

CENTRAL ELECTRICITY REGULATORY COMMISSION

NEW DELHI

No.-L-7/105(121)/2007-CERC

CORAM:

**Shri P. K. Pujari, Chairperson
Shri I. S. Jha, Member
Shri Arun Goyal, Member
Shri P. K. Singh, Member**

Date of Order: 1st April 2022

In the matter of:

Approval of “Procedure for Short Term Open Access in inter-State Transmission System through National Open Access Registry (NOAR)” under Regulation 4 of the Central Electricity Regulatory Commission (Open Access in inter-State Transmission) (Fifth Amendment) Regulations, 2018.

Order

Commission notified the Central Electricity Regulatory Commission (Open Access in inter-State Transmission) (Fifth Amendment) Regulations, 2018 (hereinafter referred as “Fifth Amendment Regulations 2018”) on 2nd January, 2019.

2. Regulation 4 of the Fifth Amendment Regulations 2018 provides that NLDC shall issue the detailed procedure to operationalise open access through NOAR and on any residual matter not covered under Fifth Amendment Regulations 2018, after carrying out stakeholders’ consultation and due approval of the Commission.

3. Accordingly, NLDC vide its letters dated 12.07.2019 and 17.05.2021 submitted the “Procedure for Short Term Open Access in inter-State Transmission through National Open Access Registry (NOAR)”.

4. The Commission has examined the detailed procedure submitted by NLDC and after incorporating suitable changes hereby approves the “Procedure for Short Term Open Access in inter-State Transmission System through National Open Access Registry (NOAR)” which is enclosed as Annexure to this order.

5. The Procedure shall be effective from the date of coming into effect of Fifth Amendment Regulations 2018.

Sd/
(P. K. Singh)
Member

Sd/
(Arun Goyal)
Member

Sd/
(I. S. Jha)
Member

Sd/
(P. K. Pujari)
Chairperson

**Procedure
for
Short Term Open Access
in
inter-State Transmission System
through
National Open Access Registry (NOAR)**

*Under
Central Electricity Regulatory Commission
Open Access in inter-State Transmission
(Fifth Amendment) Regulations, 2018*

April 2022

**PROCEDURE FOR SHORT TERM OPEN ACCESS IN INTER-STATE TRANSMISSION SYSTEM
THROUGH
NATIONAL OPEN ACCESS REGISTRY (NOAR)**

1. Introduction

1.1. This procedure is issued under Regulation 4 of Central Electricity Regulatory Commission (Open Access in inter-State Transmission) Regulations, 2008 and amendments thereof (hereinafter referred to as “Principal Regulations”).

1.2. National Open Access Registry (NOAR) shall be a common electronic platform for facilitating the short term open access (STOA) in inter-State transmission system (ISTS) and shall

a) provide a single point electronic interface for all the stakeholders, availing short term open access in inter-State transmission system including short term customers, state distribution utilities, state/central/IPP generators, trading licensees, Power Exchanges, National Load Despatch Centre (NLDC), Regional Load Despatch Centres(RLDCs), State Load Despatch Centres(SLDCs) and Regional Power Committees (RPCs);

b) automate the administration of the short term open access in inter-State transmission system;

c) act as a repository of information related to short term open access in inter-State transmission and facilitate market monitoring by the Market Monitoring Cell (MMC) of CERC;

d) exchange data with the scheduling software applications of the RLDCs and SLDCs and exchange data with STOA application software of SLDCs, if any;

e) interface with the Power Exchange(s) for data exchange and validation of standing clearance to facilitate processing of transactions through the Power Exchange(s);

f) provide audit trail of the STOA applications and standing clearances, dash board facility summarizing at any point of time, the details of the applications made for short term open access to RLDCs or SLDCs, applications approved or rejected by RLDCs or SLDCs and applications pending with RLDCs or SLDCs;

g) be the platform for conducting e-bidding for congestion management as per regulations;

h) provide a payment gateway for making payments related to STOA transactions and STOA disbursement, facilitate financial accounting and tracking of the STOA transactions and reconciliation of such payments;

- i) provide facility to generate MIS reports for NLDC, RLDCs and SLDCs; and
- j) undertake any other function, as assigned by the Central Commission from time to time.

2. Scope

- 2.1.** All the applications under Regulation 6 of the Principal Regulations including standing clearance related to the STOA (bilateral or collective transaction) in the inter-State transmission system shall be made through the NOAR.
- 2.2.** The approvals of applications made under Regulation 6 of Principal Regulations including standing clearance covered under Clause 2.1 of this Procedure, shall be made through the NOAR.
- 2.3.** Any documents required under the Principal Regulations and Detailed Procedures thereof shall be obtained through NOAR.
- 2.4.** The procedure shall apply to all the applications including standing clearance made for scheduling of bilateral and collective transactions by availing short term open access at inter-State level.

3. Definition

- 3.1.** 'Host RLDC' means the RLDC under whose jurisdiction the scheduling and accounting of the regional entity falls and RLDC of the region in which the intra-State entity is located
- 3.2.** 'Host SLDC' for an entity means the SLDC under whose jurisdiction the scheduling and accounting of the intra-State entity falls;
- 3.3.** "short-term customer" means a person as defined under Regulation 2(1)(n-b) of the Principal Regulations;
- 3.4.** "standing clearance" shall mean and include 'concurrence', 'no objection' and 'prior standing clearance' referred to in the Principal regulations.
- 3.5** Words and expressions used in these regulations and not defined herein but defined in the Act or any other regulations notified by the Commission shall have the same meaning assigned to them.

4. Functions of NLDC, RLDCs and SLDCs

- 4.1. NLDC:** NLDC shall be the nodal agency for implementation and operation of NOAR and facilitate smooth functioning of NOAR. NLDC shall:
 - a) incorporate the Total Transfer Capability (TTC), Reliability Margin (RM) and Available Transfer Capability (ATC) in NOAR;
 - b) provide access to RLDCs for interfacing the scheduling application with NOAR for exchange of information;

- c) provide access of NOAR to the Market Monitoring Cell (MMC) of CERC for the purpose of market monitoring;
- d) take all steps necessary to ensure cyber security compliance of NOAR in accordance with Cyber Security Policies and guidelines of the Government of India;
- e) put in place an appropriate disaster recovery mechanism for ensuring business continuity;
- f) implement a payment gateway to facilitate online payment of all charges related to STOA;
- g) facilitate processing of Collective transactions of Power Exchange(s) through the NOAR;
- h) incorporate the ISTS charges for the regional entities and update the operating charges for NLDC and RLDCs;
- i) register the inter-State trading licensees and Power Exchanges intending to avail inter-State short term open access through NOAR;
- j) update the List of RBI Holidays in the NOAR for the purpose of collective transactions;
- k) review operation of NOAR from time to time and suggest changes required, if any, to the Commission.

4.2. RLDC:

- 4.2.1** Host RLDC shall register short term customers which are regional entities, and intra-State entities of respective region;
- 4.2.2** The RLDC of the region where point of drawl of electricity is situated shall be the nodal agency for approval of bilateral transactions. The nodal RLDC shall:
 - a) process all bilateral STOA applications (except cross border transactions) through NOAR;
 - b) incorporate the Transactions (as per the acceptance accorded) in the Daily Schedules of the Regional Entities;
 - c) collect, account and disburse STOA charges through NOAR; and
 - d) update the List of RBI Holidays in the respective region in the NOAR.

4.3. SLDC: The host SLDC shall:

- a) process registrations of all short term customers which are intra-State entities through NOAR;
- b) give standing clearance through NOAR for the short term customers under its control area jurisdiction;

- c) update respective State Transmission Utility (STU) transmission charges and SLDC operating charges in NOAR;
- d) update the status of waiver of charges for intra-State transmission system and SLDC scheduling charges for short term customers which are intra-State entities in NOAR;
- e) incorporate the inter-State STOA transactions for the short term customers which are intra-State entities in the daily schedules issued by them;
- f) make available export and import TTC, RM and ATC of the respective state in NOAR, if determined by SLDC.

5. Registration for STOA

5.1. A short term customer shall be able to make an application for seeking standing clearance or applying for STOA transaction, both bilateral and collective, only after successful registration on the NOAR platform.

5.2. The process of registration shall be as under.

- a) Any short term customer which intends to avail Short Term Open Access in inter-State transmission system through Bilateral or Collective Transaction or both shall get registered in the NOAR by submitting the application as per Format-A and paying a registration fee of Rs.5000/- (Rupees Five Thousand only). The registration fee shall be paid through electronic payment gateway of NOAR.
- b) After successful submission of application and payment of registration fee, the applicant shall e-verify the filled-in application on the NOAR platform.
- c) The applicant shall set a username and password after completion of the above process. These credentials shall be used by the applicant for accessing NOAR platform for applying for standing clearance or STOA transaction.
- d) In case of a short term customer which is a regional entity, the application shall be processed by the host RLDC and for a short term customer which is an intra-State entity the application shall be processed by the host SLDC. In case of inter-State trading licensees and Power Exchanges, the application shall be processed by NLDC.
- e) After the receipt of application for registration, NLDC, RLDC, SLDC as the case may be, shall conduct a preliminary scrutiny to ensure application form is complete in all respect along with the necessary documents and applicable processing fees. In case of any discrepancy or requirement of any further information, the NLDC or the host RLDC or SLDC, as the case may be, shall communicate the applicant through NOAR for rectification of the same within 1 (one) working day of receipt of the application. In case the applicant does not respond to the requirements of rectification within 2 (two) working days to the NLDC or the host RLDC or SLDC, the registration request shall be rejected and reasons for such rejection

shall be communicated to the applicant through NOAR. The registration fees paid, shall stand forfeited.

f) Host RLDC shall register a short term customer which is regional entity within 7 (seven) working days of receipt of complete application for new applications and within 3 (three) working days for renewal of registration through NOAR, provided that the registration fees have been deposited and the application is complete in all respect and grant registration or otherwise.

g) Host SLDC shall process the application for registration of a short term customer which is intra-State entity within 5 (Five) working days of receipt of complete application for new applications and within 2 (two) working days for renewal of registration through NOAR, for completion of registration by Host RLDC, provided that the registration fees have been deposited and the application is complete in all respect and grant registration or otherwise.

h) Host RLDC shall register the short term customer which is intra-State entity within two (2) working days for new applications and within one (1) working day for renewal of registration through NOAR, after the receipt of inputs from the host SLDC.

i) NLDC shall register inter-State electricity trader and a power exchange, within 7 (seven) working days for new applicants and within 3 (three) working days for renewal of registration through NOAR, provided that the registration fees have been deposited and the application is complete in all respect and grant registration or otherwise.

j) The registration shall be valid for a period of 3 (three) years and may be renewed thereafter on payment of renewal charges of Rs.2000/- (Rupees Two Thousand only). The short term customer shall initiate the process of renewal of registration at least 1 (one) month in advance.

k) In case of any change in the information provided by the short term customer, it shall be incumbent upon the applicant to update the information in the NOAR.

l) In case of a change of a name of the short term customer already registered in NOAR, such entity shall inform, along with relevant documents from the appropriate authority such as Registrar of Companies or National Company Law Tribunal or any other Court, to the NLDC or the host RLDC, which shall upon verification of documents, update such change in its records and update the NOAR within 5 (five) working days. The concerned short term customer shall settle all outstanding financial liabilities, as the case may be.

m) The short term customer shall ensure that all details are correct and accurate, failing which, the registration may be cancelled or renewal may be denied by the host RLDC or SLDC, as the case may be, with reasons communicated through NOAR.

n) The Nodal Agency shall maintain a centralised database of registered short term customers based on registrations carried out by RLDCs and NLDC.

6. Standing Clearance

- 6.1.** The short term customer who has been successfully registered on NOAR shall apply through NOAR, to the host load despatch centre for the issuance of a 'standing clearance' for availing open access in inter-State transmission system in accordance with Regulation 8 of Principal Regulations.
- 6.2.** Prior to submitting the application for standing clearance, the short term customer shall confirm and update if required the contact details (phone number and email etc.) furnished at the time of registration.
- 6.3.** For intra-State entities, the consent of DISCOM, if any, shall be uploaded in the NOAR by SLDC or short term customer, as the case may be.
- 6.4.** For short term customer which is an intraState entity, the application for standing clearance shall be forwarded to the host SLDC for verification and approval who shall process the application for grant of standing clearance or refusal in accordance with Regulation 8 within 7 (seven) working days from the date of receipt of application for the new grid connected entity and within 3 (three) working days from the date of receipt of application for an existing gird connected entity.
- 6.5.** In case the host SLDC finds that the application for standing clearance is incomplete or defective in any respect, it shall communicate the same to the entity within 2 (two) working days from the date of receipt of such application.
- 6.6.** In cases where the host SLDC has communicated any deficiency or defect in the application, the date of receipt of application shall be considered as the date on which the application has been received duly completed after removing the deficiency or rectifying the defects, as the case may be and the period of 7 (seven) working days for the new grid connected entity and 3 (three) working days for an existing gird connected entity under Clause 6.4 of this Procedure shall be reckoned from such date.
- 6.7.** The issuance of standing clearance shall be communicated to the short term customer once the SLDC approves the application.
- 6.8.** In case the host SLDC fails to communicate issuance or refusal of standing clearance within the specified period of 3 (three) working days or 7 (seven) working days, as applicable, the standing clearance shall be deemed to have been granted.
- 6.9.** In case the application has been found to be in order but the host SLDC refuses to issue the standing clearance on the grounds in accordance with Regulation 8(1) of Principal Regulations then such refusal shall be communicated to the short term customer through NOAR along with reasons for such refusal.
- 6.10.** The host SLDC may withdraw the standing clearance or revise the quantum (MW) or period of the standing clearance issued in respect of any short term customer in case of transmission constraint or in the interest of grid security.
- 6.11.** Standing Clearance obtained by the short term customer from the State Load Despatch Centre can be used for collective transaction for day ahead on any Power Exchange(s)

and/or for bilateral intra-day transaction/contingency transaction in OTC market or on the Power Exchange market.

- 6.12** The short term customer to whom the standing clearance has been issued or deemed to have been issued, shall ensure that aggregate quantum in each time block of 15 minutes for all the bid(s) under any of the categories of short term bilateral and collective transactions in OTC market and/or Power Exchange(s) market shall not exceed the quantum of standing clearance or deemed standing clearance, as the case may be.
- 6.13** The list of debarred short term customers as per Regulation 8 of Principal Regulations shall be displayed on the NOAR platform.

7. Scheduling

- 7.1.** An application for scheduling of bilateral transaction through STOA in the inter-State transmission system shall be made through NOAR only by the short term customers registered in NOAR and having a valid standing clearance at least for the period of which an application is being made.
- 7.2.** For each application the sum of total quantum under long term, medium term, already approved STOA transactions and the STOA quantum applied shall be within the limit of the approved quantum as per standing clearance for the applied period, which shall be checked through NOAR.
- 7.3.** In case of any violation of the approved quantum as per standing clearance for the applied period, the same shall be electronically intimated to the concerned short term customer.

8. Cross Border transaction

Scheduling of cross border STOA transactions shall be done through NOAR in accordance with Principal Regulations and CERC (Cross Border Trade of Electricity) Regulations, 2019 as amended from time to time.

9. Treatment of transmission charges and losses

The transmission charges and losses in the ISTS for both bilateral and collective transactions shall be facilitated through NOAR in accordance with CERC (Sharing of Inter State Transmission Charges and Losses) Regulations, 2020 as amended from time to time.

10. Commercial Arrangements

10.1. Terms of Payment

- a) All payments associated with bilateral and collective transactions shall be made by the applicant electronically through the payment gateway of NOAR.
- b) No retrospective adjustments for short term open access rates shall be made for the already approved short term open access bilateral and collective transactions.

10.2. Operating Charges

Operating charges as payable to the NLDC or RLDC or SLDC, as the case may be, shall be processed through NOAR in accordance with the Principal Regulations and Procedures thereof.

10.3. Default in Payment

The list of persistent defaulters (more than three such events) shall be displayed on the NOAR platform.

10.4. Disbursement of Charges

Nodal agency shall disburse the transmission charges and operating charges as per extant Regulations, through NOAR.

11. Reporting and Management Information System (MIS)

NOAR shall have facility for MIS reports for the stakeholders and authorities as per STOA regulation and amendments thereof.

12. Miscellaneous

a) All costs, expenses, charges associated with the application, such as transaction cost associated with payment gateway etc. shall be borne by the short term customers.

b) The list of short term customers which are regional entities and the intra-State entities shall be displayed through NOAR.

c) It shall be the responsibility of all the short term customers which are registered in NOAR to maintain the confidentiality of the login credentials issued to them to prevent any possible misuse.

Application for registration (to be filled online in NOAR)

1. Applicant type: DISCOM / State/ IPP / Merchant/ CPP/ OA consumer/ Trader/ Power Exchange/ Others (please Specify).
 - For generating entity only: RE / Non RE
 - If RE mention type of RE: Wind power, Small Hydro power, Hydro, Bio power, Waste to Power, Solar power, etc.
2. Commissioning date: In case of generating station -- (provide document)
3. Applicant Name:
4. Postal Address:
5. Control area: SLDC/RLDC (as applicable)
6. Region: ER/NER/NR/SR/WR (as applicable)
7. State:
8. Type: Injecting/ drawee/ both /trader/power exchange (where-ever applicable)
9. Entity in which embedded: If yes, upload certificate from SLDC/STU.
10. Connectivity: Connected at STU / CTU level / both (upload connectivity diagram with voltage level)
11. COD certificate: In case of generating station (upload COD certificate copy)
12. POC zone:
13. Contact person: Name, mobile number and email id
14. GST number: upload GST registration copy
15. PAN and TAN number: upload PAN card copy, TAN registration copy
16. Bank account number: upload cancelled cheque or copy of passbook
17. Bank name:
18. Bank IFSC code :
19. Bank address:
20. Trading licensee details: upload trading license
21. Any other details as specified by the nodal agency: