

*Draft*  
for discussion purposes only

*NYISO Accounting  
and Billing Manual*

*Month Year*

---

*Draft*  
*for discussion purposes only*

---

**NYISO ACCOUNTING AND BILLING MANUAL**

**Version: 0.0**

**Revision Date: date**

**Committee Acceptance: date**

This document was prepared by:

*NYISO Customer Support*

**Draft**  
for discussion purposes only

New York Independent System Operator

3890 Carman Rd

Schenectady, NY 12303

(518) 356-6060

[www.nyiso.com](http://www.nyiso.com)

***Disclaimer***

The information contained within this manual, along with the other NYISO manuals, is intended to be used for informational purposes and is subject to change. The NYISO is not responsible for the user's reliance on these publications or for any erroneous or misleading material.

*Draft*  
*for discussion purposes only*

***©Copyright 1999-2006 New York Independent System Operator***

**Table of Contents**

*Draft*  
*for discussion purposes only*

## Table of Figures

All figures and tables must be catalogued on this page.

## Table of Tables

**Draft**  
for discussion purposes only

## Revision History

Revision	Date	Changes
<b>Initial Release</b>	<b>Add date</b>	Add Rev history text here.

*Draft*  
for discussion purposes only

## 1. SETTLEMENT AND INVOICING PROCESS

This section focuses upon the settlement, invoicing, and clearing processes for wholesale market transactions encompassing the NYISO administered Energy, Transmission Service, and Ancillary Services markets. This manual does not cover settlement, invoicing, or clearing processes for the NYISO administered Transmission Congestion Contract or Installed Capacity auctions.

### 1.1 Settlement Processing

Day-Ahead Market (DAM) and Real-Time Balancing (Balancing) Market Energy, Transmission Service, and Ancillary Services settlements are processed daily for the preceding service day's market activity, with the exception of Station Power program settlements, which are processed monthly. Settlement results and determinant data are published to the NYISO's Decision Support System, which is a web-enabled data warehouse that avails this data to Market Participants through pre-formatted, settlement-specific reports and queries that may be configured by each Market Participant. Settlements are invoiced on a monthly basis, as detailed later in this manual. Settlements are subsequently resettled to provide for adjustments to metering data and any estimates used in previous invoices.

#### 1.1.1 Processing Prior to Initial Invoice Issuance

This section focuses upon the processing of settlements prior to their initial invoicing.

##### 1.1.1.1 INITIAL PROCESSING

Settlements are processed daily for Day-Ahead Market (DAM) and Real-Time Balancing (Balancing) Market Energy, Transmission Service, and Ancillary Services transaction for the preceding service day. Two days after the service day, settlement results and determinant data are published to the NYISO's Decision Support System, which is a web-enabled data warehouse that avails this data to Market Participants through pre-formatted, settlement-specific reports and queries that may be configured by each Market Participant.



**1.1.1.2 REPROCESSING PRIOR TO INITIAL INVOICING**

Settlements may be based in whole or in part on estimates. Hourly revenue quality sub-zonal transmission tie-line interconnection and Generator metering data used for Balancing Market settlements are due to the NYISO one business day after the service day. Corrections to energy and ancillary services prices are due within four days of the service day. Prior to invoicing, the NYISO may reprocess settlements for any service day to incorporate updates to settlement determinant data (e.g., metering data, prices, flagging of Generators dispatched out of economic order, transaction schedules, etc.).

The NYISO will make every effort to accommodate data updates prior to the initial invoice. In the event that the timing of requests to update data jeopardizes the timely issuance of invoices, the inclusion of such updates or their deferral to the subsequent resettlement/true-up of the service month will be at the discretion of the NYISO.

**1.2 Monthly Invoice Processing**

The NYISO invoices DAM and Balancing Market Energy, Transmission Service, Ancillary Services, and Station Power settlements on a monthly basis. These monthly invoices also include Installed Capacity settlements. Invoices for Transmission Service Charges (TSCs) to Load Serving Entities serving load within the NYCA and Transmission Customers exporting energy from or wheeling energy through and out of the NYCA are issued by the respective Transmission Owners and are, therefore, not invoiced by the NYISO.

**1.2.1 Invoice Format**

Invoices for DAM and Balancing Market Energy, Transmission Service, Ancillary Services, Station Power, and Installed Capacity settlements are rendered electronically through the NYISO's web-enabled invoicing application. Hard-copy invoices are not issued to Market Participants. Customers are responsible for retrieving their invoices from the NYISO's website upon the NYISO's notice of invoice posting. Customers access their invoices through a password protected login established through the NYISO

Customer Relations Department at (518) 356-6060 or [market\\_services@nyiso.com](mailto:market_services@nyiso.com).

Customers are responsible for keeping all contact information current with the NYISO and should immediately notify the NYISO of any changes to this information. The billing contacts established for each customer during the registration process are included on an email notification list, which is the method through which the NYISO notifies the marketplace of invoice issuance and invoice-related matters. Market Participants are notified of invoice postings through email notifications after invoices have been posted and are available to be retrieved from the NYISO's website. The email notification identifies: (a) the service months being invoiced; (b) the clearing dates that payments are due to and from the NYISO Clearing Account; and (c) links to banking instructions, which provide instructions for electronic payments. Customers are provided access to their invoices and banking instructions only through their respective password protected logins.

### **1.2.2 Invoicing Schedule**

The NYISO posts invoices within five business days after the first day of the month following the service month. An invoicing schedule is maintained on the NYISO's website at:

[http://www.nyiso.com/public/services/financial\\_services/billing/processing\\_invoice\\_schedules.jsp](http://www.nyiso.com/public/services/financial_services/billing/processing_invoice_schedules.jsp). The schedule details the date that each invoice is scheduled to be posted, the service months that are to be included in the invoice, and the dates that payments are due to and from the NYISO Clearing Account.

### **1.2.3 Consolidated Invoicing**

The NYISO invoices monthly settlement balances on a consolidated basis. There are typically two invoices issued each month. The invoice typically posted first each month consists of close-out settlements for months that have gone through their seven month review and correction periods and have been posted for a twenty-five day review period prior to such invoicing. The second invoice, posted within five business days after the first day of the month

following the service month is typically comprised of: (a) the initial invoicing of settlements for the service month immediately preceding the invoice issuance; (b) the resettlement of settlements for the service month initially invoiced four months prior; and (c) the resettlement of settlements for the service month initially invoiced six months prior.

As previously stated, settlements may be based in whole or in part on estimates. Prior invoices for service months that have been based on estimates are subject to resettlement in order to adjust estimates to actual values or to revise such estimates. Resettlements (i.e., true-ups) for each service month are performed at four and six months after the issuance of the initial invoice for a service month; however, the NYISO may, at its discretion, invoice any service month more frequently as may be warranted. Payments due to or from the NYISO resulting from the resettlement of a service month are subject to interest. Balances for each service month contained in the monthly invoice are netted to arrive at a net amount due to or from the Customer.

The NYISO may net any payments due a Customer or overpayments by a Customer, including interest owed a Customer, against current amounts due from the Customer or, if the Customer has no outstanding amounts due, the NYISO may pay to the Customer an amount equal to the overpayment.

#### **1.2.4 Clearing (Payment)**

Market Participants are responsible for netting the balances of all invoices posted in a given month to determine the net payment due to or from the NYISO. The NYISO maintains a Clearing Account to receive and disburse payments. Net payments due to the NYISO are to be deposited in the NYISO's Clearing Account by the close of business on the first business day following the fifteenth of the month the invoice is posted. Net payments due from the NYISO are paid on the first business day after the nineteenth of the month that the invoice is posted. All payments due to or from the NYISO are to be made by wire transfer by the close of business on the respective clearing/banking date.

## 1.3 Resettlement (i.e., True-ups)

In order to update settlements based upon estimates with actual values or further refine estimates, resettlements (a.k.a. true-ups) for each service month are performed at four and six months after the issuance of the initial invoice for each service month. The NYISO may, at its discretion, invoice any service month more frequently, as may be warranted.

### 1.3.1 Interest Payments & Charges

Resettlement balances are subject to interest, calculated from the first due date after the service was rendered. Interest payments and charges are calculated in accordance with the methodology specified for interest on refunds in the FERC's regulations at 18 C.F.R. § 35.19a (a)(2)(iii). Interest on delinquent amounts is calculated from the due date of the invoice to the date of payment.

### 1.3.2 Meter Data Revision Sunset Provisions

Energy, Ancillary Services, and Station Power Program settlements are based upon metered energy injections, sub-zonal transmission tie-line interconnection flows, and withdrawals. The metering systems that measure these quantities are maintained by the Transmission Owners and non-Transmission Owner Meter Service Providers. The processing and transmission of meter data to the NYISO are performed by the Transmission Owners and non-Transmission Owner Meter Data Service Providers.

Due to the susceptibility of metering systems to periodic failure or interruption in associated communications networks, the NYISO administers a meter data correction process to facilitate the identification and correction of meter data errors and gaps. Hourly revenue-quality meter data for Tie-line interconnections and Generators may be updated up to sixty (60) days after the issuance of a service month's initial invoice. Corrections to sub-zonal transmission tie-line interconnection and Generation meter data after the cutoff at day-60 may only be accommodated through an order of the FERC or court of competent jurisdiction.

Load Serving Entities (LSEs) are typically comprised of an aggregation of multiple retail consumers. Retail consumption data availability is subject to the respective Transmission Owners' and non-Transmission Owner Meter Data Service Providers' retail meter reading cycles. As a result, finalized LSE metering data is subject to revision up to one hundred fifty (150) days after the issuance of a service month's initial invoice. Corrections to LSE meter data after the day-150 cutoff may only be accommodated through an order of the FERC or court of competent jurisdiction.

Any deadline that falls on a Saturday, Sunday, or holiday for which the NYISO is closed shall be observed on the NYISO's next business day.

#### **1.4 Close-out Invoice & Resettlement Sunset Provision**

Market Participants have seven months after the posting of a service month's initial invoice to review, comment, and submit challenges to those settlements for errors in arithmetic, computation, or estimation, with the exception of metering data, which is limited to challenge and revision within the time frames detailed above. After the expiration of the seven month review and challenge period, the NYISO must resolve all challenges and post an advisory close-out invoice within two months. In the event that challenges cannot be resolved within the two-month period, the NYISO may declare an Extraordinary Circumstance, which extends the resolution period by an additional four months, at which time the NYISO posts an advisory close-out invoice.

Market Participants have twenty-five (25) days to review an advisory close-out invoice for errors made by the NYISO in implementing resolutions to challenges. In the event that an error in implementation is identified, the NYISO must correct and repost the advisory close-out invoice for an additional twenty-five days.

After the expiration of the twenty-five day review period, the NYISO issues the close-out invoice for the service month. Close-out invoice balances due to or from the NYISO are subject to interest, as previously described. Further adjustments to settlements for a service month after issuance of its close-out invoice may only be accommodated through an order of the FERC or court of competent jurisdiction.

Any deadline that falls on a Saturday, Sunday, or holiday for which the NYISO is closed shall be observed on the NYISO's next business day.

## **1.5 Settlement and Invoice Support**

Settlement and invoice details are made available to Market Participants through the NYISO's Market Information System (MIS). The MIS is essentially a web portal providing access to a number of applications which allow Market Participants to view and/or download settlement and invoice details.

### **1.5.1 Decision Support System (DSS)**

Dispatch-interval (nominally five-minute), hourly, daily, and monthly settlement details may be accessed through the NYISO's Decision Support System (DSS). The DSS is a data warehouse application that provides registered and approved Market Participants with: (a) the capability to view or download preformatted, settlement-specific reports and (b) a query tool which allows Customers to create their own reports. The preformatted, settlement-specific reports are designed to provide all relevant settlement determinant data and results necessary to reconcile and verify Market Participants' settlements. A list of the preformatted, settlement-specific reports is provided in Appendix 1.

The DSS is accessible only to registered and approved Customers. Instructions for navigating the DSS application are available through training sessions, conducted periodically by the NYISO. A number of documents are accessible once logged into the DSS which provide guidelines for mapping settlement results and Consolidated Invoice values to the data elements stored in the DSS.

### **1.5.2 NYISO Marketplace**

Hourly, daily, and monthly settlement details may be accessed through the NYISO's Marketplace Login. A number of applications which provide access to billing determinant data and settlement results are accessible through the Marketplace Login, which may only be accessed by registered and approved Market Participants. The login is located on the NYISO's website at:  
<https://marketplace2.nyiso.com/pgLogin.jsp>.

**1.5.2.1 DAILY RECONCILIATION**

The Daily Reconciliation application provides daily and month-to-date monetary, megawatt (MW), and megawatthour (MWh) balances for each Customer's transactions, as well as aggregate balances for all transactions across the NYISO, for the period queried. The data queried may be viewed through Customers' web browsers or downloaded in comma-separated-variable (csv) or PDF file formats.

The Daily Reconciliation application is accessed by selecting the Daily Reconciliation target once logged in through Customers' Marketplace Logins at: <https://marketplace2.nyiso.com/pgLogin.jsp>.

**1.5.2.2 SETTLEMENT DATA EXCHANGE**

The Settlement Data Exchange (SDX) application provides Market Participants with the ability to view and update hourly revenue meter data for generators, sub-zonal transmission tie-line interconnections, and LSE buses. Hourly sub-zonal loads are also accessible through the SDX.

The SDX is accessed by selecting the Metering Reconciliation target once logged in through Customers' Marketplace Logins at: <https://marketplace2.nyiso.com/pgLogin.jsp>. Further instructions for navigating the SDX application are available in the NYISO's Settlement Data Exchange User's Guide, posted on the NYISO's website at: [http://www.nyiso.com/public/webdocs/documents/guides/SDX\\_User\\_Guide-final-v1.0.pdf](http://www.nyiso.com/public/webdocs/documents/guides/SDX_User_Guide-final-v1.0.pdf).

**1.5.2.3 CONSOLIDATED INVOICE**

The NYISO issues monthly electronic invoices through its Consolidated Invoice application. The Consolidated Invoice application provides Market Participants with: (a) a summary of monthly settlement activity, by market sector, for each month being invoiced, which is viewable through their browsers and downloadable in PDF format; (b) a summary of monthly settlement history, by settlement type, for each month being invoiced, which is viewable through their browsers and downloadable in comma-separated-variable (CSV) format; (c) a summary and descriptions of any adjustments that have been applied to the invoice, which are viewable through their

browsers and downloadable in PDF format; and (d) a statement of activity for Market Participants' Working Capital Account balances, which is viewable through their browsers and downloadable in CSV format.

The Consolidated Invoice application is accessed by selecting the Consolidated Invoice target once logged in through Customers' Marketplace Logins at: <https://marketplace2.nyiso.com/pgLogin.jsp>.

### 1.5.2.4 OASIS

The NYISO administers an Open Access Same-Time Information System (OASIS) that provides direct access to Market and transmission grid information, inclusive of transmission system transfer capability, day-ahead, hour ahead, and dispatch-interval LBMPs, Market Clearing Prices for Ancillary Services, and fixed rates used in settlements (e.g., monthly NTAC rate, monthly OATT & MST SSC&D rates; annual Voltage Support Service rates, etc.). Information accessible from the NYISO's OASIS is viewable through web browser and downloadable in multiple file formats (e.g., PDF, csv, html, etc.).

### 1.5.2.5 BIDDING & SCHEDULING SYSTEM

The Bidding and Scheduling System is an interface for Market Participants to submit bids to schedule transmission service, energy purchases, and sell energy and ancillary services. Market Participants can view their bid and schedule data for a period of fifteen days after the service day.

The Bidding and Scheduling System application is accessed by logging in through Customers' Marketplace Logins at: <https://marketplace2.nyiso.com/pgLogin.jsp>. Further instructions for navigating the Bidding & Scheduling System application are available in the NYISO's Market Participant User's Guide, posted on the NYISO's website at: [http://www.nyiso.com/public/webdocs/documents/guides/mpug\\_mnl.pdf](http://www.nyiso.com/public/webdocs/documents/guides/mpug_mnl.pdf)

## 2. MARKET PARTICIPANT RESPONSIBILITIES & CONTROLS

The NYISO's processing of transactions and the controls surrounding the processing of transaction data were designed under the assumption that certain internal controls would be implemented by Market Participants. The following list describes the nature of such controls



that should be administered by Market Participants to complement the NYISO's controls. The following list should not be viewed as an exhaustive list of all internal controls that should be applied by Market Participant organizations. Other internal controls may be required at Market Participant organizations. Market Participant auditors should consider whether the following controls are in place and whether additional controls are warranted.

- Market Participants are responsible for ensuring that their NYISO registration information, including credit information, has been submitted completely and accurately.
- Market Participants are responsible for ensuring that a designated MIS Administrator is responsible for authorizing other MIS users and determining which of the applicant's data may be shared with other MIS administrators.
- Market Participants are responsible for ensuring that user information accuracy is maintained.
- Market Participants are responsible for advising the NYISO of corporate affiliation information, and for updating the information as appropriate, with additional copies sent to the Credit Department.
- Market Participants are responsible for notifying the NYISO of authorized applicants for digital certificates and for having a valid digital certificate installed on their browser of choice.
- Market Participants are responsible for the proper handling of digital certificates assigned to them.
- Market Participants are responsible for ensuring that only a designated contact person will advise the NYISO of a revocation of a digital certificate.
- Market Participants are responsible for ensuring that virtual bidding contacts are furnished to the NYISO in registration packages.
- Market Participants are responsible for designating and setting up end users within the organization responsible for bidding/scheduling with accounts linked to the Load Bus/Generators.

- Market Participants are responsible for ensuring that a confirmation via fax or e-mail will be provided after advising the NYISO by telephone of changes or additions to the Market Participant's MIS Administrators or billing administrators.
- Market Participants are responsible for ensuring that the designated main/billing contact person completes a NYISO Request Form for Authorizing Access to the MIS billing information when required.
- For requests initiated by Market Participants, Market Participants must provide written authorization to deactivate LSEs and loads in the MIS.
- Market Participants must provide written notice of any customer name change and provide copies of Certificates of Amendment filed with the appropriate state agencies, with State acknowledgements, and complete an amended registration packet.
- Market Participants must ensure that the timely written notification of changes in the designations of individuals authorized to instruct the NYISO regarding activities on behalf of the Market Participant is sent to appropriate NYISO personnel.
- Market Participants must review all member data distributed (or posted) by the NYISO to Market Participants, to ensure its accuracy and completeness, and immediately report any discrepancies to NYISO personnel.
- Market Participants are responsible for advising the NYISO (and providing updated information, as appropriate) of expected activity levels, and of any adverse business development necessary to enable accurate credit evaluation.
- Market Participants are responsible for ensuring that new generators are designated as either PURPA or non-PURPA.
- Market Participants must specify if units are quick start or 30-minute start generators, and provide the legal documentation to support the declaration.
- Market Participants must provide all new Generator registration requests on their company's letterhead.

- Market Participants must advise the NYISO, via e-mail, fax, hard copy, or phone of any request to change Generator parameters (e.g., increases to a Generator's upper operating limit).
- Market Participants must provide written authorization to the NYISO to request the addition of new load buses to LSEs.
- Market Participants must ensure that all data (including, but not limited to bids, offers, installed capacity forecasts, actual information, and other capacity resource information) is provided completely, accurately, in accordance with established guidelines, and on a timely basis.
- Market Participants must provide an authorized request, via e-mail or letter, for (1) zonal price capped load bus bidding, as well as documentation from the TO, confirming that load is being served by the Market Participant in the zone where a zonal price capped load is requested, or (2) verification through current bidding or billing information that the Market Participant is serving load in the zone where a zonal price-capped load is requested.
- Market Participants must ensure that complete and timely information is submitted to the NYISO for all energy transactions via the NYISO's Market Information Services (MIS).
- Market Participants must ensure that all load obligations, as reported by the MIS, are complete, accurate, and provided on a timely basis.
- Market Participants must ensure that transmission requests are processed via OASIS and external transactions are scheduled on a timely basis.
- Market Participants are responsible for responding to Market Monitoring and Performance (MMP) requests accurately and on a timely basis.
- Market Participants must ensure that all metering data provided is complete, accurate, and provided on a timely basis.
- Transmission Owners are responsible for reporting transmission line derates to the NYISO to ensure accurate calculation of inter-zonal congestion charges.

- Market Participants should only enter energy schedules and ancillary service bids that do not exceed a resource's capacities and capabilities.
- Market Participants are responsible for reviewing their local error files to ensure that schedule and bid submissions were successfully submitted.
- Market Participants are responsible for ensuring that controls over physical and logical access to the NYISO's information systems via terminals at Market Participant locations are established, monitored and maintained by their organization. Logical security controls include, but are not limited to, controls surrounding logon IDs and passwords.
- Market Participants are responsible for ensuring that timely written notification of changes in their organization (i.e., personnel) requiring access to the NYISO's information systems is sent to appropriate NYISO personnel.
- Market Participants are responsible for ensuring that only appropriate users are authorized to access customer data.
- Market Participants are responsible for identifying an individual as their main contact and a separate individual as their billing contact, and for providing the NYISO with signature cards from each of these individuals.
- Market Participants are responsible for ensuring that banking instruction changes are provided in writing and signed by both their main contact and other appropriate contact(s) on a timely basis.
- Market Participants are responsible for reviewing their local databases for data submission errors in order to correct them.
- Market Participants are responsible for independently reviewing the data that was used to generate their settlement statements that are distributed by the NYISO, to ensure that all input data was accurate and complete, and to immediately report any discrepancies to NYISO personnel.
- Market Participants are responsible for ensuring that their preliminary settlement results supplied by NYISO in the Decision Support System (DSS) are independently reviewed and updated in a timely manner by appropriate personnel.

- Market Participants are responsible for reviewing the charge or credit calculations on their respective settlement statements supplied by the NYISO for their organizations' independent review, to ensure the propriety of the values and to immediately report any discrepancies to NYISO personnel.
- Market Participants are responsible for reviewing payments they make or receive against the billing statements provided by the NYISO, and advising the NYISO of any discrepancies on a timely basis.
- Market Participants are responsible for submitting metering data to the NYISO within 45 days of an EDRP or SCR event, to receive payment for its actions, and reviewing that data in the Settlements Data Exchange.

### **3. SETTLEMENT AND INVOICE INQUIRIES, CHALLENGES & DISPUTE PROCESSES**

#### **3.1 Submission Inquiries, Challenges & Disputes**

All settlements-related inquiries and challenges to settlements and settlement determinant data, and disputes should be submitted to the NYISO through the Customer Relations Department, with the exception of requests to initiate the Expedited Dispute Resolution process, which are submitted directly to the Chief Financial Officer, as well as the Customer Relations Department.

The Customer Relations Help Desk is available to address routine business inquiries from 7:00 a.m. until 7:00 p.m., Monday through Friday. The Help Desk e-mail address is [market\\_services@nyiso.com](mailto:market_services@nyiso.com) and the telephone number is 518-356-6060. The fax number is 518-356-6146. The Help Desk telephone will be answered 24-hours-a-day to address urgent, real-time issues, such as problems with access to the MIS. In the event that system conditions preclude NYISO staff immediately answering this telephone line, the caller can either leave a message or try again within a few minutes.

Settlement-related inquiries should be sufficiently supported to facilitate a timely, relevant response to Customers' concerns. Inquiries and challenges should be supported

by a thorough description of the issue(s) in question and the following information, where applicable:

- Invoice date, for inquiries/challenges pertaining to monthly invoices;
- Adjustment IDs, for inquiries/challenges pertaining to invoice adjustments;
- Service date(s) and hour(s) for specific transaction(s) in question;
- Relevant LSE & LSE Bus names and point identifiers (PTIDs);
- Relevant Generator Bus names and point identifiers (PTIDs);
- Respective Transaction IDs, for inquiries/challenges pertaining to LBMP Energy imports or exports;
- Respective Transaction IDs, for inquiries/challenges pertaining to internal, import, export, and wheel-through bilateral transaction transmission service;
- Copies of the relevant settlement-specific reports accessible from the NYISO's Decision Support System (listed in Appendix 1), with the settlements and/or billing determinant data in question highlighted; and
- Tariff references, whenever possible.

### **3.2 Inquiries, Settlement Challenges, & Updates Prior to Initial Invoicing**

Issues that are most likely to be resolved prior to the issuance of the initial invoice for a service month pertain to settlement determinant data. The NYISO performs analyses designed to identify and correct certain anomalous performance and schedule data. In most instances, data corrections are made prior to the initial processing of a service day's settlements. Once settlements have been processed and publicly posted, Market Participants may identify and challenge the accuracy of this information. Whenever possible, the processing of data corrections is accommodated in order to render an accurate invoice at each invoicing opportunity. The NYISO exercises discretion over the incorporation of data corrections based upon the materiality of the financial impacts from excluding the corrections versus the disruption of the settlement cycle that may be required to incorporate the corrections. Any data corrections not included in an invoice

are appropriately tracked and incorporated into the next available invoicing of the affected service month's transactions.

### **3.2.1 Generation & Transmission Line Meter Data Management**

Metering data for Generators and transmission line interconnections between Transmission Owners' (TOs) transmission districts are required for settlement of Load Serving Entities' and Generators' Energy and Ancillary Services transactions. The NYISO Open Access Transmission Tariff §7.2A.2a and Market Services Tariff §7.4.2.A detail the time periods during which transmission line interconnection and Generator hourly billing quality meter data may be revised and challenged.

#### **3.2.1.1 RESPONSIBILITY FOR METERING DATA ACCURACY**

The TOs are charged with maintaining revenue quality metering systems for transmission tie-line interconnections between and Generators within their respective transmission districts and the timely reporting of this data to the NYISO. It is the expectation of the NYISO that the TOs maintain reasonable and appropriate process controls over the accuracy and completeness of this data and the associated metering systems. The NYISO's Revenue Metering Requirements (RMR) Manual provides administrative and processing guidelines, as well as the hardware specifications, to which transmission line interconnection and Generator hourly billing quality metering systems should be maintained.

The NYISO administers the processes through which metered data is submitted by the TOs and performs certain substantive testing to assist the TOs in identifying potential erroneous or missing data. The NYISO coordinates the timely reconciliation and correction of such erroneous or missing data with the TOs.

#### **3.2.1.2 METER DATA SUBMISSION, ANALYSIS, & REVISIONS**

By noon the first business day following a service day, the TOs are required submit all available sub-zonal transmission tie-line interconnection and Generator hourly meter data to the NYISO. The procedural guidelines and the file formats that are to be used by the TOs in submitting data are

specified in the Settlements Data Exchange (SDX) User Guide, posted to the NYISO website at:

[www.nyiso.com/public/webdocs/documents/guides/SDX\\_User\\_Guide-final-v1.0.pdf](http://www.nyiso.com/public/webdocs/documents/guides/SDX_User_Guide-final-v1.0.pdf).

The NYISO Settlements Department does not administer a seven-day a week operation; therefore, data analyses are performed by the NYISO on the first business day following the service day. At, or about noon the first business day following the service day, the NYISO locks down the SDX database to prevent further metering data updates while performing analyses to assist the TOs in identifying potential erroneous or missing data.

By approximately 14:00 the first business day following the trade day, the NYISO will have identified, compiled, and reported potential sub-zonal transmission tie-line interconnection and Generator hourly meter data anomalies to the respective TOs for their review and reconciliation. In the event that observed anomalies may result in materially misstated settlements, the NYISO may interrupt the processing of settlements for the affected service day until such anomalies can be resolved with the respective TOs. If anomalies for a service day that was processed and posted during a non-business day which has resulted in materially misstated settlements, the NYISO will promptly notice the marketplace and diligently pursue data corrections with the respective TOs and schedule the reprocessing and reposting the affected service day's settlements as soon as practicable.

On or about two business days after a service day has been analyzed, the SDX database is unlocked to allow the TOs to submit further sub-zonal transmission tie-line interconnection and Generator metering data updates. The database is relocked at day's end. The NYISO re-performs the analyses to assist the TOs in identifying any additional anomalies that may have been introduced into the database during the TOs' updates. Observed anomalies are managed through the aforementioned processes, in an iterative fashion.

Prior to the issuance of a service month's initial invoice, the TOs may be afforded the opportunity to submit additional data or to revise data already submitted. After each instance when the SDX database has been unlocked to allow data updates, the NYISO re-performs the analyses to assist the TOs in



identifying any additional anomalies that may have been introduced into the database during the TOs' updates. Observed anomalies are managed through the aforementioned processes, in an iterative fashion.

**3.2.1.3 CHALLENGES TO TRANSMISSION INTERCONNECTION & GENERATOR METERING DATA PRIOR TO INVOICING**

Up to approximately five business days prior to the issuance of a service month's initial invoice, TOs and Suppliers may challenge the accuracy of their respective transmission interconnection and Generator hourly meter data. Challenges to sub-zonal transmission tie-line interconnection and Generator hourly meter data should be submitted to the NYISO through the Customer Relations Help Desk, copying the Settlements staff responsible for metering data management at: [TSA@nyiso.com](mailto:TSA@nyiso.com).

The NYISO issues invoices within five business days after the first day of month following the service month; therefore, the submission of additional sub-zonal transmission tie-line interconnection and Generator hourly meter data beyond two business days of the end of the service month is at the NYISO's discretion.

**3.2.2 Allocation of Sub-zonal Loads to LSEs and LSE Meter Data Management Prior to Initial Invoicing**

The NYISO Open Access Transmission Tariff §7.2A.2a and Market Services Tariff §7.4.2.A detail the time periods during which LSE hourly billing quality metering data may be revised and challenged.

**3.2.2.1 SUB-ZONAL LOAD ALLOCATION TO LSEs FOR INITIAL SETTLEMENT**

LSEs are usually an aggregation of multiple retail customers. As a result, LSEs' consumption is determined by the aggregation of the meter readings of their retail customers, as adjusted by the TOs according to their respective retail access tariff provisions for load profiling, distribution loss allocations, and unaccounted-for-energy (UFE) allocations. This information is seldom available until retail customer meter readings have been obtained well after the NYISO's issuance of a service month's initial invoice. Since TOs' retail

meter reading cycles span months, the NYISO's market design incorporates an estimation process to render an invoice for wholesale market purchases within five business days after first day of the month following the service month, with two opportunities to "true-up" LSE withdrawals at four and six months after the issuance of a service month's initial invoice. The estimation process involves determining how much electricity is consumed within each TO's transmission district (i.e., sub-zone) and then allocating the sub-zonal withdrawal to the LSEs within the respective sub-zones.

The first step in allocating sub-zonal withdrawals to each LSE within a particular sub-zone is to determine the amount of electricity consumed within each sub-zone. Sub-zonal withdrawals are derived from the metering data for the transmission district (sub-zonal) transmission tie-line interconnections and Generator injections within each sub-zone, adjusted for transmission losses. Sub-zonal withdrawals are computed by adding the net transmission interconnection flows into a sub-zone to the total amount of energy injected into the sub-zone by Generators operating within the sub-zone and subtracting the sub-zonal transmission losses. This calculation is performed for each real-time dispatch (RTD) interval, which are nominally five minutes in length. The metering systems that provide the real-time data are not typically revenue grade. As a result, the NYISO adjusts this data to revenue quality values using the transmission interconnection and Generator hourly revenue quality metering data submitted, as described above. Hourly sub-zonal withdrawals are computed in the same way as those at the RTD interval level.

Each RTD interval sub-zonal withdrawal value is adjusted by multiplying by the ratio of the hourly sub-zonal withdrawal, computed using revenue quality metering data, and the hourly integration of the RTD interval sub-zonal withdrawals over the hour. The hourly integration of RTD interval withdrawals is a time- and load-weighting of the RTD interval sub-zonal withdrawals over the hour. Each RTD interval withdrawal is multiplied by the length of the RTD interval (in seconds) and then divided by 3,600 seconds per hour, the results of which are summed over the hour to arrive at the hourly integrated real-time sub-zonal withdrawal.

The NYISO's market design methodology for allocating sub-zonal withdrawals individual LSEs within each sub-zone for initial invoicing is based upon the hourly forecasts provided by the LSEs in their hourly DAM bids. For each sub-zone, the forecasted hourly consumptions of each LSE are totaled to determine a total hourly consumption forecast for the sub-zone. The hourly sub-zonal loads, as described above, are allocated to each LSE according to the ratio of their respective hourly forecasted withdrawal to the total of the forecasted hourly withdrawals submitted by all LSEs within a particular sub-zone.

Some LSEs are equipped with hourly interval recording metering systems. By noon the day following the service day, LSEs have the ability to update their hourly load forecasts with better estimates of their withdrawals and LSEs equipped with interval recording metering systems (e.g., municipalities with metered points of demarcation) may update their forecast with actual metered withdrawals. LSEs that are designated as providing actual hourly metering data are excluded from the sub-zonal load allocation process, described above, and their metered consumptions are excluded from the denominator of the allocation ratio for the service month's initial invoicing.

### **3.3 Settlement and Invoice Challenges**

Settlement information is subject to review, comment, and challenge by Customers and correction or adjustment by the NYISO for errors in arithmetic, computation, or estimation at any time for up to seven (7) months from the date of the initial settlement invoice for the month in which the service is rendered, subject to the following limitations:

- Suppliers, Transmission Owners, and non- Transmission Owner Meter Data Service Providers may review, comment on, and challenge Generator and sub-zonal transmission tie-line interconnection metering data for fifty-five (55) days from the date of the initial invoice for the month in which service is rendered. Following this review period, the NYISO has five (5) days to process and correct Generator and sub-zonal transmission tie-line interconnection metering data, after which time it shall be finalized.

- Customers may review, comment on, and challenge the LSE bus metering data for one hundred forty-five (145) days from the date of the initial invoice for the month in which service is rendered. Following this review period, the NYISO has five (5) days to process and correct the LSE bus metering data, after which it shall be finalized.

At ninety (90) days from the date of the initial invoice, the NYISO will have posted updated advisory settlement information for the service months' four-month resettlement. Customers may review, comment on, and challenge this settlement information up to approximately five business days prior to the issuance of the four-month resettlement. At approximately five business days prior to the issuance of the four-month resettlement, the NYISO temporarily suspends further updates to process the resettlement. Further updates are permitted once the four-month resettlement invoice has been issued.

At one hundred fifty (150) days from the date of the initial invoice, the NYISO will have posted updated advisory settlement information for the service months' six-month resettlement. Customers may review, comment on, and challenge this settlement information, after which the NYISO will process and correct the data and issue an updated corrected invoice with the regular monthly invoice issued on or about one hundred eighty (180) days from the date of the initial invoice.

Following the NYISO's issuance of an updated corrected invoice, Customers may continue to review, comment on, and challenge settlement information, excepting Generator, tie line, and LSE bus metering data, until the end of the seven-month review period. Any deadline that falls on a Saturday, Sunday, or holiday for which the NYISO is closed shall be observed on the NYISO's next business day.

### **3.3.1 Submission of Settlement and Invoice Challenges**

To challenge settlement information contained in an invoice, a Customer must first make payment in full, including any amounts in dispute. Customer challenges to settlement information must be:

- Must be submitted in writing, through the NYISO's Customer Relations Department;
- Must be clearly identified as a settlement challenge;
- Must state the basis for the Customer's challenge, and
- Must include supporting documentation, where applicable.

The NYISO notifies all Customers of errors identified and the details of corrections or adjustments made as a result of challenges.

### **3.3.2 Transmission Interconnection & Generator Metering Data Management & Challenges After Invoicing**

The NYISO Open Access Transmission Tariff §7.2A.2a and Market Services Tariff §7.4.2.A detail the time periods during which hourly billing quality meter data may be revised and challenged. The NYISO manages the metering data submission process and provides periodic notifications on an at least weekly basis to the marketplace to provide reasonable assurance that Market Participants are aware of the periods during which metering data may be challenged and revised, after which further revision may only be accommodated through an order of the FERC or court of competent jurisdiction.

#### **3.3.2.1 RESPONSIBILITY FOR METERING DATA ACCURACY**

The TOs are charged with maintaining revenue quality metering systems for transmission line interconnections, Generators, & LSEs within their respective transmission districts and the timely reporting of this data to the NYISO. It is the expectation of the NYISO that the TOs maintain reasonable and appropriate process controls over the accuracy and completeness of this data and the associated metering systems.

The NYISO administers the processes through which metering data is submitted by the TOs and performs certain substantive testing to assist the TOs in identifying potential erroneous or missing data. The NYISO coordinates the timely reconciliation and correction of such erroneous or missing data with the TOs. In the event that a Market Participant is unable to

resolve a data challenge with the respective TO, they should inform the NYISO of the dispute. The NYISO will consult with the reporting Market Participant and the responsible TO to determine what data is available. In the event that the NYISO is unable to facilitate a resolution to the Market Participant's challenge with the TO, the NYISO will determine the best data to be used in the settlement.

**3.3.2.2 REVISIONS & CHALLENGES TO TRANSMISSION INTERCONNECTION & GENERATOR METERING DATA AFTER INVOICING**

Submission of challenges to transmission interconnection and Generator hourly meter data are limited to the 55-day period immediately following the issuance of a month's initial invoice and data updates are precluded beyond day-60. The NYISO manages the metering data submission process and notices the marketplace on an at least weekly basis to inform Market Participants of the defined time period during which they may challenge and provide for the revision of transmission interconnection and Generator hourly metering data.

With the NYISO's issuance of a service month's initial invoice, the associated email notification of the invoice posting includes verbiage announcing the beginning of the month's 55-day review & correction period for transmission interconnection and Generator hourly metering data. The emails are sent to the Metering Task Force, Billing, and Customer Settlements listservers. Any Market Participants that are responsible for or have an interest in their companies' settlements are encouraged to subscribe to these listservers. Market Participants may subscribe to the listservers by contacting the NYISO Customer Relations Department. The NYISO maintains a schedule on its web-site:

[http://www.nyiso.com/public/webdocs/services/financial\\_services/customer\\_settlements/meter\\_data\\_review/](http://www.nyiso.com/public/webdocs/services/financial_services/customer_settlements/meter_data_review/), which details the critical dates for each service month's metering data submissions, challenges, revisions, and preclusion from further challenge and revision.

The SDX database remains locked until the end-of-business on the 19th of the month following the service month or first business day thereafter, should

the 19th of the month fall on a non-business day. Data updates during this period are limited to adjustments of metering data for transmission interconnections with neighboring Control Areas to accommodate the reconciliation of interchange schedules to actual interchange flows through the NERC-required inadvertent interchange accounting and reporting process.

The NYISO must conclude its monthly inadvertent interchange analyses and desired net interchange (DNI) check-outs with its neighboring Control Areas (PJM, ISO-NE, IESO, & HQ) prior to the 15th of the month following the service month. In the event that inadvertent interchange analyses identify the need to revise transmission interconnection metering data, the NYISO coordinates such revisions with the affected TOs. Once any data revisions are completed, the SDX database is relocked until the end-of-business on the 19th of the month following the service month or first business day thereafter, should the 19th of the month fall on a non-business day.

At the end-of-business on the 19th of the month following the service month or first business day thereafter, should the 19th of the month fall on a non-business day, the NYISO unlocks the SDX database and emails the Metering Task Force, Billing, and Customer Settlements listservers, informing the marketplace that the database has been unlocked and is available to receive transmission interconnection and Generator metering data updates. This email also serves as a notice to Suppliers to monitor their respective Generators' metering data for updates and counter-party TOs to monitor the updates submitted by the TO - Meter Authorities for common transmission interconnections.

The SDX database remains unlocked for a period of approximately three weeks, except for external Control Area transmission interconnections, to permit TOs an opportunity to submit updates. At the close of this three-week period, the SDX database is locked down, precluding further revisions by the TOs and at which time transmission interconnection and Generator hourly meter data are subject to further revision only upon written/emailed requests to the NYISO's Customer Relations Department at: [market\\_services@nyiso.com](mailto:market_services@nyiso.com). The intent of this lock-down is to afford the

counter-party TOs and Generators an opportunity to analyze the newly submitted data without the data being updated while performing such analyses. The NYISO emails the Metering Task Force, Billing, and Customer Settlements listservers, on the dates specified in the Meter Data Management Schedule, posted to the NYISO's web-site, informing TOs and Suppliers when transmission interconnection and Generator meter data are subject to further revision only upon written/emailed requests.

As soon as practicable after the database has been locked down, the NYISO performs analyses to assist in the detection of potential data errors that may have been introduced into the database. Observed anomalies will be reported to the respective TOs and affected Suppliers for their review, reconciliation, or confirmation of their accuracy.

In addition to the weekly marketplace notifications referenced above, the NYISO emails the Metering Task Force, Billing, and Customer Settlements listservers, two business-days prior to day-55 after the issuance of a service month's initial invoice, reminding TOs and Suppliers of the impending lock-down date at which time transmission interconnection and Generator meter data will no longer be subject to challenge.

The NYISO emails the Metering Task Force, Billing, and Customer Settlements listservers, at the end-of-business on day-55 after the issuance of a month's initial invoice, informing the marketplace that transmission interconnection and Generator metering data are no longer subject to challenge and again at the close of business on day-60 informing the marketplace that this metering data are no longer subject to revision, absent an order to by the FERC or court of competent jurisdiction.

### **3.3.3 LSE Metering Data Management & Challenges After Invoicing**

The NYISO Open Access Transmission Tariff §7.2A.2a and Market Services Tariff §7.4.2.A detail the time periods during which hourly billing quality meter data may be revised and challenged. The NYISO manages the metering data submission process and provides periodic notifications on an at least weekly basis to the marketplace to provide reasonable assurance that Market Participants are aware of the periods during which metering data may be



challenged and revised, after which further revision may only be accommodated through an order of the FERC or court of competent jurisdiction.

**3.3.3.1 RESPONSIBILITY FOR METERING DATA ACCURACY**

The TOs are charged with maintaining revenue quality metering systems for LSEs within their respective transmission districts and the timely reporting of hourly, revenue quality data to the NYISO. It is the expectation of the NYISO that the TOs administer this data in accordance with their respective retail access tariffs and maintain reasonable and appropriate process controls over the accuracy and completeness of this data and the associated metering systems.

The NYISO administers the processes through which LSE metering data is submitted by the TOs. In the event that a Market Participant is unable to resolve a data challenge with the respective TO, they should inform the NYISO of the dispute. The NYISO will consult with the reporting Market Participant and the responsible TO to facilitate timely resolution. In the event that the NYISO is unable to facilitate a resolution to the Market Participant's challenge with the TO, the NYISO will determine the best data to be used in the settlement.

**3.3.3.2 REVISIONS & CHALLENGES TO LSE METERING DATA**

LSE hourly metering data accuracy may only be challenged through the 145-day period after the issuance of a service month's initial invoice and are precluded from further revision 150 days following a service month's initial invoice. LSE hourly metering data may only be revised after the 150-day period following a service month's initial invoice through an order from the FERC or a court of competent jurisdiction.

The NYISO maintains marketplace awareness of the review and correction timeframes for LSE hourly metering data through periodic notices posted to the Metering Task Force, Billing, and Customer Settlements listservers. The NYISO emails these listservers at the close-of-business on day-60 after the issuance of a month's initial invoice, prompting TOs to submit all available LSE meter data by day-70 after the issuance of a month's initial invoice.

On the first business-day of each week thereafter until the cutoff for LSE hourly meter data revisions 150 days following the initial invoice, emails are sent to the Metering Task Force, Billing, and Customer Settlements listservers informing the marketplace of the time remaining in the respective service months' review & correction periods for LSE hourly metering data.

In addition to the weekly notices, the NYISO emails a reminder to the Metering Task Force, Billing, and Customer Settlements listservers two business days prior to the day-70 due date of the impending due date. Upon receipt of all LSE data, the NYISO locks down the SDX database, preventing further data submissions without their being administered by NYISO Staff.

The NYISO accepts further updates to LSE meter data from the Meter Authorities up to the end of business on day-90 after the issuance of the service month's initial invoice. The NYISO must process and post settlement results for the service month by close-of-business on day-89 after the issuance of a service month's initial invoice. Requests to further update LSE meter data must be submitted in writing to NYISO's Customer Relations Department at: [market\\_services@nyiso.com](mailto:market_services@nyiso.com). The NYISO emails a reminder of the impending database lock-down to the Metering Task Force, Billing, and Customer Settlements listservers, four business days prior to the day-90 lock-down date.

The NYISO notices the marketplace of settlement and metering data postings by emails to the Metering Task Force, Billing and Customer Settlements listservers, prompting Market Participants to review their LSEs' meter data and stating that any revision requests or challenges to the accuracy of the data must be made in writing and submitted to the NYISO's Customer Relations Department at: [market\\_services@nyiso.com](mailto:market_services@nyiso.com).

In the event that meter data revisions are made during this review and correction period, the NYISO re-processes and re-posts updated settlement results and metering data to reflect such meter revisions, and provides appropriate market notices as previously detailed.

Four business days before the issuance of a service month's four-month true-up invoice, the NYISO temporarily suspends the acceptance of revisions to

LSE hourly meter data in order to process and post the four-month true-up invoice. The NYISO notices the market of this temporary suspension of data updates through an emailing to the Metering Task Force, Billing and Customer Settlements listservers.

The first business day after the issuance of the service month's four-month true-up, the NYISO unlocks the SDX database for the submission of updated LSE meter data by the TOs and emails the Metering Task Force, Billing and Customer Settlements listservers, indicating that the NYISO database is available to receive LSE bus meter data updates in preparation for the service month's six-month true-up.

Final LSE hourly metering data is due from TOs by day-130 after issuance of the service month's initial invoice. Four business days prior to the day-130 requirement for receiving revisions from the Transmission Owners, the NYISO emails the Metering Task Force, Billing and Customer Settlements listservers, reminding TOs and LSEs of the impending due date.

The NYISO posts updated settlement results, inclusive of all metering data updates, by day-131 after issuance of a service month's initial invoice. The NYISO notices the marketplace by emails to the Metering Task Force, Billing, and Customer Settlements listservers when the updated settlement results have been posted, prompting Market Participants to review their respective LSEs' meter data, reminding them of the impending cutoff for challenging their metering data at day-145 after issuance of the service month's initial invoice, and that all challenges to meter data must be submitted in writing to the NYISO's Customer Relations Department.

The NYISO emails another reminder to the Metering Task Force, Billing, and Customer Settlements listservers, four business-days prior to day-145 after the issuance of a service month's initial invoice when LSE meter data is no longer eligible for challenge to remind them of the impending cutoff date. The NYISO emails the Metering Task Force, Billing, and Customer Settlements listservers, at the close-of-business on day-145 informing LSEs that meter data is no longer eligible for challenge. By day-150 after the issuance of a service month's initial invoice, the NYISO re-processes and re-posts the month's settlements, inclusive of all final meter data. LSE metering

data may only be revised beyond the 150-day sunset provision through an order of the FERC or court of competent jurisdiction.

### **3.4 Settlement and Invoice Disputes**

#### **3.4.1 Expedited Dispute Resolution Procedures for Unresolved Settlement Challenges**

##### **3.4.1.1 *APPLICABILITY OF EXPEDITED DISPUTE RESOLUTION PROCEDURES***

This section describes expedited dispute resolution procedures to address any dispute between a Customer and the NYISO regarding a Customer settlement that was not resolved in the ordinary settlement review, challenge, and correction process. Nothing herein restricts a Customer or the NYISO from seeking redress from the FERC in accordance with the Federal Power Act.

A Customer may request expedited dispute resolution if it has previously presented a settlement challenge and has received from the NYISO a final, written determination regarding the settlement challenge. The scope of an expedited dispute resolution proceeding is limited to the subject matter of the Customer's prior settlement challenge.

Customer challenges regarding Generator, sub-zonal transmission tie-line interconnection, and LSE bus metering data are not eligible for formal dispute resolution proceedings under the NYISO Tariff. To ensure consistent treatment of disputes, separate requests for expedited dispute resolution regarding the same issue and the same service month or months may be resolved on a consolidated basis, consistent with applicable confidentiality requirements.

##### **3.4.1.2 *INITIATION OF EXPEDITED DISPUTE RESOLUTION PROCEEDING***

To initiate an expedited dispute resolution proceeding, a Customer must submit a written request to the NYISO Chief Financial Officer within eleven (11) business days from the date that the NYISO issues a final, written determination regarding a Customer settlement challenge. A Customer's written request for expedited dispute resolution must contain: (i) the name of

the Customer making the request, (ii) an indication of other potentially affected parties, to the extent known, (iii) an estimate of the amount in controversy, (iv) a description of the Customer's claim with sufficient detail to enable the NYISO to determine whether the claim is within the subject matter of a settlement challenge previously submitted by the Customer, (v) copies of the settlement challenge materials previously submitted by the Customer to the NYISO, and (vi) citations to the NYISO's Tariffs and other relevant materials upon which the Customer's settlement challenge relies.

The NYISO Chief Financial Officer will acknowledge in writing receipt of the Customer's request to initiate an expedited dispute resolution proceeding. If the NYISO determines that the proceeding would be likely to aid in the resolution of the dispute, the NYISO will accept the Customer's request and provide written notice of the proceeding to all Customers through the ordinary means of communication for settlement issues. The NYISO will provide written notice to the Customer in the event that the NYISO declines its request for expedited dispute resolution.

#### **3.4.1.3 PARTICIPATION BY OTHER INTERESTED CUSTOMERS**

Any Customer with rights or interests that would be materially affected by the outcome of an expedited dispute resolution proceeding may participate; provided, however, that a Customer seeking or supporting a change to the NYISO's determination regarding a Customer settlement challenge must have previously raised the issue in a settlement challenge. To participate, a Customer must submit to the NYISO Chief Financial Officer a written request to participate that meets the requirements for an initiating request for expedited dispute resolution within eleven (11) business days from the date that the NYISO issues notice of the expedited dispute resolution proceeding. If the NYISO determines that the Customer has met the requirements of this section, the NYISO will accept the Customer's request to participate in the dispute resolution proceeding.

#### **3.4.1.4 SELECTION OF A NEUTRAL**

As soon as reasonably possible following the NYISO's acceptance of a Customer's request for expedited dispute resolution, the NYISO will appoint

a neutral to preside over the proceeding by randomly selecting from a list (i) provided to the NYISO by the American Arbitration Association or (ii) developed by the NYISO with input from the appropriate stakeholder committee, until an available neutral is found. To the extent possible, the neutral will be knowledgeable in electric utility matters, including electric transmission and bulk power issues and the financial settlement of electric markets.

No person will be eligible to act as a neutral who is a past or present officer, employee, or consultant to any of the disputing parties, or of an entity related to or affiliated with any of the disputing parties, or is otherwise interested in the matter in dispute except upon the express written consent of the parties. Any individual appointed as a neutral will make known to the disputing parties any such disqualifying relationship or interest and a new neutral will be appointed, unless express written consent is provided by each party.

**3.4.1.5 CONDUCT OF THE EXPEDITED DISPUTE RESOLUTION PROCEEDING**

The neutral schedules the initial meeting of the disputing parties within five (5) business days of appointment. Except as otherwise provided by the NYISO Tariff, the neutral has discretion over the conduct of the dispute resolution process including, but not limited to: (i) requiring the disputing parties to meet for discussion, (ii) allowing or requiring written submissions, (iii) establishing guidelines for such written submissions, and (iv) allowing the participation of Customers that have requested an opportunity to be heard.

Within sixty (60) days of the appointment of the neutral, if the dispute has not been resolved, the neutral will provide the disputing parties with a written, confidential, and nonbinding recommendation for resolving the dispute. The disputing parties will then meet in an attempt to resolve the dispute in light of the neutral's recommendation. If the disputing parties have not resolved the dispute within ten (10) days of receipt of the neutral's recommendation, the dispute resolution process will be concluded. Neither the recommendation of the neutral, nor statements made by the neutral or any party, including the NYISO, or their representatives, nor written submissions

prepared for the dispute resolution process, are admissible for any purpose in any proceeding.

#### 3.4.1.6 ALLOCATION OF COSTS

Each party to a dispute resolution proceeding is responsible for its own costs incurred during the expedited dispute resolution process and for a pro rata share of the costs of the neutral.

### 3.5 Customer Default

#### 3.5.1 An event of default (“Default”) occurs when a Customer (the “Defaulting Party”):

- fails to comply with the NYISO’s creditworthiness requirements and receive notice of such failure;
- fails to comply with NYISO Tariff provisions for eligibility to obtain services in response to sales tax issues;
- makes an assignment or any general arrangement for the benefit of creditors;
- fails to timely make a payment due to the NYISO, regardless of whether such payment is in dispute, and receives notice from the NYISO of such failure;
- files a petition or otherwise commences, authorizes, or acquiesces in the commencement of a case, petition, proceeding, or cause of action under any bankruptcy or insolvency law or similar law for the protection of debtors or creditors, or have such a petition, case, proceeding or cause of action filed or commenced against it and such case, petition, proceeding or cause of action is not withdrawn or dismissed within thirty (30) days after such filing or commencement;
- otherwise becomes bankrupt or insolvent (however evidenced);
- becomes unable or unwilling to pay its debts to third parties as they fall due;
- otherwise becomes adjudicated a debtor in bankruptcy or insolvent (however evidenced);

- becomes unable (or admits in writing its inability) generally to pay its debts as they become due;
- becomes dissolved (other than pursuant to a consolidation, acquisition, amalgamation or merger);
- has a resolution passed for its winding-up official management or liquidation (other than pursuant to a consolidation, acquisition, amalgamation or merger);
- seeks or becomes subject to the appointment of an administrator, provisional liquidator, conservator, assignee, receiver, trustee, custodian or other similar entity or official for all or substantially all of its assets;
- has a secured party take possession of all or substantially all of its assets or has a distress, levy, execution, attachment, sequestration or other legal process levied, enforced or sued on or against all or substantially all of its assets and such secured party maintains possession, or any such process is not dismissed, discharged, stayed or restrained, in each case within thirty (30) days thereafter;
- causes or is subject to any event with respect to which, under the applicable laws of any jurisdiction, said event has an analogous effect to any of the events specified above;
- takes any action in furtherance of, or indicating its consent to, approval of, or acquiescence in, any of the foregoing acts; or
- fails to perform any material covenant set forth in the Tariff or a Service Agreement (other than the events that are otherwise specifically covered in this Section as a separate Event of Default), and such failure is not excused by Force Majeure or cured within five (5) business days after written notice thereof to the Defaulting Party.



### **3.5.2 Cure of Default**

The NYISO has the right to apply any amounts owed a Customer against any amounts owed to the NYISO by a Customer. A Customer has two (2) business days to cure a Default resulting from its failure to timely make a payment due to the NYISO. A Customer shall have three (3) business days to cure a Default resulting from its failure to comply with the NYISO's creditworthiness requirements; provided, however, that a Customer shall have one (1) business day to cure a default resulting from its failure to comply with the NYISO's creditworthiness requirements following termination of a Prepayment Agreement. Further, by entering into Transactions under the NYISO Tariff, Customers' Service Agreements and Transactions constitute "forward contracts" within the meaning of the United States Bankruptcy Code.

### **3.5.3 NYISO's Right to Suspend and/or Terminate Service**

Upon an event of Default and expiration of any cure period, the NYISO has the right to suspend and/or terminate the Service Agreement immediately upon notice to the Commission in addition to any and all other remedies available hereunder or pursuant to law or in equity.

## **4. ENERGY SUPPLIER SETTLEMENTS**

### **4.1 Energy Supplier Settlement - Generators**

#### **4.1.1 DAM Energy Supplier Settlement - Generators**

Each Supplier that is scheduled by the NYISO to sell Energy in the DAM is paid the product of: (a) the Generator's Day-Ahead hourly LBMP and (b) the hourly Generator's Energy schedule, exclusive of any Energy scheduled to support bilateral transactions.

##### **4.1.1.1 DAM BID PRODUCTION COST GUARANTEE**

The NYISO determines, on a daily basis, whether any ISO-Committed Fixed or ISO-Committed Flexible Generator, that is committed in the DAM will not recover its Minimum Generation Bid, Start-Up Bid, and Energy Bid Price

through Day-Ahead LBMP and Day-Ahead Ancillary Services revenues. If the sum of the Minimum Generation Bid, Start-Up Bid and the net Energy Bid Price over the twenty-four (24) hour day of a Generator exceeds its Day-Ahead LBMP revenue over the twenty-four (24) hour day, then that Supplier's DAM Energy settlement may be augmented by a supplemental Day-Ahead Bid Production Cost guarantee payment.

The amount of a Generator's shortfall is compared to the margin that the Supplier receives from being scheduled to provide Ancillary Services that it can provide only if scheduled to operate. The Supplier's Ancillary Service margin is equal to the revenue it would have received for providing these Ancillary Services prior to any reductions based on a failure to provide these services, less its Bid to provide these services. To the extent that the shortfall exceeds these Ancillary Service margins, the Supplier may receive a supplemental guarantee payment.

Suppliers bidding on behalf of Resources that were not committed by the NYISO to operate in a given Dispatch Day, but which continue to operate due to minimum run time constraints, do not receive such a supplemental payment.

## **4.1.2 Balancing Market Energy Supplier Settlement - Generators**

### **4.1.2.1 BASIS FOR ENERGY SETTLEMENTS**

Balancing Market Energy settlements are based upon a Generator's measured performance, relative to its scheduled operation and bid parameters. The following NYISO procedures describe the basis for Supplier's Energy settlements and Bid Production Cost Guarantee payments.

#### **4.1.2.1.1 Adjustment of Actual Energy Injections to Revenue Quality Metered Values**

Balancing Market Energy settlements are performed for each Real-time Dispatch (RTD) interval, which are nominally five minutes in length. Generators' actual Energy injections are measured in real-time and transmitted to the NYISO typically every six (6) seconds. The metering systems which measure Generators' instantaneous Energy injections are not typically

comprised of revenue grade metering components and the sampling process through which this information is transmitted to the NYISO does not provide a revenue quality billing determinant; therefore, the values transmitted to the NYISO in real-time are subsequently adjusted to revenue quality values with data from revenue grade metering systems.

The day after the service day, the NYISO computes Generators' actual RTD interval Energy injections by averaging Generators' six-second instantaneous outputs over each RTD interval. By the first business day after the service day, hourly revenue quality metering data is submitted by the Transmission Owner and non-Transmission Owner Meter Data Service Providers. Each RTD interval Energy injection value is adjusted by multiplying each RTD interval Energy injection value by the ratio of the Generators' hourly revenue quality metered injection and the hourly integration of the Generators' RTD interval actual Energy injections over the hour.

The hourly integration of Generators' RTD interval actual Energy injections is a time- and load-weighting of the Generators' RTD interval actual Energy injections over the hour. Each RTD interval actual Energy injection is multiplied by the length of the RTD interval (in seconds) and then divided by 3,600 seconds per hour, the results of which are summed over the hour to arrive at the Generators' hourly integrated real-time Energy injections.

#### 4.1.2.1.2 Compensable Over-generation

Compensable Over-Generation is a quantity of Energy injected by a Generator over a given RTD interval that exceeds the Real-Time Scheduled Energy Injection established by the NYISO for that Generator for which the Supplier may be paid, provided that the excess Energy injection does not exceed the

Generator's Real-Time Scheduled Energy Injection over that interval, plus a tolerance. The tolerance is initially set at 3% of a given Generator's Normal Upper Operating Limit. The tolerance may be modified by the NYISO if necessary to maintain good Control Performance.

For Generators that are: (a) operating in Start-Up or Shutdown Periods; (b) operating during Testing Periods; and (c) for as many as 3,300 MW of Intermittent Power Resources that depend on wind as their fuel and Limited Control Run of River Hydro Resources that are not bidding in a manner that indicates they are available to provide Regulation Service or Operating Reserves, Compensable Over-generation is that quantity of Energy injected by those Generators, over a given RTD interval, that exceeds the Real-Time Scheduled Energy Injection established by the NYISO for that Generator for which the Supplier may be paid.

For a Generator comprised of a group of generating units at a single location, which grouped generating units are separately committed and dispatched by the NYISO, and for which Energy injections are measured at a single location, Compensable Over-generation is that quantity of Energy injected by the Generator, during the period when one of its grouped generating units is operating in a Start-Up or Shutdown Period, that exceeds the Real-Time Scheduled Energy Injection established by the NYISO for that period, for that Generator, and for which the Supplier may be paid.

#### **4.1.2.1.3 Economic Operating Point**

A Generator's Economic Operating Point is a point on the its Incremental Energy Bid curve that is a function of the Real-Time LBMP at the Generator's bus, the Generator's real-time Energy injection, real-time schedule, stated response rate and Economic Operating Point in the previous RTD interval,

which may be the Generator's Real-Time Scheduled Energy Injection.

#### **4.1.2.2 ENERGY SETTLEMENT – GENERATORS**

##### **4.1.2.2.1 When Generator Actual Energy Injections Exceed Scheduled Energy Injections**

When actual Energy injections from a Generator over a Real-Time Dispatch (RTD) Interval exceed its DAM Energy schedule over the interval, the Supplier is paid the product of: (1) the Generator's Real-Time LBMP calculated in that RTD interval and (2) the difference between (a) the lesser of (i) the Supplier's actual Energy injection (as adjusted to revenue quality metering), exclusive of any Energy scheduled to support bilateral transactions over that scheduled day-ahead and the Supplier's Day-Ahead scheduled Energy injection over the RTD interval or (ii) its Real-Time Scheduled Energy Injection for that RTD interval, exclusive of any additional energy scheduled to support bilateral transactions over that scheduled day-ahead, plus any Compensable Over-generation and (b) the Supplier's Day-Ahead scheduled Energy injection over the RTD interval.

Suppliers are not compensated for Energy in excess of their Real-Time Scheduled Energy Injections, except: (i) for Compensable Over-generation; (ii) energy produced during a large event reserve pickup or a maximum generation pickup; or (iii) energy produced when a Transmission Owner initiates a reserve pickup in accordance with a Reliability Rule, including a Local Reliability Rule.

When there is a reserve pickup, or when there is a maximum generation pickup and a Supplier is located in the area affected by it, and the Supplier was either scheduled to operate in RTD or was subsequently directed to operate by the NYISO, the Supplier is paid based on the product of: (1) the Generator's Real-Time LBMP calculated in that RTD Interval; and (2) the actual Energy injection

minus the Energy injection scheduled Day-Ahead or scheduled to support bilateral transactions. Suppliers are not compensated for Energy produced during their start-up sequence. Suppliers responding to a reserve or maximum generation pickup are settled in this fashion during the reserve or maximum generation pickup intervals and for the three RTD intervals immediately following the termination of the pickup event(s).

#### 4.1.2.2.2 When Generator Actual Energy Injections Are Less Than Scheduled Energy Injections

When the actual Energy injections from a Generator over an RTD interval are less than its DAM Energy schedule over that RTD interval, the Supplier is charged for the Energy imbalance equal to the product of: (1) the Generator's Real-Time LBMP calculated in that RTD interval; and (2) the difference between (a) the lesser of: (i) the Generator's actual Energy injections; or (ii) the Supplier's Real-Time Scheduled Energy Injection, inclusive of Energy scheduled to support bilateral transactions, plus any Compensable Over-generation, and (b) the Supplier's scheduled Day-Ahead Energy injections, inclusive of Energy scheduled to support bilateral transactions.

## **Appendix 1: Settlement Results and Determinants Reported through the NYISO Decision Support System**

Settlement results and determinant data are made available to Customers in preformatted reports that may be viewed and downloaded through the NYISO’s Decision Support System (DSS). These preformatted reports are designed to provide Customers with sufficient level of detail to reconcile their settlements and invoices for energy and ancillary services market transactions.

<b>Load Serving Entity Settlements</b>	<b>DSS Report Names</b>
Summary	Load Serving Entity Settlement Reports - Settlement Results Report (LSE Summary)
LSE Settlement Versioning	Load Serving Entity Settlement Reports - Settlement Version Comparison Report (LSE Summary)
NYCA Load Serving Entity DAM Energy	Settlement Details – Load Serving Entity - Day Ahead Market Energy
NYCA Load Serving Balancing Energy	Settlement Details – Load Serving Entity - Balancing Energy
Non-NYCA Load Serving DAM Energy	Settlement Details – Transaction Customer - Day Ahead Market LBMP Energy
Non-NYCA Load Serving Balancing Energy	Settlement Details – Transaction Customer - Balancing Market LBMP Energy
OATT Schedule 1: Real-time Bid Production Cost Guarantee Uplift Charge	Settlement Details – Load Serving Entity – PS Uplift Allocations
OATT Schedule 1: Scheduling, System Control, & Dispatch Charges	Settlement Details – Load Serving Entity – Ancillary Services
OATT Schedule 1: DAM Bid Production Cost Guarantee Uplift Charge	Settlement Details – Load Serving Entity – PS Uplift Allocations
OATT Schedule 1: Supplemental Event Charge	Settlement Details – Load Serving Entity – Supplemental Event Charge
OATT Schedule 1: DAM Energy Residuals Charge	Settlement Details – Load Serving Entity – Residuals
OATT Schedule 1: Balancing Energy Residuals Charge	Settlement Details – Load Serving Entity – Residuals
OATT Schedule 1: DAM Losses Residuals Charge	Settlement Details – Load Serving Entity – Residuals
OATT Schedule 1: Balancing Losses Residuals Charge	Settlement Details – Load Serving Entity – Residuals
OATT Schedule 1: Balancing Congestion Residuals Charge	Settlement Details – Load Serving Entity – Residuals
OATT Schedule 1: DAM Margin Preservation Uplift Charge	Settlement Details – Load Serving Entity – Residuals
OATT Schedule 1: Credits from Financial Impact Charges (FIC)	Settlement Details – Load Serving Entity – Financial Impact Credit
OATT Schedule 2: Voltage Support Service Charges	Settlement Details – Load Serving Entity – Ancillary Services
OATT Schedule 3: Regulation Service Charges	Settlement Details – Load Serving Entity – Ancillary Services
OATT Schedule 5: Reserves Service Charges	Settlement Details – Load Serving Entity – Ancillary Services
OATT Schedule 6: Black Start Service Charges	Settlement Details – Load Serving Entity – Ancillary Services
OATT Schedule 7, 8, or 9: NYPA Transmission Adjustment Charge	Settlement Details – Load Serving Entity – NTAC
<b>Powers Supplier Settlements</b>	<b>DSS Report Names</b>
Summary	Settlement Results – Settlement Results Report (PS Summary)
Versioning	Settlement Results – Settlement Version Comparison Report (PS)

**NYISO ACCOUNTING AND BILLING MANUAL**

<b>Powers Supplier Settlements</b>	<b>DSS Report Names</b>
	Summary)
NYCA Supplier DAM Energy	Settlement Details – Power Supplier- Day Ahead Market Energy
NYCA Supplier Balancing Energy	Settlement Details – Power Supplier - Balancing Energy
Non-NYCA Supplier DAM Energy	Settlement Details – Transaction Customer - Day Ahead Market LBMP Energy
Non-NYCA Supplier Balancing Energy	Settlement Details – Transaction Customer - Balancing Market LBMP Energy
NYCA Supplier DAM Bid Production Cost Guarantee – Start-up Costs	Settlement Details – Power Supplier – Day Ahead Market Bid Production Cost Guarantee
NYCA Supplier DAM Bid Production Cost Guarantee – Minimum Generation Costs	Settlement Details – Power Supplier – Day Ahead Market Bid Production Cost Guarantee
NYCA Supplier DAM Bid Production Cost Guarantee – Incremental Energy Costs	Settlement Details – Power Supplier – Day Ahead Market Bid Production Cost Guarantee
NYCA Supplier Real-time Bid Production Cost Guarantee – Start-up Costs	Settlement Details – Power Supplier – RT BPCG (Bids); DSS Report: Settlement Details – Power Supplier – RT BPCG (Trans Schedules); Settlement Details – Power Supplier – RT BPCG (Start Up); DSS Report: Settlement Details – Power Supplier – RT BPCG (Summary);
NYCA Supplier Real-time Bid Production Cost Guarantee – Minimum Generation Costs	Settlement Details – Power Supplier – RT BPCG (Bids); Settlement Details – Power Supplier – RT BPCG (Trans Schedules); Settlement Details – Power Supplier – RT BPCG (Net Energy Cost); Settlement Details – Power Supplier – RT BPCG (Net AS Revenue); Settlement Details – Power Supplier – RT BPCG (Summary);
NYCA Supplier Real-time Bid Production Cost Guarantee – Incremental Energy Costs	Settlement Details – Power Supplier – RT BPCG (Bids); Settlement Details – Power Supplier – RT BPCG (Net Energy Cost); Settlement Details – Power Supplier – RT BPCG (Net AS Revenue); Settlement Details – Power Supplier – RT BPCG (Trans Schedules); Settlement Details – Power Supplier – RT BPCG (Summary);
NYCA Supplier Supplemental Event Guarantee	Settlement Details – Power Supplier – Supplemental Event Credit (Bids); Settlement Details – Power Supplier – Supplemental Event Credit (Net Energy Cost); Settlement Details – Power Supplier – Supplemental Event Credit (Net AS Revenue); Settlement Details – Power Supplier – Supplemental Event Credit (Trans Schedules); Settlement Details – Power Supplier – Supplemental Event Credit (Summary);
Non-NYCA Supplier DAM Bid Production Cost Guarantee	Settlement Details – Transaction Customer – Day Ahead Market Bid Production Cost Guarantee
Non-NYCA Supplier Real-time Bid Production Cost Guarantee	Settlement Details – Transaction Customer – Real-time Market Bid Production Cost Guarantee
DAM Margin Assurance (i.e., DAMAP)	Settlement Details – Power Supplier – DAM Margin Assurance (Adjusted Schedules); Settlement Details – Power Supplier – DAM Margin Assurance (Bids); Settlement Details – Power Supplier – DAM Margin Assurance (Results); Settlement Details – Power Supplier – ELR DAM Margin Assurance;
OATT Schedule 1: Scheduling, System Control, & Dispatch Charges	Settlement Details – Power Supplier – Schedule 1 and Miscellaneous Charges
MST Schedule 2: Voltage Support Service Availability	Settlement Details – Power Supplier – Voltage Support Service



## NYISO ACCOUNTING AND BILLING MANUAL

<b>Powers Supplier Settlements</b>	<b>DSS Report Names</b>
	Credit; Consolidated Invoice Adjustment Details with disputed VSS Adjustments highlighted
MST Schedule 2: Voltage Support Service Lost Opportunity Cost Payment	Settlement Details – Power Supplier – Voltage Support Service LOC; Consolidated Invoice Adjustment Details with disputed VSS Adjustments highlighted
MST Schedule 3: DAM Regulation Service Availability	Settlement Details – Power Supplier – DAM Regulation Availability
MST Schedule 3: Balancing Regulation Service Availability	Settlement Details – Power Supplier – Balancing Market Regulation Availability Settlement Details – Power Supplier – Supplemental Regulation Availability
MST Schedule 3: Regulation Penalty Charge	Settlement Details – Power Supplier – Regulation Penalty
MST Schedule 3: Regulation Revenue Adjustment	Settlement Details – Power Supplier – Regulation Revenue Adjustment
MST Schedule 4: DAM Synchronous Reserves Service	Settlement Details – Power Supplier – DAM 10-minute Sync Reserve Availability
MST Schedule 4: DAM 10-Minute Non-Synchronous Reserves Service	Settlement Details – Power Supplier – DAM 10-minute Non-Sync Reserve Availability
MST Schedule 4: DAM 30-Minute Non-Synchronous Reserves Service	Settlement Details – Power Supplier – DAM 30-minute Operating Reserve Availability
MST Schedule 4: Balancing Synchronous Reserves Service	Settlement Details – Power Supplier – Balancing Market 10-minute Sync Reserve Availability
MST Schedule 4: 10-Minute Synchronous Reserves Service (in-day)	Settlement Details – Power Supplier – Supplemental 10-minute Sync Reserve Availability
MST Schedule 4: 10-Minute Synchronous Reserves Lost Opportunity Cost Payment	Settlement Details – Power Supplier – Synchronous Reserve LOC (Backed Down); Settlement Details – Power Supplier – Synchronous Reserve LOC (Blocked)
MST Schedule 4: Balancing 10-Minute Non-Synchronous Reserves Service	Settlement Details – Power Supplier – Balancing Market 10-minute Non-Sync Reserve Availability
MST Schedule 4: 10-Minute Non-Synchronous Reserves Service (in-day)	Settlement Details – Power Supplier – Supplemental 10-minute Non-Sync Reserve Availability
MST Schedule 4: 10-Minute Non-Synchronous Reserves Lost Opportunity Cost Payment	Settlement Details – Power Supplier – Non-Synchronous Reserve LOC
MST Schedule 4: Balancing 30-Minute Non-Synchronous Reserves Service	Settlement Details – Power Supplier – Balancing Market 30-minute Operating Reserve Availability
MST Schedule 4: 30-Minute Reserves Service (in-day)	Settlement Details – Power Supplier – Supplemental 30-minute Reserve Availability
MST Schedule 4: 10-minute Synchronous Reserve Reduction	Settlement Details – Power Supplier – 10-minute Sync Reserve Reduction
MST Schedule 4: 10-Minute Non-Synchronous Reserve Reduction	Settlement Details – Power Supplier – 10-minute Non-Sync Reserve Reduction
MST Schedule 4: 30-Minute Operating Reserve Reduction	Settlement Details – Power Supplier – 30-minute Operating Reserve Reduction
MST Schedule 4: Reserves Penalty Charge	Settlement Details – Power Supplier – 10-minute Reserve Shortfall Penalty
MST Schedule 4: Quick-Start Reserves Service	Consolidated Invoice Adjustment Details with disputed QSR Adjustments highlighted
MST Schedule 5: Black Start Service	Settlement Details – Power Supplier – Black Start
<b>Transmission Customer Settlements</b>	<b>DSS Report Names</b>
Transaction Customer Settlement Summary	Transaction Customer Detail – Settlement Results Report (TC)

<b>Transmission Customer Settlements</b>	<b>DSS Report Names</b>
	Summary)
Transaction Customer Settlement Versioning	Transaction Customer Detail – Settlement Version Comparison Report (TC Summary)
OATT Schedule 7, 8, or 9: DAM Transmission Usage Charge	Settlement Details – Transaction Customer – Day Ahead Market Transmission Usage Charges
OATT Schedule 7, 8, or 9: Balancing Transmission Usage Charge	Settlement Details – Transaction Customer – Balancing Market Energy Transmission Usage Charges
DAM Replacement Energy Charge For Curtailed Imports	Settlement Details – Transaction Customer – Day Ahead Market Replacement Energy
Balancing Replacement Energy Charge For Curtailed Imports	Settlement Details – Transaction Customer – Balancing Market Replacement Energy
Financial Impact Charges (FIC)	Settlement Details – Transaction Customer – Financial Impact Charge
OATT Schedule 1: Scheduling, System Control, & Dispatch Charges	Settlement Details – Transaction Customer – Ancillary Services
OATT Schedule 1: DAM Bid Production Cost Guarantee Uplift Charge	Settlement Details – Transaction Customer – PS Uplift Allocations
OATT Schedule 1: Real-time Bid Production Cost Guarantee Uplift Charge	Settlement Details – Transaction Customer – PS Uplift Allocations
OATT Schedule 1: Supplemental Event Charge	Settlement Details – Transaction Customer – Supplemental Event Charge
OATT Schedule 1: DAM Energy Residuals Charge	Settlement Details – Transaction Customer - Residuals
OATT Schedule 1: Balancing Energy Residuals Charge	Settlement Details – Transaction Customer - Residuals
OATT Schedule 1: DAM Losses Residuals Charge	Settlement Details – Transaction Customer - Residuals
OATT Schedule 1: Balancing Losses Residuals Charge	Settlement Details – Transaction Customer - Residuals
OATT Schedule 1: Balancing Congestion Residuals Charge	Settlement Details – Transaction Customer - Residuals
OATT Schedule 1: DAM Margin Preservation Uplift Charge	Settlement Details – Transaction Customer - Residuals
OATT Schedule 1: Credits from Financial Impact Charges (FIC)	Settlement Details – Transaction Customer – Financial Impact Credit
OATT Schedule 2: Voltage Support Service Charges	Settlement Details – Transaction Customer – Ancillary Services
OATT Schedule 5: Reserves Service Charges	Settlement Details – Transaction Customer – Ancillary Services
OATT Schedule 7, 8, or 9: NYPA Transmission Adjustment Charge	Settlement Details – Transaction Customer – NTAC

<b>Demand Response Settlements</b>	<b>DSS Report Names</b>
Summary	DADRP Settlement Reports – Settlement Results Report (DRP Summary)
Version	DADRP Settlement Reports – Settlement Version Comparison Report (DRP Summary)
Reduction Payment	Settlement Details – Demand Response Program Customer – Reduction
LSE Penalties	Settlement Details – Demand Response Program Customer – Penalty for Load Serving Entity
Demand Response Provider Penalties	Settlement Details – Demand Response Program Customer – Penalty for Demand Response Providers
Load Balancing	Settlement Details – Demand Response Program Customer – Load Balance
Bid Production Cost Guarantee Payment	Settlement Details – Demand Response Program Customer – Bid Cost Guarantee
Incentive Payment	Settlement Details – Demand Response Program Customer –

## NYISO ACCOUNTING AND BILLING MANUAL

<b>Demand Response Settlements</b>	<b>DSS Report Names</b>
Schedule 1 Component	Incentive Settlement Details – Demand Response Program Customer – Schedule 1 and Miscellaneous Expenses

  

<b>Virtual Market Settlements</b>	<b>DSS Report Names</b>
Virtual Market Settlement Summary	Virtual Market Settlement Reports – Settlement Results Report (Financial Summary VB)
Versioning of Virtual Market Settlements	Virtual Market Settlement Reports – Settlement version Comparison Report (Financial Summary VB)
Virtual Load [DAM]	Settlement Details – Virtual Market Customers – Virtual Load
Virtual Load [Balancing]	Settlement Details – Virtual Market Customers – Virtual Load
Virtual Supply [DAM]	Settlement Details – Virtual Market Customers – Virtual Supply
Virtual Supply [Balancing]	Settlement Details – Virtual Market Customers – Virtual Supply
Virtual Supply Bid Production Cost Guarantee Payment	Settlement Details – Virtual Market Customers – Virtual Supply

  

<b>TCC Settlements</b>	<b>DSS Report Names</b>
Summary	Transmission Congestion Contract Settlement Reports – Settlement Results Report (Financial Summary – TCC)
TCC Settlement Versioning	Transmission Congestion Contract Settlement Reports – Settlement Version Comparison Report (Financial Summary – TCC)
Transmission Congestion Contract Holder Rent	Settlement Details – Transmission Congestion Contract Customer – TCC Rent; Settlement Results Report (TCC)
Transmission Owner DAM Congestion Balancing	Settlement Details – Transmission Owners – DAM Congestion Residual

  

<b>Consolidated Invoice</b>	<b>DSS Report Names</b>
Invoice Support	Settlement Details – Monthly Invoice Support
Working Capital	Settlement Details – Monthly Working Capital Support

  

<b>Metering/Performance Tracking Data</b>	<b>DSS Report Names</b>
Generator Output (RTD Interval)	Settlement Details – Power Supplier - Balancing Energy
Load Serving Entity (RTD Interval)	Settlement Details – Load Serving Entity - Balancing Energy