compliance Monitoring Responsibility:

1. Review of Equipment Owner Compliance Documentation – NYISO
2. Review of NYISO Compliance Certification – RCMS

Compliance Documentation Reporting Frequency: On Request

Levels of Compliance

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|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO certified that all applicable equipment owners evaluated NYISO assessments concerning locations for which fault duty levels may exceed equipment ratings and reported their findings to the NYISO in accordance with NYISO requirements and Measurement E-M7. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO certified that one or two applicable equipment owners did not evaluate NYISO fault duty assessments as required and report their findings to the NYISO. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO certified that three or more applicable equipment owners did not evaluate NYISO fault duty assessments as required and report their findings to the NYISO. |
| <input type="checkbox"/> Non-Compliance Level 4 | Not applicable. |

**Compliance Templates
NYSRC Reliability Rules**

TRANSMISSION CAPABILITY – OPERATING

E-M8

Reliability Rule Reference

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| E-R9 Applications of the NYSRC Reliability Rules |
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Measurement

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| <p>E-M8 The NYISO shall establish and maintain Applications of the NYSRC Reliability Rules (Applications) consisting of Transmission Owner procedures for meeting the NYSRC Reliability Rules that apply to specific system locations or conditions. The list of Applications shall be posted on the NYISO web site. The Transmission Owners shall prepare new or revised Applications as required. Applications proposed by Transmission Owners shall be referred to the NYISO for approval. The NYISO shall advise the NYSRC when Application changes occur. The NYISO shall prepare a procedure addressing the above requirements.</p> |
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Compliance Monitoring Process

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| <p>Compliance Documentation Reporting Responsibility: NYISO</p> <p>Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS</p> <p>Compliance Monitoring Reporting Frequency: On Request</p> |
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Levels of Compliance

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|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO established and maintained Applications in accordance with requirements addressed in Measurement E-M8. |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO did not advise the NYSRC when Application changes occurred, or the Application List is not up-to-date. |
| <input type="checkbox"/> Non-Compliance Level 2 | The list of Applications was not posted on the NYISO Web site. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO did not prepare an Applications procedure in accordance with E-M8 requirements. |
| <input type="checkbox"/> Non-Compliance Level 4 | A list of Applications was not established. |

Compliance Templates NYSRC Reliability Rules

TRANSMISSION CAPABILITY – OPERATING

E-M9

Reliability Rule Reference

E-R10 Exceptions to the NYSRC Reliability Rules

Measurement

E-M9

The NYISO shall implement actions required for granting new exceptions or modifying or removing current exceptions, as described in NYSRC Policy 1, *Procedure for Reviewing, Developing, Modifying, and Disseminating NYSRC Reliability Rules*. These required NYISO actions shall include:

1. Request each Transmission Owner, at least annually, to assess its exceptions and to determine whether it wishes to request the NYSRC to grant a new exception or modify or remove a current exception.

2. Implementation of a request from the NYSRC to review an application for a new exception or the renewal or modification of a current exception that:
 - The NYSRC has received directly from a Market Participant or
 - The NYSRC has received from a Transmission Owner via the Annual Exception Review.

3. Following its review pursuant to E-M9.2, the NYISO shall notify the NYSRC if it recommends that the NYSRC approve the granting of the new exception, or whether the current exception should be removed or modified as proposed. The NYISO shall document the reasons for its recommendation, including a finding that there would be no adverse impact to reliability upon issuance of the new exception or removal or modification of the current exception. If the NYISO recommends that the exception request should be rejected by the NYSRC, the NYISO shall document its reasons for such a recommendation.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:

NYISO

Compliance Monitoring Responsibility: Review of NYISO

Compliance Documentation – RCMS

Compliance Monitoring Reporting Frequency: On Request

Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | <p>The NYISO initiated certain actions that are required for implementing the NYSRC process of granting new exceptions or modifying or removing current exceptions (“exception changes”), in accordance with E-M9, as follows:</p> <ol style="list-style-type: none"> 1. Requested each Transmission Owner, at least annually, to review its exceptions and determine whether it wishes to request the NYSRC to grant exception changes, per E-M9.1. |
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Compliance Templates
NYSRC Reliability Rules

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| | 2. In accordance with NYSRC requests, reviewed Transmission Owner proposals for exception changes, and notified the NYSRC of the results of its reviews and recommendations on a timely basis, per E-M9.2 and E-M9.3. |
| <input type="checkbox"/> Non-Compliance Level 1 | During a calendar year, the NYISO did not request Transmission Owners to review their exceptions to determine whether they wish to request exception changes. |
| <input type="checkbox"/> Non-Compliance Level 2 | N. A. |
| <input type="checkbox"/> Non-Compliance Level 3 | Following a request by the NYSRC, the NYISO did not review and/or provide a recommendation on a proposed exception change and provide the NYSRC with the results of its review on a timely basis. |
| <input type="checkbox"/> Non-Compliance Level 4 | N. A. |

Compliance Templates NYSRC Reliability Rules

OPERATION DURING MAJOR EMERGENCIES

F-M1

Reliability Rule Reference

- F-R1 Transmission Thermal Overloads**
- F-R2 Post-Contingency STE Rating Violations**
- F-R3 High or Low Voltage**
- F-R4 Post-Contingency Voltage**
- F-R5 Operating Reserve Deficiency**
- F-R6 Stability Limit Violation**
- F-R7 Low Frequency**

Measurement

F-M1 The NYISO shall maintain procedures and systems that ensure that appropriate actions are taken when frequency, reserves, thermal, voltage, and/or stability limits are violated. The NYISO must notify the NYSRC of any changes to these procedures and systems.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:
NYISO

Compliance Monitoring Responsibility: Review of NYISO
Compliance Documentation – RCMS

Compliance Monitoring Reporting Frequency: On Request

Levels of Compliance

| | |
|-------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO maintained procedures and systems in accordance with Measurement F-M1 that ensures all market participants will respond correctly when frequency, reserves and thermal, voltage and/or stability limits are violated. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | NYISO procedures were provided, but were incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | Procedures were not provided by the NYISO. |

Compliance Templates NYSRC Reliability Rules

OPERATION DURING MAJOR EMERGENCIES

F-M2

Reliability Rule Reference

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| <p>F-R1 Transmission Thermal Overloads</p> <p>F-R2 Post-Contingency STE Rating Violations</p> <p>F-R3 High or Low Voltage</p> <p>F-R4 Post-Contingency Voltage</p> <p>F-R5 Operating Reserve Deficiency</p> <p>F-R6 Stability Limit Violation</p> <p>F-R7 Low Frequency</p> |
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Measurement

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| <p>F-M2 The NYISO shall report to the NYSRC on every instance of a major emergency. Included in this report shall be a description of the incident, a summary of conditions that warranted the change to a major emergency state, a summary of actions taken, and the effectiveness of those actions. A preliminary report shall be provided to the NYSRC within one week of the incident; and a final report, if requested by the NYSRC, shall be provided within one month following the incident.</p> |
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Compliance Monitoring Process

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| <p>Compliance Documentation Reporting Responsibility: NYISO</p> <p>Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS</p> <p>Compliance Monitoring Reporting Frequency: As Required</p> |
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Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | <p>The NYISO provided a preliminary report of major emergencies within one week of an incident. In addition, if requested by the NYSRC, a final report was provided within one month following the incident. These reports were prepared in accordance with Measurement F-M2 and demonstrate what NYISO actions were taken and their effectiveness for meeting NYSRC Reliability Rules.</p> |
| <input type="checkbox"/> Non-Compliance Level 1 | <p>Not applicable.</p> |
| <input type="checkbox"/> Non-Compliance Level 2 | <p>The required reports were provided following a major emergency, but at least one report was incomplete in one or more areas.</p> |
| <input type="checkbox"/> Non-Compliance Level 3 | <p>The required major emergency reports were provided, but a review indicated that the NYCA system was not operated in accordance with NYSRC Reliability Rules.</p> |
| <input type="checkbox"/> Non-Compliance Level 4 | <p>At least one of the required major emergency reports was not provided following a reportable incident.</p> |

Compliance Templates NYSRC Reliability Rules

OPERATION DURING MAJOR EMERGENCIES

F-M3

Reliability Rule Reference

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| F-R8 Load Shedding Allocation |
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Measurement

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| F-M3 The NYISO shall maintain procedures and systems that ensure that sufficient load shedding capability exists for both manual and automatic response. The NYISO must notify the NYSRC of any changes to these procedures and systems. |
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Compliance Monitoring Process

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| Compliance Documentation Reporting Responsibility: NYISO Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS Compliance Monitoring Reporting Frequency: On Request |
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Levels of Compliance

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|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO maintained procedures for ensuring that sufficient load shedding capability exists in accordance with Measurement F-M3. These procedures included transmission owner reporting requirements (see F-M4) and the conduct of NYISO analyses to ensure that sufficient load shedding is available to meet the load shedding requirements. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | Procedures for ensuring that sufficient load shedding capability exists were provided, but were incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | The required procedures were complete; however, analyses to ensure that sufficient load shedding is available were incomplete. |
| <input type="checkbox"/> Non-Compliance Level 4 | The required procedures were not provided. |

Compliance Templates NYSRC Reliability Rules

OPERATION DURING MAJOR EMERGENCIES

F-M4

Reliability Rule Reference

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| F-R8 Load Shedding Allocation |
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Measurement

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| <p>F-M4 Each transmission owner shall report to the NYISO the amount of load that is expected to be shed through automatic and manual load shedding, coincident with the peak load of its transmission district in accordance with NYISO procedures (see Measurement F-M3). The NYISO shall annually report compliance of this requirement to the NYSRC.</p> |
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Compliance Monitoring Process

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| <p>Compliance Documentation Reporting Responsibility: Transmission Owners</p> |
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Compliance Monitoring Responsibility:

1. Review of Transmission Owner Compliance Documentation – NYISO
2. Review of NYISO Compliance Certification – RCMS

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| <p>Compliance Documentation Reporting Frequency: On Request</p> |
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Levels of Compliance

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|-------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO certified that each transmission owner has submitted appropriate load shedding documentation in accordance with NYISO procedures, and as required under Measurement F-M3, ensured that sufficient automatic and manual load shedding is available to meet NYISO requirements. |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO certified that load shedding documentation was submitted from all transmission owners, but was incomplete in one or more areas for one or two transmission owners. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO certified that load shedding documentation was submitted from all transmission owners, but was incomplete in one or more areas for three or more transmission owners. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO certified that load shedding documentation was not provided by one or two transmission owners. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO certified that load shedding documentation was not provided by more than three transmission owners. |

Compliance Templates NYSRC Reliability Rules

OPERATION DURING MAJOR EMERGENCIES

F-M6

Reliability Rule Reference

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| F-R5 Operating Reserve Deficiency |
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Measurement

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| <p>F-M6 The NYISO shall institute a statewide voltage reduction test during the summer capability period of each year if statewide voltage reduction has not been called for during the early portion of the summer. The results of the test or actual voltage reduction shall be recorded and provided to the NYSRC every year.</p> |
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Compliance Monitoring Process

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| <p>Compliance Documentation Reporting Responsibility: NYISO</p> <p>Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS</p> <p>Compliance Monitoring Reporting Frequency: Annually</p> |
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Levels of Compliance

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|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO provided the annual results of test or actual statewide voltage reduction within an appropriate time period to the NYSRC, in accordance with Measurement F-M6 |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | A statewide voltage reduction test was performed if required, but the results of this test or actual voltage reduction were not provided to the NYSRC within an appropriate time period. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | A statewide voltage reduction test, if required, was not performed. |

Compliance Templates NYSRC Reliability Rules

SYSTEM RESTORATION

G-M1

Reliability Rule Reference

G-R1 System Restoration Plan

Measurement

G-M1

The NYISO shall develop and maintain a NYCA SRP that provides assurance that the NYCA system will be restored in a safe and orderly manner and as promptly as reasonably possible following a major or total blackout.

The NYCA SRP shall include system restoration at two integrated levels: restoration of the NYCA backbone system in accordance with a NYISO System Restoration Plan (NYISO SRP) and restoration of local areas in accordance with Transmission Owner system restoration plans (TO SRPs).

The NYCA SRP shall include the following minimum requirements:

1. Procedures for coordinating the *NYISO* SRP and the *transmission owner* SRPs.
2. Required actions to be included in each transmission owner's restoration plan, consistent with *NYISO* procedures and *NYSRC*, NPCC, and NERC criteria.
3. Procedures for coordinating the SRPs of the *NYISO* and neighboring Reliability Coordinators, including restoration of interconnections.
4. Identification of *blackstart facilities* required for implementing the *NYISO* SRP, including the names, location, megawatt capabilities, megavar capabilities, and unit type.
5. Procedures for black start facility test requirements to verify that each black start unit in the *NYISO* and Transmission Owner SRPs is capable of meeting the requirements of these SRPs. These black start testing requirements shall include:

Gas turbine, combined cycle, and hydro black start units:

Each Black Start Provider shall complete a successful test of the startup and operation of each of those black start facilities included in the *NYISO* and Transmission Owner SRPs for each Capability Year.

The *NYISO* shall determine the number of units within a black start facility that shall be tested annually.

Steam black start units:

Each Black Start Provider shall complete a successful test of the startup and synchronization to the transmission system of each unit included in the NYCA SRP every three Capability Years.

In addition, completion of successful tests requiring isolation from the transmission system, but not requiring startup and synchronization with the transmission system, shall be conducted during each intervening Capability Year. This intervening year test

Compliance Templates NYSRC Reliability Rules

shall be conducted as follows: 1) a black start gas turbine isolated from the transmission system shall energize the internal light and power bus of the steam black start unit; and 2) auxiliary loads required to introduce fire into the boiler (fans, pumps, etc.) shall be added to the internal light and power bus. The intervening year test does not require fire in the boiler or synchronization to the transmission system.

The NYISO shall designate which steam units shall be tested during each Capability Year in accordance with the above testing requirements.

The NYISO shall determine the time within the Capability Year that testing shall be completed.

The NYISO procedures shall indicate that with due regard for reliability considerations and subject to approval by the Transmission Owner and the NYISO, a test performed by black start facilities in the Transmission Owner's SRP within one month beyond the Capability Year test period, or longer in force majeure cases, shall be considered a valid test for that Capability Year. On request by the NYSRC, the NYISO shall certify that reliability was considered when the NYISO and the Transmission Owner approved black start facility testing beyond the Capability Year.

6. Procedures requiring that each transmission owner identify *blackstart* resources that are necessary for implementing its SRP. These procedures shall also require transmission owners to identify the name, location, megawatt capacity, megavar capacity, and type of *blackstart* resource(s). The identity of transmission SRP *blackstart facilities* shall be made available to the NYISO and to affected *transmission owners*. In addition, NYISO procedures shall include a requirement that each *Blackstart Provider* annually provide a letter to the NYISO confirming that it identifies and maintains a list of critical components in its facilities (i.e., batteries, diesel back-up generators, inverters etc.) to verify the condition of these critical components in accordance with good industry practice.

7. Identification of the necessary operating instructions and procedures to cover loss of telecommunications channels during a system disturbance.

8. Identification of protocols for disseminating information to operating entities identified in the plan during a system disturbance.

9. Procedures for ensuring that the coordination of NYISO and *transmission owner* SRPs be demonstrated by drill or by simulation.

10. Procedures requiring *transmission owners* to notify the NYISO of any proposed changes to *transmission owner* SRP facilities or procedures that could effect the coordination of the NYISO and *TO* restoration plans at least two months prior to their implementation.

11. Procedures requiring that the NYISO and *transmission owner* SRPs be reviewed and updated annually and whenever changes are made in the *NYS Power System*. This review shall evaluate the impact of planned system expansion or reconfiguration on these SRPs, prior to implementation.

Compliance Templates NYSRC Reliability Rules

12. Identification of guidelines which provide the basis for alternative restoration actions if normal restoration procedures cannot be executed due to system conditions.
13. Procedures for coordinating annual updates to the *NYISO* SRP and restoration plans of neighboring Reliability Coordinators. (G-R1)

Compliance Monitoring Process

- Compliance Documentation Reporting Responsibility:**
NYISO
- Compliance Monitoring Responsibility:** Review of NYISO
Compliance Documentation – RCMS
- Compliance Monitoring Reporting Frequency:** On Request

Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO has a NYCA SRP and documented procedures that fully comply with requirements in accordance with sub-requirements in G-M1.1 through G-M1.13 and has identified NYISO SRP black start facilities in accordance with G-M1.4. |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO has an NYCA SRP, but failed to have procedures and complete actions that fully comply with one of the sub-requirements in G-M1. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO has an NYCA SRP, but failed to have procedures and complete actions that fully comply with two of the sub-requirements in G-M1. OR The NYISO failed to identify NYISO black start facilities in accordance with G-M1.4. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO has an NYCA SRP, but failed to have procedures and complete actions that fully comply with three of the sub-requirements in G-M1. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO has an NYCA SRP, but failed to have procedures and actions that fully comply with four or more of the sub-requirements in G-M1. |

Compliance Templates NYSRC Reliability Rules

SYSTEM RESTORATION

G-M2

Reliability Rule Reference

G-R1 Emergency Restoration Procedures

G-R2 Restoration Training and Simulation Programs

Measurement

G-M2

Each Transmission Owner shall establish and maintain a restoration plan in accordance with the NYCA SRP, NYISO procedures, and Measurement G-M1. These restoration plans shall be coordinated with the restoration plans of other Transmission Owners and shall be part of the NYCA SRP. The Transmission Owner SRP shall adopt procedures to identify black start resources that are necessary for implementing their SRP including testing requirements, in accordance with the NYCA SRP and NYISO procedures. Transmission Owners shall conduct an annual review of their SRP. Transmission Owners shall conduct annual training of their operating personnel on their SRP procedures, including the procedures for coordinating with the NYISO SRP. Each Transmission Owner shall report to the NYISO the completion of the annual training and review. (G-R1&2)

Note: Local Reliability Rule I-R6 and Local Rule Measurements I-M7 and I-M8 cover additional NYISO and Con Edison requirements for the inclusion, when necessary, of any Eligible Black Start Resource in the Con Edison SRP.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility: Transmission Owners

Compliance Monitoring Responsibility:

1. Review of Transmission Owner Compliance Documentation – NYISO
2. Review of NYISO Compliance Certification – RCMS

Compliance Documentation Reporting Frequency: On Request

Levels of Compliance

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|-------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO certified that each TO has a SRP in accordance with G-M2 and each TO has confirmed that the black start resources that each TO has identified as necessary for implementing its SRP will assure that the TO system will be restored in a safe and orderly manner, and as promptly as reasonably possible following a major or total blackout. |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO certified that all Transmission Owners have SRPs, but one or more failed to fully comply with one of the three of the black start testing, SRP coordination, or training requirements. |

Compliance Templates
NYSRC Reliability Rules

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|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Non-Compliance Level 2 | <p>The NYISO certified that all Transmission Owners have SRPs, but one or more failed to fully comply with two of three of the black start testing, SRP coordination, or training requirements.</p> <p>OR</p> <p>The NYISO certified that one or more TOs failed to confirm that black start resources it has identified will assure that its system will be restored in a safe and orderly manner, and as promptly as reasonably possible.</p> |
| <input type="checkbox"/> Non-Compliance Level 3 | <p>The NYISO certified that all Transmission Owners have SRPs, but one or more failed to fully comply with all of the black start testing, SRP coordination, and training requirements.</p> |
| <input type="checkbox"/> Non-Compliance Level 4 | <p>The NYISO certified that one or more Transmission Owners do not have a SRP.</p> |

Compliance Templates NYSRC Reliability Rules

SYSTEM RESTORATION

G-M3

Reliability Rule Reference

G-R1 Emergency Restoration Procedures

G-R2 Restoration Training and Simulation Programs

Measurement

G-M3 Each Black Start Provider shall develop and implement appropriate test procedures in accordance with G-M1, G-M2, and NYISO requirements and procedures to ensure those black start facilities that are included in the NYISO's and transmission owner's SRPs are able to perform their intended functions. These black start testing requirements shall include:

Gas turbine, combined cycle, and hydro black start units:

Each Black Start Provider shall complete a successful test of the startup and operation of each of those black start facilities included in the NYISO and Transmission Owner SRPs for each Capability Year.

The NYISO will specify the number of units within a black start facility that shall be tested annually.

Steam black start units:

Each Black Start Provider shall complete a successful test of the startup and synchronization to the transmission system of each unit included in the NYCA SRP every three Capability Years.

In addition, completion of successful tests requiring isolation from the transmission system, but not requiring startup and synchronization with the transmission system, shall be conducted during each intervening Capability Year. This intervening year test shall be conducted as follows: 1) a black start gas turbine isolated from the transmission system shall energize the internal light and power bus of the steam black start unit; and 2) auxiliary loads required to introduce fire into the boiler (fans, pumps, etc.) shall be added to the internal light and power bus. The intervening year test does not require fire in the boiler or synchronization to the transmission system.

The NYISO will specify which steam units shall be tested during each Capability Year in accordance with the above testing requirements.

With due regard for reliability considerations and subject to approval by the Transmission Owner and the NYISO, a test performed by black start facilities in the Transmission Owner's SRP within one month beyond the Capability Year test period, or longer in force majeure cases, shall be considered a valid test for that Capability Year. Each Black Start Provider shall provide documentation of these test results to the appropriate entity in accordance with NYISO and transmission owner procedures.

In addition, each Black Start Provider shall annually provide a letter to the NYISO

Compliance Templates NYSRC Reliability Rules

confirming that it identifies and maintains a list of critical components in its facilities (i.e., batteries, diesel back-up generators, inverters etc.) and performs tests to verify the condition of these critical components in accordance with good industry practice. Test results will be provided to the NYISO upon request. Black Start Providers shall attend NYISO and transmission owner restoration training as required.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility: Black Start Provider

Compliance Monitoring Responsibility:

1. Review of Black Start Provider Compliance Documentation – NYISO
2. Review of NYISO Compliance Certification – RCMS

Compliance Documentation Reporting Frequency: On Request

Levels of Compliance

| | |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | As defined in G-M1, G-M3, and G-M4, the NYISO certified that for the Capability Year specified by the NYSRC: (1) it received the annual letter from each Black Start Provider confirming that it maintained a list of critical components and tests these components accordingly, (2) it received sufficient documentation from each Black Start Provider showing that the Black Start Provider developed required test procedures and accordingly successfully tested its black start facilities for each Capability Year , and (3) each Black Start Provider met NYISO training requirements. |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO certified that, for the Capability Year specified by the NYSRC, one Black Start Provider did not provide a letter to the NYISO satisfying required testing of critical facility components, or did not comply with black start facility testing requirements in accordance with G-M1, G-M2, & G-M3, and NYISO or transmission owner procedures. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO certified that, for the Capability Year specified by the NYSRC, two Black Start Providers did not provide a letter to the NYISO satisfying required testing of critical facility components, or did not comply with black start facility testing requirements in accordance with G-M1, G-M2, G-M3, and NYISO or transmission owner procedures and schedules. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO certified that, for the Capability Year specified by the NYSRC, three Black Start Providers did not provide a letter to the NYISO satisfying required testing of critical facility components, or did not comply with black start facility testing requirements in accordance with G-M1, G-M2, G-M3, and NYISO or transmission owner procedures and schedules. OR |

Compliance Templates
NYSRC Reliability Rules

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|-------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | The NYISO certified that one or more Black Start Providers failed to attend restoration training as required by the NYISO or transmission owner. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO certified that, for the Capability Year specified by the NYSRC, four or more Black Start Providers did not provide a letter to the NYISO satisfying required testing of critical facility components, or did not comply with black start facility testing requirements in accordance with G-M1, G-M2, G-M3, and NYISO or transmission owner procedures or schedules. |

Compliance Templates NYSRC Reliability Rules

SYSTEM RESTORATION

G-M4

Reliability Rule Reference

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|----------------------------------------------------------|
| G-R2 Restoration Training and Simulation Programs |
|----------------------------------------------------------|

Measurement

- | | |
|-------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| G-M4 | <p>The <i>NYISO</i> shall establish and maintain procedures for training NYISO and Market Participant operating personnel for the effective implementation of the NYCA SRP, in accordance with the following requirements:</p> <ol style="list-style-type: none"> 1. NYISO procedures requiring coordinated training to be conducted at least annually by the <i>NYISO</i> and each transmission owner. 2. NYISO training procedures including restoration simulation exercises that include modeling of each transmission owner’s SRP. 3. Conduct of annual simulations of full or partial system shutdowns and restoration, including the issuance of critique reports of their respective tests. 4. NYISO training procedures requiring Blackstart Providers and other generator owners to participate in training sessions and exercises as appropriate. 5. Maintaining program records showing that operating personnel have been trained in the implementation of the NYCA SRP and participated in restoration exercises. These records shall be provided to the NYSRC upon request. 6. NYISO procedures for certifying that transmission owner operating personnel have been trained on the transmission owner SRPs consistent with the requirements of <i>NYISO</i> SRP training procedures. The procedures shall require transmission owners to provide the <i>NYISO</i> restoration training program records upon request. |
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Compliance Monitoring Process

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| <p>Compliance Documentation Reporting Responsibility: NYISO</p> <p>Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS</p> <p>Compliance Monitoring Reporting Frequency: On Request</p> |
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Levels of Compliance

| | |
|-------------------------------------------------|-----------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO system restoration training program is in accordance with all six requirements defined in G-M4. |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO system restoration training program does not address one of the requirements of G-M4. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO system restoration training program does not address two of the requirements of G-M4. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO system restoration training program does not address three of the requirements of G-M4. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO system restoration training program does not address four or more of the requirements of G-M4. |

Compliance Templates NYSRC Reliability Rules

LOCAL RELIABILITY RULES

I-M1

Reliability Rule Reference

I-R1 Operating Reserves/Unit Commitment (New York City)
I-R3 Loss of Generator Gas Supply (New York City)
I-R4 Thunderstorm Watch (New York City)

Measurement

I-M1 The NYISO shall document, maintain, and publish requirements for Con Edison to develop procedures for operating its system in accordance with I-R1, I-R3, and I-R4, including notification of the NYISO when actions are taken in accordance with these local reliability rules, and the reasons thereof. The NYISO shall review and approve Con Edison procedures and required studies, including any updates to such procedures and studies.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:
 NYISO
Compliance Monitoring Responsibility: Review of NYISO
 Compliance Documentation – RCMS
Compliance Monitoring Reporting Frequency: On Request

Levels of Compliance

| | |
|-------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO made available, and provided upon request, complete documentation for implementing I-R1, I-R3, and I-R4 in accordance with Measurement I-M1. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | NYISO documentation for implementing I-R1, I-R3, and I-R4 was provided when requested, but was incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The required NYISO documentation for implementing Rules I-R1, I-R3, and I-R4 was not provided when requested. |

Compliance Templates NYSRC Reliability Rules

LOCAL RELIABILITY RULES

I-M2

Reliability Rule Reference

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|--------------------------------------------------------|
| I-R5 Loss of Generator Gas Supply (Long Island) |
|--------------------------------------------------------|

Measurement

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|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>I-M2 The NYISO shall document, maintain, and publish requirements for LIPA to develop procedures for operating its system in accordance I-R5, including notification of the NYISO when action is taken in accordance with this local reliability rule and the reasons thereof. The NYISO shall review and approve LIPA procedures and required studies, including any updates to such procedures and studies.</p> |
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Responsibilities

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| <p>Reporting Frequency: On Request Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A</p> |
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Levels of Compliance

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|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO made available and provided when requested, complete documentation for implementing I-R5, in accordance with Measurement I-M2. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | NYISO documentation for implementing I-R5 was provided when requested, but was incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The required NYISO documentation for implementing I-R5 was not provided when requested. |

Compliance Templates NYSRC Reliability Rules

LOCAL RELIABILITY RULES

I-M3

Reliability Rule Reference

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|-------------------------------------------------|
| I-R2 Locational Reserves (New York City) |
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Measurement

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| I-M3 The NYISO shall have in place procedures to ensure that sufficient ten (10) minute reserves are maintained in the NYC zone in accordance with I-R2. |
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Compliance Monitoring Process

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| Compliance Documentation Reporting Responsibility: NYISO Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS Compliance Monitoring Reporting Frequency: On Request |
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Levels of Compliance

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|-------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO has procedures in place and operated the NYCA system to ensure implementation of I-R2, in accordance with Measurement I-M3. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO has procedures in place, but they are incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The required NYISO procedures not available or were not provided. |

Compliance Templates NYSRC Reliability Rules

LOCAL RELIABILITY RULES

I-M4

Reliability Rule Reference

| | |
|-------------|-----------------------------------------------------------|
| I-R1 | Operating Reserves/Unit Commitment (New York City) |
| I-R2 | Locational Reserves (New York City) |
| I-R3 | Loss of Generator Gas Supply (New York City) |
| I-R4 | Thunderstorm Watch (New York City) |
| I-R5 | Loss of Generator Gas Supply (Long Island) |

Measurement

| | |
|-------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| I-M4 | The NYISO shall apply I-R1 through I-R5 in: <ul style="list-style-type: none"> a. the assessment of future transmission capability and analysis of transmission adequacy and security. b. the establishment of operating limits, assessment of operating adequacy, and operation on the NYS bulk power system. |
|-------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Compliance Monitoring Process

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| Compliance Documentation Reporting Responsibility: NYISO |
| Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS |
| Compliance Monitoring Reporting Frequency: Annually |

Levels of Compliance

| | |
|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO applied Reliability Rules I-R1 through I-R4 in accordance with Measurement I-M4. Application of these Rules in assessing future transmission capability and analysis of transmission adequacy and security was documented in the annual the NYCA Transmission Review. Application of these Rules for establishing operating limits, assessing operating adequacy, and operating the NYS Bulk Power System was documented on request. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYCA Transmission Review included a review of Reliability Rules I-R1 through I-R4, but the assessment was incomplete; or the NYISO did not provide adequate documentation that these Rules were considered in system operations. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYCA Transmission Review did not include a consideration of Rules I-R1 through I-R4. |
| <input type="checkbox"/> Non-Compliance Level 4 | No documentation was provided showing that Rules I-R1 through I-R4 were considered in system operations. |

Compliance Templates NYSRC Reliability Rules

LOCAL RELIABILITY RULES

I-M5

Reliability Rule Reference

I-R1 Operating Reserves/Unit Commitment (New York City)
I-R3 Loss of Generator Gas Supply (New York City)
I-R4 Thunderstorm Watch (New York City)

Measurement

I-M5 Con Edison shall have in place procedures for operating its system in accordance with I-R1, I-R3, and I-R4 and NYISO requirements (see I-M1). These procedures must include notification to the NYISO when actions are taken in accordance with these local reliability rules, and the reasons thereof.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility: Con Edison
Compliance Monitoring Responsibility:

1. Review of Con Edison Compliance Documentation – NYISO
2. Review of NYISO Compliance Certification – RCMS

Compliance Documentation Reporting Frequency: On Request

Levels of Compliance

| | |
|-------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO certified that Con Edison submitted, when requested, documents, reports, and analyses in accordance with NYISO requirements and Measurement I-M5. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | Con Edison transmitted requested information to the NYISO, but the submitted documents, reports, and analyses did not meet NYISO requirements in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | Con Edison failed to supply the NYISO with requested documents, reports, and analyses. |

Compliance Templates NYSRC Reliability Rules

LOCAL RELIABILITY RULES

I-M6

Reliability Rule Reference

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|--------------------------------------------------------|
| I-R5 Loss of Generator Gas Supply (Long Island) |
|--------------------------------------------------------|

Measurement

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|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| I-M6 LIPA shall have in place procedures for operating its system in accordance with I-R5 and NYISO requirements (see I-M2). These procedures must include notification to the NYISO when actions are taken in accordance with the local reliability rules and the reasons thereof. |
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Compliance Monitoring Process

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| Compliance Documentation Reporting Responsibility: Long Island Power Authority |
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Compliance Monitoring Responsibility:

1. Review of Long Island Power Authority Compliance Documentation – NYISO
2. Review of NYISO Compliance Certification – RCMS

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|-----------------------------------------------------------------|
| Compliance Documentation Reporting Frequency: On Request |
|-----------------------------------------------------------------|

Levels of Compliance

| | |
|-------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO certified that LIPA submitted, when requested, documents, reports, and analyses in accordance with NYISO requirements and Measurement I-M5. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | LIPA transmitted requested information to the NYISO, but the submitted documents, reports, and analyses did not meet NYISO requirements in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | LIPA failed to supply the NYISO with requested documents, reports, and analyses. |

Compliance Templates NYSRC Reliability Rules

LOCAL RELIABILITY RULES

I-M7

Reliability Rule Reference

I-R6 System Restoration from Eligible Black Start Resources

Measurement

I-M7

The NYISO shall have procedures and implement actions to provide for the inclusion or continued inclusion of any *Eligible Black Start Resource* in the Con Edison SRP, as follows:

I-M7.1 Con Edison shall perform and document studies to identify any *Eligible Black Start Resource* that would provide a *Material Benefit* to its SRP if included.. These studies shall be conducted whenever changes to relevant system conditions may affect the results of the previous study.

I-M7.2 If Con Edison identifies an *Eligible Black Start Resource* that would provide a *Material Benefit* to its SRP if included based on a study pursuant to I-M7.1, Con Edison shall designate the resource for participation in its SRP. Con Edison shall notify the NYISO and the applicable generator owner that the resource has been designated for participation or continued participation as a black start resource in its SRP. This notification shall be accompanied by supporting rationale and documentation, including a Con Edison study, subject to appropriate confidentiality protections. The NYISO may request additional documentation, as required, from Con Edison.

I-M7.3 If the owner of the *Eligible Black Start Resource* designated by Con Edison pursuant to I-M7.2 does not want to participate or continue to participate in the Con Edison SRP, it must seek an exemption from the NYISO for good cause.

I-M7.3.1 The NYISO shall require the owner of the *Eligible Black Start Resource* seeking an exemption to provide to the NYISO and Con Edison a study and/or other documentation to support its contention that good cause exists for the exemption. Good cause may include engineering, technical, financial, environmental, or other reasons that would render the provision or continued provision of black start service by the resource unduly burdensome or unreasonable.

I-M7.3.2 After reviewing the documentation pursuant to I-M7.3.1 the NYISO may request additional documentation from the *Eligible Black Start Resource* requesting the exemption or from Con Edison.

I-M7.3.3 The NYISO shall determine whether good cause for an exemption has been demonstrated after considering: (1) the supporting documentation submitted by the resource owner seeking the exemption, and (2) information developed by the NYISO or provided by Con Edison. If the NYISO determines that good cause has been demonstrated for an exemption, it shall grant the exemption. If the NYISO determines that good cause has not been demonstrated, it shall deny the exemption and direct the black start resource

Compliance Templates NYSRC Reliability Rules

to participate or continue to participate in the Con Edison SRP.

I-M7.3.4 The NYISO shall inform the NYSRC that an exemption request has been made and submit a report to the NYSRC regarding its determination, subject to appropriate confidentiality protections.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility: NYISO

Compliance Monitoring Responsibility: Review of NYISO
Compliance Documentation – RCMS

Compliance Monitoring Reporting Frequency: On Request

Levels of Compliance

| | |
|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO has documented procedures and has implemented actions for Con Edison to designate <i>Eligible Black Start Resources</i> in the Con Edison SRP, in accordance with requirements in I-M7.1 to I-M7.3. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO has procedures and implements required actions for Con Edison to identify <i>Eligible Black Start Resources</i> but the NYISO did not fully comply with required actions in I-M7.3 when an <i>Eligible Black Start Resource</i> requests an exemption. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO does not have procedures nor implements actions for Con Edison to identify <i>Eligible Black Start Resources</i> . |

Compliance Templates NYSRC Reliability Rules

Implementation Plan for Measurements I-M7 and I-M8

Compliance with Measurements I-M7 and I-M8

The following entities are responsible for compliance with I-M7 and I-M8:

I-M7: NYISO

I-M8: Con Edison

Effective Date and Implementation Plan

The effective date of these measurements was April 10, 2014, the date of NYSRC Executive Committee approval. The NYISO and Con Edison must be compliant with the implementation plan set forth below:

1. A NYISO Tariff change will be required before I-M7 and I-M8 can be fully implemented. The NYISO shall pursue the tariff revisions necessary to establish the authority needed to comply with this rule change.
2. Within 60 days of receiving FERC approval for the Tariff change, the NYISO shall submit evidence to RCMS that the NYISO has modified procedures in the NYISO System Restoration Manual and other relevant NYISO documents to comply with Measurement I-M7 and I-M8 requirements.
3. Within 12 months of receiving FERC approval for the Tariff change, Con Edison shall complete an initial study for identifying any Eligible Black Start Resource that would provide a Material Benefit to the SRP if included. This study shall be conducted in accordance with Measurement I-M8 requirements. A summary of the study shall be reviewed by the NYISO and NYSRC subject to appropriate confidentiality protections.

The NYISO shall submit monthly reports to RCMS on the status of the above implementation plan.

**Compliance Templates
NYSRC Reliability Rules**

LOCAL RELIABILITY RULES

I-M8

Reliability Rule Reference

I-R6 System Restoration from Eligible Black Start Resources

Measurement

I-M8

Con Edison shall have procedures and implement actions for the identification of *Eligible Black Start Resources* in accordance with I-M7 and NYISO procedures, as follows:

- I-M8.1** Con Edison shall perform and document studies to identify *Eligible Black Start Resources* that would provide a *Material Benefit* to its SRP if included. These studies shall be conducted whenever changes to relevant system conditions may affect the results of the previous study.
- I-M8.2** If Con Edison identifies an *Eligible Black Start Resource* that would provide a *Material Benefit* to its SRP if included based on a study pursuant to I-M8.1, it shall designate the resource for participation or continued participation in its SRP. Con Edison shall notify the NYISO and the applicable generator owner that the resource has been designated for participation or continued participation as a black start resource in its SRP. This notification shall be accompanied by supporting rationale and documentation, including a Con Edison study, subject to appropriate confidentiality protections. If requested, Con Edison shall provide additional documentation to the NYISO.
- I-M8.3** If, after being notified that it has been designated as a *Eligible Black Start Resource* for participation or continued participation in the Con Edison SRP, the owner of the resource does not want to participate or continue to participate, Con Edison shall prepare supplemental information, if requested by the NYISO, for use in a NYISO review to determine whether an exemption for the resource from participation or continued participation in the Con Edison SRP shall be granted or denied pursuant to I-M7.3.1.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility: Con Edison

Compliance Monitoring Responsibility:

1. Review of Con Edison Compliance Documentation – NYISO
2. Review of NYISO Compliance Certification – RCMS

Compliance Documentation Reporting Frequency: On Request

Compliance Templates NYSRC Reliability Rules

Levels of Compliance

| | |
|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | <p>Con Edison has procedures and has implemented actions for the identification of <i>Eligible Black Start Resources</i> for participation or continued participation in its SRP, in accordance with I-M8. Con Edison has submitted its methodology and/or study for identifying <i>Eligible Black Start Resources</i> that provide a <i>Material Benefit</i> to its SRP to the NYISO and/or NYSRC when requested.</p> |
| <input type="checkbox"/> Non-Compliance Level 1 | <p>Not applicable.</p> |
| <input type="checkbox"/> Non-Compliance Level 2 | <p>Con Edison has procedures for identifying <i>Eligible Black Start Resources</i> for inclusion or continued inclusion in its SRP, but the procedures were incomplete.</p> |
| <input type="checkbox"/> Non-Compliance Level 3 | <p>Con Edison did not submit its black start resource identification methodology or study to the NYISO or NYSRC when requested.</p> |
| <input type="checkbox"/> Non-Compliance Level 4 | <p>Con Edison failed to conduct a study for determining the need to include or continue to include any <i>Eligible Black Start Resources</i> in its SRP when required, as required by I-M8.1.</p> |

Compliance Templates NYSRC Reliability Rules

NYISO CONTROL CENTER COMMUNICATIONS

J-M1

Reliability Rule Reference

J-R1 NYISO/ Market Participant Communications
J-R2 NYISO Communications Under Emergency Conditions

Measurement

J-M1 The NYISO shall develop the necessary procedures and other required documentation in compliance with J-R1 and J-R2, which shall be provided to the NYSRC on request.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:
 NYISO
Compliance Monitoring Responsibility: Review of NYISO
 Compliance Documentation – RCMS
Compliance Monitoring Reporting Frequency: On Request

Levels of Compliance

| | |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO established procedures for NYISO to Market Participant communications such that communications are consistent, efficient, and effective during normal and emergency conditions. These procedures included requirements for enabling operation to continue during loss of communication facilities, including specific requirements of Reliability Rules J-R1 and J-R2 and NPCC and NERC criteria. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | NYISO operator communications procedures have been developed, but they do not include all of the required items. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | There are no NYISO communications procedures in place. |

Compliance Templates NYSRC Reliability Rules

NYISO CONTROL CENTER COMMUNICATIONS

J-M2

Reliability Rule Reference

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|-------------------------------------------------------------|
| J-R2 NYISO Communications Under Emergency Conditions |
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Measurement

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| J-M2 The NYISO shall prepare reports summarizing performance data of control center communication interfaces. These reports shall be provided to the NYSRC on request or when significant changes are made, and shall include a tracking basis of historical performance of voice and data communication equipment. |
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Compliance Monitoring Process

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| <p>Compliance Documentation Reporting Responsibility: NYISO</p> <p>Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS</p> <p>Compliance Monitoring Reporting Frequency: On Request</p> |
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Levels of Compliance

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|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | When requested, the NYISO provided the NYSRC reports providing performance data of control center communications interfaces in accordance with Measurement J-M2. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The required NYISO report was provided when requested, but was incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The required NYISO report was not provided when requested. |

**Compliance Templates
NYSRC Reliability Rules**

NYISO CONTROL CENTER COMMUNICATIONS

J-M3

Reliability Rule Reference

J-R2 NYISO Communications Under Emergency Conditions

Measurement

J-M3 The NYISO shall provide to the NYSRC within one month a report summarizing any loss of critical voice and/or data systems. The report shall describe the problem and its relationship to the control of the NYS Bulk Power System, the cause of the problem, the corrective action, and implementation schedule.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:

NYISO

Compliance Monitoring Responsibility: Review of NYISO

Compliance Documentation – RCMS

Compliance Monitoring Reporting Frequency: As Required

Levels of Compliance

| | |
|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO provided to the NYSRC a report of the loss of critical voice and data systems in accordance with Measurement J-M3. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The required NYISO report was provided, but was incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The required NYISO report was not provided. |

Compliance Templates NYSRC Reliability Rules

RELIABILITY ASSESSMENT

K-M1

Reliability Rule Reference

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| K-R1 NYISO Manuals |
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Measurement

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|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| K-M1 The NYISO Planning and Operating Manuals shall be prepared by the NYISO in conformance with the Reliability Rules and submitted to the NYSRC for compliance review on request. |
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Compliance Monitoring Process

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|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Compliance Documentation Reporting Responsibility: NYISO</p> <p>Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS</p> <p>Compliance Monitoring Reporting Frequency: On Request</p> |
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Levels of Compliance

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|-------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Full (100%) Compliance | In accordance with Measurement K-M1, the NYISO provided the NYSRC with a self assessment on the compliance of its planning and operating manuals with the Reliability Rules. The scope of these self assessments were based on NYSRC guidelines. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | A self assessment was provided, but was incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | The self assessment shows that procedure(s) in the manual do not meet Reliability Rules. |
| <input type="checkbox"/> Non-Compliance Level 4 | The self-assessment was not provided. |

Compliance Templates NYSRC Reliability Rules

RELIABILITY ASSESSMENT

K-M2.a

Reliability Rule Reference

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| K-R2 Reliability Assessments |
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Measurement

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| K-M2.a | The NYISO shall conduct, and provide to the NYSRC, the following reliability assessment: |
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A transmission review to demonstrate that the planned NYCA transmission system is in conformance with NYSRC Reliability Rules. Specifically, the transmission review shall incorporate assessments for documenting NYISO compliance with the following NYSRC measurements:

1. Measurement B-M1 – Thermal, voltage, stability, and short circuit assessments.
2. Measurement B-M2 – Extreme contingency assessment.
3. Measurement B-M3 – Compatibility with the NYCA system restoration plan.
4. Measurement I-M4 – Compatibility with NYSRC Local Rules.
5. Measurement K-M3 – Extreme system conditions.

The NYCA transmission review and its accompanying assessments shall cover the 4-6 year planning horizon and shall be prepared annually. The B-M1, B-M2 and K-M3 assessments shall cover system performance results of simulation tests and shall include all supporting documentation specified in NPCC Document B-4, *Guidelines for NPCC Area Transmission Review*, which shall be supplemented to include additional documentation that may be requested by the NYSRC.

Compliance Monitoring Process

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| Compliance Documentation Reporting Responsibility: | NYISO |
| Compliance Monitoring Responsibility: | Review of NYISO Compliance Documentation – RCMS |
| Compliance Monitoring Reporting Frequency: | Annually |

Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO prepared the annual assessment of the NYCA in accordance with Measurement K-M2a, which demonstrates that the performance of the NYCA system is in compliance with Reliability Rules B-R1, B-R2, B-R3, B-R4, and B-R7 as required by Measurements B-M1 and B-M2. The format of the report was consistent with NPCC Guideline B-4 requirements. |
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Compliance Templates NYSRC Reliability Rules

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| <input type="checkbox"/> Non-Compliance Level 1 | A NYCA Transmission Review was submitted, but did not fully meet NPCC Document B-4 requirements. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYCA Transmission Review that was submitted found that the NYCA planned transmission system was in non-compliance with NYSRC Reliability Rules B-R1. B-R2. B-R3, and/or B-R4 in one or more instances. The NYISO submitted an acceptable plan and schedule for addressing the instances of non-compliance. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYCA Transmission Review that was submitted found that the NYCA planned transmission system was in non-compliance with NYSRC Reliability Rules B-R1. B-R2. B-R3, and/or B-R4 in one or more instances. However, either the NYISO failed to submit a plan and schedule for addressing the instances of non-compliance, or the plan that was submitted was found to be unacceptable.. |
| <input type="checkbox"/> Non-Compliance Level 4 | A NYCA transmission review was not submitted. |

Compliance Templates NYSRC Reliability Rules

RELIABILITY ASSESSMENT

K-M2.b

Reliability Rule Reference

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| K-R2 Reliability Assessments |
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Measurement

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| K-M2.b | The NYISO shall conduct, and provide to the NYSRC, the following reliability assessment: |
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A NYCA resource adequacy assessment for the next summer period and two years beyond, for demonstrating next capability period compliance with the NYSRC installed reserve margin requirement and NYISO locational installed capacity requirements, and prospective future compliance. The assessment shall include statewide and New York City and Long Island resource adequacy.

Compliance Monitoring Process

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| Compliance Documentation Reporting Responsibility: NYISO |
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| Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS |
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| Compliance Monitoring Reporting Frequency: Annually |
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Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO submitted the annual NYCA resource adequacy assessment report to the NYSRC in accordance with Measurement K-M2.b. During a year when the NYISO was required by NPCC to submit a New York Area Resource Adequacy Study, submission of that report to the NYSRC for compliance review would meet this requirement. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | A NYCA resource adequacy assessment was submitted to the NYSRC, but the report was deficient in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | A NYCA resource adequacy assessment was not submitted to the NYSRC. |

Compliance Templates NYSRC Reliability Rules

RELIABILITY ASSESSMENT

K-M2.c

Reliability Rule Reference

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| K-R2 Reliability Assessments |
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Measurement

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| K-M2.c | The NYISO shall conduct, and provide to the NYSRC, the following reliability assessment: |
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Interregional reliability assessments for ensuring that the NYCA inter-control area and internal transmission system is developed on a coordinated basis. Reports on these assessments shall be provided as requested by the NYSRC.

Compliance Monitoring Process

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| Compliance Documentation Reporting Responsibility: |
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NYISO

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| Compliance Monitoring Responsibility: |
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Review of NYISO
Compliance Documentation – RCMS

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| Compliance Monitoring Reporting Frequency: |
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On Request

Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO provided to the NYSRC interregional assessments in accordance with Measurement K-M2.c. As requested by the NYSRC, these reports were either NPCC interregional assessments having NYISO participation, studies sponsored by the NYISO, or special studies prepared by the NYISO as required by the NYSRC. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | Requested interregional reliability assessments were provided, but were incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | Requested interregional reliability assessments were not provided. |

Compliance Templates

NYSRC Reliability Rules

RELIABILITY ASSESSMENT

K-M2.d

Reliability Rule Reference

K-R2 Reliability Assessments

Measurement

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| K-M2.d | <p>The NYISO shall provide a monthly operations report that provides data on the performance of the NYCA for the previous month, covering the following requirements:</p> <ol style="list-style-type: none">1. Occurrences of major emergency and alert states.2. Summary of the NERC/NPCC Control Performance.3. A list of NPCC Reportable Events.4. Reserve requirements and actual reserves for the monthly peak load hour for all reserve categories (10 minute synchronized, 10 minute non-synchronized, and 30 minute operating reserves.) The report shall distinguish between supply and demand side resources. (D-R1 through D-R3)5. The response of the system to activations of reserve, including: the number of occasions reserves were activated in the month, reasons for the reserve activations, number of occasions within the month in which the reserve activation did not result in an area control error (“ACE”) zero crossing, number of non-zero crossings associated with a unit loss, and number of non-zero crossings requiring another reserve activation. (D-R4)6. Performance of the transmission system (E-R1 through E-R4), with respect to the number of events resulting in facilities exceeded system operating limits resulting in Alert States or Major Emergencies, including pre-contingency <i>thermal</i> and <i>voltage limits</i>, post-contingency <i>thermal</i> and <i>voltage limits</i>, and <i>stability limits</i>.7. A report of the number of more stringent events in which operating restrictions were imposed, resulting in an Alert or Major Emergency State due to severe weather conditions and/or severe solar magnetic <i>disturbances</i>. (E-R6, R7)8. <i>Emergency</i> actions initiated, including: <i>emergency</i> assistance from neighboring <i>Control Areas</i>, manual (local) <i>voltage reductions</i>, quick response (remote control) <i>voltage reductions</i> (5 and 8%), voluntary <i>load</i> curtailment, public appeals, Special Case Resources, Emergency Demand Response Program, and <i>load shedding</i>. For each <i>emergency</i> action the report shall include: (a) the date of the <i>emergency</i> action; (b) the <i>zone(s)</i> where the <i>emergency</i> action was implemented; (c) an estimate of the MW <i>capacity</i> addition or <i>load relief</i> achieved, by <i>zone</i>; and (d) the reason(s) why the emergency action was implemented. (F-R5)9. Other analyses and indices identified by the NYSRC Executive Committee for monitoring the <i>security</i> of the system. |
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Compliance Templates NYSRC Reliability Rules

Compliance Monitoring Process

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| <p>Compliance Documentation Reporting Responsibility: NYISO</p> <p>Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS</p> <p>Compliance Monitoring Reporting Frequency: Monthly</p> |
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Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO submitted a monthly operations report for the previous month in accordance with the nine Requirements defined in Measurement K-M2.d. |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO submitted a monthly operations report, but the report wasw incomplete relative to one of the Requirements defined in K-M2d.. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO submitted a monthly operations report, but thereport was incomplete relative to two of the Requirements defined in K-M2d. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO submitted a monthly operations report, but the report was incomplete relative to three or more of the Requirements defined in K-M2d. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO did not submit a monthly operations report for the previous month. |

**Compliance Templates
NYSRC Reliability Rules**

RELIABILITY ASSESSMENT

K-M2.e

Reliability Rule Reference

K-R2 Reliability Assessments

Measurement

K-M2.e The NYISO shall conduct, and provide to the NYSRC, the following reliability assessment:

Special reliability assessments that may be requested by the NYSRC.

Compliance Monitoring Process

Compliance Documentation Reporting Responsibility:
NYISO
Compliance Monitoring Responsibility: Review of NYISO
Compliance Documentation – RCMS
Compliance Monitoring Reporting Frequency: On Request

Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO conducted all special reliability assessments as requested by NYSRC in accordance with Measurement K-M2.e. The scope and schedule of such assessments was jointly developed by the NYISO and NYSRC. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The reliability assessment was provided, but was incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The reliability assessment was not provided. |

Compliance Templates NYSRC Reliability Rules

RELIABILITY ASSESSMENT

K-M2.f

Reliability Rule Reference

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| K-R2 Reliability Assessments |
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Measurement

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| K-M2.g | The NYISO shall conduct, and provide to the NYSRC, the following reliability assessment: |
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Copies of additional system reliability assessments requested by NPCC, but not covered above.

Compliance Monitoring Process

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| Compliance Documentation Reporting Responsibility: |
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NYISO

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| Compliance Monitoring Responsibility: Review of NYISO |
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Compliance Documentation – RCMS

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| Compliance Monitoring Reporting Frequency: On Request |
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Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO furnished the NYSRC a copy of reliability assessments, in accordance with Measurement K-M2.g. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO did not provide the NYSRC with a copy of the requested reliability assessment. |

Compliance Templates NYSRC Reliability Rules

Extreme System Conditions Assessment

K-M3

Reliability Rule Reference

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| K-R3 Extreme System Conditions Assessment |
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Measurement

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| K-M3 | The NYISO shall incorporate special simulation testing to assess the impact of Extreme System Conditions on the NYS Bulk Power System, and where appropriate, develop plans to mitigate the consequences that are indicated by these assessments. These tests shall show the impacts on steady state and dynamic performance of extreme condition events “a” and “b” specified in Reliability Rule K-R3. The scope of these studies shall meet NPCC guidelines for transmission and resource adequacy assessments. The NYISO shall report the results of these assessments, including evaluations of mitigation measures for any cases that conclude serious consequences, as part of NYCA transmission and resource adequacy assessments required by Measurement K-M2. |
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Compliance Monitoring Process

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| <p>Compliance Documentation Reporting Responsibility: NYISO</p> <p>Compliance Monitoring Responsibility: Review of NYISO Compliance Documentation – RCMS</p> <p>Compliance Monitoring Reporting Frequency: Annually</p> |
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Levels of Compliance

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| <input type="checkbox"/> Full (100%) Compliance | The NYISO assessed the impact of Extreme System Conditions and developed plans to mitigate the consequences of such impacts, in accordance with Measurement K-M3. The results of these assessments were included in NYISO reports covering annual NYCA transmission and resource adequacy assessments, required by Measurement K-M2. |
| <input type="checkbox"/> Non-Compliance Level 1 | An Extreme System Condition assessment and mitigation plans for all specified events were included in the NYCA transmission or resource adequacy assessment report, but was incomplete in meeting NYSRC requirements or NPCC transmission or resource adequacy guidelines. |
| <input type="checkbox"/> Non-Compliance Level 2 | An Extreme System Condition assessment was submitted for all specified events, but mitigation plans were not included or were found unacceptable. |
| <input type="checkbox"/> Non-Compliance Level 3 | An Extreme System Condition assessment was submitted, but did not include evaluations and mitigation plans for all specified events. |
| <input type="checkbox"/> Non-Compliance Level 4 | An Extreme System Condition assessment was not submitted. |

Compliance Templates NYSRC Reliability Rules

III. VERSION HISTORY

COMPLIANCE TEMPLATE MANUAL

| Version | Date | Changes |
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| 1 | 7/1/02 | Initial version (includes RR Manual Versions 1-4 changes) |
| 2 | 11/12/02 | New Compliance Template for new Measurement J-M2 (PRR #53); New Compliance Template for new Measurement B-M4 (PRR #54); Table of Contents; New Section: Compliance Templates Version History |
| 3 | 3/14/03 | Revised Compliance Template for Measurement B-M1 (PRR #29); Revised Compliance Template for Measurement C-M1 (PRR #50); New Compliance Templates for Measurements C-M9&10 (PRR #58) |
| 4 | 5/9/03 | Revised Compliance Template for Measurement H-M2 and new Compliance Template for Measurement H-M3 (PRR #55) |
| 5 | 10/7/03 | New Compliance Templates for Measurement E-M6 & E-M7 (PRR #57); New Compliance Template for Measurement C-M11 (PRR #63); Revised Compliance Template for Measurement E-M2 and New Compliance Template for Measurement F-M5 (PRR #64) |
| 6 | 1/9/04 | Revised Compliance Template for Measurement G-M1 (PRR #66) |
| 7 | 12/17/04 | Revised Compliance Template for Measurement J-M2 and New Compliance Template for J-M3 (PRR #67) |
| 8 | 5/2/05 | New Compliance Template for Measurement F-M6 (PRR #77) |
| 9 | 8/12/05 | New Compliance Templates for Measurement K-M3 (PRR #72) and Measurements C-M12 & C-M13 (PRR #69) |
| 10 | 10/14/05 | Revised Compliance Templates for Measurements C-M1, C-M2, and C-M3 (PRR #73); Revised Compliance Template for Measurement F-M2 and Removal of Compliance Template for K-M2e (PRR #78) |
| 11 | 12/9/05 | Revised Compliance Templates for Measurements C-M9 and C-M11 (PRR #74) |
| 12 | 3/10/06 | Revised Compliance Templates for Measurements G-M1, G-M2, G-M3, and G-M4 (PRR #76); New Compliance Template for Measurement E-M8 (PRR #79); Revised Compliance Template for Measurement C-M5 (PRR #80); Revised Compliance Template for Measurement E-M7 (PRR #81); Revised Compliance Template for Measurement F-M4 (PRR #82); Revised Compliance Template for Measurements I-M5 and I-M6 (PRR #83) |
| 13 | 4/13/07 | Revised Compliance Template for Measurement B-M1 (PRR #86); Revised Compliance Template for Measurement B-M3 (PRR #90); Revised Manual Introduction |

**Compliance Templates
NYSRC Reliability Rules**

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| 14 | 7/13/07 | Revised Compliance Templates for Measurements I-M2, I-M4 and I-M6 (PRR #88); Revised Compliance Template for Measurement G-M1 (PRR #92) |
| 15 | 12/14/07 | Revised Compliance Template for Measurement D-M1 (PRR #93); New Compliance Template for Measurement E-M9 (PRR #94) |
| 16 | 05/09/08 | Revised Compliance Template for Measurement G-M2 and G-M4 (PRR #95) |
| 17 | 1/9/09 | Revised Compliance Templates for Measurements C-M1, C-M2 and C-M3 (PRR #96); Revised Compliance Template for Measurement K-M2a (PRR #98) |
| 18 | 8/14/09 | Revised Compliance Templates for Measurements G-M1 through G-M3 (PRR #99). |
| 19 | 10/9/09 | Revised Compliance Templates for Measurements C-M4 through C-M6 (PRR 101). |
| 20 | 12/4/09 | Revised Measurement K-M2d, retirement of Measurements D-M1, D-M3, E-M2, E-M5, and F-M5 (PRR #102) |
| 21 | 7/9/10 | Revised Measurements C-M9 and C-M11 (PRR 103) |
| 22 | 1/7/11 | Revised Measurements C-M1 and C-M3 (PRR #104); Revised Measurement E-M9 (PRR #105); Revised Measurements G-M1 and G-M3 (PRR #106) |
| 23 | 11/10/11 | Revised compliance elements for Measurements C-M8, H-M2, I-M1, I-M2, and J-M2 (PRR 107) |
| 24 | 5/11/12 | New compliance templates for Measurements C-M14 and C-M15 (PRR 109); Revised Full Compliance statements for all compliance templates stating compliance requirements in the past tense. |
| 25 | 1/11/13 | Revised Measurements G-M1 and G-M3 (PRR 114); Revised Manual Introduction. |
| 26 | 4/10/14 | Revised Table 2; New Measurements I-M7 and I-M8, Revised Measurements G-M1 and G-M2 (PRR 116A); Revised Measurement B-M4 (PRR 117); Retirement of Measurements H-M1, H-M2, and H-M3 (PRR 118). |