

NYSRC COMPLIANCE MONITORING PROGRAM: 2018 to 2020

RR	M	Requirements	Compliance Review Frequency	2018	2019	2020
A.1	1	R.1, R.2	Every 3 years	✓		
A.2	1	R.1 to R.3	Annually	✓	✓	✓
	2*	R.4	Annually	✓	✓	✓
	3	R.5	As Required			
A.3	1	R.1	Annually	✓	✓	✓
B.1	1	R.1 to R.4	Every 3 years		✓	
B.2	1	R.1	Annually	✓	✓	✓
B.3	1	R.1 to R.3	Annually	✓	✓	✓
C.1	1	R.1, R.2	Every 3 years		✓	
C.2	1	R.1, R.2	As Required			
C.3	1	R1 to R.6	Every 3 years		✓	
C.4	1	R.1 to R.3	Every 3 years		✓	
C.5	1	R.1, R.3	Annually	✓	✓	✓
	2*	R.2	Annually	✓	✓	✓
C.6	1	R.1, R.2	Every 3 years		✓	
C.7	1	R.1	Every 3 years		✓	
C.8	1	R.1	Monthly	✓	✓	✓
D.1	1	R.1 to R.8	Every 3 years		✓	
	2	R.9	As Required			
	3	R.10	Annually	✓	✓	✓
E.1	1	R.1 to R.7	Every 3 years		✓	
F.1 ¹	1	R.1	Every 3 years	✓		
	2*	R.2	Annually	✓	✓	✓
	3*	R.3	Annually	✓	✓	✓
G.1	1	R.1 to R.5	Every 3 years	✓		
	2	R.6	Every 3 years	✓		
	3*	R.7	Annually	✓	✓	✓
G.2 ²	1*	R.1	Annually	✓	✓	✓
	2	R.2	Every 3 years	✓		
	3	R.3, R.4	Every 3 years	✓		
	4*	R.5	Annually	✓	✓	✓
	5*	R.6	Annually	✓	✓	✓

*Market Participant Requirement (15 total).

¹ Compliance review in 2018 in accordance with PRR 133 Implementation Plan.

² Compliance review in 2018 in accordance with PRR 131c Implementation Plan.

RR	M	Requirements	Compliance Review Frequency	2018	2019	2020
G.3	1*	R.1	Annually	✓	✓	✓
	2	R.2	Every 3 years	✓		
G.4	1	R.1	Every 3 Years	✓		
	2*	R.2	Annually	✓	✓	✓
H.1	1	R.1, R.2	Every 3 years			✓
	2	R.3	Every 3 years			✓
	3	R.4	As Required			
I.1	1	R.1, R.2	Every 3 years			✓
	2*	R.3	Annually	✓	✓	✓
	3*	R.4	Annually	✓	✓	✓
I.2	1	R.1	Every 3 years			✓
	2*	R.2	Annually	✓	✓	✓
	3	R.3	Annually	✓	✓	✓
	4	R.4	Annually	✓	✓	✓
	5*	R.5	Annually	✓	✓	✓
I.3	1	R.1	Every 3 years			✓
	2	R.2	Annually	✓	✓	✓
I.4	1	R.1	Every 3 years			✓
	2	R.2	Every 3 years			✓
	3*	R.3	Annually	✓	✓	✓

Total Compliance Reviews in Year	33	33	32
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Compliance Review Frequencies – Total for Year

Every 3 years	8	8	7
Annually	24	24	24
Monthly	1	1	1