

Accounting and Billing Manual

Month and Year of Issuance

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Disclaimer

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Revision History

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1.0	09/03/1999	Initial Release

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1. SETTLEMENT AND INVOICING PROCESS

This section focuses on 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 and **Wind Forecasting cost recovery** 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 on 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 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

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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.

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 e-mail 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 via e-mail notifications after invoices have been posted and are available to be retrieved from the NYISO's Website. The e-mail 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 Invoice Adjustments

The NYISO may apply adjustments to an invoice to: (a) expedite warranted resettlements outside of the normal invoice cycle; (b) adjust settlements that have been computed incorrectly due to software or data errors that could not be resolved in time for timely invoicing; (c) settle disputes or settlements emanating from regulatory or legal proceedings whose provisions cannot be accommodated through the NYISO's settlement software; (d) apply settlements to the invoice that have not been incorporated into the NYISO's settlement software; or (e) apply any prepayments and pay-downs received from Market Participants over the course of the month. Adjustments applied to an invoice are itemized and reported through the Consolidated Invoice and the Decision Support System.

The true-up process provides for the resettlement of invoice adjustments that were initially based on estimated billing units. To accomplish this, adjustments that were applied to the

prior invoices of a service month based on estimated billing units are automatically backed-out and resettled in subsequent true-up invoices to provide for the reallocation of adjustment amounts in accordance with changes in the Market Participants' billing units, with interest applied to any changes in the adjustment reallocations accruing from the payment date of the service month's initial invoice (i.e., the first due date after service was rendered). The exception to this rule are (i) adjustments to credit Market Participants for any prepayments or pay-downs made over the course of the month and (ii) adjustments applied quarterly to recover charges: (a) of the NERC for its service as the Electric Reliability Organization ("ERO") for the United States and (b) of the Northeast Power Coordinating Council: Cross-Border Regional Entity, Inc., or its successors, incurred to carry out functions that are delegated by the NERC and related to ERO matters. For months prior to January 2009, adjustments recovering these costs are applied to the six-month true-up invoice of the service month scheduled to be invoiced immediately after the NYISO's receipt of the ERO's quarterly invoice. For service months after December 2008, adjustments recovering these costs are applied to the close-out invoice of the service month scheduled to be closed out immediately after the NYISO's receipt of the ERO's quarterly invoice. In the event that an adjustment has been applied to an invoice to expedite resettlement of transactions for a service month out of the normal invoice cycle, the adjustment will automatically be reversed in the next true-up invoice for the service month in which it was applied, subsequent to the correction having been incorporated into the invoice of the service month warranting the correction.

1.2.3 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.

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.

1.2.4 Consolidated Invoicing

The NYISO invoices monthly settlement balances on a consolidated basis. Two invoices are typically issued each month. The first invoice typically posted each month consists of close-out settlements for months that have gone through their 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 typically comprises: (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 (for settlements for service months prior to January 1, 2009).

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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 transactions in service months prior to January 1, 2009 are performed four and six months after the issuance of the service month's initial invoice. Following these resettlements, Market Participants have an additional month to challenge the accuracy of their settlements, and the NYISO has a period of two to six months to resolve such challenges. The NYISO then posts an advisory close-out invoice for a period of twenty-five days for Market Participants to review the NYISO's implementation of corrections or adjustments to their invoices prior to the NYISO issuing the close-out invoice for the service month.

Resettlements for transactions in service months after December 31, 2008 are performed four months after the issuance of the service month's initial invoice, which is then followed by the same review, challenge, and correction periods prior to the NYISO issuing the close-out invoice for the service month.

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.

1.2.5 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. [Prepayments and pay-down payments made throughout the month by Market Participants to manage their credit requirements are applied as adjustments to each respective invoice.](#)

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

In order to update settlements based on estimates with actual values or further refine estimates, resettlements (a.k.a. true-ups) for service months prior to January 2009 are performed four and six months after the issuance of the initial invoice for each service month. Resettlements for service months after December 2008 are performed four 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 and Charges

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 payments and charges are calculated on those amounts in the customer’s initial invoice that are not paid on the due date established by the NYISO tariffs. Interest on unpaid amounts is calculated from the due date of a service month’s initial invoice (i.e., the first due date after service was rendered) until the date of payment. For payments due to the NYISO, interest begins to accrue from the first business day following the 15th of the month in which the service month’s initial invoice is rendered. For payments due from the NYISO, interest begins to accrue from the first business day following the 19th of the month in which the service month’s initial invoice is rendered. For invoices that are a result of regulatory or legal proceedings that stipulate direct invoicing outside of the normal invoicing cycle, interest accrues from the payment dates identified in such rulings or settlement agreements. Invoices shall be considered as having been paid on the date of receipt by the NYISO.

In addition, resettlement balances are subject to interest, calculated from the first due date after the service was rendered. Interest accrues through the payment date of the true-up invoice, which is determined by the net balance of the Consolidated Invoice. If the net balance of the Consolidated Invoice indicates payment is due from the Market Participant, interest accrues through the first business day following the 15th of the month in which the true-up invoice is rendered. Conversely, if the net balance indicates that payment is due from the NYISO, interest accrues through the first business day following the 19th of the month.

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1.3.2 Meter Data Revision Sunset Provisions

Energy, Ancillary Services, and Station Power Program settlements are based on 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 be accommodated only through an order of the FERC or court of competent jurisdiction.

Load Serving Entities (LSEs) typically comprise 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

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fifty (150) days after the issuance of a service month’s initial invoice. Corrections to LSE meter data after the day-150 cutoff may be accommodated only 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 and Resettlement Sunset Provision

For service months prior to January 2009, Market Participants have seven months after the posting of a service month’s initial invoice to review, comment, and submit challenges to their 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. For service months after December 2008, Market Participants have a five-month period after the posting of a service month’s initial invoice to review and challenge their settlements.

After the expiration of the applicable review and challenge periods, 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 [provides for the extension of](#) the resolution period [up to](#) an additional four months, at which time the NYISO posts an advisory close-out invoice.

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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 be accommodated only 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 A.

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 that provide access to billing determinant data and settlement results are accessible through the Marketplace Login, which may be accessed only 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>.

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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-Oct08posting.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. **As each day's settlements are processed throughout the month, Market Participants may observe through the Consolidated Invoice application their accumulated month-to-date settlement positions, which are labeled as a "DRAFT INVOICE" until the invoice is officially rendered.**

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 and 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 and 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 the Marketplace Login at:

<https://marketplace2.nyiso.com/pgLogin.jsp>

Further instructions for navigating the Bidding and 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.pdf>.

2. MARKET PARTICIPANT RESPONSIBILITIES AND 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 who are 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.

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- 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 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 are responsible for reviewing their local error files to ensure that schedule and bid submissions were successfully submitted.

Deleted: <#>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.¶

Deleted: <#>Market Participants should only enter energy schedules and ancillary service bids that do not exceed a resource’s capacities and capabilities.¶

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- 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 organization changes in 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 the 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.

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3. SETTLEMENT AND INVOICE INQUIRIES, CHALLENGES, AND DISPUTE PROCESSES

3.1 Submission of Inquiries, Challenges, and 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 <https://servicecenter.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. Market Participants should submit inquiries, challenges, and disputes through the NYISO's Web-enabled service center at <https://servicecenter.nyiso.com/>, with the exception of requests to initiate the Expedited Dispute Resolution Process, which must be submitted directly to the Chief Financial Officer.

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 and 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 A), with the settlements and/or billing determinant data in question highlighted; and
- Tariff references, whenever possible.

3.2 Inquiries, Settlement Challenges, and 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 on 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 and 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 7.2A.3a and Market Services Tariff §§ 7.4.2.A and 7.4.3.A detail the time periods during which transmission line interconnection and Generator hourly billing quality meter data may be revised and challenged. [The NYISO's metering requirements/standards are detailed in the NYISO Revenue Metering Requirements Manual.](#)

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. The NYISO's *Revenue Metering Requirements (RMR) Manual* provides administrative and processing guidelines, as well as the hardware specifications, to which sub-zonal 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, and Revisions

By noon the first business day following a service day, the TOs are required to 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:

http://www.nyiso.com/public/webdocs/documents/guides/SDX_User_Guide-Oct08posting.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 have resulted in materially misstated settlements, the NYISO will promptly notify 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 and 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.

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 7.2A.3a and Market Services Tariff §§ 7.4.2.A and 7.4.3.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 the first day of the month following the service month, with an opportunity to "true-up" LSE withdrawals (i) at four and six months after the issuance of a service month's initial invoice for service months prior to January 1, 2009, and (ii) at four months after the issuance of a service month's initial invoice for service months after December 31, 2008. 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, each of which is 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 to individual LSEs within each sub-zone for initial invoicing is based on 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 service months prior to January 2009 and for up to five (5) months for service months thereafter, 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.

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In addition, for service months prior to January 1, 2009, the NYISO will have posted updated advisory settlement information for the service months' six-month resettlement one hundred fifty (150) days from the date of the issuance of the initial invoice for each service month. 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 Customers' review and challenge 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 submitted in writing, through the NYISO's Customer Relations Department;
- be clearly identified as a settlement challenge;
- state the basis for the Customer's challenge, and
- 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. [The NYISO maintains a report on its Website listing each settlement challenge, the affects of any warranted corrective measures, the quantification of the monetary impacts of such corrections by market sector and settlement type, and a status of the challenge's resolution. The report is posted at: \[https://www.nyiso.com/public/webdocs/services/financial_services/customer_settlements/billing_issues_report/bawg_report.pdf\]\(https://www.nyiso.com/public/webdocs/services/financial_services/customer_settlements/billing_issues_report/bawg_report.pdf\). The report is reviewed with Market Participants at each meeting of the Billing and Accounting Working Group \(BAWG\).](#)

3.3.2 Transmission Interconnection and Generator Metering Data Management and Challenges after Invoicing

The NYISO Open Access Transmission Tariff §§ 7.2A.2a and 7.2A.3a and Market Services Tariff §§ 7.4.2.A and 7.4.3.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 be accommodated only 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, and 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, the Market Participant 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 and Challenges to Transmission Interconnection and 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 e-mail notification of the invoice posting includes verbiage announcing the beginning of the month's 55-day review and correction period for transmission interconnection and Generator hourly metering data. The e-mails are sent to the Metering Task Force and 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 Website: 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,

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and 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 e-mails the Metering Task Force and 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 e-mail also serves as a notice to Suppliers to monitor their respective Generators' metering data for updates and to 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. At this point in time, transmission interconnection and Generator hourly meter data are subject to further revision only upon written/e-mailed requests to the NYISO's Customer Relations Department at: 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 e-mails the Metering Task Force and Billing and Customer Settlements listservers, on the dates specified in the Meter Data Management Schedule, posted to the NYISO's Website, informing TOs and Suppliers when transmission interconnection and Generator meter data are subject to further revision only upon written/e-mailed 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 e-mails the Metering Task Force and 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 e-mails the Metering Task Force and 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 by the FERC or court of competent jurisdiction.

3.3.3 LSE Metering Data Management and Challenges after Invoicing

The NYISO Open Access Transmission Tariff §§ 7.2A.2a and 7.2A.3a and Market Services Tariff §§ 7.4.2.A and 7.4.3.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 be accommodated only 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, the Market Participant 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 and Challenges to LSE Metering Data

LSE hourly metering data accuracy may be challenged only 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 be revised after the 150-day period following a service month's initial invoice only 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 and Billing and Customer Settlements listservers. The NYISO e-mails 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, e-mails are sent to the Metering Task Force and Billing and Customer Settlements listservers informing the marketplace of the time remaining in the respective service months' review and correction periods for LSE hourly metering data.

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In addition to the weekly notices, the NYISO e-mails a reminder to the Metering Task Force and 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. The NYISO e-mails a reminder of the impending database lock-down to the Metering Task Force and Billing and Customer Settlements listservers four business days prior to the day-90 lock-down date.

The NYISO notifies the marketplace of settlement and metering data postings via e-mails to the Metering Task Force and 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.

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 notifies the market of this temporary suspension of data updates through an e-mailing to the Metering Task Force and 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 e-mails the Metering Task Force and Billing and Customer Settlements listservers, indicating that the NYISO database is available to receive LSE bus meter data updates.

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 e-mails the Metering Task Force and 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 notifies the marketplace by e-mails to the Metering Task Force and Billing and Customer Settlements listservers when the updated settlement results have been posted, prompting Market Participants to review their respective LSEs' meter data and 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 e-mails another reminder to the Metering Task Force and 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 e-mails the Metering Task Force and 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 be revised beyond the 150-day sunset provision only 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 the Customer 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 Proceedings*

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

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submitted by the Customer to the NYISO, and (vi) citations to the NYISO's Tariffs and other relevant materials on 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, providing, however, that a Customer seeking or supporting a change to the NYISO's determination regarding a Customer settlement challenge previously raised the issue in a settlement challenge. To participate, a Customer must submit to the NYISO Chief Financial Officer within eleven (11) business days from the date that the NYISO issues notice of the expedited dispute resolution proceeding a written participation request that meets the requirements for an initiating request for expedited dispute resolution. 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 Default Event

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 third-party debts 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);

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- 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 the Customer's 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 The 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

Placeholder

4.1 Energy Supplier Settlement – Generators

Placeholder

4.1.1 DAM Energy Supplier Settlement – Generators

Placeholder

4.1.1.1 *DAM Bid Production Cost Guarantee*

Placeholder

4.1.2 Balancing Market Energy Supplier Settlement – Generators

Placeholder

4.1.2.1 *Basis for Energy Settlements*

Placeholder

4.1.2.2 *Adjustment of Actual Energy Injections to Revenue Quality Metered Values*

Placeholder

4.1.2.3 *Compensable Over-Generation*

Placeholder

4.1.2.3.1 Economic Operating Point

Placeholder

4.1.2.4 *Energy Settlement – Generators*

Placeholder

4.1.2.4.1 When Generator Actual Energy Injections Exceed Scheduled Energy Injections

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4.1.2.4.2 When Generator Actual Energy Injections Are Less than Scheduled Energy Injections

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4.1.2.5 Real-Time, Balancing Market Bid Production Cost Guarantee

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4.1.2.6 Day-Ahead Margin Assurance Payments (DAMAP)

Placeholder

4.2 Energy Supplier Settlement – Demand Reduction Providers

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4.2.1 DAM Energy Supplier Settlement – Demand Reduction Providers

Placeholder

4.2.1.1 DAM Bid Production Cost Guarantee Payment

Placeholder

4.2.2 Balancing Market Energy Supplier Settlement – Demand Reduction Providers

Placeholder

4.2.2.1 Determination of Amount of Energy Curtailed

Placeholder

4.3 Energy Supplier Settlement – LBMP Energy Imports

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4.3.1 DAM Energy Supplier Settlement – LBMP Energy Imports

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4.3.2 Balancing Market Supplier Settlement – LBMP Energy Imports

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4.4 Energy Supplier Settlement – Virtual Energy Suppliers

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4.4.1 DAM Energy Supplier Settlement – Virtual Suppliers

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4.4.2 Balancing Market Energy Supplier Settlement – Virtual Suppliers

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4.5 Energy Settlement – Emergency Demand Response Providers

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5. ANCILLARY SERVICES SUPPLIER SETTLEMENTS

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5.1 Voltage Support Service

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5.1.1 Method for Determining the Payments for Voltage Support Service

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5.1.2 Payments for Voltage Support Service Provided by Suppliers of Installed Capacity

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5.1.3 Payments for Voltage Support Service Provided by Suppliers without Installed Capacity Contracts

Placeholder

5.1.4 Payments for Lost Opportunity Cost

Placeholder

5.1.5 Failure to Perform by Suppliers

Placeholder

5.1.5.1 *Failure to Respond to NYISO's Request for Steady State Voltage Control*

Placeholder

5.1.5.2 *Failure to Provide Voltage Support Service When a Contingency Occurs on the NYS Power System*

Placeholder

5.2 Regulation and Frequency Response Service

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5.2.1 Regulation Service Settlements – Day-Ahead Market

Placeholder

5.2.2 Regulation Service Settlements – Real-Time Markets

Placeholder

5.2.3 Regulation Revenue Adjustments

Placeholder

5.2.3.1 *Additional Payments/Charges When AGC Base Point Signals Exceed RTD Base Point Signals*

Placeholder

5.2.3.2 *Additional Charges/Payments When AGC Base Point Signals Are Lower than RTD Base Point Signals*

Placeholder

5.2.4 Charges to Suppliers Not Providing Regulation Service

Placeholder

5.2.4.1 *Persistent Under-Generation Charges*

Placeholder

5.2.4.2 *Exemptions*

Placeholder

5.3 Operating Reserve Service

Placeholder

5.3.1 DAM Settlement of Operating Reserve

Placeholder

5.3.2 Real-Time Settlement of Operating Reserve

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5.3.3 Balancing Settlement of Operating Reserve

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5.3.3.1 When Real-Time Schedule Is Less than DAM Schedule

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5.3.3.2 When Real-Time Schedule Exceeds DAM Schedule

Placeholder

5.3.4 Quick Start Reserves

Placeholder

5.4 Black Start Capability Service

Placeholder

5.4.1 Settlements for Generators under the Black Start and System Restoration Services Plans Developed by the NYISO and by Individual Transmission Owners Except for Generators Providing Such Services under the Consolidated Edison Plan as of October 1, 2005

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5.4.2 Payments to Generators Providing Black Start and System Restoration Services under the Consolidated Edison Transmission District as of October 1, 2005

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6. ENERGY PURCHASE SETTLEMENTS

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6.1 Energy Settlement – Load Serving Entities (LSEs)

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6.1.1 DAM Energy Settlement – LSEs

Placeholder

6.1.2 Balancing Market Energy Settlement – LSEs

Placeholder

6.1.2.1 *LSE Metering and Sub-zonal Load Allocation to LSEs for Initial Settlement*

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6.2 Energy Settlement – LBMP Energy Exports

Placeholder

6.2.1 DAM Energy Settlement – LBMP Energy Exports

Placeholder

6.2.2 Balancing Market Settlement – LBMP Energy Exports

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6.3 Energy Settlement – Virtual Loads

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6.3.1 DAM Energy Settlement – Virtual Loads

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6.3.2 Balancing Market Energy Settlement – Virtual Loads

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7. TRANSMISSION USAGE CHARGE (TUC) SETTLEMENTS

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7.1 TUC Settlements – Internal Wheel Transactions

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7.1.1 DAM TUC Settlements – Internal Wheel Transactions

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7.1.2 Balancing Market TUC Settlements – Internal Wheel Transactions

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7.1.2.1 *Transactions Supplied by Certain Resources Pursuant to PURPA Contracts or Supporting Settlement Supplying Steam to NYC*

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7.2 TUC Settlements – Import Bilateral Transactions

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7.2.1 DAM TUC Settlements – Import Bilateral Transactions

Placeholder

7.2.1.1 *Suppliers Scheduled below Bilateral Contract Commitments*

Placeholder

7.2.2 Balancing Market TUC Settlements – Import Bilateral Transactions

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7.2.2.1 *Suppliers Scheduled below Bilateral Contract Commitments*

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7.3 TUC Settlements – Export Bilateral Transactions

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7.3.1 DAM TUC Settlements – Export Bilateral Transactions

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7.3.1.1 *Suppliers Scheduled Day-Ahead below Bilateral Contract Commitments*

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7.3.2 Balancing Market TUC Settlements – Export Bilateral Transactions

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7.3.2.1 *Suppliers Scheduled In Real-Time below Bilateral Contract Commitments*

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7.4 TUC Settlements – Wheel-Through Transactions

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7.4.1 DAM TUC Settlements – Wheel-Through Transactions

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7.4.2 Balancing Market TUC Settlements – Wheel-Through Transactions

Placeholder

7.5 NYPA Transmission Adjustment Charge (NTAC)

Placeholder

7.5.1 Exports and Wheels Through

Placeholder

7.5.2 Imports, Internal Wheels, and Loads within the NYCA

Placeholder

8. ANCILLARY SERVICES CHARGES

Placeholder

8.1 Scheduling, System Control, and Dispatch Service (OATT)

Placeholder

8.1.1 Annual Budget and FERC Regulatory Fees

Placeholder

8.1.2 NYISO Unbudgeted Cost Component

Placeholder

8.1.2.1 *Bad Debt Loss Recovery*

Placeholder

8.1.2.2 *Working Capital Contributions*

Placeholder

8.1.3 Non-NYISO Facilities Payments Component

Placeholder

8.1.4 Residual Adjustments

Placeholder

8.1.4.1 *Composition of the Residual Adjustment*

Placeholder

8.1.4.2 *Storm Watch Costs*

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8.1.4.3 *Emergency Demand Response*

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8.1.4.4 *Calculation of Residuals*

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8.1.5 Bid Production Guarantees [Need to add language detailing unbundling of SRE, Max Gen & Supplemental allocations]

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8.1.5.1 Local Reliability-Related Bid Production Guarantees

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8.1.6 NERC and Related Dues, Fees, and Other Charges Component

Placeholder

8.1.7 Payments Made to Generators Pursuant to Incremental Cost Recovery for Units Responding to Local Reliability Rule I-R3

Placeholder

8.2 Scheduling, System Control, and Dispatch Service (MST)

Placeholder

8.2.1 Annual Budget and FERC Regulatory Fees

Placeholder

8.3 Voltage Support Service

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8.4 Regulation and Frequency Response Service

Placeholder

8.5 Energy Imbalance Service

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8.5.1 Energy Imbalance Service Charges

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8.5.2 Inadvertent Energy Management Requirements

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8.6 Operating Reserves Service

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8.6.1 Quick-Start Reserves Service

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8.7 Black Start Service

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9. TRANSMISSION CONGESTION CONTRACT SETTLEMENTS

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10. TRANSMISSION OWNER SETTLEMENTS

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10.1 Net DAM Congestion Rent Balancing

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10.1.1 Calculation of Net Congestion Rents

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10.1.1.1 *Charges and Payments to Transmission Owners for DAM Outages and Returns-to-Service*

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10.2 NYPA Transmission Adjustment Charge (NTAC)

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Appendix A. 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.

Load Serving Entity Settlements	DSS Report Names
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, and 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	Settlement Details – Load Serving Entity – Ancillary Services

Load Serving Entity Settlements	DSS Report Names
Charges	
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

Powers Supplier Settlements	DSS Report Names
Summary	Settlement Results – Settlement Results Report (PS Summary)
Versioning	Settlement Results – Settlement Version Comparison Report (PS 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);

Powers Supplier Settlements	DSS Report Names
NYCA Supplier Supplemental Event Guarantee	Settlement Details – Power Supplier – RT BPCG (Trans Schedules); Settlement Details – Power Supplier – RT BPCG (Summary);
Non-NYCA Supplier DAM Bid Production Cost 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 Real-time Bid Production Cost Guarantee	Settlement Details – Transaction Customer – Day Ahead 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, and 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 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	Settlement Details – Power Supplier – DAM 10-minute Sync

Powers Supplier Settlements	DSS Report Names
Service	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

Transmission Customer Settlements	DSS Report Names
Transaction Customer Settlement Summary	Transaction Customer Detail – Settlement Results Report (TC 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	Settlement Details – Transaction Customer – Balancing

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Transmission Customer Settlements	DSS Report Names
Transmission Usage Charge	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, and 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

Demand Response Settlements	DSS Report Names
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

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

Virtual Market Settlements	DSS Report Names
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

TCC Settlements	DSS Report Names
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

Consolidated Invoice	DSS Report Names
Invoice Support	Settlement Details – Monthly Invoice Support
Working Capital	Settlement Details – Monthly Working Capital Support

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

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Appendix B. Supplier Energy Settlement Formulae

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Appendix C. Out of Merit Operation

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Appendix D. Customer Baseline Load and Demand Reduction

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Appendix E. Bid Production Cost Guarantee Formulae

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Appendix F. Economic Operating Point

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Appendix G. Real-Time Performance Tracking

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Appendix H. DAM Margin Preservation (DAMAP)

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Appendix I. Ancillary Services Supplier Settlements

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Appendix J. Energy Purchaser Settlements

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Appendix K. Transmission Usage Charge Settlements

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Appendix L. Transmission Usage Charge and NTAC Settlements

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Appendix M. Transmission Congestion Contract & DAM Congestion Rent Over-/Undercollection Settlements

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