

Reliability Compliance Monitoring Subcommittee (“RCMS”)

Work Scope

The Reliability Compliance Monitoring Subcommittee (“RCMS”) manages the NYSRC compliance monitoring process and procedures for measuring and documenting compliance by the NYISO and market participants with the NYSRC Reliability Rules. Compliance is monitored in accordance with NYSRC Policy 4, *Procedure for Monitoring Compliance with the NYSRC Reliability Rules*, the NYSRC and ISO/NYSRC Agreements, and other processes and procedures established by the NYSRC Executive Committee. RCMS is an open subcommittee whose meetings are open to all interested parties who wish to attend. Meetings are publicly posted on the NYSRC website.

Responsibilities

1. Recommend to the NYSRC Executive Committee, NYSRC compliance monitoring processes and procedures, including Policy 4 revisions, for ensuring compliance with NYSRC Reliability Rules. The procedures should include required types of compliance reporting requirements (compliance certifications and self-certifications, reports, data, and analyses) to be provided by the NYISO for showing conformance by the NYISO and market participants with the NYSRC Reliability Rules.
2. Develop, for Executive Committee approval, the annual NYSRC Reliability Compliance Monitoring Program, including rules to be assessed, compliance documentation requirements, and milestone dates.
3. Prepare compliance templates showing compliance monitoring responsibilities and full compliance and levels of non-compliance for each NYSRC Reliability Rule.
4. Monitor compliance with those NYSRC Reliability Rules that the NYSRC has specific monitoring responsibility. This responsibility should include verification that compliance documentation submittals have been received on time and are accurate and complete, and findings of full compliance or level of non-compliance, as appropriate.
5. Notify the NYISO of full compliance or level of non-compliance with the NYSRC Reliability Rules. For non-compliance findings, prepare non-compliance letters to the NYISO, including follow-up actions to ensure future compliance, for Executive Committee approval.
6. Prepare reports on compliance monitoring findings for submission to the NYSRC Executive Committee. These reports should include the compliance/non-compliance notifications described in Responsibility 5, and summaries and analyses requested by the NYSRC Executive Committee.
7. Recommend to the NYSRC Executive Committee implementation of the dispute resolution process, when appropriate.
8. Provide oversight and review of NYISO and NPCC compliance monitoring processes for

those NYSRC Reliability Rules that the NYISO and NPCC have monitoring responsibility.

9. Review NYISO studies, as a part of RCMS compliance programs, examining compliance with NYSRC Reliability Rules of proposed generation and transmission additions and modifications. Reports summarizing these reviews and conclusions should be submitted to the NYSRC Executive Committee.

10. Recommend to the NYSRC Reliability Rules Subcommittee (“RRS”) and NYSRC Executive Committee, when appropriate, development of new NYSRC Reliability Rules or modifications of existing rules.

11. Prepare periodic status reports to the NYSRC Executive Committee. Also prepare reports for the NYSRC Executive Committee to disseminate to FERC and the PSC, as requested.

Reporting

The RCMS reports to the NYSRC Executive Committee.

RCMS Membership

The RCMS includes representatives from the NYSRC members and PSC and NYISO participants.

Approval Process

The RCMS will seek to achieve a consensus on its actions and recommendations. However, if necessary, majority and minority reports will be submitted to the NYSRC Executive Committee.

Technical Analyses

As required, the RCMS will request NYISO, or retain consulting services, to perform technical analyses to meet its responsibilities.

Liaison with NPCC

The RCMS may nominate one of its members, for NYSRC Executive Committee approval, to represent the NYSRC on the NPCC Compliance Committee.

Initially Approved by the NYSRC Executive Committee – July 21, 1999.

Revision 1 - Approved by the NYSRC Executive Committee – November 9, 2001.

Revision 2 - Approved by the NYSRC Executive Committee – May 13, 2011