

**Compliance
Templates
for the
NYSRC
Reliability Rules**

*Version 12
March 10, 2006*



COMPLIANCE TEMPLATES
for the
NYSRC Reliability Rules

Version 12
March 10, 2006

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

**NYSRC RELIABILITY RULE
COMPLIANCE TEMPLATES**

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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 many of the Reliability Rules covered by the Compliance Templates. The NYSRC Compliance Monitoring Subcommittee (RCMS) is responsible for monitoring NYISO compliance with those Reliability Rules using the Compliance Templates. Market Participants (Transmission Owners, Generation Owners, ICAP Providers, and LSEs) are responsible for achieving compliance with other Reliability Rules. The NYISO is responsible for monitoring Market Participant compliance with those Reliability Rules and is encouraged to use the Compliance Templates for this process.

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.

Figure 1 is a form that is used by RCMS to document compliance reviews, which is attached to the relevant compliance template for each reliability assessment.

The Compliance Templates will be supplemented or revised as new Reliability Rules are added or the Rules are updated.

4. Compliance Template Format

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

5. Compliance Report Due Dates

Those entities responsible for achieving compliance to a measurement for which compliance is to be reviewed must submit their compliance reports in electronic format to the NYSRC in accordance with due dates established by RCMS. A non-compliance level is designated by RCMS if a compliance report is not received after a grace period of 29 days has expired. RCMS assesses levels of non-compliance for overdue reports in accordance with Table 2.

6. Notification Letters for Non-Compliance of the Reliability Rules

Letters are used to communicate non-compliance of the Reliability Rules based on the levels of non-compliance specified in the Compliance Templates, or for overdue compliance reports. The NYSRC Executive Committee Chairman signs these letters. Table 3 defines the types of letters to be used.

NYISO procedures include imposition of sanctions for Market Participants that are in non-compliance with NYISO requirements and the Reliability Rules. Recognizing this policy, the NYSRC and NYISO coordinate on a case-by-case basis the need to issue the notification letters in Table 3 when Market Participants are in non-compliance with the Reliability Rules.

7. Compliance Template Index

Table 4 is a Compliance Template index, which shows for each compliance template, the related Reliability Rule(s), entities responsible for compliance reporting and monitoring, and compliance report frequency.

FIGURE 1: COMPLIANCE REVIEW FORM

| | |
|---|--|
| 1. Description of compliance documentation submitted by NYISO | |
| | |
| 2. Compliance Review Dates: | |
| Due date of NYISO report to RCMS | |
| Actual date of NYISO report to RCMS | |
| Date of RCMS review | |
| | |
| 3. Follow-up actions, if any | |
| | |
| 4. RCMS comments | |
| | |
| 5. Executive Committee comments | |
| | |

TABLE 1: COMPLIANCE TEMPLATE FORMAT

| |
|---|
| <ul style="list-style-type: none"> • 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 – Revision 2” document. • Measurement: The number and exact wording of the template measurement as in the Reliability Rules document. • Responsibilities: Includes the (1) frequency or timetable for providing the required documentation, (2) entity accountable for compliance to this measurement, (3) entity responsible for monitoring compliance of the measurement, and 4) entity, if any, responsible for oversight review. • Full (100%) Compliance: Clear statement of compliance reporting requirements. May include reference to related Reliability Rules and measurements. • Levels of Non-Compliance: In increasing levels of non-compliance. Some levels may not be applicable. <ul style="list-style-type: none"> - Level 1 - Level 2 - Level 3 - Level 4 |
|---|

TABLE 2: OVERDUE COMPLIANCE REPORTS

| <i>Lateness</i> | <i>Level Of Non-Compliance</i> |
|--|--|
| Not received within 30 days of established due date. | 1 |
| Not received within 90 days of established due date. | 4 |

TABLE 3:

NOTIFICATION LETTERS FOR NON-COMPLIANCE OF THE NYSRC RELIABILITY RULES

| <i>Level Of Non-Compliance</i> | <i>Letter Type</i> |
|--|--------------------|
| 1 | A |
| 2 | B |
| 3 | C |
| 4 | D |

Letter A: To the relevant NYISO Vice President (the VP of Strategic Initiatives or VP of System Operations), with a copy to the NYSRC Executive Committee.

Letter B: To the NYISO CEO, with copies to the relevant NYISO VP and the NYSRC Executive Committee.

Letter C: To the NYISO Board of Directors, with copies to the NYISO CEO, the relevant NYISO VP, and the NYSRC Executive Committee.

Letter D: The same as Letter C, with copies to the NYS Public Service Commission. Post on the NYSRC web site.

TABLE 4: COMPLIANCE TEMPLATE INDEX

| | Measurement/ Compliance Template | Rule | Applicable To | Monitoring Responsibility | Reporting Frequency | Page Number. Reference |
|-----------|--|--------|---------------|------------------------------|------------------------|------------------------------|
| A. | Resource Adequacy | | | | | |
| | A-M1 | A-R1 | ICS | RCMS | Annually | 10 |
| | A-M2 | A-R2,3 | NYISO | RCMS | Annually | 11 |
| | A-M3 | A-R2,3 | LSEs | NYISO | Annually | 12 |
| | A-M4 | A-R2 | NYISO | RCMS | As Required | 13 |
| B. | Transmission Capability - Planning | | | | | |
| | B-M1 | B-R1-3 | NYISO | RCMS | Annually | 14 |
| | B-M2 | B-R4 | NYISO | RCMS | Annually | 15 |
| | B-M3 | B-R5 | NYISO | RCMS | On Request | 16 |
| | B-M4 | B-R6 | NYISO | RCMS | On Request | 17 |
| C. | Resource & Demand Data Requirements | | | | | |
| | C-M1 | C-R1 | NYISO | RCMS | On Request | 18 |
| | C-M2 | C-R1 | NYISO | RCMS | On Request | 20 |
| | C-M3 | C-R1 | NYISO | RCMS | On Request | 21 |
| | C-M4 | C-R2 | NYISO | RCMS | On Request | 22 |
| | C-M5 | C-R2 | NYISO | RCMS | Monthly | 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 | 28 |
| | C-M11 | C-R4 | NYISO | RCMS | As Required | 29 |
| | C-M12 | C-R5 | NYISO | RCMS | On Request | 30 |
| | C-M13 | C-R5 | NYISO | RCMS | On Request | 31 |
| D. | Operating Reserves | | | | | |
| | D-M1 | D-R1-3 | NYISO | RCMS | Monthly | 32 |
| | D-M2 | D-R1-3 | NYISO | RCMS | On Request | 33 |
| | D-M3 | D-R4 | NYISO | RCMS | Monthly | 34 |
| E. | Transmission Capability - Operating | | | | | |
| | E-M1 | E-R1-3 | NYISO | RCMS | On Request | 35 |
| | E-M2 | E-R1-4 | NYISO | RCMS | Monthly | 36 |
| | E-M3 | E-R5 | NYISO | RCMS | On Request | 37 |
| | E-M4 | E-R6 | NYISO | RCMS | On Request | 38 |
| | E-M5 | E-R6 | NYISO | RCMS | As Required | 39 |
| | E-M6 | E-R8 | NYISO | RCMS | On Request | 40 |
| | E-M7 | E-R8 | NYISO | RCMS | As Required | 41 |
| | E-M8 | E-R8 | NYISO | RCMS | As Required | 42 |
| F. | Operating During Major Emergencies | | | | | |
| | F-M1 | F-R1-7 | NYISO | RCMS | On Request | 43 |
| | F-M2 | F-R1-7 | NYISO | RCMS | As Required | 44 |
| | F-M3 | F-R8 | NYISO | RCMS | On Request | 45 |
| | F-M4 | F-R8 | NYISO | RCMS | Annually | 46 |
| | F-M5 | F-R5 | NYISO | RCMS | Monthly | 47 |
| | F-M6 | F-R5 | NYISO | RCMS | Annually | 48 |

TABLE 4: COMPLIANCE TEMPLATE INDEX

| | Measurement/ Compliance Template | Rule | Applicable To | Monitoring Responsibility | Reporting Frequency | Page Number. Reference |
|-----------|--|----------|---------------|------------------------------|------------------------|------------------------------|
| G. | System Restoration | | | | | |
| | G-M1 | G-R1-2 | NYISO | RCMS | On Request | 49 |
| | G-M2 | G-R1 | NYISO | RCMS | On Request | 51 |
| | G-M3 | G-R2 | NYISO | RCMS | On Request | 53 |
| | G-M4 | G-R3 | NYISO | RCMS | On Request | 54 |
| H. | System Protection | | | | | |
| | H-M1 | H-R1 | NYISO | RCMS | On Request | 55 |
| | H-M2 | H-R2 | NYISO | RCMS | On Request | 56 |
| | H-M3 | H-R2 | NYISO | RCMS | On Request | 57 |
| I. | Local Reliability Rules | | | | | |
| | I-M1 | I-R1,3,4 | NYISO | RCMS | On Request | 58 |
| | I-M2 | I-R5 | NYISO | RCMS | On Request | 59 |
| | I-M3 | I-R2 | NYISO | RCMS | On Request | 60 |
| | I-M4 | I-R1-5 | NYISO | RCMS | On Request | 61 |
| | I-M5 | I-R1,3,4 | NYISO | RCMS | On Request | 62 |
| | I-M6 | I-R5 | NYISO | RCMS | On Request | 63 |
| J. | NYISO Control Center Communications | | | | | |
| | J-M1 | J-R1-2 | NYISO | RCMS | On Request | 64 |
| | J-M2 | J-R2 | NYISO | RCMS | On Request | 65 |
| | J-M3 | J-R2 | NYISO | RCMS | As Required | 66 |
| K. | Reliability Assessment | | | | | |
| | K-M1 | K-R1 | NYISO | RCMS | On Request | 67 |
| | K-M2.a | K-R2 | NYISO | RCMS | Annually | 68 |
| | K-M2.b | K-R2 | NYISO | RCMS | Annually | 69 |
| | K-M2.c | K-R2 | NYISO | RCMS | On Request | 70 |
| | K-M2.d | K-R2 | NYISO | RCMS | Monthly | 71 |
| | K-M2.e | K-R2 | NYISO | RCMS | On Request | 72 |
| | K-M2.f | K-R2 | NYISO | RCMS | On Request | 73 |
| | K-M3 | K-R3 | NYISO | RCMS | On Request | 74 |

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. |
|---|

Responsibilities

| |
|--|
| Reporting Frequency: Annually Reporting Responsibility: ICAP WG Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|--|

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYSRC ICAP Working Group shall conduct a resource adequacy study annually for the following capability period, and report 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.

Responsibilities

Reporting Frequency: Annually
 Reporting Responsibility: NYISO
 Compliance Monitoring Responsibility: NYSRC RCMS
 Oversight Review Responsibility: N/A

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall annually conduct analyses to establish LSE and locational installed capacity (ICAP) requirements for the next capability year. The analyses shall be based on NYCA ICAP requirements established by the NYSRC and shall utilize models and assumptions consistent with those used by the NYSRC for its ICAP requirement study. A report shall be 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 shall further demonstrate 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.

Responsibilities

Reporting Frequency: Annually

Reporting Responsibility: LSEs

Compliance Monitoring Responsibility: NYISO

Oversight Review Responsibility: NYSRC RCMS

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | Each LSE must demonstrate that it has 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 its has 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> |
|---|

Responsibilities

| |
|--|
| <p>Reporting Frequency: As Required Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A</p> |
|--|

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall immediately notify the NYSRC when a LSE fails 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 does not notify the NYSRC when an LSE fails 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.

Responsibilities

Reporting Frequency: Annually
 Reporting Responsibility: NYISO
 Compliance Monitoring Responsibility: NYSRC RCMS
 Oversight Review Responsibility: N/A

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall annually assess 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, and Measurement B-M1. These assessments must indicate that the planned NYS bulk power transmission system is compliant with Reliability Rules. Documentation of results of these reliability assessments shall be reported annually 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

| |
|---|
| 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. |
|---|

Responsibilities

| |
|--|
| Reporting Frequency: Annually Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|--|

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall annually assess 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. When simulations indicate that the system could become unstable, the NYISO shall document 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 shall be reported annually 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

| |
|--|
| B-M3 The NYISO shall demonstrate that the system is planned considering ease of system restoration. |
|--|

Responsibilities

| |
|--|
| Reporting Frequency: On Request Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|--|

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The annual NYCA Transmission Review required by Measurement K-M2.a shall include an assessment demonstrating the ease of system restoration, in accordance with Measurement B-M3. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | An assessment to demonstrate the ease of system restoration was not included in the annual NYCA Transmission Review. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <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

| |
|---|
| <p>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. The NYS Bulk Power System facilities list shall be published in the annual NYISO “Load and Capacity Data Report” or other publication approved by the NYSRC.</p> |
|---|

Responsibilities

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

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall establish and maintain a procedure for developing a list of NYS Bulk Power System facilities and publish this list, 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. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The list of NYS Bulk Power System facilities was not published as required, or documentation of procedures for developing and maintaining the 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

| |
|--|
| <p>C-M1 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.</p> |
|--|

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 net 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. The resource capacity data shall include the actual test date(s) for each generator.

The NYISO shall provide dependable net capacity and 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 capability period. Documentation of the NYISO procedures and verification results shall be provided to the NYSRC upon request.

Responsibilities

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

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall establish and maintain 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 shall be included in these NYISO procedures. The dependable net capacity and reactive capacity data shall be 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 was incomplete 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. |

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| | |
|---|---|
| <input type="checkbox"/> Non-Compliance Level 4 | Documentation of NYISO procedures for resource capacity equipment testing was 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

| |
|---|
| C-M2 Owners of resources responsible for providing ICAP shall 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. |
|---|

Responsibilities

| |
|--|
| Reporting Frequency: On Request Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|--|

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO certifies 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 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 dependable net capacity verification testing reports were incomplete in one or more areas for one or more generation 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 verification tests of resource capacity net dependable capacity 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-M3

Reliability Rule Reference

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

Measurement

| |
|---|
| <p>C-M3 The NYISO certifies 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.</p> |
|---|

Responsibilities

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

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | 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 1 | 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 2 | Reports providing verification of generator reactive power capacity test results were incomplete. |
| <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

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|--|
| C-R2 Resource Availability Requirements |
|--|

Measurement

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| C-M4 The NYISO shall establish and maintain procedures and schedules for reporting of outage and load response data to the NYISO for those ICAP resources, as well energy-only resources, serving the NYCA. |
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Responsibilities

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| Reporting Frequency: On Request Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|--|

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall establish Installed Capacity Provider requirements for reporting resource availability data to the NYISO, in accordance with Measurement C-M4. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | NYISO procedures for reporting of resource availability data have been prepared, 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 | NYISO procedures for reporting of resource availability data have not been prepared. |

Compliance Templates NYSRC Reliability Rules

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M5

Reliability Rule Reference

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|--|
| C-R2 Resource Availability Requirements |
|--|

Measurement

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|---|
| C-M5 Owners of resources located in or serving the NYCA shall provide to the NYISO accurate resource outage and load response data on a timely basis for their units in accordance with NYISO procedures, tariffs and schedules (see Measurement C-M4) |
|---|

Responsibilities

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|---|
| Reporting Frequency: Monthly Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|---|

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO certifies that all Installed Capacity Providers have accurately reported outage and load response data on schedule in accordance with applicable NYISO procedures, tariffs and schedules, and with Measurement C-M5. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO certified that audits or other investigations found that outage and load response data reports from one or more Installed Capacity Providers were in non-compliance with NYISO procedures and schedules. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO found that reports from one or more Installed Capacity Providers were in non-compliance with NYISO procedures and schedules (see Level 2), and in addition, the NYISO did not apply appropriate sanctions or letters for non-compliance with NYISO outage reporting requirements for one or more Installed Capacity Providers, as required by the NYISO Market Services Tariff. |
| <input type="checkbox"/> Non-Compliance Level 4 | One or more Installed Capacity Providers failed to submit an outage data report to the NYISO as required by NYISO procedures and schedules. |

Compliance Templates NYSRC Reliability Rules

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M6

Reliability Rule Reference

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| C-R2 Resource Availability Requirements |
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Measurement

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| <p>C-M6 The NYISO shall annually prepare, from outage and load response data received under C-M5, a document depicting outage and load response data applicable to reliability analysis, recognizing applicable confidentiality requirements. The report shall include statewide resource class statistics, averaged for an appropriate historical period.</p> |
|---|

Responsibilities

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| <p>Reporting Frequency: Annually Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A</p> |
|---|

Levels of Compliance

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|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall prepare a document showing historical statistics and trends regarding the performance of resource facilities in accordance with Measurement C-M6, which shall be submitted to the NYSRC. This document shall be updated annually. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | A resource availability document was provided to the NYSRC, 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 resource availability document was not prepared. |

Compliance Templates NYSRC Reliability Rules

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M7

Reliability Rule Reference

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|------------------------------|
| C-R3 Load Forecasting |
|------------------------------|

Measurement

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| <p>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.</p> |
|--|

Responsibilities

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

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall prepare 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

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|------------------------------|
| C-R3 Load Forecasting |
|------------------------------|

Measurement

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|---|
| <p>C-M8 The following information shall be provided annually to the NYSRC as specified by NYISO procedures required under C-M7:</p> <ol style="list-style-type: none"> 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. |
|---|

Responsibilities

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| Reporting Frequency: Annually Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|--|

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | Aggregated actual and forecast demand and net energy for load data shall be provided 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 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. |

**Compliance Templates
NYSRC Reliability Rules**

RESOURCE, SYSTEM & DEMAND DATA REQUIREMENTS

C-M9

Reliability Rule Reference

C-R4 System Data Requirements

Measurement

C-M9. The NYISO shall establish and maintain a procedure for the development and maintenance of load flow, short-circuit, and stability data bases. . This procedure shall include Market Participant requirements to report to the NYISO and Transmission Owners verified changes to equipment parameters that affect these data bases. The procedure shall address appropriate time requirements for reporting such data base changes.

Responsibilities

Reporting Frequency: On Request
Reporting Responsibility: NYISO
Compliance Monitoring Responsibility: NYSRC RCMS
Oversight Review Responsibility: N/A

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall has in place a procedure for the development and maintenance of load flow, short-circuit and stability data bases, including Market Participant requirements to report data base changes to the NYISO and Transmission Owners, in accordance with Measurement C-M9. This procedure also addresses time requirements for reporting data base changes. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | A NYISO procedure for development and maintenance of load flow, short-circuit, and stability data bases has been prepared, 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 NYISO procedure for development and maintenance of load flow, short-circuit, and stability data bases has not been prepared. |

**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.

Responsibilities

Reporting Frequency: On Request
Reporting Responsibility: NYISO
Compliance Monitoring Responsibility: NYSRC RCMS
Oversight Review Responsibility: N/A

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | Load flow, short-circuit, and stability data bases shall be 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 have 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 have been 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 |
|--------------------------------------|

Measurement

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|---|
| C-M11 Transmission Owners and other designated Market Participants shall provide to the NYISO load flow, short-circuit, and stability data in the time frame and format as specified by NYISO procedures required under Measurement C-M9. This data will be used to maintain up-to-date data bases required under Measurement C-M10. |
|---|

Responsibilities

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|---|
| Reporting Frequency: As Required Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|---|

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO certified that all Transmission Owners or other designated Market Participants provided the NYISO with load flow, short circuit, and stability data bases in accordance with Measurement C-M11. |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO certified that the required data was complete, but was not submitted to the NYISO by the specified time by one or more designated Market Participants. |
| <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. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO certified that the required data from one or more designated Market Participants was not submitted to the NYISO. |

Compliance Templates NYSRC Reliability Rules

Disturbance Recording

C-M12

Reliability Rule Reference

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|-----------------------------------|
| C-R5 Disturbance Recording |
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Measurement

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| <p>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.</p> |
|---|

Responsibilities

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

Levels of Compliance

| | |
|---|---|
| <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 shall be 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 installation of disturbance monitoring devices and the reporting of data to assist in the conduct of system disturbance analyses. |

Compliance Templates NYSRC Reliability Rules

Disturbance Recording

C-M13

Reliability Rule Reference

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|-----------------------------------|
| C-R5 Disturbance Recording |
|-----------------------------------|

Measurement

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

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| Reporting Frequency: On Request Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|--|

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO certifies that all Market Participants have installed disturbance monitoring devices and reported data in accordance with Measurement C-M13. This documentation shall be 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

OPERATING RESERVES

D-M1

Reliability Rule Reference

D-R1 Operating Resource Adequacy
D-R2 Minimum Operating Reserve Requirement
D-R3 Availability and Category

Measurement

D-M1 The NYISO shall maintain statistics regarding daily forecasted and actual reserves, and shall report these statistics to the NYSRC on a monthly basis. The statistics shall include 10 minute synchronized, 10 minute non-synchronized, and 30 minute operating reserves. The report shall distinguish between any locational operating reserves.

Responsibilities

Reporting Frequency: Monthly
 Reporting Responsibility: NYISO
 Compliance Monitoring Responsibility: NYSRC RCMS
 Oversight Review Responsibility: N/A

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | In accordance with Measurement D-M1, the NYISO shall provide a monthly report which compares forecasted versus actual operating reserve in all categories as described in Reliability Rules D-R1 to D-R3. The report must also distinguish between the need to maintain operating reserve requirement for the NYCA and the locational operating reserve needs of New York City as outlined in the Local Reliability Rules I-R1 and I-R2. |
| <input type="checkbox"/> Non-Compliance Level 1 | The report did not provide all of the required information. |
| <input type="checkbox"/> Non-Compliance Level 2 | The report indicated that the NYISO did not maintain system operating reserve consistent with Reliability Rules D-R1 to D-R3 or Local Reliability Rules I-R1 and I-R2. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | A report was not prepared or not submitted. |

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.

Responsibilities

Reporting Frequency: On Request
 Reporting Responsibility: NYISO
 Compliance Monitoring Responsibility: NYSRC RCMS
 Oversight Review Responsibility: N/A

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | In accordance with Measurement D-M2, NYISO shall have 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 resources and operating reserve consistent with the requirements of Reliability Rules D-R1 to D-R4. To the extent necessary these procedures and systems shall take into consideration Local Reliability Rules I-R1 and I-R2. The NYISO shall notify 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

OPERATING RESERVES

D-M3

Reliability Rule Reference

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| D-R4 Restoration of Ten (10) Minute Reserve |
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Measurement

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| <p>D-M3 The NYISO shall monthly report to the NYSRC the response of the system to restore ten (10) minute operating reserve after the loss of a major unit (>300MW). For each incident this report shall identify the MW capacity lost; the 10 minute and 30 minute operating reserves prior to the incident; and the area control error (ACE), 10 minute, and 30 minute operating reserves at a period of time 10 minutes and 30 minutes after the incident.</p> |
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Responsibilities

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| <p>Reporting Frequency: Monthly Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A</p> |
|--|

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall provide specific details consistent with Reliability Rule D-R4, and as outlined in Measurement D-M3, with respect to the restoration of (10) minute operating reserve after a reportable event, as part of a monthly operating report. |
| <input type="checkbox"/> Non-Compliance Level 1 | The report did not provide all of the required information. |
| <input type="checkbox"/> Non-Compliance Level 2 | The report indicated non-compliance with maintaining system operating resource adequacy. |
| <input type="checkbox"/> Non-Compliance Level 3 | The report indicated non-compliance with maintaining operating resource adequacy and operating reserve requirements. |
| <input type="checkbox"/> Non-Compliance Level 4 | The report indicated non-compliance as outlined in Non-Compliance Level 3 and indicates that the NYISO did not meet the requirements for restoration of operating reserve after a reportable event. |

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.

Responsibilities

Reporting Frequency: On Request
 Reporting Responsibility: NYISO
 Compliance Monitoring Responsibility: NYSRC RCMS
 Oversight Review Responsibility: N/A

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall maintain 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 must be 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-M2

Reliability Rule Reference

E-R1 Thermal Assessment
E-R2 Voltage Assessment
E-R3 Stability Assessment
E-R4 Post-Contingency Operation

Measurement

E-M2 Every month the NYISO shall report to the NYSRC on the performance of the transmission system (E-R1 through E-R4), with respect to the number of transmission facilities and amount of time that each of those facilities exceeded operating constraints, including pre-contingency thermal and voltage limits, post-contingency thermal and voltage limits, and stability limits.

Responsibilities

Reporting Frequency: Monthly
 Reporting Responsibility: NYISO
 Compliance Monitoring Responsibility: NYSRC RCMS
 Oversight Review Responsibility: N/A

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall, on a monthly basis, submit a report to the NYSRC on the performance of the transmission system, in accordance with NYSRC Reliability Rules E-R1, E-R2, E-R3, E-R4 and Measurement E-M2. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The 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 NYISO report was not provided. |

Compliance Templates NYSRC Reliability Rules

TRANSMISSION CAPABILITY – OPERATING

E-M3

Reliability Rule Reference

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|---------------------------------|
| E-R5 Outage Coordination |
|---------------------------------|

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. |
|--|

Responsibilities

| |
|--|
| Reporting Frequency: On Request Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|--|

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall maintain transmission outage coordination procedures and systems in accordance with Measurement E-M3. Any revisions to these procedures or systems must be 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.

Responsibilities

Reporting Frequency: On Request
 Reporting Responsibility: NYISO
 Compliance Monitoring Responsibility: NYSRC RCMS
 Oversight Review Responsibility: N/A

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall maintain 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 must be 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-M5

Reliability Rule Reference

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

Measurement

E-M5 The NYISO shall report to the NYSRC when more stringent operating restrictions were imposed due to severe weather conditions and severe solar magnetic disturbances, and summarize the actions taken.

Responsibilities

Reporting Frequency: As Required
 Reporting Responsibility: NYISO
 Compliance Monitoring Responsibility: NYSRC RCMS
 Oversight Review Responsibility: N/A

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall report to the NYSRC whenever more stringent operating conditions were imposed as a result of severe weather conditions or severe solar magnetic disturbances in accordance with Measurements E-M5. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | NYSRC was notified but summary of actions taken was not provided. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | NYSRC was not notified. |

**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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Responsibilities

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

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall (a) perform fault duty assessments, and (b) develop mitigation plans, if necessary, in accordance with Measurement E-M6. Documentation of these assessments and mitigation plans shall be 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

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| E-R8 Fault Current Assessment |
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Measurement

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| 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 NYSIO in accordance with NYISO requirements (see Measurement M-6a). |
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Responsibilities

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| Reporting Frequency: As Required Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|---|

Levels of Compliance

| | |
|---|---|
| <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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Responsibilities

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| <p>Reporting Frequency: As Required 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 shall establish and maintain 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

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.

Responsibilities

Reporting Frequency: On Request
 Reporting Responsibility: NYISO
 Compliance Monitoring Responsibility: NYSRC RCMS
 Oversight Review Responsibility: N/A

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall maintain procedures and systems in accordance with Measurement F-M1, to ensure that 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

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-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.

Responsibilities

Reporting Frequency: As Required
 Reporting Responsibility: NYISO
 Compliance Monitoring Responsibility: NYSRC RCMS
 Oversight Review Responsibility: N/A

Levels of Compliance

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

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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Responsibilities

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

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall maintain procedures for ensuring that sufficient load shedding capability exists in accordance with Measurement F-M3. These procedures should include 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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Responsibilities

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| <p>Reporting Frequency: Annually Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A</p> |
|---|

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO certifies that each transmission owner has submitted appropriate load shedding documentation in accordance with NYISO procedures, and as required under Measurement F-M3, to ensure 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-M5

Reliability Rule Reference

F-R5 Operating Reserve Deficiency

Measurement

F-M5 Every month the NYISO shall report to the NYSRC on the following emergency actions that were initiated: emergency assistance from neighboring Control Areas, manual (local) voltage reductions, quick response (remote control) voltage reductions (5 and 8%), voluntary load curtailment, public appeals, Special Case Resources, Emergency Demand Response Program, and load shedding. For each emergency action the report shall include: (a) the date of the emergency action; (b) the zone(s) where the emergency action was implemented; (c) an estimate of the MW capacity addition or load relief achieved, by zone; and (d) the reason(s) why the emergency action was implemented.

Responsibilities

Reporting Frequency: Monthly
Reporting Responsibility: NYISO
Compliance Monitoring Responsibility: RCMS
Oversight Review Responsibility: N/A

Levels of Compliance

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|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall, on a monthly basis, submit a report to the NYSRC on emergency actions that were initiated, in accordance with Measurement F-M5. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The 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 NYISO report was not provided. |

**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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| 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. |
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Responsibilities

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| Reporting Frequency: Annually Reporting Responsibility: NYISO Compliance Monitoring Responsibility: RCMS Oversight Review Responsibility: N/A |
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Levels of Compliance

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|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall annually provide the 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 Emergency Restoration Procedures

G-R2 Blackstart Resources

Measurement

G-M1 The NYISO shall maintain a procedure for the implementation of a NYCA SRP. This procedure shall include the following requirements applicable to both the NYISO and coordinated Transmission Owner restoration plan elements of the NYCA SRP as may be appropriate to restore the system:

1. The NYCA SRP shall require that system restoration take place at two levels: restoration of the NYCA backbone system in accordance with a NYISO restoration plan and restoration of local areas in accordance with Transmission Owner restoration plans.
2. The NYCA SRP shall ensure coordination of the NYISO and Transmission Owner restoration plan elements of the NYCA SRP. The NYCA SRP shall be coordinated with the restoration plans of neighboring control areas as required.
3. The NYCA SRP procedures shall include requirements applicable to the NYISO, the TOs, and the Blackstart Providers for establishing and maintaining a NYCA BCP. This NYCA BCP shall be coordinated with neighboring control areas. Requirements of the NYCA BCP shall include maintaining a database that contains all Blackstart Facilities, including the name, location, megawatt capacity, type of unit(s), annual testing requirements to demonstrate the Blackstart Facilities can perform their intended NYCA BCP and NYCA SRP functions, latest date of test, and starting method. This database shall be updated on an annual basis. The NYISO procedures shall require all Market Participants in general, and Blackstart Providers in particular, to follow instructions from the NYISO and/or Transmission Owners in the execution of the NYCA SRP. The NYISO shall establish and maintain procedures to verify the NYCA SRP by actual testing or by simulation. The NYISO shall annually certify that these testing requirements have been met.
4. The NYCA SRP shall establish a list of all Blackstart Facilities as defined by the NYCA BCP. The NYCA BCP shall also require that the identity of certain Blackstart Facilities from this list shall be made available to affected Transmission Owners.
5. The NYCA SRP shall contain a detailed test plan corresponding to each Blackstart Facility in the NYCA BCP. Such test plans, at a minimum, shall unambiguously state what constitutes a successful black start simulation test for each Blackstart Facility in the NYCA BCP.
6. The NYCA SRP shall be designed with a priority of minimizing the time to restore the system, while allowing the system operator flexibility to respond to as found system conditions.
7. The NYCA SRP shall include the necessary operating instructions and procedures to cover loss of vital telecommunications channels during restoration events.
8. The NYCA SRP shall require that NYISO and each Transmission Owner's

Compliance Templates NYSRC Reliability Rules

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| <p>emergency restoration processes include the requirement to establish protocols for disseminating information to entities including the NYISO, Transmission Owners, Generation Owners, and neighboring control areas during a system disturbance.</p> <p>9. The NYCA SRP shall require that the coordination of NYISO and Transmission Owner restoration plans be demonstrated by drill and by simulation.</p> <p>10. NYISO and Transmission Owner restoration plans shall be reviewed and updated annually and whenever changes are made in the NYS Power System. The NYCA SRP shall include a requirement to establish and maintain a process that compares scheduled outages and/or the unavailability of NYCA BCP Blackstart Facilities or any system element that can affect the NYCA SRP, and determine the effect on the NYCA SRP. The information resulting from the process shall be made available to the NYISO and the operating section of the appropriate Transmission Owner. (G-R1 & G-R2)</p> |
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Responsibilities

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| Reporting Frequency: Annually Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
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Levels of Compliance

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|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall maintain a procedure for the implementation of a NYCA System Restoration Plan (SRP). This plan shall address all of the requirements and elements specified in Measurement G-M1. |
| <input type="checkbox"/> Non-Compliance Level 1 | The SRP exists, but was not reviewed and updated annually. |
| <input type="checkbox"/> Non-Compliance Level 2 | The SRP exists, but did not address one of the requirements or elements specified in Measurement G-M1. |
| <input type="checkbox"/> Non-Compliance Level 3 | The SRP exists, but did not address two of the requirements or elements specified in Measurement G-M1. |
| <input type="checkbox"/> Non-Compliance Level 4 | The SRP exists, but did not address three or more of the requirements or elements in Measurement G-M1, or there is no SRP in place. |

Compliance Templates NYSRC Reliability Rules

SYSTEM RESTORATION

G-M2

Reliability Rule Reference

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| G-R1 Emergency Restoration Procedures |
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Measurement

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| <p>G-M2 Each Transmission Owner shall establish and maintain a restoration plan in accordance with NYISO procedures as required in Measurement G-M1. This restoration plan shall be coordinated with the restoration plans of the NYISO and other Transmission Owners and shall be part of the NYCA SRP. Each Transmission Owner that has a blackstart plan included in the NYCA BCP shall also establish and maintain a blackstart capability procedure [what is a blackstart capability procedure?] as part of its restoration plan for facilities under its control, in accordance with NYISO procedures and the NYCA BCP. (G-R1 & G-R2)</p> |
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Responsibilities

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

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO certifies that all Transmission Owners have established and maintained restoration plans and, if required, blackstart capability procedures in accordance with NYISO procedures and Measurement G-M2. |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO certified that the restoration plans and blackstart capability procedures of all Transmission Owners exist, but the restoration plan and blackstart capability procedure of at least one Transmission Owner does not address one of the requirements specified in Measurement G-M1 and G-M2 or in NYISO procedures. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO certified that the restoration plans and blackstart capability procedures of all TOs exist, but the restoration plan and blackstart capability procedure of at least one Transmission Owner does not address two of the requirements specified in Measurement G-M1 and G-M2 or in NYISO procedures. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO certified that the restoration plans and blackstart capability procedures of all Transmission Owners exist, but the restoration plan and blackstart capability procedure of at least one Transmission Owner does not address three or more of the requirements specified in Measurement G-M1 and G-M2 or in NYISO procedures. |

Compliance Templates
NYSRC Reliability Rules

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| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO certified that the restoration plan or blackstart capability procedure of one or more Transmission Owners does not exist. |
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Compliance Templates NYSRC Reliability Rules

SYSTEM RESTORATION

G-M3

Reliability Rule Reference

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| G-R2 Blackstart Resources |
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Measurement

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| <p>G-M3 Each Blackstart Provider shall complete a successful test of the startup and operation of each of its Blackstart Facilities included in the NYCA BCP in each Capability Year to demonstrate that its Blackstart Facilities can perform their intended functions in accordance with the procedures required in Measurement G-M1. Each Blackstart Provider shall provide documentation of these test results to the appropriate entity in accordance with NYISO and Transmission Owner procedures. Blackstart Providers shall attend NYISO and Transmission Owner restoration training as required. (G-R2)</p> |
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Responsibilities

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

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|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO certifies that all Blackstart Providers are in full compliance with Measurement G-M3 requirements and NYISO procedures |
| <input type="checkbox"/> Non-Compliance Level 1 | The NYISO certified that startup and operation testing of all Blackstart Facilities were performed in accordance with NYISO procedures, but the required documentation from one or more Blackstart Providers was incomplete. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO certified that one Blackstart Provider did not attend restoration training as required or the blackstart testing of one Blackstart Facility was not successful in accordance of the requirements of Measurement G-M3. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO certified that startup and operation testing in accordance with NYISO procedures by one or more Blackstart Providers was only partially performed or the blackstart testing of two Blackstart Facilities was not successful in accordance of the requirements of Measurement G-M3. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO certified that startup and operation testing in accordance with NYISO procedures by one or more Blackstart Providers was not performed, or more than one Blackstart Provider did not attend restoration training as required or the blackstart testing of three or more Blackstart Facilities was not successful in accordance of the requirements of Measurement G-M3. |

Compliance Templates NYSRC Reliability Rules

SYSTEM RESTORATION

G-M4

Reliability Rule Reference

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| G-R3 Restoration Training and Simulation Programs |
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Measurement

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| <p>G-M4 The NYISO shall establish and maintain procedures for training NYISO and Market Participant operating personnel for the effective implementation of the NYCA SRP. These procedures shall include coordinated training to be conducted at least annually by the NYISO and each Transmission Owner. The NYISO training procedures shall include restoration simulation exercises that include modeling of each TO SRP. The NYISO and Transmission Owners shall conduct annual simulations of full or partial system shutdowns and restoration, and shall issue critique reports of their respective tests. Blackstart Providers and other generation owners shall be required to attend NYISO and Transmission Owner training sessions as appropriate. Training program records showing that operating personnel have been trained in the implementation of the SRP and participated in restoration exercises shall be provided to the NYSRC upon request. (G-R3)</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 shall maintain restoration training programs in accordance with Measurement G-M4 requirements. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO training program procedures do not address all of the requirements of Measurement G-M4. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The NYISO did not provide a training program as required by Measurement G-M4 and NYISO procedures. |

Compliance Templates NYSRC Reliability Rules

SYSTEM PROTECTION

H-M1

Reliability Rule Reference

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| H-R1 Bulk Power System Protection |
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Measurement

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| <p>H-M1 The NYISO shall provide the NYSRC with compliance documentation and data for meeting NPCC Document A-5, in accordance with requirements of NPCC “Procedure For Reporting and Reviewing Proposed Protection Systems for the Bulk Power System” (Document C-22), and requirements of the NPCC and NERC Compliance Programs, as requested.</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 | On request, the NYISO shall provide the NYSRC with compliance documentation and data associated with proposed protection systems, in accordance with Measurement H-M1. The information provided shall meet NPCC procedures and will be coordinated with NPCC reliability compliance program submissions. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | Compliance documentation was provided, but was incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Compliance documentation was provided, but it showed that proposed NYCA protection systems do not meet NPCC Document A-5 criteria in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 4 | Compliance documentation was not provided. |

Compliance Templates NYSRC Reliability Rules

SYSTEM PROTECTION

H-M2

Reliability Rule Reference

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| H-R2 Bulk Power System Protection Maintenance |
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Measurement

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| H-M2 The NYISO shall provide the NYSRC with compliance documentation and data for meeting the requirements of the NYISO system protection maintenance procedure required by Measurement H-M3, as requested. (H-R2). |
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Responsibilities

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

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|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall submit a report to the NYSRC on testing and maintenance of NYCA protection systems, in accordance with Measurement H-M3. The maintenance report should show that the protection system maintenance and testing programs of the NYCA protection system owners comply fully with the requirements of NYISO procedures and NPCC Document A-4. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | Review of the NYISO report showed that the maintenance and testing programs did not meet NPCC and NYSRC criteria or other requirements in accordance with the NYISO system protection maintenance procedure required by Measurement H-M3. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | No maintenance report was provided to the NYSRC. |

Compliance Templates NYSRC Reliability Rules

SYSTEM PROTECTION

H-M3

Reliability Rule Reference

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| H-R2 Bulk Power System Protection Maintenance |
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Measurement

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| <p>H-M3 The NYISO shall establish and maintain a procedure for monitoring compliance with the NPCC Document A-4, "Maintenance Criteria for Bulk Power System Protection," as applied to the New York Control Area. This procedure shall include a description of how the system of compliance reporting is implemented within the NYISO. (H-R2)</p> |
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Responsibilities

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

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall establish and maintain a system protection maintenance procedure in accordance with Measurement H-M3. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO has the required procedure in place, but it is incomplete on one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 4 | The required NYISO procedure was not available or was not provided. |

Compliance Templates NYSRC Reliability Rules

LOCAL RELIABILITY RULES

I-M1

Reliability Rule Reference

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|-------------|---|
| I-R1 | Operating Reserves/Unit Commitment (New York City) |
| I-R3 | Loss of Generator Gas Supply (New York City and Long Island) |
| 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. |
|-------------|--|

Responsibilities

| |
|--|
| Reporting Frequency: On Request |
| Reporting Responsibility: NYISO |
| Compliance Monitoring Responsibility: NYSRC RCMS |
| Oversight Review Responsibility: N/A |

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall provide 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, 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. |

Compliance Templates NYSRC Reliability Rules

LOCAL RELIABILITY RULES

I-M2

Reliability Rule Reference

| |
|--|
| I-R3 Loss of Generator Gas Supply (New York City and Long Island) |
|--|

Measurement

| |
|--|
| I-M2 The NYISO shall document, maintain, and publish requirements for LIPA to develop procedures for operating its system in accordance I-R3, 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. |
|--|

Responsibilities

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| Reporting Frequency: On Request Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|--|

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall provide complete documentation for implementing I-R3, 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-R3 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 documentation for implementing I-R3 was not provided. |

Compliance Templates NYSRC Reliability Rules

LOCAL RELIABILITY RULES

I-M3

Reliability Rule Reference

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

Measurement

| |
|---|
| 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. |
|---|

Responsibilities

| |
|--|
| Reporting Frequency: On Request Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|--|

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall have procedures in place and operate 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 have 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 and Long Island) |
| I-R4 | Thunderstorm Watch (New York City) |

Measurement

| | |
|-------------|---|
| I-M4 | <p>The NYISO shall apply I-R1 through I-R4 in:</p> <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. |
|-------------|---|

Responsibilities

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

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall apply 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 shall be 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 shall be 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 and Long Island) |
| 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. |
|-------------|---|

Responsibilities

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|---|
| Reporting Frequency: On Request |
| Reporting Responsibility: Con Edison |
| Compliance Monitoring Responsibility: NYISO |
| Oversight Review Responsibility: NYSRC RCMS |

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO certifies 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

| |
|--|
| I-R3 Loss of Generator Gas Supply (Long Island) |
|--|

Measurement

| |
|--|
| I-M6 LIPA shall have in place procedures for operating its system in accordance with I-R3 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. |
|--|

Responsibilities

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|---|
| Reporting Frequency: On Request Reporting Responsibility: LIPA Compliance Monitoring Responsibility: NYISO Oversight Review Responsibility: NYSRC RCMS |
|---|

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO certifies 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

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.

Responsibilities

Reporting Frequency: On Request
 Reporting Responsibility: NYISO
 Compliance Monitoring Responsibility: NYSRC RCMS
 Oversight Review Responsibility: N/A

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall establish procedures for NYISO to Market Participant communications such that communications are consistent, efficient, and effective during normal and emergency conditions. These procedures shall include 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

J-R2 NYISO Communications Under Emergency Conditions

Measurement

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.

Responsibilities

Reporting Frequency: On Request
Reporting Responsibility: NYISO
Compliance Monitoring Responsibility: NYSRC RCMS
Oversight Review Responsibility: N/A

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall provide 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, 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**

NYISO CONTROL CENTER COMMUNICATIONS

J-M3

Reliability Rule Reference

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|---|
| 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. |
|--|

Responsibilities

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|---|
| Reporting Frequency: As Required Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|---|

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall provide the NYSRC reports 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 |
|---------------------------|

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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Responsibilities

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| Reporting Frequency: On Request Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|--|

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | In accordance with Measurement K-M1, the NYISO shall provide 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 will be 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

| |
|-------------------------------------|
| K-R2 Reliability Assessments |
|-------------------------------------|

Measurement

| | |
|---------------|--|
| K-M2.a | <p>The NYISO shall conduct, and provide to the NYSRC, the following reliability assessment:</p> <p style="padding-left: 40px;">A NYCA Transmission Review covering an assessment of system performance results of simulation tests for the 4-6 year planning horizon, for demonstrating compliance with Reliability Rules. This report shall be prepared annually.</p> |
|---------------|--|

Responsibilities

| |
|---|
| <p>Reporting Frequency: Annually Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A</p> |
|---|

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall annually prepare an assessment of the NYS bulk power transmission system in accordance with Measurement K-M2.a, which demonstrates that the performance of the NYCA system is in compliance with Reliability Rules A-R1, A-R2, A-R3, and A-R4. The format of the report should be in accordance with NPCC Guideline B-4. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYCA transmission review 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 NYCA transmission review was not provided. |

Compliance Templates NYSRC Reliability Rules

RELIABILITY ASSESSMENT

K-M2.b

Reliability Rule Reference

| |
|-------------------------------------|
| K-R2 Reliability Assessments |
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Measurement

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

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.

Responsibilities

| |
|--|
| Reporting Frequency: Annually |
| Reporting Responsibility: NYISO |
| Compliance Monitoring Responsibility: NYSRC RCMS |
| Oversight Review Responsibility: N/A |

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall annually submit a NYCA resource adequacy assessment report to the NYSRC in accordance with Measurement K-M2.b. During a year when the NYISO is required by NPCC to submit a New York Area Resource Adequacy Study, submission of that report to the NYSRC for compliance review will 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

| |
|-------------------------------------|
| K-R2 Reliability Assessments |
|-------------------------------------|

Measurement

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

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.

Responsibilities

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| Reporting Frequency: On Request |
| Reporting Responsibility: NYISO |
| Compliance Monitoring Responsibility: NYSRC RCMS |
| Oversight Review Responsibility: N/A |

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall provide to the NYSRC interregional assessments in accordance with Measurement K-M2.c. As requested by the NYSRC, these reports shall either be 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 | The NYISO shall conduct, and provide to the NYSRC, the following reliability assessment: |
|---------------|--|

Monthly operating reports covering occurrences of major emergency and alert states, a summary of the NERC/NPCC Control Performance, a list of NPCC Reportable Events, and other indices identified by the NYSRC for monitoring the security of the system.

Responsibilities

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|---|
| Reporting Frequency: Monthly Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|---|

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall provide monthly operating reports in accordance with Measurement K-M2.d, including the requirements of Measurements D-M1, D-M3, E-M2, E-M5 and F-M5. |
| <input type="checkbox"/> Non-Compliance Level 1 | Not applicable. |
| <input type="checkbox"/> Non-Compliance Level 2 | The NYISO provided a monthly operating report, but the report was incomplete in one or more areas. |
| <input type="checkbox"/> Non-Compliance Level 3 | The NYISO provided a monthly operating report, but a review of the report indicated that the NYCA system was not operated in accordance with Reliability Rules. |
| <input type="checkbox"/> Non-Compliance Level 4 | A monthly operating report was not provided. |

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.

Responsibilities

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| Reporting Frequency: On Request Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|--|

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | From time to time the NYISO will be requested to conduct special reliability assessments in accordance with Measurement K-M2.e. The scope and schedule of such assessments will be 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

| |
|-------------------------------------|
| K-R2 Reliability Assessments |
|-------------------------------------|

Measurement

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

Copies of additional system reliability assessments requested by NPCC, but not covered above.

Responsibilities

| |
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| Reporting Frequency: On Request |
| Reporting Responsibility: NYISO |
| Compliance Monitoring Responsibility: NYSRC RCMS |
| Oversight Review Responsibility: N/A |

Levels of Compliance

| | |
|---|---|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall furnish the NYSRC a copy of reliability assessments, in accordance with Measurement K-M2.f. |
| <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

| | |
|-------------|---|
| 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. |
|-------------|---|

Responsibilities

| |
|--|
| Reporting Frequency: On Request Reporting Responsibility: NYISO Compliance Monitoring Responsibility: NYSRC RCMS Oversight Review Responsibility: N/A |
|--|

Levels of Compliance

| | |
|---|--|
| <input type="checkbox"/> Full (100%) Compliance | The NYISO shall assess the impact of Extreme System Conditions and develop plans to mitigate the consequences of such impacts, in accordance with Measurement K-M3. The results of these assessments shall be 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 |
|---------|----------|--|
| 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) |