

**Short-Term Open Access in Inter-State Transmission**  
**(Collective Transaction)**

**Procedure for Scheduling**

**[As per CERC Open Access Regulations, 2008 (dated 25.01.2008) & subsequent  
(Amendment) Regulations, 2009 (dated 20.5.2009)]**

**Power System Operation Corporation Ltd.**  
**(A wholly owned subsidiary of Power Grid Corporation of India Ltd.)**

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### FORMATS FOR SCHEDULING OF COLLECTIVE TRANSACTIONS:

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# **Procedure for Scheduling of Collective Transaction**

**(Revision No.: 1 Dated: 30.06.2011)**

## **1. PREAMBLE**

- 1.1 This Procedure is in accordance with the Para 4 and various provisions of the “Central Electricity Regulatory Commission (Open Access in inter-State Transmission) Regulations, 2008”, dated 25.01.2008, hereinafter referred to as “the Regulations”, and subsequent amendments thereof hereinafter referred to as “the Regulations”.
- 1.2 The Procedures shall apply to the Applications made for Scheduling of Collective Transactions by availing of Short-Term Open Access for use of the transmission lines or associated facilities with such lines on the inter-State transmission system. For the Applications made for Scheduling of Collective Transactions received before Central Electricity Regulatory Commission (Sharing of Inter State Transmission Charges and Losses) Regulations 2010 come into force, short-term open access charges would be payable as per CERC (Open Access in inter-State Transmission) Regulations, 2008 and Amendments thereof and for applications received on or after Central Electricity Regulatory Commission (Sharing of Inter State Transmission Charges and Losses) Regulations 2010 come into force, the short-term open access charges would be payable as per Central Electricity Regulatory Commission (Sharing of Inter State Transmission Charges and Losses) Regulations 2010 and relevant CERC orders.
- 1.3 All the words and expression used in the Procedure shall have the same meaning assigned to them as defined in the Regulations.

## **2. INTRODUCTION**

- 2.1 All Entities, whose metering and energy accounting is presently carried out by Regional Load Despatch Centres (RLDCs)/Regional Power Committees (RPCs) shall be deemed to be Regional Entities of the respective Region. Any new Entity, who satisfies the conditions for scheduling by Regional Load Despatch Centres, as per Indian Electricity Grid Code and amendments thereof, and is intending to participate in trade through Power Exchange, as a Regional Entity shall obtain a prior approval from the respective RLDCs/RPCs, by making an application.
- 2.2 State Utilities and intra-State Entities proposing to participate in trading through Power Exchange(s) shall obtain “Standing Clearance”/ “No

Objection Certificate” from the respective State Load Despatch Centres (SLDCs), as per the enclosed format. [*FORMAT-PX-I: “Standing Clearance” / “No Objection Certificate”” by SLDCs to Power Exchange.*]

- 2.3 State Utilities and intra-State Entities proposing to participate through the Power Exchange(s) shall not be permitted by the Power Exchange(s) without the “Standing Clearance”/ “No Objection Certificate” from the respective State Load Despatch Centres (SLDCs), except in case of “concurrence” OR “no objection” or “ prior Standing Clearance” , as the case may be, is deemed to have been granted by the concerned SLDC in accordance with second proviso to clause 4 of Regulation 8. In case of deemed concurrence , the State Utilities and intra-State Entities, as the case may be, must ensure that all the requirements under Regulation 8 have been duly complied with and shall submit a duly notarized affidavit as per FORMAT-PX-IA to the Power Exchange(s) with a copy to the concerned SLDC.
- 2.4 The “Standing Clearance”/”No Objection Certificate” submitted by the State Utilities/intra-State entity shall be reviewed on quarterly basis by the respective SLDCs. Even if there is no change in the status, it shall be resubmitted by the respective State Utilities/intra-State Entity.
- 2.5 Each RLDC, on their website, shall display the list of Regional Entities of the Region. Similarly, each SLDC, on their website, shall display the list of the intra-State Entities of their State.
- 2.6 All Entities participating in the Power Exchange(s) shall be identifiable with a Unique Code on the basis of Bid Area, sub Bid Area (if any), Regional Entity; Intra-state Entity etc. Power Exchange (s) shall finalize the coding methodology in consultation with National Load Despatch Centre (NLDC) at least 15 days prior to commencement of the operation.
- 2.7 All data between NLDC and Power Exchange(s) shall be exchanged electronically through a dedicated communication channel.
- 2.8 The Power Exchange(s) shall ensure that the necessary infrastructure for data exchange/communication with NLDC/RLDCs and SLDCs is put in place prior to commencement of the operation. The Power Exchange(s) shall be responsible for the day to day maintenance of the same.

- 2.9 Power Exchange(s) shall be responsible for Settlement of Energy Charges, Price Discovery and Settlement arising due to Congestion, with its participants.
- 2.10 Application for “Scheduling of Collective Transaction” not in conformity with these Procedures/Regulations shall not be processed.
- 2.11 Notwithstanding anything contained in this Procedure, CTU/NLDC/RLDCs may take appropriate decisions in the interest of System Operation. Such decisions shall be taken under intimation to CERC and the procedure shall be modified /amended, as necessary.

**3. SUBMISSION/PROCESSING OF APPLICATION**

- 3.1 The National Load Despatch Center (NLDC) shall indicate to Power Exchange(s), by 11:00 Hrs, the list of interfaces/control areas/ regional transmission systems on which unconstrained flows are required to be advised by the Power Exchange(s) to the NLDC.
- 3.2 Power exchange(s) shall furnish by 13:00 Hrs, the interchange on various interfaces/control areas/regional transmission systems as intimated by NLDC (Para 3.1 above). Power Exchange(s), shall also furnish the information of total drawal and injection in each of the regions.
- 3.3 Based on the information furnished as per Para 3.2 by Power Exchange(s), NLDC shall check for congestion. If there is no congestion, the Power Exchange(s) shall submit the application as per clause 3.5. However, in case of congestion, NLDC shall inform the exchange(s) by 14:00 Hrs. about the period of congestion and the available limit for scheduling of collective transaction on respective interfaces/control areas/transmission system(s) during the period of congestion for scheduling of Collective Transaction through that respective Power Exchange. The limit for scheduling of collective transaction for respective Power Exchange shall be worked out in accordance with CERC directives.
- 3.4 Power Exchange(s) shall ensure that “Scheduling Request for Collective Transaction” is within the limits (as per Para 3.3 above) for each time block as intimated by NLDC. Further, Power Exchange(s) shall ensure that the Scheduling Request is within the limits for each time block specified by respective SLDCs in the “Standing Clearance”/“No Objection Certificate” (submitted by State Utilities/intra-State Entities to Power Exchange(s)).

- 3.5 The Application for Scheduling of Collective Transaction shall be submitted by the Power Exchange(s) by 15:00 Hrs each day, to the NLDC as per *Format-PX-II: "Application for Scheduling of Collective Transaction"*, for transactions to be implemented on the following day.
- 3.6 The details for Scheduling Request for Collective Transaction shall be submitted by Power Exchange (s) to the NLDC as per *Format-PX-III: "Scheduling Request for Collective Transaction to NLDC"*. Power Exchange(s) shall club together all Buyers within a State in one group and all Sellers within a State in another group for the purpose of Scheduling by RLDCs.
- 3.7 NLDC shall send the details (Scheduling Request of Collective Transaction) to different RLDCs by 16:00 Hrs for final checking and accommodating them in their schedules. RLDCs shall confirm its acceptance to NLDC by 17:00 Hrs.
- 3.8 After getting acceptance from the RLDCs, NLDC shall convey the acceptance of scheduling of Collective Transaction to Power Exchange(s) by 17:30 Hrs.

#### **4. SCHEDULING**

- 4.1 Concerned RLDCs shall accommodate the Schedule of Collective Transactions in the respective Regional Entity's and inter-Regional Schedules, which would be issued finally by RLDCs at 18:00 Hrs of each day.
- 4.2 RLDCs shall schedule the Collective Transaction at the respective periphery of the Regional Entities.
- 4.3 RLDCs shall incorporate all buyers within a State (clubbed together as one group) and all sellers within a State (clubbed together as another group), in the schedules of the Collective Transactions.
- 4.4 The individual transactions for State Utilities/intra-State Entities shall be scheduled by the respective SLDCs. Power Exchange(s) shall send the detailed breakup of each point of injection and each point of drawal within the State to respective SLDCs by 18:00 Hrs. after receipt of acceptance from NLDC. The details for Scheduling Request for Collective Transaction shall be submitted by Power Exchange (s) to the respective SLDCs as per *Format-PX-IV: "Scheduling Request for Collective*

*Transaction to SLDC*". Power Exchange(s) shall ensure necessary co-ordination with SLDCs for scheduling of the transactions.

- 4.5 While finalizing the Drawl Schedule / Injection schedule of Entities, each transaction shall have a resolution of 0.01 MW at each State/inter-Regional boundaries.

**5. TREATMENT OF LOSSES**

- 5.1 Inter-State transmission losses would be applied separately on Buyers as well as Sellers of Collective Transaction, for arriving at the Schedules.
- 5.2 To compensate for losses in the inter-State transmission system, the Sellers in the Collective Transaction shall inject extra power (MW), in addition to the contracted power.
- 5.3 To compensate for the losses in the inter-State transmission system, the Buyers in the Collective transaction shall draw less power (MW) than contracted power.

Before the Central Electricity Regulatory Commission (Sharing of Inter State Transmission Charges and Losses) Regulations,2010 come into force, the average transmission losses of the respective Region would be applied along with additional losses (if any), as notified in advance by NLDC for particular Region(s), on the basis of the power flow pattern and studies carried out by the RLDCs/NLDC. On or after the date Central Electricity Regulatory Commission (Sharing of Inter State Transmission Charges and Losses) Regulations, 2010 come into force, Losses shall be applicable as per the Procedure for Sharing of Inter-State Transmission Losses under Central Electricity Regulatory Commission (Sharing of Inter State Transmission Charges and Losses) Regulations, 2010 and relevant CERC orders.

- 5.4 The intra-State transmission system losses shall also be taken care of in the Schedules by respective SLDCs.

**6. REAL TIME CONGESTION MANAGEMENT**

- 6.1 In case of transmission constraint or threat to grid security, the scheduled transactions may be curtailed in the manner as decided by the NLDC / RLDCs / SLDCs to relieve the transmission constraint/ to improve grid security.
- 6.2 Collective Transaction through Power Exchange(s) would normally be curtailed subsequent to the Short-Term Bilateral Transaction(s).

- 6.3 RLDCs would curtail a Transaction at the periphery of the Regional Entities. SLDC(s) shall further incorporate the *inter-se* curtailment of intra-State Entities to implement the curtailment.
- 6.4 In case of curtailment of a Transaction caused by transmission constraints / threat to grid security, the Transmission Charges in respect of such Transaction shall be payable on pro-rata basis in accordance with the finally Implemented Schedules. Operating Charges shall not be revised in case of curtailment.
- 6.5 Power Exchange (s) shall be responsible for the settlement on account of curtailment, directly with its participants. NLDC/RLDCs/SLDCs shall interact only with the respective Power Exchange(s), for the same.

**7. COMMERCIAL CONDITIONS**

- 7.1 The following Short-Term Open Access charges (for use of inter-State transmission system and Scheduling at Regional level) shall apply for Collective Transaction through Power Exchange(s) and shall be payable to National Load Dispatch Centre by Power Exchange(s):
- a) Non-refundable fee of Rs. 5000/- payable along with each Application
  - b) For Applications received before the Central Electricity Regulatory Commission (Sharing of Inter State Transmission Charges and Losses) Regulations, 2010 come into force, Transmission Charges, for use of inter-State transmission system, at the rate of Rs.100/MWh for the energy approved for transmission for each point of injection and for each point of drawal. For Applications received after Central Electricity Regulatory Commission (Sharing of Inter State Transmission Charges and Losses) Regulations,2010 come into force, the transmission charges shall be applicable as per the rate specified under Central Electricity Regulatory Commission (Sharing of Inter State Transmission Charges and Losses) Regulations 2010 and relevant CERC orders.
  - c) Operating Charges @Rs.5000/- per day per Entity involved
  - d) All Buyers within a State shall be clubbed together into one group and all Sellers within a State shall be clubbed together into another group by the Power Exchange(s). National Load Dispatch Centre shall count each Buyer group & each Seller group for each of the



Power Exchange(s) as separate Entities for Scheduling and levy of Operating Charges.

- 7.2 Payments of Transmission Charges and Operating Charges shall be made by the Power Exchange(s) to the NLDC, by next working day falling after the day on which its Application was processed at NLDC.
- 7.3 The Transmission Charges for the use of intra-State transmission system and Operating Charges for the SLDCs shall be directly settled by the Power Exchange(s) with the respective SLDC.
- 7.4 All payments shall be remitted preferably by electronic transfer to the designated Bank Accounts.

**8. TREATMENT IN CASE OF DEFAULT IN PAYMENT**

- 8.1 In case of default in payment of NLDC/RLDCs/SLDCs, the NLDC at its discretion, may suspend the scheduling of Transaction and/or may terminate the already Scheduled Transaction and/or may not entertain any Application of such Power Exchange(s) in future, until such time the default is cured.
- 8.2 In case of payment default, Power Exchange(s) shall pay to NLDC a simple interest at the rate of 0.04 % for each day of default, from the Due Date of Payment.

**9. DISBURSAL OF PAYMENT**

- 9.1 NLDC shall reconcile the Short-Term Open Access Charges collected during the previous month by the tenth (10th) day of the current month.
- 9.2 Before the Central Electricity Regulatory Commission (Sharing of Inter State Transmission Charges and Losses) Regulations, 2010 come into force, NLDC shall disburse the Transmission Charges to CTU (25%) and long-term customers (balance 75%), through the respective RLDC, within 7 days from the issuance of the Regional Monthly Energy Account by the respective Regional Power Committees. After the Central Electricity Regulatory Commission (Sharing of Inter State Transmission Charges and Losses) Regulations 2010 come into force the transmission charges shall be transferred to the CTU for disbursement in accordance with the Approved Detailed Procedure for Billing, Collection and Disbursement under Central Electricity Regulatory Commission (Sharing of Inter State Transmission Charges and Losses) Regulations 2010 and relevant CERC orders.

9.3 In case of refunds arising due to curtailment of transactions during the previous month, the same shall also be disbursed to the concerned Power Exchange by fifteenth (15<sup>th</sup>) day of the current month.

**10. INDEMNIFICATION**

10.1 The Power Exchange(s), including its Buyers and Sellers, shall keep each of the NLDC/RLDCs/SLDCs indemnified at all times and shall undertake to indemnify, defend and save the NLDC/RLDCs/SLDCs harmless from any and all damages, losses, claims and actions, including those relating to injury to or death of any person or damage to property, demands, suits, recoveries, costs and expenses, court costs, attorney fees, and all other obligations by or to third parties, arising out of or resulting from the transactions.

10.2 The Power Exchange(s), including its Buyers and Sellers, shall keep each of the NLDC/RLDCs/SLDCs indemnified at all times and shall undertake to indemnify, defend and save the NLDC/RLDCs/SLDCs harmless from any and all damages, losses, claims and actions arising out of disputes among Buyers and Sellers, as well as with Power Exchange(s), inclusive of confidentiality issues.

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**“Standing Clearance” / “No Objection Certificate”**

<<Format in which Standing Clearance/NOC is to be given by SLDCs to a State Utility or intra-state Entity for submission to Power Exchange>>

NOC No. \_\_\_\_\_

Dated. \_\_\_\_\_

- 1. Name of the SLDC issuing NOC :
- 2. Region : North / West / South / East / North-East
- 3. Name of the Entity
- 4. Status of Entity (e.g.; State Utility/CPP/IPP/Discom etc.)
- 5. Point(s) of Connection :
- 6. Max. MW ceiling allowed for Injection\* :
- 7. Max. MW ceiling allowed for Drawal\* :
- (\* SLDCs may specify different MW ceilings for different time blocks, if required.)
- 8. Validity Period : From : << **Date** >> To: << **Date** >>
- 9. Transmission losses (besides Regional Transmission losses)

	Whether Applicable or not (Yes/No)	(%) loss
State Transmission losses		
Distribution Licensees losses		
Any other losses		

- 10. Transmission charges (besides Regional Transmission charges)

	Whether Applicable or not (Yes/No)	Rate (Rs./MWh)
State Transmission Charges		
Distribution Licenceses		
Any other charges		

**Declaration:**

**It is hereby certified that:**

- a) We have “No Objection” to seeking and availing Open Access by <<**Name of Entity**>>, through Power Exchange upto the MW ceiling as specified above, in accordance with applicable regulations of CERC/<<**State**>> ERC.
- b) We have the required infrastructure for energy metering and time block wise accounting in place. The State/ Distribution licensee network has the required transfer capability for transfer of power as per specified ceiling.
- c) The Transmission Charges for the use of State/Distribution Licensee network and Operating Charges for the State Load Despatch Centers shall be directly settled by Power Exchange with us.
- d) The State Utility designated for the purpose of collection/disbursement of UI charges shall be responsible for timely payment of State’s composite dues into the Regional Pool Account.
- e) Any mismatch between the Scheduled and Actual drawal/injection for the intra-State Entity shall be determined by us and will be covered in the intra-State UI accounting scheme, or as applicable.
- f) The Reactive Energy Charges shall be governed by the Regulations applicable within the State.
- g) We shall disburse the Transmission Charges for use of the State/Distribution Licensee Network to the State Transmission Utility /Distribution Licensee directly.
- h) We shall inform the total import and export capability of the State as a whole to all concerned. Attempt shall be made to declare this in advance through our website.
- i) Any change in the contents of the Standing Clearance/NOC shall be conveyed to the party to whom Standing Clearance/NOC was given, latest by 10 Hrs. of the day prior to the day of transaction. In such cases, the Power Exchange(s) shall also be informed simultaneously.

**Signature**  
**Name**  
**Designation**  
**(Authorized Signatory)**  
**Phone No.:**

**Place:**  
**Date:**

**APPLICATION FOR SCHEDULING OF COLLECTIVE TRANSACTION**

<<Formats for Application to be submitted by Power Exchange(s) to NLDC>>

**Application No.**

**Date:**

**Name of Power Exchange:**

**Scheduling Request for <<Date >>**

Region	Sum of Injection by all Sellers (MWh)	Sum of Drawal by all Buyers (MWh)	Net Injection(+) / Drawal(-) (MWh)	Number of Regional Entities involved	
				(Injection)	(Drawal)
Northern					
Western					
Southern					
Eastern					
North-Eastern					
<b>TOTAL</b>					

**Open Access Charges:**

1. Application Fee : Rs. .... << *Payment details* >>
2. Transmission Charges : Rs. .... << *to be paid by next*
3. Operating Charges : Rs. .... *Working day*>>

**It is hereby certified that**

- a) The request for scheduling submitted has been arrived at after a transparent process of bidding.
- b) The request for scheduling is within the available margins on respective transmission systems.
- c) "No objection certificate (NOC)" /" Standing clearance" has been obtained from the concerned State Load Despatch Centres in the specified format, wherever applicable, which *inter alia* provides that respective State Utilities shall be responsible for timely payment of State's composite due to Regional Pool Account. All Sale / Buy transactions are within the limits specified by SLDCs.
- d) All Entities (Buyer / Seller / Trader / Power Exchange) involved in the Collective Transaction agree to abide by the provisions of Electricity Act, IEGC, CERC (Open Access in Inter-State Transmission) Regulations, 2008 and the Procedures for Scheduling of Collective Transaction issued by Central Transmission Utility, as amended from time to time.
- e) The provisions under Para 10.1 & 10.2 of the "Procedure for Scheduling of Collective Transaction" are expressly understood to be complied with.
- f) **Scheduling Request has been forwarded to NLDC electronically in the prescribed format.**
- g) No past payment is outstanding.

**Place:**

**Date:**

**Signature**

**Name**

**Designation**

**Phone No.:**



