

## 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 <sup>1</sup>	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 <sup>2</sup>	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).

<sup>1</sup> Compliance review in 2018 in accordance with PRR 133 Implementation Plan.

<sup>2</sup> Compliance review in 2018 in accordance with PRR 131c Implementation Plan.

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

<b>Total Compliance Reviews in Year</b>	<b>33</b>	<b>33</b>	<b>32</b>
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**Compliance Review Frequencies – Total for Year**

<b>Every 3 years</b>	<b>8</b>	<b>8</b>	<b>7</b>
<b>Annually</b>	<b>24</b>	<b>24</b>	<b>24</b>
<b>Monthly</b>	<b>1</b>	<b>1</b>	<b>1</b>