

Uttar Pradesh Electricity Regulatory Commission

Notification No. UPERC/Secy/Regulation/419

Dated June 18, 2009

In exercise of powers conferred under section 181 of the Electricity Act, 2003 (No. 36 of 2003) and all other powers enabling in this behalf, and after previous publication, the Uttar Pradesh Electricity Regulatory Commission, hereby makes the following regulations to amend the Uttar Pradesh Electricity Regulatory Commission (Terms and Conditions for Open Access) Regulations, 2004 vide notification no. UPERC/Secy/Regulation/05-249 dated 7 June, 2005 (hereinafter referred to as “the principal regulations”), namely: -

1. Short Title and Commencement

- (i) These regulations shall be called the Uttar Pradesh Electricity Regulatory Commission (Terms and Conditions for Open Access) (First Amendment) Regulations, 2009.
- (ii) These regulations shall come into force from the date of their publication in the Official Gazette of the Uttar Pradesh Government.

2. The provisions of the principal regulations are amended as hereunder:

Amendment to Regulation 2- “Definitions”

- (i) The clause (d) shall be substituted by the following:

“Nodal agency” means a Nodal Agency, specified in this regulation, for arranging non-discriminatory open access to transmission or distribution system or both;

The Nodal Agency for long-term and short-term open access (in transmission or distribution system or both), shall be the State Transmission Utility (STU) and the State Load Despatch Centre (SLDC) respectively;

- (ii) The words “transmission or wheeling” in Clause (e) shall be substituted by the words “transmission and/or wheeling”.
- (iii) After clause (f), the following shall be inserted as hereunder:

- “(g) “Consumer” means any person who is supplied with electricity for his own use by a licensee or the Government or by any other person engaged in the business of supplying electricity to the public under this Act or any other law for the time being in force and includes any person whose premises are for the time being connected for the purpose of receiving electricity with the works of a licensee, the Government or such other person, as the case may be;
- (h) “Day” means a day starting at 00.00 hours and ending at 24.00 hours;
- (i) “Demand” means the demand of active power in MW and reactive power in MVAR of electricity;
- (j) “Energy Account” means energy account prepared by State Load Despatch Centre and shall include UI account;
- (k) “Intra-State Transmission System” means any system for transmission of electricity other than an inter-State Transmission System;
- (l) “Meter” means a device suitable for measuring, indicating and recording consumption of electricity or any other quantity related with electrical system and shall also include, wherever applicable, other equipment such as Current Transformer(CT), Voltage Transformer (VT) or Capacitor Voltage Transformer (CVT) necessary for such purpose;
- (m) “Month” means a calendar month as per the British calendar;
- (n) “State Load Despatch Centre(SLDC)” means a Centre established by the State Government under sub-section (1) of section 31 of the Act or by order of the Commission;
- (o) “State Power Committee (SPC)” means a Committee constituted under the provisions of section 2.14 of UPEGC;
- (p) “State Transmission Utility (STU)” means the Government Company specified by the State Government under sub-section (1) of section 39 of the Act;
- (q) “Unit” means an Office notified by the Nodal Agencies, licensees and generating companies for the purpose of carrying out the provisions made in these regulations ;and”

(iv) Clause (g) of shall be read as clause (r).

Amendment to Regulation 4- "Criteria for allowing open access"

- (i) The words "in any code/ procedure for" shall be inserted after the words "Grid Code for transmission system or" and before "distribution system or both;" in the first sentence of clause (i).
- (ii) The second proviso to Clause (i) shall be substituted by the following:
"Provided that the availability of capacity, consequent to expiry of term of existing long-term open access customer, shall be considered for allotment to other customers only if balance period is less than 12 months and an application for renewal /extension has not been received."

Amendment to Regulation 5- "Eligibility and Conditions of open access"

- (i) The figure "14(2)" of first proviso of clause (1) shall be substituted by the figure "15(2)".
- (ii) The words "an applicant" in first line of second proviso to clause (1) shall be substituted by the words "a customer".
- (iii) The figures "14(2), 14(3)" in first proviso to clause (2) shall be substituted by the figures "15(2), 15(3)".
- (iv) The words "an applicant" in first line of second proviso to clause (2) shall be substituted by the words "a customer".
- (v) The words "transmission charge and surcharge" in second proviso to clause (2) shall be substituted by the words "wheeling charge, surcharge and additional surcharge".
- (vi) After clause (2), clause (3) shall be inserted as below:
"A distribution licensee, supplying power to a consumer situated in the area of any other distribution licensee in the State, must ensure to supply such power from surplus available with it after universal supply obligation is met in its own area of supply under Section 43 of the Act. In such case, distribution licensee shall furnish an affidavit to Nodal Agency(s) in support of compliance in these regulations.
Tariff of such power may be based on marginal cost which shall be average pooled purchase cost of additional power of distribution licensee including UI."

Amendment to Regulation 7- "Provisions for generating companies"

The words “on payment of transmission charges and wheeling charges as may be determined by the Commission” shall be added at the end of Clause (2).

Amendment to Regulation 8- “Categorisation of Open Access Customers”

(i) “(a)” in the beginning of clause (ii) shall be omitted.

(ii) The words “of one year or less and up to one day” in clause (ii) shall be substituted by the words “up to one year”.

Amendment to Regulation 9- “Allotment Priority”

Existing clause (1), (2) and (3) shall be replaced by the following:

“(1) Long-term open access customers shall have the priority over the short-term open access customers.

Provided that applications for long-term access shall be considered for processing as per Schedule-A to these Regulations.

(2) Allotment priority within short-term open access customers shall be as per clause 3.2 of Schedule-B to these Regulations.”

Amendment to Regulation 11- “Procedure for Long-term Open Access customer”

Existing Regulation 11 shall be substituted by the following:

“Procedure for grant of Long term Open Access

The detailed procedure for grant of long term open access shall be in accordance with Schedule-A ‘Procedure for Long-Term Open Access’ provided with these regulations.”

Amendment to Regulation 12- “Procedure for Short-term open access Customer”

Existing Regulation 12 shall be substituted by the following:

“Procedure for grant of Short term Open Access

The detailed procedure for grant of short term open access shall be in accordance with Schedule-B ‘Procedure for Short-Term Open Access’ provided with these regulations.”

Amendment to Regulation 13- “Open Access Agreement”

Existing clause (1), (2) and (3) shall be substituted by the following:

“An open access customer shall enter into commercial agreements with the transmission and distribution licensees, as the case may be, for use of their transmission and/or distribution systems.

Provided that the agreement for a long-term open access customer shall be as prescribed under Schedule-A;

Provided also that formats executed under Schedule-B shall constitute an agreement between the parties to the short-term open access.”

Amendment to Regulation 14- “Non-Utilisation of open access capacity”

(i) Clause (1) shall be substituted by the following:

“In case a short-term customer is unable to utilize, full or substantial part of the capacity allotted to him, he shall inform the State Load Despatch Centre along with reasons for his inability to utilize the capacity and may surrender the capacity by serving a notice in the manner laid down in Schedule-B;”

(ii) Clause (2) shall be substituted by the following:

“The State Load Despatch Centre may reduce or cancel the allotted capacity of a short-term customer, when such a customer frequently under-utilises the capacity allotted to him, in the manner laid down in Schedule-B;”

(iii) Clause (8) shall be omitted.

Amendment to Regulation 15- “Charges for open access”

Existing clauses in the regulations shall be substituted by the following:

“(1) Transmission charges and Wheeling charges

The Transmission charges and/or Wheeling charges for use of the transmission system of a transmission licensee and/or the distribution system of a distribution licensee shall be regulated as under:

(a) Transmission charges and wheeling charges payable by a (long-term or short-term) open access customer shall be determined by the Commission in terms of the regulations framed by the Commission for determination of tariff for transmission and distribution licensee respectively.

Provided that where a transmission system and/or a distribution system has been constructed for exclusive use of an open access customer, the

transmission charges and/or wheeling charges for whole of the system including such additional system shall be paid by open access customer.

Provided also that the average capacity, for transmission system shall be sum of generating capacities connected to the transmission system and contracted capacities of other transactions handled by the system of the licensee while in case of distribution system, it shall be sum of import of power at each interface point of exchange of power at electrical boundary of distribution licensee and generation from captive power plants, co-generation plants and plants generating electricity from renewable sources of energy located in the area of such license.

- (b) In case intra state transmission system and/or distribution system is used by an open access customer in addition to inter-state transmission system, transmission charges and wheeling charges shall be payable for use of intra-state transmission and/or distribution system in addition to payment of transmission charges for inter-state transmission.
- (c) When reservation of capacity has been done consequent to bidding, the rate shall be taken as decided by bidding.

(2) Surcharge

- (a) In addition to transmission charges and wheeling charges, a consumer availing open access to the transmission system and/or distribution system not being a captive consumer shall pay a surcharge in terms of the regulations framed by the Commission for determination of tariff for transmission and distribution licensee. Surcharge shall be determined by the Commission separately in the concerned tariff order;
- (b) The consumers availing exclusively interstate transmission system shall pay such amount of surcharge as determined by the Commission by regulations in this regard.

(3) Additional Surcharge

A consumer availing open access and receiving supply of electricity from a person other than the distribution licensee of his area of supply shall pay to the distribution licensee an additional surcharge, as determined by the Commission in terms of the regulations framed by the Commission for

determination of tariff for distribution licensee, in addition to wheeling charges and surcharge, to meet the fixed cost of such distribution licensee arising out of his obligation to supply as provided under sub-section (4) of section 42 of the Act.”

Amendment to Regulation 16- “Metering”

- (i) The word “provide” in clause (1) shall be substituted by the words “be provided with”.
- (ii) Clause (2) shall be substituted by the following:

“The open access customer shall be provided with main meters and check meters, as may be specified by the state transmission utility or Uttar Pradesh Electricity Grid Code for such customer based on voltage, point and period of supply and tariff category;”
- (iii) Clause (3) shall be substituted by the following:

“The Generating company or a licensee contracting to effect supply under open access shall ensure that main meters and check meters at interconnecting points have been provided. In case of inter state transmission, it shall establish communication facility with Northern Regional/State Load Despatch Centre and provide such information and in such format as may be specified by Regional/State Load Despatch Centre, on real time basis as well as periodically;”
- (iv) The sentence “The above shall be undertaken as per the relevant provisions of the state grid code.” in clause (5) shall be omitted.
- (v) The Clause (6) shall be substituted by the following:

“Reading of main and check meters shall be taken periodically at appointed day and hour jointly by authorized officer of STU jointly with the representative of open access customer as specified in the agreement, if present. Meter reading shall be immediately communicated to State Load Despatch Centre, consumer, State Transmission Utility, any other transmission licensee, distribution licensee and Generating Company/trader, as the case may be, within 12 hours. Check meter readings shall be considered when main meters are found to be defective or stopped or found to have difference in recording beyond a specified percentage as per relevant BIS.”
- (vi) Clause (7) shall be omitted.

(vii) Clause (9) shall be omitted.

Amendment to Regulation 17- “Communicating facility”

(i) Clause (1) shall be substituted by the following:

“An open access customer and any person associated therewith shall provide for or bear the cost of equipments for communication with transmission and/or distribution sub-station, as the case may be, and State Load Despatch Centre for, among others, communicating meters readings, scheduling and receiving instructions or giving any information.”

(ii) The word “have” in clause (2) shall be substituted by the word “maintain”.

Amendment to Regulation 18- “Scheduling and system operation charges”

Existing Regulation shall be substituted by the following:

“Fees and Charges payable to State load despatch centre

Fees and Charges payable to State Load Despatch Centre shall be as determined by the Commission under UPERC (Procedure, terms and conditions for payment of fee and charges to State Load Despatch Centre and other related provisions) Regulations, 2004 and amendment thereof.”

Amendment to Regulation 19- “Unscheduled interchange pricing”

“The words “by the Commission by an order or a regulation” shall be inserted at the end of Regulation.”

Amendment to Regulation 20- “Reactive Energy Charges”

Existing Regulation shall be substituted by the following:

“The payment for the reactive energy charges for the open access customers shall be as provided in the U.P Electricity Grid Code.”

Amendment to Regulation 21- “Energy Losses”

The sentence “In absence of such determination, the losses shall be specified by the Commission in concerned tariff order” shall be inserted at the end of Regulation.

Amendment to Regulation 22- “Other Commercial Conditions”

Existing Regulation shall be substituted by the following:

“Other commercial conditions in respect to long or short term open access customer shall be as provided under Schedule-A and Schedule-B of these regulations.”

Amendment to Regulation 24- “Collection and Disbursement of charges”

Existing Regulation shall be substituted by the following:

“Collection and disbursement of charges in respect to long-term or short-term open access customer shall be as provided under Schedule-A and Schedule-B of these regulations.”

Amendment to Regulation 26- “Curtailed Priority”

Existing Regulation shall be substituted by the following:

“When because of constraints or otherwise, it becomes necessary to curtail the open access service of the customers, procedure for curtailment of intra state open access customers as specified in Schedule-A and Schedule-B to these regulations shall be followed.”

Amendment to Regulation 27- “Information system”

The words “in all cases and STU in case of long-term customers” in the Regulation shall be inserted between the “The State Load Despatch Centre” and “shall post following information.

Amendment to Regulation 28- “Redressal Mechanism”

- (i) The words “State Load Despatch Centre” in clause (1) shall be substituted by the words “State Power Committee under clause 2.14.9 of UPEGC”.
- (ii) The word “SLDC” in clause (2) shall be substituted by the words “SPC”.

By Order of the Commission

Secretary

Schedule-A

Procedure for Long-Term Open Access

1. OUTLINE

- 1.1 This procedure shall apply to the application made for long-term open access for use of intra-State transmission system and/or distribution system with associated facilities for transmission and/or wheeling of electricity, with or without inter-State transmission system.

Provided that procedure made hereunder shall be in addition to and not in derogation to open access regulations or any procedure made thereunder by the Central Electricity Regulatory Commission for use of inter-State transmission system.

- 1.2 It aims at easy and pragmatic disposal of application made for long-term access. However, some problems may still be experienced. This procedure shall be reviewed or revised by the Commission by an order suo-moto or on an application moved by the Nodal Agency citing the reasons and/or cases requiring such consideration.

- 1.3 All correspondences shall be addressed to the following Officer of State Transmission Utility (STU):

Chief Engineer (Transmission),

11th Floor, Shakiti Bhawan Extension,

14-Ashok Marg,

Lucknow-226 001

Tel: *(STU to specify on its website)*

Fax: *(STU to specify on its website)*

E-mail: *(STU to specify on its website)*

2. GRANT OF OPEN ACCESS

2.1 SUBMISSION OF APPLICATION

2.1.1 The long-term open access customer (hereinafter referred to as “customer”) intending to avail long-term access shall make an application on format [*FORMAT-LT1*] with STU in a cover marked “Application for Long-Term Open Access”.

2.1.2 In case electricity system strengthening is involved, the customer shall apply for long-term access 2 to 4 years in advance (based on nature and quantum of work involved). If, system strengthening is not required, an application can be made by the customer one year in advance.

Note: ‘System strengthening’ shall mean to include augmentation or renovation or modernisation or expansion of any equipment or sub station and/or electric line and construction of new substation and/or electric line.

2.1.3 In case in the opinion of the customer, system strengthening is not involved, he shall normally request STU for necessary actions or studies, however, such request is not mandatory and STU may take necessary action even in absence of such request.

2.1.4 The application shall be accompanied by non-refundable application fee of Rs. 1,50,000/- in case system strengthening is involved otherwise Rs. 50,000/- (or as determined by the Commission from time to time by an order) in cash or by demand draft in favour of the officer so notified by STU payable at Lucknow.

2.1.5 STU shall acknowledge receipt of the application by indicating time and date on an “*ACKNOWLEDGEMENT*” to the customer.

2.1.6 The application may be submitted by post or in person.

2.2 PROCESSING OF APPLICATION

2.2.1 The application shall be taken up for consideration immediately but not later than seven days by STU on first come first served basis and it shall seek system feasibility reports from transmission licensee and/or distribution licensee involved

in transaction for permitting open access. STU shall also make endorsement of the same to SLDC, if considered necessary.

2.2.2 The transmission licensee and/or distribution licensee, as the case may be, shall carry out system feasibility study and respond to STU within thirty days. The licensee's reports shall invariably include site drawings, schedule of site responsibility and any other information necessary for consideration of STU. The feasibility reports may suggest that:

- (a) system strengthening is not required. In such case STU shall assess the capacity available and communicate provisional decision to SLDC with copy to transmission licensee and/or distribution licensee, as the case may be, and thereafter follow provisions of sub-clause 2.3.1.
- (b) there is a constraint in electricity system and system strengthening is necessary. The licensee shall submit adequate data and drawings in support of suggestion of system strengthening for consideration of STU.

2.2.3 STU shall assess requirement of system strengthening, under sub-clause 2.2.2(b), and on being satisfied, communicate decision to the customer within fifteen days requiring him to pay fee difference of fee for system studies, if not paid earlier under sub-clause 2.1.4. The fee shall be paid within fifteen days failing which the application shall be deemed rejected at the discretion of STU. STU may also cause the customer to furnish any additional information required for system studies and thereafter follow provisions of sub-clause 2.3.2.

If the opinion is that system strengthening is not required, STU may seek clarification or additional information from such licensee and/or the customer and reassess the requirement of system strengthening. On final decision that system strengthening is not required, the matter shall be decided under sub-clause 2.2.2(a).

2.3 CONFIRMATION OF RESERVATION OF CAPACITY

2.3.1 Where electricity system strengthening is not required

- (i) STU shall communicate provisional decision, under sub-clause 2.2.2(a) to SLDC within seven days along with the customer's application and licensee's report(s).
- (ii) STU, in consultation with SLDC, shall check transaction for congestion of any element (electric line and transformer) of transmission and/or distribution system involved in open access transaction.
- (iii) STU shall confirm grant of open access on format [*FORMAT-LT2*] within sixty days of receipt of the application with direction to the customer to enter into Bulk Power Transmission Agreement (BPTA) and/or Bulk Power Wheeling Agreement (BPWA) with concerned transmission licensee and/or distribution licensee within thirty days.
- (iv) STU shall not permit open access if transaction may cause congestion of any element of involved transmission and/or distribution system.
- (v) In the event of an offer becomes invalid for any reason or rejected by the customer, STU shall not be required to consider any further application from the same customer within twelve months from the date of issue of *FORMAT-LT2* unless new application substantially different from the original application is made.

2.3.2 Where electricity system strengthening is involved

- (i) STU shall carry out studies to assess requirement of system strengthening and may require the customer, any other transmission licensee and/or distribution licensee to furnish additional information/study/data for further studies within fifteen days. They shall submit information to STU within a month.

Based on above information, STU shall prepare preliminary report of system study covering all aspects of UPEGC and communicate the same to all concerned within next one month.

Provided that if there are more than one application for long-term access, STU shall undertake joint studies and prepare one consolidated preliminary report.

STU shall invariably send a copy to SLDC, transmission licensees and/or distribution licensees, as the case may be.

- (ii) The preliminary report shall be communicated along with specific information on *FORMAT- LT2* to all concerned not later than one hundred twenty days from the date of receipt of application and such communication shall be deemed to be grant of open access. However in case of more than one application, the condition of one hundred twenty days shall not apply and STU shall fix such date which shall not be more than one hundred fifty days.

The customer shall enter into Bulk Power Transmission Agreement (BPTA) and/or Bulk Power Wheeling Agreement (BPWA) with concerned transmission licensee and/or distribution licensee within sixty days and the copy of such agreements shall be sent to SPC and SLDC..

- (iii) Notwithstanding anything contained in sub-clause 2.3.2(i), any other transmission licensee and/or distribution licensee shall also be required by STU to identify system strengthening requirements at their end and communicate the same to STU with relevant details in respect to inter-connection, cost estimates, construction milestones/schedule and site responsibility schedule, drawings and any other information as may be necessary for consideration of STU within forty five days from the date of receipt of preliminary report of system study under sub-clause 2.3.2(i).

- (iv) The requirement of system strengthening brought out in preliminary report shall be integrated with the transmission plan (made as per Section 39 of the Act read with the provisions of UPEGC) prepared by STU. The plan so prepared shall be approved by CEA.

- (v) Based on approved transmission plan, STU shall finalise strengthening requirements in transmission and distribution systems, in consultation with

SLDC and concerned transmission and/or distribution licensees or SPC as the need be.

System strengthening requirements should clearly identify expansion, augmentation, renovation, modernisation of existing sub-stations and/or electric lines and/or construction of new substations and electric lines. It also includes decision regarding who will construct, own, maintain and operate different parts of the system strengthening scheme.

The final report shall be communicated to all concerned to take up the work of the system strengthening as per the schedules finalized or decisions taken therein.

- (vi) After final report is prepared, the customer, STU, any other transmission licensee and distribution licensee or any other person associated with transaction shall comply with such instructions, obligations, duties, time schedules or any other matter as may be specified by STU in final report.

Provided that STU has not changed system strengthening requirements on the basis of any subsequent study carried out on its own motion or on an application of any other customer, any other transmission licensee and distribution licensee and in such event, the changes carried out by STU shall be binding on the customer, any other transmission licensee and distribution licensee or any other person associated with transaction.

3. Bulk Power Transmission Agreement (BPTA) and/or Bulk Power Wheeling Agreement (BPWA)

- 3.1 Bulk Power Transmission Agreement (BPTA) and/or Bulk Power Wheeling Agreement (BPWA) shall be signed by the customer with STU, any other transmission licensee and distribution licensee, as the case be, agreeing therein to pay transmission and wheeling charges for use of existing transmission and/or distribution system. These agreements shall be signed within time communicated to the customer under sub-clause 2.3.1(iii) or under sub-clause 2.3.2(ii).

3.2 A supplementary BPTA and/or BPWA to the principal agreements signed under clause 3.1 shall also be signed by the customer with STU, any other transmission licensees and distribution licensees, as the case be, agreeing therein to pay additional transmission and wheeling charges for use of additional transmission and/or distribution system created due to system strengthening. These agreements shall be signed within period specified by STU under sub-clause 2.3.2(vi).

3.3 At the instance of STU, agreements shall include provisions in respect to :

- (a) requirement of protection system, metering, operational and safety criteria, data and communication system;
- (b) conditions of interconnection/connectivity, technical requirements thereof;
- (c) relevant drawings covering all aspects in relation to (a) and (b) above;
- (d) 'Site Responsibility Schedule' in relation to ownership, control, operation and maintenance of plant and apparatus and safety of persons;
- (e) procedure for site access, site operational activities and maintenance standards for equipment of concerned transmission licensee and/or distribution licensee and/or customer's premises;
- (f) premature termination of agreement and its consequences on the contracting parties;
- (g) compliance with the provisions of U.P. Electricity Grid Code, Indian Electricity Grid Code, regulations/norms/standards/codes specified by CEA/UPERC or any provision of planning criteria/ any covenants/deeds/regulations by which STU/Transmission licensee / distribution licensee are bound;
- (h) details of system strengthening requirements including inter-connection, approximate cost estimates, construction and commissioning milestones/schedule, schedule of commissioning and commercial operationalisation;
- (i) provisions for payment security, payment, rebate and surcharge as per UPERC (Terms and condition of transmission tariff) Regulations and UPERC (Terms and condition of distribution tariff) Regulations and orders of the Commission made thereunder;
- (j) Any other relevant necessary information.

3.4 For execution of work where electricity system strengthening is involved, the parties should note the following:

- (i) System strengthening work shall be taken up after signing of BPTA and/or BPWA under clause 3.1 and 3.2.
- (ii) The customer and concerned licensees shall furnish progress of system strengthening works on quarterly basis to each other with a copy to STU.
- (iii) The customer and concerned licensees shall inform, in writing, at least ninety days ahead of schedule, commercial operation date of additional systems of their part to STU with a copy to concerned/affected persons.
- (iv) Based on information received under sub-clause 3.4(iii), STU shall confirm the customer and concerned licensees at least sixty days ahead of scheduled date of commencement of long-term transaction and directed the customer to:
 - (a) establish adequate payment security within thirty days; and
 - (b) submit a request for scheduling of transaction to SLDC within thirty days.

3.5 Whenever any equipment and/or drawing are proposed to be changed, the customer or licensee shall intimate necessary changes to STU and all other concerned. When changes are implemented, revised single line diagram shall be circulated by the customer or licensee to STU and all concerned.

4. SCHEDULING AND REVISION OF SCHEDULES

4.1 Open access transaction shall be carried out under the provisions of UPERC Order dated 24/25.9.2007 passed in matter of Availability Based Tariff and any other order passed from time to time, read with U.P. Electricity Grid Code, Indian Electricity Grid Code, UPERC (Terms and Conditions of Generation tariff) Regulations and any other relevant regulation/order/code, as the case may be, and

as amended and applicable from time to time. SLDC shall make available above mentioned orders, codes, and regulations on its website.

“Provided that customer, having premises in area of a distribution licensee, contracts for supply of electricity from such distribution licensee in addition to supplies from other source; energy accounting of electricity supplied from other source shall be carried out first and electricity supplied from such distribution licensee later. In case other source is more than one, the source that comes into open access transactions first, in chronological order of dates of approval of nodal agency , shall be booked for energy accounting first and thereafter subsequent sources shall be taken up until all are exhausted and supply from distribution licensee shall be at last.”

5. COMMERCIAL CONDITIONS

5.1 SLDC shall issue an energy account, statement of UI and corresponding UI charges and reactive energy and its charges, on the basis of data received from ABT meters along with data relating to declared capability and schedules etc., in accordance with the provisions of UPERC Order dated 24/25.9.2007 (the ABT Order) passed in matter of Availability Based Tariff and as amended from time to time.

5.2 Energy account prepared by SLDC shall be used for billing purposes.

5.3 The customer shall pay a fee to SLDC as specified in UPERC (Procedure, terms and conditions for payment of fee & charges to State Load Despatch Centre and other related provisions) Regulations, 2004 and amendment thereof.

5.4 The customer shall make payments in the following manner:

(i) STU, any other transmission licensee and/or distribution licensee, as the case be, shall prepare a bill on monthly basis as per energy account issued by SLDC on the basis of transmission charges, wheeling charges determined by the

Commission from time to time. Surcharge and additional surcharge, if any, shall also be recovered through such bill.

- (ii) The customer shall pay charges directly to STU, any other transmission licensee and/or distribution licensee, as the case be, within time provided in BPTA and/or BPWA or in relevant order of the Commission.
- (iii) The payment shall be made by mode agreed in BPTA and/or BPWA.
- (iv) The SLDC charges shall be recovered from the customer through bill of transmission charges. STU shall reimburse the same to SLDC on monthly basis.

5.5 Based on energy account, the customer shall make payments of Unscheduled Interchange (UI) Charges as provided under ABT Order and at rates of UI specified by the Central Electricity Regulatory Commission.

However, in case of captive users and the customer other than a distribution licensee, the following provision shall apply:

- (a) For Captive generating plant supplying electricity to its captive user connected or not connected with grid and a consumer, such captive user or a consumer shall ensure to draw power as per schedule during each 15-minute time block. The drawal more than schedule shall be considered as 'back up supply' ('back up charges' shall be constituted accordingly) to such captive generating plant or its captive user or consumer from distribution licensee of his area. Such overdrawal shall be charged at frequency linked rate 25% higher than UI rate specified by CERC from time to time.
- (b) Above charges shall be without prejudice to penalty which may be imposed by the Commission, for non-compliance of the provision of the Act, regulation or code or order made there under, on recommendation of SLDC.
- (c) The billing of the 'back up charges', under sub-para (a) above, shall be carried out with the billing of UI charges and paid within ten days.

5.6 Reactive Energy Charges associated with transaction shall be paid as per the provision of U.P. Electricity Grid Code or ABT Order or otherwise specified by the Commission by an Order.

5.7 Non-payment of any charge or sum of money payable by the customer under the Regulations shall be considered non-compliance of the Regulations and Section 56 of the Act, the generating company or STU or any other transmission licensee or a distribution licensee may disconnect supply after giving customer an advance notice of fifteen days without prejudice to his right to recover such charges by suit.

Provided that non-payment or delayed payment of UI bill shall be considered as default on part of customer and for such continued defaults, SLDC may bring a case before the Commission for non-compliance of the Regulations under Section 142 of the Electricity Act, 2003.

6. METERING

6.1 Metering arrangements shall be guided by the Regulation 16.

6.2 All other matters which are not covered in Regulation 16 regarding type, standards, ownership, location, accuracy class, installation, operation, testing and maintenance, access, sealing, safety, meter reading and recording, meter failure or discrepancies, anti tampering features, quality assurance, calibration and periodical testing of meters, additional meters and adoption of new technologies etc. shall be governed by the Central Electricity Authority (Installation and Operation of Meters) Regulations, 2006, U.P. Electricity Grid Code and amendments thereof.

7. ENERGY LOSS

7.1 Energy loss, estimated by SLDC for State transmission and distribution systems, shall be apportioned for all transactions (long-term and short-term transactions). Till such estimation is made by SLDC, transmission and wheeling losses shall be as specified by the Commission for determination of tariff.

7.2 Energy loss shall be accounted for by providing a differential between schedules at the points of supply and drawal of electricity of each customer interacting with transmission and/or distribution system. While allocating losses, compensation for less drawal shall be made.

Thus net schedule at the point of drawal shall be supply schedule minus energy loss estimated for each customer.

8. TRANSMISSION AND DISTRIBUTION SYSTEM CONSTRAINTS

8.1 When for the reason of constraints or to maintain grid security, it becomes necessary to curtail power flow on transmission and/or distribution corridor, the transaction already reserved/scheduled may be curtailed by SLDC, if in its opinion such curtailment is likely to relieve transmission and/or distribution constraint or is likely to improve grid security.

8.2 In case of curtailment becoming necessary as result of deviation by the customer from final despatch and drawal schedule intimated to SLDC, the use of such intra-State system shall be curtailed first, to the full extent of such deviation, following which the principle specified in following clause 8.3 shall apply.

8.3 When because of transmission and/or distribution systems constraint or otherwise, it becomes necessary to curtail the transmission and/or distribution services, curtailment shall be affected in the following order:

- (i) Any consumer permitted by the Regulations other than covered under sub-clause 8.3(ii) to 8.3(vii).
- (ii) Other captive power plant
- (iii) Other generating company
- (iv) Other distribution licensee
- (v) Existing captive power plant
- (vi) Existing generating company
- (vii) Existing distribution licensee

“Existing” means that existing prior to the date of publication of UPERC (Terms and Conditions for Open Access) Regulations, 2004 in Official Gazette on 7th June'2005.

- 8.4 Notwithstanding the provisions of the Regulations, SLDC may, in cases of emergency and in order to maintain system security, follow such other principles of curtailment of use as it considers appropriate.
- 8.5 In case of curtailment of capacity by SLDC, transmission charges and/or wheeling charges payable shall remain unaffected.
- 8.6 In case of a force majeure, as determined and notified by SLDC, any schedule transaction may be curtailed or suspended at sole discretion of SLDC and its decision shall be final and binding, and under such event, transmission charge and/or wheeling charge, payable by any user of transmission and/or distribution system, shall remain unaffected.

9. GENERAL

- 9.1 STU shall designate an officer as 'Nodal Officer' who shall make correspondence in the matter of open access and be responsible for processing and arranging long-term access. A public notice to above effect shall be made in newspapers and kept on web-site within thirty days of issue of these regulations under intimation to the Commission.
- 9.2 Any line or transformer or substation involved in an open access transaction shall be exempted from load shedding. SLDC shall be responsible to make proper arrangements in coordination with transmission/distribution licensee ensuring that the customer remains unaffected in the event of load shedding.
- 9.3 STU shall maintain up-to-date records of customers, long-term transactions and any other relevant information/data and other decisions taken by it on its web-site and keep the Commission informed.

- 9.4 STU may modify formats specified under this procedure as the need be under intimation to the Commission. These formats shall also be kept on web-site.
- 9.5 STU, SLDC, any other transmission licensee, distribution licensee, generating company (generating station, captive generating plant, non-conventional sources of energy) or any other person supplying electricity within the State, trader and open access consumer shall comply with the Electricity Act, 03 and the following orders, regulations and codes as amended from time to time and as applicable:
- (a) U.P.Electricity Grid Code;
 - (b) UPERC order dated 24/25.9.2007 passed in matter of Availability Based Tariff and any other order;
 - (c) UPERC (Procedure, terms and conditions for payment of fee & charges to State Load Despatch Center and other related provisions) Regulations;
 - (d) UPERC (Terms & Conditions of Generation tariff) Regulations;
 - (e) UPERC (Terms and Conditions for Supply of Power and Fixation of Tariff for sale of power from Captive Generating Plants, Co-generation, Renewable Sources of Energy and Other Non-Conventional Sources of Energy based Plants to a Distribution Licensee) Regulations;
 - (f) UPERC (Terms and Conditions for Determination of Transmission Tariff) Regulations;
 - (g) UPERC (Terms and Conditions for Determination of Distribution Tariff) Regulations;
 - (h) UPERC (General Conditions of Transmission Licence) Regulations;
 - (i) UPERC (General Conditions for Distribution Licence) Regulations;
 - (j) UPERC (Procedure, Terms & Conditions for grant of Trading Licence for Intrastate Electricity Trader and other related provisions) Regulations;
 - (k) Indian Electricity Grid Code;
 - (l) Any other relevant order or regulation or code.
- 9.6 The customer shall keep STU and SLDC indemnified at all times and shall undertake to indemnify, defend and keep STU and SLDC 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 open access transaction.

9.7 All complaints regarding unfair practices, delays, discrimination, lack of information, supply of wrong information or any other matter related to open access in intra-State transmission shall be directed to the Member Secretary, State Power Committee. The Member Secretary, SPC shall investigate and endeavour to resolve the grievance. The Member Secretary, SPC shall forward copy of its decision to the Commission. In case the Member Secretary, SPC is unable to resolve the matter, it shall be reported to the Commission for a decision.

9.8 An application involving inter-State transaction shall be governed by the regulations issued by the Central Electricity Regulatory Commission.

FORMAT- LT1

APPLICATION FOR GRANT OF LONG-TERM OPEN ACCESS
(to be submitted by the customer to STU)

To: Chief Engineer (Transmission)
Shakti Bhawan, Lucknow

1	Customer Application No.	< self generated by customer >	Date	
2	Customer Name			
3	Nature of Customer*	< seller/buyer/captive user/trader (on behalf of seller/buyer/captive user) >		
4	Trading License No. & Type	< if trader >	Valid up to	

<* In terms of power transfer>

5	Period of Open Access Sought for					
6	Proposed Date/Month of Commencement of Open Access					
7	Details of Proposed Open Access					
		Date		Hours	Capacity	
		From	To	From	To	MW*

< MW* at point of injection >

8	Electricity System Strengthening is Involved (Yes/No)	< refer sub-clause 2.1.2/2.1.3 of procedure >
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General Information

9	Registered Address	< if registered as per Companies Act 1956 >
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10	Authorised Person(s)				
	(a) Prime Contact Details for the Purpose of Correspondences				
	Name				
	Designation				
	Phone	(Off)	(Res)		
	Mobile	Fax			
	E-Mail				
	(b) Alternate Contact Details				
	Name				
	Designation				
	Phone	(Off)	(Res)		
	Mobile	Fax			
	E-Mail				

11	Details of Non-Refundable Application Fee Made			
	Bank Details	Instrument Details		Amount(Rs.)
		Type(Draft/Cash)	Instrument No.	Date

12	Details of PPA/PSA/MoU					
	Name & Address of Parties	Date of	Validity Period		Capacity	
	Seller	Buyer	PPA/PSA/MoU	Commencement	Expiry	MW*

< MW* at point of injection >

Technical Information of Injecting and Drawee Entity to Grid

13	Involvement of Grid System during Transaction	Injecting Entity	Drawee Entity
	(a) Intra-State Transmission Network (Yes/No)		
	(b) Intra-State Distribution Network (Yes/No)		
	(c) Inter-State Transmission Network (Yes/No)	<i>< if any ></i>	

14	Details of Injecting Entity	
	(a)(1) Name	
	(2) Status (in terms of Ownership)	<i><State Utility/CPP/IPP/ Discom/Consumer/specify, if any other></i>
	(3) Whether Existing or New Entity	
	(4) Utility in which it is Embedded	
	(5) Whether Existing Long-term Customer	<i>< yes/no ></i>
	(6) Open Access Requirement of Entity	
	(i) Existing Capacity in Use (Contracted)	<i>< if any ></i>
	(ii) Open Access Capacity Sought for	
	(iii) Total Capacity (i+ii) (MW)	
	(7) Point of Grid Connectivity	<i>< existing/proposed ></i>
	(i) Name of Sub-station	
	(ii) Voltage level of Injection	
	(iii) Name of Licensee (Owner of S/S)	
	(8) ABT Interface Metering*	
	(i) Type	
	(ii) Make	
	(iii) Rating	
	(b) Other relevant information to support processing of application	
	(c) Other information as notified by STU on its web-site	

*< * Only in case if system strengthening is not involved and enclose supporting documents duly signed on each page >*

15	Details of Drawee Entity	
	(a)(1) Name	
	(2) Status (in terms of Ownership)	<i><State Utility/CPP/IPP/ Discom/Consumer/specify, if any other></i>
	(3) Whether Existing or New Entity	
	(4) Utility in which it is Embedded	
	(5) Whether Existing Long-term Customer	<i>< yes/no ></i>
	(6) Open Access Requirement of Entity	
	(i) Existing Capacity in Use (Contracted)	<i>< if any ></i>
	(ii) Open Access Capacity Sought for	
	(iii) Total Capacity (i+ii) (MW)	
	(7) Point of Grid Connectivity	<i>< existing/proposed ></i>
	(i) Name of Sub-station	
	(ii) Voltage level of Drawee	
	(iii) Name of Licensee (Owner of S/S)	
	(8) ABT Interface Metering*	
	(i) Type	
	(ii) Make	
	(iii) Rating	
	(b) Other relevant information to support processing of application	
	(c) Other information as notified by STU on its web-site	

*< * Only in case if system strengthening is not involved and enclose supporting documents duly signed on each page >*

Technical Information of 'Electricity Systems' of Injecting and Drawee Entity

16	In case of Generating Station (Existing/Extension of Existing Station) < Customer may enclose supporting documents, as considered appropriate, duly signed on each page >			
	(a) Existing Details of Station			
	(1) Name			
	(2) Name of Promoter			
	(3) Location (with District)			
	(4) Generation Capacity			
	(5) Details of Units	Unit-	Unit-	Unit-
	(Capacity in MW)			
	(6) Type	< thermal/hydro/non-conventional/specify, if any other >		
	(7) Fuel			
	(8) Previous Three Years Generation	F. Y.	F. Y.	F. Y.
	(in MU)			
	(9) Whether Captive Plant	< yes/no; if yes F.Y. wise utilization during last 3 years>		
	(10) Base Load or Peaking Load Station	< if peaking load, details of estimated hours of running >		
	(11) Interfacing Voltage level with Grid S/S			
	(12) Provision of Reactive Power			
	(13) Other relevant Information			
	(b) Augmentation/Renovation/Modernisation/Extension Details of Station (if any)			
	(1) Specific Details			
	(2) Commissioning Schedule			
(3) Other relevant Information				
(c) Description of 'electricity systems' along with Single Line Diagram (connected and/or proposed)				
(d) Other information as notified by STU on its web-site				

17	In case of New Generating Station < Customer may enclose supporting documents, as considered appropriate, duly signed on each page >			
	(a)(1) Name			
	(2) Name of Promoter			
	(3) Location (with District)			
	(4) Generation Capacity			
	(5) Details of Units	Unit-	Unit-	Unit-
	(Capacity in MW)			
	(Commissioning Schedule)			
	(6) Type	< thermal/hydro/non-conventional/specify, if any other >		
	(7) Fuel			
	(8) Whether Captive Plant	< yes/no >		
	(9) Base Load or Peaking Load Station	< if peaking load, details of estimated hours of running >		
	(10) Interfacing Voltage level with Grid S/S			
	(11) Provision of Reactive Power			
	(12) Whether identified Station of CEA	< yes/no >		
	(13) Status of Clearances (Yes/No)			
	i) Land Requisition			
	ii) Fuel Agreement			
	iii) Environment and Forest			
	iv) TEC	< if required >		
	v) PPA with Beneficiaries			
	(14) Other relevant Information			
	(b) Description of proposed 'electricity systems' along with Single Line Diagram			
	(c) Other information as notified by STU on its web-site			

18	Details of Final Beneficiary (to whom Power is to be Transmitted and/or Wheeled) < Customer may enclose supporting documents, as considered appropriate, duly signed on each page >	
	(A) In case of Distribution Licensee	
	(a)(1) Name of Entity	
	(2) Address of Entity	
	(3) Utility in which it is Embedded	
	(4) Allocation of Power (MW)	
	(5) Other relevant Information	
	(b) Other information as notified by STU on its web-site	
	(B) In case of other than Distribution Licensee	
	(a)(1) Name of Person/Entity	
	(2) Address of Person/Entity	
	(3) Utility in which it is Embedded	
	(4) Place of Installation to be Benefited	
	(5) Allocation of Power (MW)	
	(6)Quantum of Special Loads like arc furnace etc.	<i><requiring high reactive support from system</i>
	(7) Reactors/Capacitors Installed	
	(8)Beneficiary is Consumer of Distribution Licensee	<i>< yes/no></i>
	If Yes , then i) Name of Distribution Licensee	
	ii) Existing Contracted Capacity	
	(9) Other relevant Information	
	(b) Other information as notified by STU on its web-site	

19	Other relevant Information

Undertaking on Behalf of Customer/User’s involved in Transaction

20	Declaration
	<p>(a) All Entities/Utilities to transaction shall abide by provisions of the Electricity Act 2003(the Act), UPERC (Terms and Conditions for Open Access) Regulations read with “Procedure for Long-Term Open Access” and any other relevant regulation/order/code as amended from time to time.</p> <p>(b) M/s _____ have a valid license (No. _____ , Type ___ and valid up to _____) issued by _____ for inter-State/intra-state trading and will abide by CERC Regulations on inter-State Trading License, as amended from time to time/ UPERC (Procedure, Terms and Conditions for grant of Trading Licence for Intrastate Electricity Trader and other related provisions) Regulations and amendments thereof .</p> <p style="text-align: center;"><i>< This clause is applicable only in case customer is a trader ></i></p> <p>(c) The electricity systems (involved in transaction) shall abide by provisions of UPEGC, IE Rules 1956 made under Section 37 of Indian Electricity Act 1910 whichever applicable, Technical Standards for Construction of Electrical Plants, Electric Lines and Connectivity to Grid specified by CEA, measures relating to Safety and Electric Supply made by CEA under Section 53 of the Act, Standards of performance of licensee made by the Commission under Section 57 and 58 of the Act, and Installation and Operation of Meters Regulations made by CEA.</p> <p>(d) I hereby agree to keep STU and SLDC indemnified at all times and shall undertake to indemnify, defend and keep STU and SLDC 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 open access transaction.</p>

Place
Date

Signature (with stamp)
Name & Designation

Enclosures

- (1) Non-refundable application fee by demand draft or cash receipt (if payment by cash).
- (2) Self-certified copy of PPA/PSA/MoU entered between the parties (buyer and seller) of transaction stating contracted power, period of transaction, drawal pattern, point(s) of injection and drawal etc.
- (3) Self-certified copy of trading license. (If applicable)
- (4) Detailed description of 'electricity systems' of injecting and drawee entities (involved in the transaction) already connected and/or proposed to be connected with intra-State transmission system along with single line diagrams.
- (5) Connectivity and interface metering related supporting documents including outdoor and indoor layout single line diagrams. (If existing User's of intra-State system)
- (6) If any other.

Copy to along with relevant enclosures [except (1), (2) & (3)]

- (1) State Power Committee.
- (2) Managing Director of any other transmission licensee involved in transaction.
- (3) Managing Director of distribution licensee involved in transaction.
- (4) State Load Despatch Centre.
- (5) Any other concerned.

For use of STU (with Reference to Enrolment of Application)	
STU Reference ID No.	
Or Reason of Refusal* In case Application is Rejected	

< * STU may also enclose supporting documents for the reasons of refusal duly signed on each page >

ACKNOWLEDGEMENT
(for office use only)

APPLICATION FOR GRANT OF LONG-TERM OPEN ACCESS

(A) < to be filled by the customer >

1	Customer Application No.	< self generated by customer >	Date	
2	Customer Name			
3	Nature of Customer*	< seller/buyer/captive user/trader (on behalf of seller/buyer/captive user) >		
4	Trading License No. & Type	< if trader >	Valid up to	

<* In terms of power transfer>

5	Period of Open Access Sought for				
6	Proposed Date/Month of Commencement of Open Access				
7	Details of Proposed Open Access				
	Date		Hours		Capacity
	From	To	From	To	MW*

< MW* at point of injection >

(B) < to be filled by STU >

Date and Time of Receipt of Application	
---	--

Place
Date

Signature (with stamp)
Name & Designation

FORMAT-LT1: APPLICATION FOR GRANT OF LONG-TERM OPEN ACCESS (Page -6 of 6)

ACKNOWLEDGEMENT

(to be issued by STU to the customer immediately on receipt of application duly filled in)

APPLICATION FOR GRANT OF LONG-TERM OPEN ACCESS

(A) < to be filled by the customer >

1	Customer Application No.	< self generated by customer >	Date	
2	Customer Name			
3	Nature of Customer*	< seller/buyer/captive user/trader (on behalf of seller/buyer/captive user) >		
4	Trading License No. & Type	< if trader >	Valid up to	

<* In terms of power transfer>

5	Period of Open Access Sought for				
6	Proposed Date/Month of Commencement of Open Access				
7	Details of Proposed Open Access				
	Date		Hours		Capacity
	From	To	From	To	MW*

< MW* at point of injection >

(B) < to be filled by STU >

Date and Time of Receipt of Application	
---	--

Place
Date

Signature (with stamp)
Name & Designation

N.B.: This counterfoil may be scored out and issued to the customer.

FORMAT-LT1: APPLICATION FOR GRANT OF LONG-TERM OPEN ACCESS (Page -6 of 6)

APPROVAL FOR LONG-TERM OPEN ACCESS
(to be issued by STU)

Ref: STU Ref. No. _____

Date _____

To : _____ (Name and Address of Customer)

1	Customer Application No.	< as provided by customer on Format LT1 >	Date	
2	Customer Name			
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		
4	Trading License No. & Type	< if trader >	Valid up to	

< * In terms of power transfer >

5	Period of Open Access Approved for				
6	Date/Month of Commencement of Open Access				
7	Details of Open Access				
	Date		Hours		Capacity
	From	To	From	To	MW*

< MW* at point of injection >

8	Nature of Requirement for Grant of Open Access (Refer sub-clause 2.2/2.3 of Procedure)		
	Electricity System Strengthening is Involved (Yes*/No)		

< * In case if 'Yes' i.e. system strengthening is involved, enclose preliminary report duly signed on each page >

9	Details of Transaction Party's to Grid		
		Injecting Entity	Drawee Entity
	Name of Entity		
	Status of Entity*		
	Utility in which it is Embedded		

< * In terms of ownership- State Utility/CPP/IPP/ ISGS/Discom/Consumer/specify, if any other >

10	Involvement of Grid System during Transaction	Injecting Entity	Drawee Entity
	(a) Intra-State Transmission Network (Yes/No)		
	(b) Intra-State Distribution Network (Yes/No)		
	(c) Inter-State Transmission Network (Yes/No)	< if any >	

11	Details of Injecting/Drawee Connectivity with intra-State System			
			Injecting Entity	Drawee Entity
	Name of Sub-station	Transmission		
		Distribution		
	Voltage Level	Transmission		
		Distribution		
	Name of Licensee (Owner of S/S)			
	Intervening intra-State Licensee			
	Intervening inter-State Licensee			

< Distribution license, if required, may treat interface periphery as its connectivity points >

12	Details of Final Beneficiary (to whom Power is to be Transmitted and/or Wheeled)			
	(1) Name of Person/Entity			
	(2) Address of Person/Entity			
	(3) Utility in which it is Embedded			
	(4) Allocation of Power (MW)			
	(5) Place of Installation to be Benefited		< in case other than distribution licensee >	
	(6) Name of Distribution Licensee		<in case beneficiary is consumer of distribution licensee>	

13	Other information as notified by STU on its web-site

General Information

14	Registered Address	< as provided by customer on Format LT1 >
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15	Authorised Person(s)		
	(a) Prime Contact Details for the Purpose of Correspondences		
	Name		
	Designation		
	Phone	(Off)	(Res)
	Mobile		Fax
	E-Mail		
	(b) Alternate Contact Details		
	Name		
	Designation		
	Phone	(Off)	(Res)
	Mobile		Fax
	E-Mail		

16. The grant of long-term open access for use of intra-State system for transmission and/or wheeling of capacity is vide Nodal STU Approval No. _____ dated _____ subject to following conditions:

- (a) _____
- (b) _____

17. The preliminary report with reference to said transmission and/or wheeling capacity allotment in intra-State system is enclosed herewith. < only in case if system strengthening is involved >

18. The terms and conditions for said transmission and/or wheeling capacity allotment through long-term open access shall be as per Bulk Power Transmission Agreement (BPTA) and/or Bulk Power Wheeling Agreement (BPWA), the draft(s) of which is/are enclosed herewith. You are requested to execute the BPTA and/or BPWA with concerned transmission licensee and/or distribution licensee within _____ days from the date of this allotment letter.

19. The said approval of transmission and/or wheeling capacity for use of intra-State system through long-term open access is subject to UPERC (Terms and Conditions for Open Access) Regulations, read with "Procedure for Long-Term Open Access" and any other relevant regulation/order/code, as the case may be, as amended and applicable from time to time.

Place _____ Signature (with stamp)
Date _____ Name & Designation

Enclosure

- (1) BPTA and/or BPWA
- (2) Preliminary Report (if applicable)
- (3) If any other

Copy to along with preliminary report and other relevant enclosures

- (1) State Power Committee.
- (2) Managing Director of any other transmission licensee involved in transaction.
- (3) Managing Director of distribution licensee involved in transaction.
- (4) State Load Despatch Centre.
- (5) Any other concerned.

Schedule-B

Procedure for Short-Term Open Access

1. OUTLINE

- 1.1 This procedure shall apply to the application made for short-term open access for use of intra-State transmission system and/or distribution system with associated facilities for transmission and/or wheeling of electricity, with or without inter-State transmission system.

Provided that procedure made hereunder shall be in addition to and not in derogation to open access regulations or any procedure made thereunder by the Central Electricity Regulatory Commission for use of inter-State transmission system.

- 1.2 It aims at easy and pragmatic disposal of application made for short-term access. However, some problems may still be experienced. This procedure shall be reviewed or revised by the Commission by an order suo-moto or on an application moved by the Nodal Agency citing the reasons and/or cases requiring such consideration.

- 1.3 All correspondences shall be addressed to the following Officer of State Load Despatch Centre (SLDC):
Chief Engineer (Power System),
5th Floor, Shakiti Bhawan,
14-Ashok Marg,
Lucknow-226 001
Tel: *(SLDC to specify on its website)*
Fax: *(SLDC to specify on its website)*
E-mail: *(SLDC to specify on its website)*

2. PRE-REQUISITES

2.1 REGISTRATION

2.1.1 The short-term open access customer (hereinafter referred to as “customer”) intending to avail short-term access shall obtain ‘One-Time Registration’ on format *[FORMAT-ST11]* with SLDC.

2.1.2 SLDC shall convey acceptance of registration or otherwise on format *[FORMAT-ST12]* to the customer within fifteen days from the date of receipt of *FORMAT-ST11*.

2.1.3 The registration shall be valid for specified power in MW and points of injection and drawal for a period of one year commencing from the date of registration. The registration may be extended on year to year basis on a request made one month prior from the date of expiry of the registration period.

2.1.4 Any additional power or change in points of injection and/or drawal shall require fresh registration with SLDC.

Explanation

The registration of customer is aimed at recording basic inputs of open access transactions on the basis of which operational constraints in transmission and/or distribution system shall be assessed by the SLDC before permitting open access. It should not be mistaken as a grant/guarantee of open access.

2.2 CONCURRENCE

2.2.1 The customer shall seek concurrence of STU and/or transmission licensee and/or distribution licensee, as the case may be, involved in transaction on formats *[FORMAT-ST13(A)&(B)]* after registration or its extension. However, concurrence shall not be required in case the application is for a period less than three months.

2.2.2 STU and/or transmission licensee and/or distribution licensee, as the case may be, shall convey his concurrence or otherwise on formats *[FORMAT-ST14(A)&(B)]* to SLDC within fifteen days from the date of receipt of *FORMAT-ST13(A)&(B)*.

2.2.3 In case of rejection of request for concurrence, STU or transmission licensee or distribution licensee concerned shall convey reasons to SLDC in writing with a copy to the customer.

2.2.4 The concurrence shall be applicable for stated power, period of transaction and points of injection and drawal.

2.2.5 In case, concurrence is withheld or not rejected under sub-clause 2.2.3, SLDC shall seek clarification from concerned licensee and take appropriate decision as deemed fit.

Explanation

“Concurrence” shall mean in principle agreement for allowing use of transmission and/or distribution system during a specified period after due verification of spare capacity, any operational constraint and availability of infrastructure for operation of ABT including ABT meters and communication system.

3. GRANT OF OPEN ACCESS

3.1 SUBMISSION OF APPLICATION

3.1.1 The application for grant of open access shall be submitted on format [*FORMAT-ST1*] for transaction registered under clause 2.1 for period permitted under clause 3.3 to SLDC.

3.1.2 The application shall be accompanied by non-refundable application fee of Rs. 5,000/- (or as determined by the Commission from time to time by an order) in cash or by demand draft in favour of the officer so notified by SLDC payable at Lucknow.

3.1.3 SLDC shall acknowledge receipt of the application with an “*ACKNOWLEDGEMENT*” to the customer.

3.1.4 The application may be submitted by post or in person.

3.1.5 In case of default in payment of the application fee, SLDC shall reject the application.

3.1.6 The application received by SLDC after 17:00 hrs of a day shall be treated as having been received on the next day.

3.2 ALLOTMENT PRIORITY

3.2.1 The applications for short-term access shall be considered for processing on first come first served for a period permitted under clause 3.3.

The priorities for allowing short-term access shall be decided by SLDC in descending order i.e. from higher priority to lower priority group as follows:

- (i) Existing distribution licensee
- (ii) Existing generating company
- (iii) Existing captive power plant
- (iv) Other distribution licensee.
- (v) Other generating company.
- (vi) Other captive power plant.
- (vii) Any consumer permitted by the Regulations.

“Existing” means that existing prior to the date of publication of UPERC (Terms and Conditions for Open Access) Regulations, 2004 in Official Gazette on 7th June'2005.

3.2.2 The applications shall be processed in the manner given hereunder, namely:

- (i) (a) Consider applications of a group in order of priority under sub-clause 3.2.1 .
(b) Process applications received under sub-clause 3.2.2(i)(a) on 'first come first served' basis.
- (c) Allocate capacities under clause 3.3, if permissible, and find out surplus capacity.

- (ii) After final disposal of applications as per sub-clause 3.2.2(i), consider applications of next priority group specified under sub-clause 3.2.1 for remaining capacity and follow the procedure made at sub-clause 3.2.2(i).
- (iii) Similarly move to next priority group under sub-clause 3.2.1 and follow the above mentioned provisions as sub-clause 3.2.2(i) and 3.2.2(ii) and exhaust the list under sub-clause 3.2.1.

Explanation

- (1) Initially, applications of only “Existing distribution licensee” priority group shall be considered for processing. The decision for allowing open access shall be based on ‘first come first served’ among these applications received up to last submission due date.
- (2) After disposal of applications pertaining to “Existing distribution licensee”, applications of “Existing generating company” shall be taken up for processing for remaining capacity. The decision for allowing open access shall be based on ‘first come first served’ among these applications.
- (3) Similarly, after disposal of applications pertaining to “Existing generating company”, processing shall be carried out for next priority group in the manner specified under sub-clause 3.2.1 and as illustrated above until capacity is exhausted.

3.2.3 Where two or more applications are received at same time on the same day, an application for longer open access duration shall take precedence over an application for a shorter duration. Two or more applications for same duration of access received at same time on the same day shall be treated pari passu for allotment of open access.

3.3 CONFIRMATION OF RESERVATION OF CAPACITY

3.3.1 Transaction for period three months to one year

- (i) An application for grant of open access commencing in any month may be submitted in a cover marked “Application for Short-Term Open Access - period from three months to one year” by 5th day of the preceding month.

For example, an application for grant of open access commencing in the month of July shall be made by 5th day of June.

- (ii) The application received under sub-clause 3.3.1(i) shall be processed as per criteria specified under clause 3.2.

- (iii) SLDC shall check transaction for congestion of any element (electric line and transformer) of transmission and/or distribution system involved in transaction.

- (iv) SLDC shall not permit open access if transaction may cause congestion of any element of involved transmission and/or distribution system.

- (v) SLDC shall convey grant of open access or otherwise on format [*FORMAT-ST2*] along with schedule of payments to the customer latest by 15th day of such preceding month.

- (vi) SLDC shall assign specific reasons if open access is denied under sub-clause 3.3.1(v).

3.3.2 Transaction for period less than three months

- (i) An application for grant of open access commencing in any month may be submitted in a cover marked “Application for Short-Term Open Access - period less than three months” up to 15th day of the preceding month.

For example, application for grant of open access commencing in the month of July shall be received up to 15th day of June.

- (ii) The application received under sub-clause 3.3.2(i) shall be processed as per criteria specified under clause 3.2.

- (iii) SLDC shall check transaction for congestion of any element (line and transformer) of transmission and/or distribution system involved in transaction.
- (iv) SLDC shall not permit open access if transaction may cause congestion of any element of involved transmission and/or distribution system.
- (v) SLDC shall convey grant of open access or otherwise in format *[FORMAT-ST2]* along with schedule of payments to the customer latest by 20th day of such preceding month.
- (vi) SLDC shall assign specific reasons if open access is denied under sub-clause 3.3.2(v).

3.3.3 Day-ahead Transaction

- (i) Day ahead transaction shall be permitted, in case, SLDC notifies on its website of any capacity, which has been expressly surrendered, whole or part there of, or not in use for more than three days in past.

An application for grant of open access for such capacity may be received by SLDC within three days prior to the date of scheduling but not later than 1300 Hours of the day immediately proceeding the day of scheduling for day-ahead transaction.

For example, application for day-ahead transaction on 25th day of July shall be received on 22nd day or 23rd day or up to 1300 hours on 24th day of that month.

- (ii) SLDC shall check for congestion and inform all concerned, as provided under sub-clause 3.3.2, of re-allotment of the capacity. All other provisions of registration, application and confirmations shall also apply.

3.4 BIDDING PROCEDURE

- 3.4.1 If the capacity sought by the customers is more than the available capacity or SLDC perceives congestion of any element of transmission and/or distribution system involved in transaction before allocation, the allocation shall be made through bidding procedure.
- 3.4.2 The decision of SLDC in respect of an expected congestion shall be final and binding.
- 3.4.3 SLDC shall convey information of congestion and decision of invitation of snap bids indicating floor price on format *[FORMAT-ST3]* to the customers.
- 3.4.4 SLDC may invite bids through fax / e-mail.
- 3.4.5 SLDC shall also display bidding information on its website.
- 3.4.6 The floor price comprising of transmission and/or wheeling charges determined on the basis of relevant order of the Commission shall be indicated in *FORMAT-ST3*.
- 3.4.7 The Bids shall be accepted on format *[FORMAT-ST4]* up to the “bid closing time” as indicated in bidding invitation *FORMAT- ST3*. Modification / amendment to a bid, once submitted shall not be entertained.
- 3.4.8 If any customer does not participate in bidding process, his application shall be deemed to have been withdrawn and shall not be processed.
- 3.4.9 SLDC shall not entertain any request for extension of time/date for submission of bids.
- 3.4.10 Bid price and the approval of the capacity for open access shall be determined as follows:

- (i) The bidders shall quote price (rounded-off to whole number) in denomination in which floor price has been determined.
- (ii) The quoted price shall be arranged in descending order and allocation of available capacities shall be accorded in such descending until the available capacity is exhausted.
- (iii) In case of equal price quoted by two or more customers, the allocation from the residual available capacity at any stage under sub-clause 3.4.10(ii) shall be made in proportion to capacity being sought by such customers.
- (iv) All customers, in favour of whom full capacities have been allotted, shall pay the highest price obtained from bids.
- (v) The customers, who are allotted less capacity, shall pay the price as quoted by him.

3.4.11 SLDC shall reject bid which are in-complete; vague in any manner or not found in conformity with bidding.

3.4.12 The successful bidding customer, in favour of whom the capacities have been allocated, shall pay transmission charges, wheeling charges, as the case may be, determined by bidding under sub-clause 3.4.10 (iv) or sub-clause 3.4.10 (v).

4. SCHEDULING OF TRANSACTION

4.1 Open access transaction shall be carried out under the provisions of UPERC Order dated 24/25.9.2007 passed in matter of Availability Based Tariff and any other order passed from time to time, read with U.P. Electricity Grid Code, Indian Electricity Grid Code, UPERC (Terms and Conditions of Generation tariff) Regulations and any other relevant regulation/order/code, as the case may be, and as amended and applicable from time to time. SLDC shall make available above mentioned orders, codes, and regulations on its website.

“Provided that customer, having premises in area of a distribution licensee, contracts for supply of electricity from such distribution licensee in addition to supplies from other source; energy accounting of electricity supplied from other source shall be carried out first and electricity supplied from such distribution licensee later. In case other source is more than one, the source that comes into open access transactions first, in chronological order of dates of approval of nodal agency , shall be booked for energy accounting first and thereafter subsequent sources shall be taken up until all are exhausted and supply from distribution licensee shall be at last.”

4.2 SLDC shall incorporate approved open access transaction in the day ahead scheduling.

5. REVISION OF SCHEDULES

5.1 In case of any revision in schedule, the customer shall be responsible to co-ordinate agency involved with points of injection and drawal.

5.2 SLDC shall revise schedule in accordance with the provisions of intra-State ABT under clause 4.1.

5.3 The decision of SLDC regarding acceptance of the request for revision shall be final and binding.

6. COMMERCIAL CONDITIONS

6.1 SLDC shall issue an energy account, statement of UI and corresponding UI charges and reactive energy and its charges, on the basis of data received from ABT meters along with data relating to declared capability and schedules etc., in accordance with the provisions of UPERC Order dated 24/25.9.2007 (the ABT Order) passed in matter of Availability Based Tariff and as amended time to time.

6.2 Energy account prepared by SLDC shall be used for billing purposes.

6.3 The customer shall pay a fee to SLDC for each transaction, as hereunder (or as determined by the Commission from time to time by an order), for the duties like scheduling, revision of schedules, preparation of energy account, billing and data collection undertaken by it:

(a) Rs.75,000 for transaction of period three months to one year;

(b) Rs.50,000 for transactions having terms less than three months.

The fee shall be intimated on format *[FORMAT-ST2]* to be paid by the customer directly to SLDC within time so specified with details on format *[FORMAT-ST5]*.

6.4 The customer shall make payments in the following manner:

(i) STU shall prepare a bill on monthly basis (through format *[FORMAT-ST6]* by seventh day of next month) as per energy account issued by SLDC on the basis of transmission charges, wheeling charges determined by the Commission from time to time. Surcharge and additional surcharge, if any, shall also be recovered through such bill.

(ii) The customer shall pay charges directly to STU within seven days from receipt of such bill.

(iii) The payment shall be made in cash or by electronic transfer or by bank draft drawn in favour of the officer so notified by STU with details on format *[FORMAT-ST7]*.

(iv) STU shall reimburse wheeling charges, surcharge and additional surcharge, if any, to concerned distribution licensee on monthly basis within ten days of its receipt. The transmission charges of its part shall be retained by STU.

(v) The SLDC charges, determined under UPERC (Procedure, terms and conditions for payment of fee & charges to State Load Despatch Centre and other related provisions) Regulations, 2004 and amendment thereof, shall be

recovered from the customer through bill of transmission charges. STU shall reimburse the same to SLDC on monthly basis.

(vi) In case of reduction or surrender or cancellation of capacity of a customer under Regulation 14, the charges shall be recovered and disbursed as provided therein.

6.5 Based on energy account, the customer shall make payments of Unscheduled Inter-change (UI) Charges as provided under ABT Order and at rates of UI specified by the Central Electricity Regulatory Commission.

However, in case of captive users and the customer other than a distribution licensee, the following provision shall apply:

(a) For Captive generating plant supplying electricity to its captive user connected or not connected with grid and a consumer, such captive user or a consumer shall ensure to draw power as per schedule during each 15-minute time block. The drawal more than schedule shall be considered as 'back up supply' ('back up charges ' shall be constituted accordingly) to such captive generating plant or its captive user or consumer from distribution licensee of his area. Such overdrawal shall be charged at frequency linked rate 25% higher than UI rate specified by CERC from time to time.

(b) Above charges shall be without prejudice to penalty which may be imposed by the Commission, for non-compliance of the provision of the Act, regulation or code or order made there under, on recommendation of SLDC.

(c) The billing of the 'back up charges', under sub-para (a) above, shall be carried out with the billing of UI charges and paid within ten days.

6.6 Reactive Energy Charges associated with transaction shall be paid as per the provision of U.P. Electricity Grid Code or ABT Order or otherwise specified by the Commission by an Order.

6.7 Non-payment of any charge or sum of money payable by the customer under the Regulations shall be considered non-compliance of the Regulations and Section 56 of the Act, the generating company or STU or any other transmission licensee

or a distribution licensee may disconnect supply after giving customer an advance notice of fifteen days without prejudice to his right to recover such charges by suit.

Provided that non-payment or delayed payment of UI bill shall be considered as default on part of customer and for such continued defaults, SLDC may bring a case before the Commission for non-compliance of the Regulations under Section 142 of the Electricity Act, 2003.

7. PAYMENT SECURITY

7.1 SLDC shall intimate payment security amount on format [*FORMAT-ST2*] to be paid by the customer directly to SLDC within time so specified.

7.2 The security amount shall be determined at the following rate or as determined by the Commission from time to time by an order:

- (i) Rs. 0.5 lacs per MW per month for transaction involving transmission system only.
- (ii) Rs.1.5 lacs per MW per month for transaction involving transmission and distribution systems.
- (iii) Rs. 1.0 lac per MW per month for transaction involving distribution system only.

Provided that security amount shall be charged for one month in case transaction is for less than three months otherwise for two months.

7.3 The mode of payment of security shall be FDR/TDR/NSC duly pledged in favour of the officer so notified by SLDC with details on format [*FORMAT-ST5*].

7.4 Payment security shall be valid for at least 18 months from the month in which transaction commences. The validity may be extended for subsequent transaction suitably at the instruction of SLDC in case the customer opts for another transaction. Payment security shall be released after confirmation of full payments made by the customer.

8. NON-UTILISATION OF RESERVED CAPACITY

8.1 The customer may surrender full or substantial part of reserved transmission and/or wheeling capacity. The following procedure shall be observed:

(i) The customer shall inform to SLDC within two days by a notice on format *[FORMAT-ST8]* of its intention of surrendering full or a part of the allocated capacity. The customer shall also endorse a copy of the same to all concerned with the transaction.

The notice period shall exclude the day on which notice is served and the day from which such reduction/cancellation is to commence.

(ii) SLDC may approve revised allocation on format *[FORMAT-ST10(A)]* and convey it to the customer within 24 hours of receipt of notice with copies to all concerned with the transaction.

8.2 The customer, whose capacity has been surrendered or revised under clause 8.1, shall pay 50% of open access charges on surrendered capacity in addition to full open access charges on revised capacity during remaining period of transaction.

8.3 In case, SLDC finds frequently any customer under-utilizing the reserved capacity, SLDC shall review such reserved capacity, giving an opportunity of being heard, and may follow the procedure as here under:

(i) SLDC shall serve a notice on format *[FORMAT-ST9]* to such customer. SLDC shall make endorsements to all concerned with the transaction.

(ii) The notice period shall be of three days for transaction of less than three months and seven days for transaction of three months and more. The notice period shall exclude the day on which notice is served and the day from which such reduction/cancellation is to commence.

(iii) On expiry of notice period, reserved capacity shall stand reduced or cancelled, as the case may be, unless decided otherwise by SLDC and communicated to

all concerned who are connected or affected by such transaction on format [FORMAT-ST10(B)].

(iv) The decision of SLDC shall be final and binding.

8.4 In the event of underutilization of the capacity contracted by the customer, the concerned licensee may also file an application with SLDC to reduce or cancel the capacity allocated to the customer after it has served a prior notice of default to the customer. On such application, SLDC may review the allotment capacity and follow the procedure made under clause 8.3.

8.5 The customer, whose capacity has been reduced or cancelled under clause 8.3 or clause 8.4, shall pay 100% of open access charges payable for full capacity as per original schedule of payment.

8.6 SLDC may allot the capacity, available as a result of surrender under clause 8.1 or as a result of reduction or cancellation of the reserved capacity under clause 8.3 or clause 8.4, to any other customer.

8.7 The customer shall not assign/transfer whole or any part of his reserved capacity to any person or licensee.

8.8 The capacity that becomes available due to decisions of SLDC, it shall be displayed on its web-site.

9. OPEN ACCESS AGREEMENT

9.1 Anything done or to be done or purported to be done under this procedure, read with the Regulations, shall constitute an Agreement (written or implied) entered into by the customer with SLDC, STU or any other transmission licensee, distribution licensee or any other person concerned with the open access transaction.

10. METERING

10.1 Metering arrangements shall be guided by the Regulation 16.

10.2 All other matters which are not covered under Regulation 16 regarding type, standards, ownership, location, accuracy class, installation, operation, testing and maintenance, access, sealing, safety, meter reading and recording, meter failure or discrepancies, anti tampering features, quality assurance, calibration and periodical testing of meters, additional meters and adoption of new technologies etc. shall be governed by the Central Electricity Authority (Installation and Operation of Meters) Regulations, 2006, U.P. Electricity Grid Code and amendments thereof.

11. ENERGY LOSS

11.1 Energy loss, estimated by SLDC for State transmission and distribution systems, shall be apportioned for all transactions (long-term and short-term transactions). Till such estimation is made by SLDC, transmission and wheeling losses shall be as specified by the Commission for determination of tariff.

11.2 Energy loss shall be accounted for by providing a differential between schedules at the points of supply and drawal of electricity of each customer interacting with transmission and/or distribution system. While allocating losses, compensation for less drawal shall be made.

Thus net schedule at the point of drawal shall be supply schedule minus energy loss estimated for each customer.

12. PAYMENT DEFAULT

12.1 The customer shall be liable to pay outstanding payment in full along with “default surcharge” @ of 0.04% for each day of default payable to the affected person by such default.

12.2 In case of default in payment for specified charges specified under the Regulations specified by the Commission, SLDC at its own discretion may not consider to schedule such transaction or may cancel scheduling of already scheduled transaction or may not entertain any application of such customer in future until time default is cured.

13. TRANSMISSION AND DISTRIBUTION SYSTEM CONSTRAINTS

13.1 When for the reason of constraints or to maintain grid security, it becomes necessary to curtail power flow on transmission and/or distribution corridor, the transaction already reserved/scheduled may be curtailed by SLDC, if in its opinion such curtailment is likely to relieve transmission and/or distribution constraint or is likely to improve grid security.

13.2 In case of curtailment becoming necessary as result of deviation by the customer from final despatch and drawal schedule intimated to SLDC, the use of such intra-State system shall be curtailed first, to the full extent of such deviation, following which the principle specified in following sub-clause 13.3 shall apply.

13.3 When because of transmission and/or distribution systems constraint or otherwise, it become necessary to curtail the transmission and/or distribution services, curtailment shall be affected in the following order:

- (i) Any consumer permitted by the Regulations other than covered under sub-clause 13.3(ii) to 13.3(vii).
- (ii) Other captive power plant
- (iii) Other generating company
- (iv) Other distribution licensee
- (v) Existing captive power plant
- (vi) Existing generating company
- (vii) Existing distribution licensee

“Existing” means that existing prior to the date of publication of UPERC (Terms and Conditions for Open Access) Regulations, 2004 in Official Gazette on 7th June'2005.

All short-term open access customers shall have same curtailment priority within a priority group and shall be curtailed pro-rata to the reserved transmission and/or distribution capacity within the priority group.

13.4 Notwithstanding the provisions of the Regulations, SLDC may, in cases of emergency and in order to maintain system security, follow such other principles of curtailment of use as it considers appropriate.

13.5 In case of curtailment of approved capacity/schedule by SLDC, transmission charges and/or wheeling charges shall be payable pro-rata basis in accordance with transaction finally scheduled. In such case, fee and charges payable to SLDC shall not be revised.

13.6 In case of a force majeure, as determined and notified by SLDC, any schedule transaction may be curtailed or suspended at sole discretion of SLDC and its decision shall be final and binding, and under such event, transmission charge and/or wheeling charge, payable by any user of transmission and/or distribution system, shall remain unaffected.

14. GENERAL

14.1 SLDC shall designate an officer as 'Nodal Officer' who shall make correspondence in the matter of open access and be responsible for processing and arranging short-term access. Similarly, STU, other transmission licensee and distribution licensee shall each nominate 'Coordinator' for necessary co-ordination with SLDC. A public notice to above effect shall be made in newspapers and kept on web-sites within thirty days of issue of these regulations under intimation to the Commission.

14.2 Separate application shall be made for each open access transaction.

14.3 The mode of communication may be fax or e-mail post confirmation by post or delivered personally.

14.4 An application incomplete/vague or not in conformity with the Regulations and procedure shall be summarily rejected and the decision of SLDC in that regard shall be final.

14.5 The “month” means a calendar month as per the British calendar.

14.6 The “day” means a day starting at 00:00 hours and ending at 24:00 hours.

For example in case of application of reservation for time period 22:00 hours to 03:00 hours, reservation of capacity shall be from 22:00 hours to 24:00 hours in the first day and 00:00 hours to 03:00 hours in next day.

14.7 The allotment priority of short-term open access customer shall be lower than long-term open access customer.

14.8 In case of the customer/beneficiary being a consumer in the area of supply of a distribution licensee, a copy of application and subsequent correspondences, as considered appropriate, shall also be sent to such distribution licensee for the purpose of surcharge and/or additional surcharge whether or not its electricity system is in use.

14.9 Any line or transformer or substation involved in an open access transaction shall be exempted from load shedding. SLDC shall be responsible to make proper arrangements in coordination with transmission / distribution licensee ensuring that the customer remains unaffected in the event of load shedding.

14.10 The licensees shall make all reasonable attempts to ensure that operational constraints in transmission and/or distribution systems, as the case may be, including metering, communication system, capacity determination, etc. are

removed so that, as far as possible, no eligible customer is denied open access on the ground of operational constraints.

14.11 The customer shall establish communication facilities such as telephone, fax, computer and internet facilities etc., as specified in the Regulation, before undertaking transmission of electricity;

14.12 When requested by the customer, SLDC shall assist him in locating a buyer/seller and arranging a scheduled interchange within or outside the State boundary. SLDC shall act only as a facilitator (not a trader / broker), and shall assume no liabilities under the agreement between the two parties, except- (i) ascertaining that no component of the power system of any other user shall be overstressed by such interchange/trade, and (ii) incorporating the agreed interchange/trade in the net interchange schedules for the concerned beneficiary.

14.13 SLDC shall maintain up-to-date records of customers and other decisions taken by it on its web-site and keep the Commission informed.

14.14 SLDC may modify formats specified under this procedure as the need be in consultation with STU and information to the Commission. These formats shall also be kept on web-site.

14.15 SLDC, STU, any other transmission licensee, distribution licensee, generating company (generating station, captive generating plant, non-conventional sources of energy) or any other person supplying electricity within the State, trader and open access consumer shall comply with the Electricity Act, 03 and the following orders, regulations and codes as amended from time to time and as applicable:

- (a) U.P. Electricity Grid Code;
- (b) UPERC order dated 24/25.9.2007 passed in matter of Availability Based Tariff and any other order;
- (c) UPERC (Procedure, terms and conditions for payment of fee & charges to State Load Despatch Center and other related provisions) Regulations;
- (d) UPERC (Terms & Conditions of Generation tariff) Regulations;

- (e) UPERC (Terms and Conditions for Supply of Power and Fixation of Tariff for sale of power from Captive Generating Plants, Co-generation, Renewable Sources of Energy and Other Non-Conventional Sources of Energy based Plants to a Distribution Licensee) Regulations;
- (f) UPERC (Terms and Conditions for Determination of Transmission Tariff) Regulations;
- (g) UPERC (Terms and Conditions for Determination of Distribution Tariff) Regulations;
- (h) UPERC (General Conditions of Transmission Licence) Regulations;
- (i) UPERC (General Conditions for Distribution Licence) Regulations;
- (j) UPERC (Procedure, Terms & Conditions for grant of Trading Licence for Intrastate Electricity Trader and other related provisions) Regulations;
- (k) Indian Electricity Grid Code;
- (l) Any other relevant order or regulation or code.

14.16 The customer shall keep SLDC indemnified at all times and shall undertake to indemnify, defend and keep SLDC 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 open access transaction.

14.17 All complaints regarding unfair practices, delays, discrimination, lack of information, supply of wrong information or any other matter related to open access in intra-State transmission shall be directed to the Member Secretary, State Power Committee. The Member Secretary, SPC shall investigate and endeavour to resolve the grievance. The Member Secretary, SPC shall forward copy of its decision to the Commission. In case the Member Secretary, SPC is unable to resolve the matter, it shall be reported to the Commission for a decision.

14.18 An application involving inter-State transaction including power exchange transaction shall be governed by the regulations issued by the Central Electricity Regulatory Commission.

FORMAT- ST1

APPLICATION FOR GRANT OF SHORT-TERM OPEN ACCESS
(to be submitted by the customer to SLDC)

To: Chief Engineer (Power System)
5th Floor, Shakti Bhawan, Lucknow

1	Customer Application No.	< self generated by customer >	Date	
2	Period of Transaction	< 3 months and more / less than 3 months / day-ahead >		
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		

<* In terms of power transfer>

4	Customer Name			
5	Registration Code		Valid up to	

< Registration code shall be as provided by SLDC >

6	Details of Transaction Party's to Grid			
		Injecting Entity	Drawee Entity	
	Name of Entity			
	Status of Entity*			
	Utility in which it is Embedded			

< * In terms of ownership- State Utility/CPP/IPP/ ISGS/Discom/Consumer/specify, if any other >

7	Details of Injecting/Drawee Connectivity with intra-State System			
		Injecting Entity	Drawee Entity	
	Name of Sub-station	Transmission		
		Distribution		
	Voltage Level	Transmission		
		Distribution		
	Name of Licensee (Owner of S/S)			
	Intervening intra-State Licensee			
	Intervening inter-State Licensee			

< Distribution license, if required, may treat interface periphery as its connectivity points >

8	Open Access Sought for (Period from date ____ to date ____)				
	Date		Hours		Capacity
	From	To	From	To	MW*

< MW* at point of injection >

9	Details of PPA/PSA/MoU					
	Name & Address of Parties		Date of PPA/PSA/MoU	Validity Period		Capacity
	Seller	Buyer		Commencement	Expiry	MW*

< MW* at point of injection >

10	Details of Non-Refundable Application Fee Made				
	Bank Details	Instrument Details			Amount(Rs.)
		Type(Draft/Cash)	Instrument No.	Date	

11	I hereby authorize SLDC to process said application, in case open access capacity allotted, for day-ahead scheduling in accordance with the provisions of intra-State ABT.
----	--

12	Declaration
	All Entities/Utilities to transaction shall abide by provisions of the Electricity Act 2003(the Act), UPERC (Terms and Conditions for Open Access) Regulations read with “Procedure for Short-Term Open Access” and any other relevant regulation/order/ code as amended from time to time.

Place
Date

Signature (with stamp)
Name & Designation

Enclosures

- (1) Non-refundable application fee of Rs. 5,000/- by Demand draft or cash receipt (if payment by cash).
- (2) Self-certified copy of PPA/PSA/MoU entered between the parties (buyer and seller) of transaction stating contracted power, period of transaction, drawal pattern, point(s) of injection and drawal etc.
- (3) Self-certified copies of concurrence of STU and/or transmission licensee and/or distribution licensee. (If period of transaction is of three months and more)
- (4) If any other

Copy to along with relevant enclosures [except (1) & (2)]:

- (1) Chief Engineer (Transmission), U.P. Power Transmission Corporation Ltd., State Transmission Utility.
- (2) Managing Director of transmission licensee involved in transaction.
- (3) Managing Director of distribution licensee involved in transaction or as per clause 14.8 of procedure.
- (4) Officer in charge of transmission substation involved in transaction.
- (5) Officer in charge of distribution substation involved in transaction.
- (6) Any other concerned.

For use of SLDC (with Reference to Enrolment of Application)	
SLDC Reference ID No.	
Nodal SLDC Approval No.	<i>< if approved ></i>
Or Reason of Refusal* (If Refused)	

*< * SLDC may also enclose supporting documents for the reasons of refusal duly signed on each page >*

ACKNOWLEDGEMENT
(for office use only)

APPLICATION FOR GRANT OF SHORT-TERM OPEN ACCESS

(A) < to be filled by the customer >

1	Customer Application No.	< self generated by customer >	Date	
2	Period of Transaction	< 3 months and more / less than 3 months / day-ahead >		
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		

<* In terms of power transfer>

4	Customer Name			
5	Registration Code		Valid up to	

< Registration code shall be as provided by SLDC >

(B) < to be filled by SLDC >

Date and Time of Receipt of Application	
---	--

Place
Date

Signature (with stamp)
Name & Designation

FORMAT- ST1: APPLICATION FOR GRANT OF SHORT-TERM OPEN ACCESS (Page -3 of 3)

.....

ACKNOWLEDGEMENT

(to be issued by SLDC to the customer immediately on receipt of application duly filled in)

APPLICATION FOR GRANT OF SHORT-TERM OPEN ACCESS

(A) < to be filled by the customer >

1	Customer Application No.	< self generated by customer >	Date	
2	Period of Transaction	< 3 months and more / less than 3 months / day-ahead >		
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		

<* In terms of power transfer>

4	Customer Name			
5	Registration Code		Valid up to	

< Registration code shall be as provided by SLDC >

(B) < to be filled by SLDC >

Date and Time of Receipt of Application	
---	--

Place
Date

Signature (with stamp)
Name & Designation

N.B.: This counterfoil may be scored out and issued to the customer.

FORMAT-ST1: APPLICATION FOR GRANT OF SHORT-TERM OPEN ACCESS (Page -3 of 3)

APPROVAL FOR SHORT-TERM OPEN ACCESS
(to be issued by SLDC)

Nodal SLDC Approval No.	/ (R-0)	Date
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< 'R-O' states original approval with revision no. - zero >

1 Customer Application No.	<as provided by customer on FORMAT-ST1>	Date
2 Period of Transaction	< 3 months and more / less than 3 months / day-ahead >	
3 Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >	

<* In terms of power transfer>

4 Customer Name	
5 Registration Code	Valid up to

6 Details of Transaction Party's to Grid		
	Injecting Entity	Drawee Entity
Name of Entity		
Status of Entity*		
Utility in which it is embedded		

< * In terms of ownership- State Utility/CPP/IPP/ ISGS/Discom/Consumer/specify, if any other >

7 Details of Injecting/Drawee Connectivity with intra-State System			
		Injecting Entity	Drawee Entity
Name of Sub-station	Transmission		
	Distribution		
Voltage level	Transmission		
	Distribution		
Name of Licensee (Owner of S/S)			
Intervening intra-State Licensee			
Intervening inter-State Licensee			

< Distribution license, if required, may treat interface periphery as its connectivity points >

8 Open Access Approved for (Period from date _____ to date _____)						Revision No.	0
Month	Date		Hours		Capacity (MW)		MWh
	From	To	From	To	Applied	Allotted	
					Total MWh		

9 Details of Bidding < only in case of Bidding >						
Details of Intra-State System	Date		Hours		Applicable Rate (Rs./kWh)	
	From	To	From	To		
	Transmission System					
Distribution System						

10. The approved transaction shall be incorporated in day-ahead scheduling in accordance with the provisions of intra-State ABT. < only in case of approval >

11. Please submit following to SLDC with details on format [FORMAT-ST5] in the manner as specified in procedure: < only in case of approval >

(a) SLDC Fee Amount Rs. _____ Due Date: _____

(b) Security Amount Rs. _____ Due Date: _____

12. The approval is subject to provisions of UPERC (Terms and Conditions for Open Access) Regulations read with “Procedure for Short-Term Open Access” and any other relevant regulation/order/code as amended and applicable from time to time. *< only in case of approval >*

13. No approval is being granted on account of *<only in case of rejection>*

< SLDC shall convey specific reasons if open access is denied and may also enclose supporting documents to support the same duly signed on each page >

Place
Date

Signature (with stamp)
Name & Designation

Enclosures

- (1) Schedule of payments *< only in case of approval >*
- (2) If any other

Copy to along with enclosures

- (1) Customer
- (2) Chief Engineer (Transmission), U.P. Power Transmission Corporation Ltd., State Transmission Utility.
- (3) Managing Director of transmission licensee involved in transaction.
- (4) Managing Director of distribution licensee involved in transaction or as per clause 14.8 of procedure.
- (5) Officer in charge of transmission substation involved in transaction.
- (6) Officer in charge of distribution substation involved in transaction.
- (7) Any other concerned.

ENCLOSURE (FORMAT- ST2)

SCHEDULE OF PAYMENTS

(to be enclosed for each month by SLDC along with FOMAT-ST2)

Nodal SLDC Approval No.	/ (R-0)	Date
--------------------------------	----------------	-------------

< 'R-0' states original approval with revision no. - zero >

1 Customer Application No.	<as provided by customer on FORMAT-ST1>	Date
2 Period of Transaction	< 3 months and more /less than 3 months / day-ahead >	
3 Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >	

<* In terms of power transfer>

4 Customer Name	
5 Registration Code	Valid up to

6 Tentative* Monthly Payment Schedule for Short-Term Open Access Charges	Month
(Period: date ____ to date ____)	
Payment Chargeable for	Rate (Rs./kWh)
MWh	Total (Rs.)
(1) Intra-State Network	
(a) Transmission Charges	
.....concerned Transmission Licensee	
..Intervening intra-State Licensee(if any)	
(b) Wheeling Charges	
.....concerned Distribution Licensee	
..Intervening intra-State Licensee(if any)	
(c) Surcharge	
.....concerned Distribution Licensee	
(d) Additional Surcharge	
.....concerned Distribution Licensee	
(e) SLDC Charges	
.....SLDC	
(2) Inter-State Network	
Transmission Charges	
..Intervening inter-State Licensee(if any)	
Total Monthly Payment Amount (Rs.)	

Place
Date

Signature (with stamp)
Name & Designation

* Tentative on the basis of MWh mentioned in application which may vary on actual operation.

FORMAT- ST3

CONGESTION INFORMATION AND INVITATION OF SNAP BIDS
(to be invited by SLDC)

SLDC Bidding Invitation No. _____

Date _____

1	Customer Application No.	<as provided by customer on FORMAT-ST1>	Date	
2	Period of Transaction	< 3 months and more / less than 3 months / day-ahead >		
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		

<* In terms of power transfer>

4	Customer Name			
5	Registration Code		Valid up to	

6. The anticipated congestion (transformer and electric line/link) is as follow:

Network Corridor		Congestion Period				Margin/ Capacity Available MW	Total Capacity Applied by all the Customers MW
Sub-station with Transformation Capacity	Electric Line/Link with Capacity	Date		Hours			
		From	To	From	To		
Intra-State Transmission System							
Intra-State Distribution System							
Inter-State Transmission System							

7. In view of above please submit bid on format [FORMAT-ST4]. The details for bidding are hereunder:

(a) Bid Invitation Date		Time					
(b) Bid Submission Date		Time					
(c) Bid Opening Date		Time					
(d) Bids Invited for							
Intra-State Network Corridor		Congestion Period				Margin/Capacity Available for Bidding MW	Floor Price Rs./kWh
Sub-station	Electric Line/Link	Date		Hours			
		From	To	From	To		
Name of Transmission System							
Name of Distribution System							

8. In case of non submission of bid, application shall be deemed to have been withdrawn and shall not be processed.

Place

Signature (with stamp)

Date

Name & Designation

To: Customers with their reference's < as provided by customers at sl.no. 1 on FORMAT-ST1 >

FORMAT- ST4

SNAP BID PROPOSAL

(to be submitted by the customer to SLDC)

Ref: SLDC Bidding Invitation No. _____

Date _____

To: Chief Engineer (Power System)
5th Floor, Shakti Bhawan, Lucknow

1	Customer Application No.	<as provided by customer on FORMAT-ST1>	Date	
2	Period of Transaction	< 3 months and more / less than 3 months / day-ahead >		
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		

<* In terms of power transfer>

4	Customer Name			
5	Registration Code		Valid up to	

6. In reference to above bidding invitation, I hereby submit my bid as follows:

Bidding Details as provided by SLDC							Bid Price to be Quoted by Bidder	
Intra-State Network Corridor		Congestion Period				Margin/Capacity Available for Bidding		Floor Price
Sub-station	Electric Line/Link	Date		Hours				
		From	To	From	To	MW	Rs./kWh	
Name of Transmission System								
Name of Distribution System								

< * Bidder shall quote price (rounded-off to whole number) in denotation of floor price >

7. I do hereby agree that determined bid price(s) shall be transmission and/or wheeling charges.

Place
Date

Signature (with stamp)
Name & Designation

FORMAT- ST5

DETAILS OF SLDC FEE / PAYMENT SECURITY

(to be submitted by the customer to SLDC)

Customer Ref. No. _____

Date _____

To: Chief Engineer (Power System)
5th Floor, Shakti Bhawan, Lucknow

Nodal SLDC Approval No.(revised)	< if any >	/ (R-1)	Date	
Nodal SLDC Approval No.(original)		/ (R-0)	Date	

< 'R-0' and 'R-1' state original approval with revision no. – zero and first revision approval with revision no. – 1 respectively >

1	Customer Application No.	<as provided by customer on FORMAT-ST1>	Date	
2	Period of Transaction	< 3 months and more / less than 3 months / day-ahead >		
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		

<* In terms of power transfer>

4	Customer Name			
5	Registration Code		Valid up to	

6	Payment of SLDC Fee			Due Date	
	Bank Details	Instrument Details			Amount(Rs.)
		Type (Draft/Cash)	Instrument No.	Date	

7	Details of Security Amount			Due Date	
	Bank Details	Instrument Details			Amount (Rs.)
		Type (FDR/TDR/NSC)	Instrument No.	Date	

Place
Date

Signature
Name & Designation

Enclosures

- (1) SLDC Fee by demand draft or cash receipt (if payment by cash).
- (2) Security Amount by FDR/TDR/NSC.

DETAILS OF BILL

(to be issued by STU to the customer for payment of monthly or supplementary bill)

Bill No. and Date	<i>< self generated by STU ></i>
Billing Period	
Payment Due Date	

To _____ (Customer)

Nodal SLDC Approval No.(revised)	<i>< if any ></i>	/ (R-1)	Date
Nodal SLDC Approval No.(original)		/ (R-0)	Date

< 'R-0' and 'R-1' state original approval with revision no. – zero and first revision approval with revision no. – 1 respectively >

1 Customer Application No.	<i><as provided by customer on FORMAT-ST1></i>	Date
2 Period of Transaction	<i>< 3 months and more / less than 3 months / day-ahead ></i>	
3 Nature of Customer*	<i>< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) ></i>	

< In terms of power transfer>*

4 Customer Name	
5 Registration Code	Valid up to

6	Amount Due Against Short-Term Open Access Charges	Month	Total (Rs.) (a+b)				
				Payment Chargeable for	Monthly Payment Amount as per Schedule of Payment(Rs.) (a)	Additional Open Access Charges against UI Bill(if any)	
						MWh	Rate (Rs./kWh)
(1) Intra-State Network							
(a) Transmission Charges							
.....concerned Transmission Licensee							
..Intervening intra-State Licensee(if any)							
(b) Wheeling Charges							
.....concerned Distribution Licensee							
..Intervening intra-State Licensee(if any)							
(c) Surcharge							
.....concerned Distribution Licensee							
(d) Additional Surcharge							
.....concerned Distribution Licensee							
(e) SLDC Charges							
.....SLDC							
(2) Inter-State Network							
Transmission Charges							
..Intervening inter-State Licensee(if any)							
Payment Due (Rs.)							
(3) Previous Balance (if any)							
(Period: date ____ to date ____)							
Total Payment Due Amount (Rs.)							

Place
Date

Signature
Name & Designation

Enclosure

(1) If any other <STU may enclose documents to support the bill duly signed on each page >

Copy to along with enclosure

- (1) Chief Engineer (Transmission), U.P. Power Transmission Corporation Ltd., State Transmission Utility.
- (2) Managing Director of transmission licensee involved in transaction.
- (3) Managing Director of distribution licensee involved in transaction or as per clause 14.8 of procedure.
- (4) Officer in charge of transmission substation involved in transaction.
- (5) Officer in charge of distribution substation involved in transaction.
- (6) Any other concerned.

FORMAT- ST7

DETAILS OF PAYMENT

(to be submitted by the customer to STU along with monthly or supplementary bill payment)

Customer Ref. No. _____

Date _____

To: Chief Engineer (Transmission)
Shakti Bhawan, Lucknow

Nodal SLDC Approval No.(revised)	< if any >	/ (R-1)	Date	
Nodal SLDC Approval No.(original)		/ (R-0)	Date	

< 'R-0' and 'R-1' state original approval with revision no. – zero and first revision approval with revision no. – 1 respectively >

1	Customer Application No.	<as provided by customer on FORMAT-ST1>	Date	
2	Period of Transaction	< 3 months and more / less than 3 months / day-ahead >		
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		

<* In terms of power transfer>

4	Customer Name			
5	Registration Code		Valid up to	

6	Bill No. and Date	< as provided by STU on FORMAT-ST6 >		
7	Billing Period			
8	Payment Due Date			

9	Payment made				
	Bank Details	Instrument Details			Amount(Rs.)
		Type (ECS/Draft/Cash)	Instrument No.	Date	

10	Payment Accounted for			
	Bill No. and Date	Payment Due Date	Payment Due as per Bill (Rs.)	Amount Paid (Rs.)
	TOTAL (Rs.)			

11. The difference between "Payment Due" and "Amount Paid" is on account of < if any >

< Customer may enclose supporting documents for the reasons of difference in payment or any other relevant matter duly signed on each page >

Place
Date

Signature
Name & Designation

FORMAT- ST8

NOTICE FOR NON-UTILISATION OF RESERVED CAPACITY

(to be submitted by the customer to SLDC)

To: Chief Engineer (Power System)
5th Floor, Shakti Bhawan, Lucknow

Nodal SLDC Approval No.	/ (R-0)	Date
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< 'R-0' states original approval with revision no. - zero >

1	Customer Notice No.	< self generated by customer >	Date
2	Period of Transaction	< 3 months and more / less than 3 months / day-ahead >	
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >	

<* In terms of power transfer>

4	Customer Name	
5	Registration Code	Valid up to

6. With reference to our approved short-term open access transaction, I do hereby confirm that I agree to surrender reserved capacity in part / in full with effect from date _____ as follows: *(strike or delete the clause which is not applicable)*

Month	Date		Hours		Capacity (MW)		
	From	To	From	To	Originally Allotted	Surrender	Balance

7. The capacity is being surrendered on account of

< Customer shall furnish specific reasons for his inability to utilize the capacity and may also enclose documents to support the same duly signed on each page >

8. Please issue revised schedule of payments.

9. The provisions of UPERC (Terms and Conditions for Open Access) Regulations read with "Procedure for Short-Term Open Access" and any other relevant regulation/order/code as amended and applicable from time to time are hereby understood, agreed and binding.

Place _____ Signature _____
Date _____ Name & Designation _____

Enclosure

(1) If any

Copy to along with enclosure, if any:

- (1) Chief Engineer (Transmission), U.P. Power Transmission Corporation Ltd., State Transmission Utility.
- (2) Managing Director of transmission licensee involved in transaction.
- (3) Managing Director of distribution licensee involved in transaction or as per clause 14.8 of procedure.
- (4) Officer in charge of transmission substation involved in transaction.
- (5) Officer in charge of distribution substation involved in transaction.
- (6) Any other concerned.

NOTICE FOR REVOCATION OF RESERVED CAPACITY
(to be sent by SLDC to the customer)

SLDC Curtailment Notice No. _____

Date _____

To _____ (Customer)

Nodal SLDC Approval No.	_____ / (R-0)	Date	_____
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< 'R-0' and 'R-1' state original approval with revision no. – zero and first revision approval with revision no. – 1 respectively >

1 Customer Application No.	<as provided by customer on FORMAT-ST1>		Date	_____
2 Period of Transaction	< 3 months and more / less than 3 months / day-ahead >			
3 Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >			

<* In terms of power transfer>

4 Customer Name	_____		
5 Registration Code	_____	Valid up to	_____

6. With reference to approved short-term open access transaction, month-wise utilisation of allotted capacity is given hereunder:

Month	Date		Hours		MWh	
	From	To	From	To	Originally Allotted	Utilised
	Total MWh					

7. SLDC has observed that approved open access has consistently failed to comply with the-
(strike or delete the clause which is not applicable)

- i) provisions of intra-State ABT;
- ii) provisions of UP Electricity Grid Code;
- iii) direction of SLDC under section 33 of the Electricity Act, 2003;
- iv) provisions of UPERC (Terms and Conditions for Open Access) Regulations read with Procedure for Short-Term Open Access;
- v) provisions of any other relevant regulation/order/code.(specify, if any)

< SLDC shall convey specific details of non-compliance and shall enclose documents to support the same duly signed on each page >

8. SLDC, in view of aforesaid failure, has decided to revoke the allotted capacity in full / part as hereunder: (strike or delete the word which is not applicable)

Month	Date		Hours		Capacity (MW)		
	From	To	From	To	Originally Allotted	Revoked	Balance

9. The revocation of the said capacity shall be effective from date _____.

10. This notice is being sent to you under clause 14 of the Uttar Pradesh Electricity Regulatory Commission (Terms and Conditions of Open Access) Regulations, read with “Procedure for Short-Term Open Access”, and amended thereof and calls upon you to furnish your reply as to why not the open access capacity reserved for the use of intra-State system to you is revoked.

11. SLDC will proceed ahead for revocation if no reply to above notice is received by date _____.

Place
Date

Signature (with stamp)
Name & Designation

Enclosure

(1) If any

Copy to along with enclosure, if any:

- (1) Chief Engineer (Transmission), U.P. Power Transmission Corporation Ltd., State Transmission Utility.
- (2) Managing Director of transmission licensee involved in transaction.
- (3) Managing Director of distribution licensee involved in transaction or as per clause 14.8 of procedure.
- (4) Officer in charge of transmission substation involved in transaction.
- (5) Officer in charge of distribution substation involved in transaction.
- (6) Any other concerned.

FORMAT – ST10(A)

CONFIRMATION OF REVISED / SURRENDERED CAPACITY

(to be issued by SLDC)

Nodal SLDC Approval No.(revised)	/ (R-1)	Date	
Nodal SLDC Approval No.(original)	/ (R-0)	Date	

< 'R-0' and 'R-1' state original approval with revision no. – zero and first revision approval with revision no. – 1 respectively >

1 Customer Notice No.	< as provided by customer on FORMAT-ST7 >	Date	
2 Period of Transaction	< 3 months and more / less than 3 months / day-ahead >		
3 Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		

<* In terms of power transfer>

4 Customer Name			
5 Registration Code		Valid up to	

6. With reference to above customer's notice for non-utilisation of reserved capacity, previously approved open access capacity is being revised as hereunder:

X	Open Access Approved for (Period from date ___ to date ___)						Revision No.		1
	Month		Date		Hours		Capacity (MW)		MWh
	From	To	From	To	Originally Allotted	Surrender	Balance/Revised		
	Total MWh								

- 7. The revised open access transaction shall be incorporated in day-ahead scheduling in accordance with the provisions of intra-State ABT. < only in case of surrender in part >**
- 8. The revision of capacity is subject to provisions of UPERC (Terms and Conditions for Open Access) Regulations read with “Procedure for Short-Term Open Access” and any other relevant regulation/order/code as amended and applicable from time to time.**

Place _____ **Signature (with stamp)**
Date _____ **Name & Designation**

Enclosure

- (1) Schedule of payments (Revision No. 1)**
- (2) If any other**

Copy to along with enclosure

- (1) Customer**
- (2) Chief Engineer (Transmission), U.P.Power Transmission Corporation Ltd., State Transmission Utility.**
- (3) Managing Director of transmission licensee involved in transaction.**
- (4) Managing Director of distribution licensee involved in transaction or as per clause 14.8 of procedure.**
- (5) Officer in charge of transmission substation involved in transaction.**
- (6) Officer in charge of distribution substation involved in transaction.**
- (7) Any other concerned.**

ENCLOSURE (FORMAT- ST10(A))

SCHEDULE OF PAYMENTS (REVISION NO.1)

(to be enclosed for each month by SLDC along with FOMAT-ST10(A))

Nodal SLDC Approval No.(revised)	/ (R-1)	Date	
Nodal SLDC Approval No.(original)	/ (R-0)	Date	

< 'R-0' and 'R-1' state original approval with revision no. – zero and first revision approval with revision no. – 1 respectively >

1	Customer Notice No.	< as provided by customer on FORMAT-ST7 >	Date	
2	Period of Transaction	< 3 months and more / less than 3 months / day-ahead >		
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		

<* In terms of power transfer>

4	Customer Name			
5	Registration Code		Valid up to	

6	Tentative* Monthly Payment Schedule for Short-Term Open Access Charges (Period from date ____ to date ____)	Month			Total (Rs.)	
	Payment Chargeable for	Rate (Rs./kWh)	MWh for Capacity			Total (Rs.)
			Surrendered	Revised	Total	
	(1) Intra-State Network					
	(a) Transmission Charges					
concerned Transmission Licensee					
	..Intervening intra-State Licensee(if any)					
	(b) Wheeling Charges					
concerned Distribution Licensee					
	..Intervening intra-State Licensee(if any)					
	(c) Surcharge					
concerned Distribution Licensee					
	(d) Additional Surcharge					
concerned Distribution Licensee					
	(e) SLDC Charges					
SLDC					
	(2) Inter-State Network					
	Transmission Charges					
	..Intervening inter-State Licensee(if any)					
	Total Monthly Payment Amount (Rs.)					

Place
Date

Signature (with stamp)
Name & Designation

* Tentative on the basis of MWh mentioned in application which may vary on actual operation.

FORMAT – ST10(B)

CONFIRMATION OF REVOKED CAPACITY

(to be sent by SLDC to the customer)

Nodal SLDC Approval No.(revised)	/ (R-1)	Date	
Nodal SLDC Approval No.(original)	/ (R-0)	Date	

< 'R-0' and 'R-1' state original approval with revision no. – zero and first revision approval with revision no. – 1 respectively >

1	SLDC Curtailment Notice No.	< as provided by SLDC on FORMAT-ST8 >	Date	
2	Period of Transaction	< 3 months and more / less than 3 months / day-ahead >		
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		

<* In terms of power transfer>

4	Customer Name	
5	Registration Code	Valid up to

6. With reference to above notice for curtailment of reserved capacity, previously approved open access capacity is being revised as hereunder:

X	Open Access Approved for (Period from date ___ to date ___)				Revision No.	1		
	Month	Date		Hours	Capacity (MW)		MWh	
		From	To	From	To	Originally Allotted	Curtailed	Balance/Revised
						Total MWh		

7. The revised open access transaction shall be incorporated in day-ahead scheduling in accordance with the provisions of intra-State ABT. < only in case of curtailment in part >

8. The curtailment of capacity is subject to provisions of UPERC (Terms and Conditions for Open Access) Regulations read with “Procedure for Short-Term Open Access” and any other relevant regulation/order/code as amended and applicable from time to time.

Place _____ Signature (with stamp)
Date _____ Name & Designation

Enclosure

- (1) Schedule of payments (Revision No. 1)
- (2) If any other

Copy to along with enclosure

- (1) Customer
- (2) Chief Engineer (Transmission), U.P. Power Transmission Corporation Ltd., State Transmission Utility.
- (3) Managing Director of transmission licensee involved in transaction.
- (4) Managing Director of distribution licensee involved in transaction or as per clause 14.8 of procedure.
- (5) Officer in charge of transmission substation involved in transaction.
- (6) Officer in charge of distribution substation involved in transaction
- (7) Any other concerned.

ENCLOSURE (FORMAT- ST10(B))

SCHEDULE OF PAYMENTS (REVISION NO.1)

(to be enclosed for each month by SLDC along with FOMAT-ST10(B))

Nodal SLDC Approval No.(revised)	/ (R-1)	Date	
Nodal SLDC Approval No.(original)	/ (R-0)	Date	

< 'R-0' and 'R-1' state original approval with revision no. – zero and first revision approval with revision no. – 1 respectively >

1	SLDC Curtailment Notice No.	< as provided by SLDC on FORMAT-ST8 >	Date	
2	Period of Transaction	< 3 months and more / less than 3 months / day-ahead >		
3	Nature of Customer*	<seller/buyer/captive user/trader(on behalf of seller/buyer/captive user)>		

<* In terms of power transfer>

4	Customer Name			
5	Registration Code		Valid up to	

6	Tentative* Monthly Payment Schedule for Short-Term Open Access Charges (Period from date ____ to date ____)				Month	Total (Rs.)
	Payment Chargeable for	Rate (Rs./kWh)	MWh for Capacity		Total	
	(1) Intra-State Network		Curtailed	Revised		
	(a) Transmission Charges					
concerned Transmission Licensee					
	..Intervening intra-State Licensee(if any)					
	(b) Wheeling Charges					
concerned Distribution Licensee					
	..Intervening intra-State Licensee(if any)					
	(c) Surcharge					
concerned Distribution Licensee					
	(d) Additional Surcharge					
concerned Distribution Licensee					
	(e) SLDC Charges					
SLDC					
	(2) Inter-State Network					
	Transmission Charges					
	..Intervening inter-State Licensee(if any)					
	Total Monthly Payment Amount (Rs.)					

Place
Date

Signature (with stamp)
Name & Designation

* Tentative on the basis of MWh mentioned in application which may vary on actual operation.

SHORT-TERM OPEN ACCESS-APPLICATION FOR REGISTRATION

(to be submitted by the customer to SLDC)

To: Chief Engineer (Power System)
5th Floor, Shakti Bhawan, Lucknow

1	Customer Reference	< self generated by customer >	Date	
2	Customer Name			
3	Nature of Customer*	< seller/buyer/captive user/trader (on behalf of seller/buyer/captive user) >		
4	Trading License No. & Type	< if trader >	Valid up to	

< * In terms of power transfer >

5	Registration Sought for				
	Date		Hours		Capacity
	From	To	From	To	MW*

< MW* at point of injection >

TECHNICAL INFORMATION

6	Details of Transaction Party's to Grid		
		Injecting Entity	Drawee Entity
	Name of Entity		
	Status of Entity*		
	Whether Existing or New Entity		
	Utility in which it is Embedded		

< * In terms of ownership- State Utility/CPP/IPP/ ISGS/Discom/Consumer/specify, if any other >

7	Details of Injecting/Drawee Connectivity with intra-State System			
		Injecting Entity	Drawee Entity	
	Name of Sub-station	Transmission		
		Distribution		
	Voltage Level	Transmission		
		Distribution		
	Name of Licensee (Owner of S/S)			
	Intervening intra-State Licensee			
	Intervening inter-State Licensee			

< Distribution license, if required, may treat interface periphery as its connectivity points >

< Customer may enclose supporting documents for connectivity details duly signed on each page >

8	Details of Injecting/Drawee Interface Metering						
	Installation Details of ABT Meters		Injecting Entity			Drawee Entity	
			Type	Make	Rating	Type	Make
	Name of Sub-station	Transmission					
		Distribution					
	Voltage & Current Level	Transmission					
		Distribution					

< Customer may also enclose supporting documents for metering details duly signed on each page >

9	Other relevant Information to support processing of application	
	< Customer may enclose supporting documents duly signed on each page >	

Technical Information of 'Electricity Systems' of Injecting and Drawee Entity

10	Description of connected 'electricity systems' of Injecting/Drawee Entities with Single Line Diagrams <Customer may enclose supporting documents duly signed on each page>
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11	In case of Generating Station (Existing/Extension of Existing Station) < Customer may enclose supporting documents, as considered appropriate, duly signed on each page >			
	(a) Existing Details of Station			
	(1) Name			
	(2) Name of Promoter			
	(3) Location (with District)			
	(4) Generation Capacity			
	(5) Details of Units	Unit-	Unit-	Unit-
	(Capacity in MW)			
	(6) Type	< thermal/hydro/non-conventional/specify, if any other >		
	(7) Fuel			
	(8) Whether Captive Plant	< yes/no >		
	(9) Other relevant Information			
	(b)Augmentation/Renovation/Modernisation/Extension Details of Station (if any)			
	(1) Specific Details			
	(2) Commissioning Schedule			
	(3) Other relevant Information			
	(c) Other information as notified by SLDC on its web-site			

12	Details of Final Beneficiary (to whom Power is to be Transmitted and/or Wheeled) < Customer may enclose supporting documents, as considered appropriate, duly signed on each page >	
	(A) In case of Distribution Licensee	
	(a)(1) Name of Entity	
	(2) Address of Entity	
	(3) Utility in which it is Embedded	
	(4) Allocation of Power (MW)	
	(5) Other relevant Information	
	(b) Other information as notified by SLDC on its web-site	
	(B) In case of other than Distribution Licensee	
	(a)(1) Name of Person/Entity	
	(2) Address of Person/Entity	
	(3) Utility in which it is Embedded	
	(4) Place of Installation to be Benefited	
	(5) Allocation of Power (MW)	
	(6)Beneficiary is Consumer of Distribution Licensee	< yes/no>
	If Yes , then i) Name of Distribution Licensee	
	ii) Existing Contracted Capacity	
	(7) Other relevant Information	
	(b) Other information as notified by SLDC on its web-site	

GENERAL INFORMATION

13	Registered Address	< if registered as per Companies Act 1956 >
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14	Authorised Person(s)			
	(a) Prime Contact Details for the Purpose of Correspondences (including Snap Bidding)			
	Name			
	Designation			
	Phone	(Off)	(Res)	
	Mobile		Fax	
	E-Mail			
	(b) Alternate Contact Details			
	Name			
	Designation			
	Phone	(Off)	(Res)	
	Mobile		Fax	
	E-Mail			

15	Declaration
	<p>(a) All Entities/Utilities to transaction shall abide by provisions of the Electricity Act 2003(the Act), UPERC (Terms and Conditions for Open Access) Regulations read with “Procedure for Short-Term Open Access” and any other relevant regulation/order/code as amended from time to time.</p> <p>(b) M/s _____ have a valid license (No. _____, Type ___ and valid up to _____) issued by _____ for inter-State/intra-state trading and will abide by CERC Regulations on inter-State Trading License, as amended from time to time/ UPERC (Procedure, Terms and Conditions for grant of Trading Licence for Intrastate Electricity Trader and other related provisions) Regulations and amendments thereof .</p> <p style="text-align: center;"><i>< This clause is applicable only in case customer is a trader ></i></p> <p>(c) I hereby agree to keep SLDC indemnified at all times and shall undertake to indemnify, defend and keep SLDC 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 open access transaction.</p>

Place
Date

Signature (with stamp)
Name & Designation

Enclosures

- (1) Self-certified copy of trading license. (if applicable)
- (2) If any other.

Copy to along with relevant enclosures [except (1)]

- (1) Chief Engineer (Transmission), U.P.Power Transmission Corporation Ltd., State Transmission Utility.
- (2) Managing Director of transmission licensee involved in transaction.
- (3) Managing Director of distribution licensee involved in transaction.
- (4) Officers in charge of transmission substation involved in transaction.
- (5) Officers in charge of distribution substation involved in transaction.
- (6) Any other concerned.

For use of SLDC (with Reference to Enrolment of Registration)	
SLDC Reference No.	
Registration Code	<i>< if registered ></i>
Or Reason of Refusal (If Refused)	

< SLDC may also attach supporting documents for the reasons of refusal duly signed on each page >

< SLDC may notify and collect necessary information from generating station/licensee/consumer and decides about registration on the basis of available historical data, technical and commercial information with him >

ACKNOWLEDGEMENT
(for office use only)

SHORT-TERM OPEN ACCESS-APPLICATION FOR REGISTRATION

(A) < to be filled by the customer >

1	Customer Reference	< self generated by customer >	Date	
2	Customer Name			
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		
4	Trading License No. & Type	< if trader >	Valid up to	

<* In terms of power transfer>

5	Registration Sought for				
	Date		Hours		Capacity
	From	To	From	To	MW*

< MW* at point of injection >

(B) < to be filled by SLDC >

Date and Time of Receipt of Application	
---	--

Place
Date

Signature (with stamp)
Name & Designation

FORMAT- ST11: SHORT-TERM OPEN ACCESS-APPLICATION FOR REGISTRATION (Page -4 of 5)

.....

ACKNOWLEDGEMENT

(to be issued by SLDC to the customer immediately on receipt of application duly filled in)

SHORT TERM OPEN ACCESS-APPLICATION FOR REGISTRATION

(A) < to be filled by the customer >

1	Customer Reference	< self generated by customer >	Date	
2	Customer Name			
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		
4	Trading License No. & Type	< if trader >	Valid up to	

<* In terms of power transfer>

5	Registration Sought for				
	Date		Hours		Capacity
	From	To	From	To	MW*

< MW* at point of injection >

(B) < to be filled by SLDC >

Date and Time of Receipt of Application	
---	--

Place
Date

Signature (with stamp)
Name & Designation

FORMAT- ST11: SHORT-TERM OPEN ACCESS-APPLICATION FOR REGISTRATION (Page -4 of 5)

ENCLOSURE (FORMAT- ST11)

CERTIFICATE FROM TRANSMISSION/DISTRIBUTION LICENSEE FOR REGISTRATION

(to be seek for SLDC from concerned licensee for each injecting and drawee points)

Concerned transmission/distribution licensee Ref. No. _____

Date _____

To: Chief Engineer (Power System)
5th Floor, Shakti Bhawan, Lucknow

1	Name of Entity	
2	Status of Entity*	
3	Utility in which it is Embedded	
4	Whether Existing or New Entity	
5	Demand Requirement of Entity (MW)	
	(a) Existing Capacity in Use	
	(b) Registration Applied for	
	(c) Total Capacity (a+b)	
6	Details of Connectivity/Interface Point**	
	(a) Name of Sub-station	
	(b) Voltage Level	
7	Details of ABT Interface Metering**	
	(a) Type	
	(b) Make	
	(c) Rating	
8	Details of System Loading Pattern	<Licensee may enclose supporting documents detailing pattern of monthly system loading (at least for previous one year) duly signed on each page>
	(a)Transformer	
	(a) Electric Line	

< * In terms of ownership- State Utility/CPP/IPP/ ISGS/Discom/Consumer/specify, if any other >

< ** Licensee may enclose supporting documents, as considered appropriate, duly signed on each page>

9. Other relevant as notified by SLDC on its web-site.

Place
Date

Signature (with stamp)
Name & Designation

Enclosures

- (1) Connectivity related supporting documents including outdoor and indoor single line diagrams.
- (2) Interface metering related supporting documents.
- (3) System loading pattern related supporting documents.
- (4) If any other

Copy to along with relevant enclosures:

- (1) Customer
- (2) Any other concerned.

FORMAT- ST12

SHORT-TERM OPEN ACCESS- REGISTRATION
(to be issued by SLDC)

Registration Code		Date	
Registration Valid up to			

1	Customer Reference	< self generated by customer >	Date	
2	Customer Name			
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		
4	Trading License No. & Type	< if trader >	Valid up to	

< * In terms of power transfer >

5	Registration for (Based on available information with SLDC)				
	Date		Hours		Capacity
	From	To	From	To	MW*

TECHNICAL INFORMATION

6	Details of Transaction Party's to Grid		
		Injecting Entity	Drawee Entity
	Name of Entity		
	Status of Entity*		
	Utility in which it is embedded		

< * In terms of ownership- State Utility/CPP/IPP/ ISGS/Discom/Consumer/specify, if any other >

7	Details of Injecting/Drawee Connectivity with intra-State System		
		Injecting Entity	Drawee Entity
	Name of Sub-station	Transmission	
		Distribution	
	Voltage Level	Transmission	
		Distribution	
	Name of Licensee (Owner of S/S)		
	Intervening intra-State Licensee		
	Intervening inter-State Licensee		

< Distribution license, if required, may treat interface periphery as its connectivity points >

GENERAL INFORMATION

8	Registered Address	< as provided by customer in Format-11 >
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9	Authorised Person(s)		
	(a) Prime Contact Details for the Purpose of Correspondences (including Snap Bidding)		
	Name		
	Designation		
	Phone	(Off)	(Res)
	Mobile		Fax
	E-Mail		
	(b) Alternate Contact Details		
	Name		
	Designation		
	Phone	(Off)	(Res)
	Mobile		Fax
	E-Mail		

10. The registration is subject to provisions of UPERC (Terms and Conditions for Open Access) Regulations read with “Procedure for Short-Term Open Access” and any other relevant regulation/order/code as amended and applicable from time to time.
 11. The registration shall not be deemed as grant/guarantee of open access but it is aimed at recording basic inputs of open access transaction on the basis of which operational constraints in transmission and/or distribution system shall be assessed before permitting open access.
 12. No registration is being granted on account of *<only in case of rejection>*
< SLDC shall convey specific reasons of denial of registration and may also enclose documents to support the same duly signed on each page >
-

Place	Signature (with stamp)
Date	Name & Designation

Enclosure

(1) If any

Copy to along with enclosure

- (1) Customer
- (2) Chief Engineer (Transmission), U.P. Power Transmission Corporation Ltd., State Transmission Utility.
- (3) Managing Director of transmission licensee involved in transaction.
- (4) Managing Director of distribution licensee involved in transaction.
- (5) Officer in charge of transmission substation involved in transaction.
- (6) Officer in charge of distribution substation involved in transaction.
- (7) Any other concerned.

FORMAT- ST13(A)

REQUEST FOR CONCURRENCE (ON BEHALF OF SELLER)

(to be sent by the customer to transmission licensee and/or distribution licensee concerned)

Customer Ref. No. _____

Date _____

To _____ (STU/transmission licensee/distribution licensee concerned)

1	Customer Application No.	< self generated by customer >	Date	
2	Period of Transaction	3 months and more		
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		

< * In terms of power transfer >

4	Customer Name			
5	Registration Code	< if allotted >	Valid up to	

< Registration code shall be as provided by SLDC >

6	Details of Transaction Party (Seller) to Grid			
				Injecting Entity
	Name of Entity			
	Status of Entity*			
	Utility in which it is Embedded			

< * In terms of ownership- State Utility/ CPP/IPP/ISGS/ Discom/Consumer/ specify, if any other >

7	Details of Injecting Connectivity with intra-State System			
				Injecting Entity
	Name of Sub-station	Transmission		
		Distribution		
	Voltage Level	Transmission		
		Distribution		

< Distribution license, if required, may treat interface periphery as its connectivity points >

8	Concurrence Sought for (Period from date ____ to date ____)				
	Date		Hours		Capacity
	From	To	From	To	MW*

< MW* at point of injection >

9. Please convey your concurrence on format [FORMAT-ST14(A)] to SLDC with copy to the undersigned.

Place
Date

Signature (with stamp)
Name & Designation

Enclosure: < if any >

Copy to: < if any >

FORMAT- ST13(B)

REQUEST FOR CONCURRENCE (ON BEHALF OF BUYER)

(to be sent by the customer to transmission licensee and/or distribution licensee concerned)

Customer Ref. No. _____

Date _____

To _____ (STU/transmission licensee/distribution licensee concerned)

1	Customer Application No.	< self generated by customer >	Date	
2	Period of Transaction	3 months and more		
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		

< * In terms of power transfer >

4	Customer Name			
5	Registration Code	< if allotted >	Valid up to	

< Registration code shall be as provided by SLDC >

6	Details of Transaction Party (Buyer) to Grid			
				Drawee Entity
	Name of Entity			
	Status of Entity*			
	Utility in which it is Embedded			

< * In terms of ownership- State Utility/ CPP/IPP/ ISGS/Discom/Consumer/specify, if any other >

7	Details of Injecting Connectivity with intra-State System			
				Drawee Entity
	Name of Sub-station	Transmission		
		Distribution		
	Voltage Level	Transmission		
		Distribution		

< Distribution license, if required, may treat interface periphery as its connectivity points >

8	Concurrence Sought for (Period from date ____ to date ____)				
	Date		Hours		Capacity
	From	To	From	To	MW*

< MW* at point of injection >

9. Please convey your concurrence on format [FORMAT-ST14(B)] to SLDC with copy to the undersigned.

Place
Date

Signature (with stamp)
Name & Designation

Enclosure: < if any >

Copy to: < if any >

FORMAT- ST14(A)

CONCURRENCE FROM LICENSEE (FOR SELLER)
(to be sent by concerned transmission/distribution licensee to SLDC)

Concerned transmission/distribution licensee Ref. No. _____ Date _____

To: Chief Engineer (Power System)
5th Floor, Shakti Bhawan, Lucknow

1	Customer Application No.	< self generated by customer >	Date	
2	Period of Transaction	3 months and more		
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		

< * In terms of power transfer >

4	Customer Name			
5	Registration Code	< if allotted >	Valid up to	

< Registration code shall be as provided by SLDC >

6	Details of Transaction Party (Seller) to Grid			
				Injecting Entity
	Name of Entity			
	Status of Entity*			
	Utility in which it is Embedded			

< * In terms of ownership- State Utility/CPP/IPP/ ISGS/Discom/Consumer/specify, if any other >

7	Details of Injecting Connectivity with intra-State System			
				Injecting Entity
	Name of Sub-station	Transmission		
		Distribution		
	Voltage Level	Transmission		
		Distribution		

< Distribution license, if required, may treat interface periphery as its connectivity points >

8	Concurrence Accorded for (Period from date ____ to date ____)					
	Date		Hours		Capacity (MW*)	
	From	To	From	To	Requested	Concurrence for

< MW* at point of injection >

9. No concurrence is being granted on account of _____ <only in case of rejection of concurrence>

< Concerned transmission/distribution licensee shall submit specific reasons of denial of concurrence in enclosure >

Place _____ Signature (with stamp)
Date _____ Name & Designation

Enclosure: < if any >

Copy to
(1) Customer
(2) Any other concerned.

ENCLOSURE (FORMAT- ST14(A))

DENIAL OF CONCURRENCE DETAILS (FOR SELLER)

(to be enclosed by concerned transmission/distribution licensee along with FORMAT –ST14(A))

Concerned transmission/distribution licensee Ref. No. _____ Date _____

1	Customer Application No.	< self generated by customer >	Date	
2	Period of Transaction	3 months and more		
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		

< * In terms of power transfer >

4	Customer Name			
5	Registration Code	< if allotted >	Valid up to	

< Registration code shall be as provided by SLDC >

6	No Concurrence Granted on account of							
	Network Corridor		Congestion Period				Margin/ Capacity Available	Margin/Capacity Applied by the Applicant
	Sub-station with Transformation Capacity	Electric Line/Link with Capacity	Date		Hours			
			From	To	From	To	MW	MW
	Intra-State Transmission System							
	Intra-State Distribution System							
	Inter-State Transmission System							

7. No concurrence is being granted on account of

< Concerned transmission/distribution licensee may also enclose documents to support the reasons for denial of concurrence duly signed on each page >

Place
Date

Signature (with stamp)
Name & Designation

FORMAT- ST14(B)

CONCURRENCE FROM LICENSEE (FOR BUYER)

(to be sent by concerned transmission/distribution licensee to SLDC)

Concerned transmission/distribution licensee Ref. No. _____ Date _____

To: Chief Engineer (Power System)
5th Floor, Shakti Bhawan, Lucknow

1	Customer Application No.	< self generated by customer >	Date	
2	Period of Transaction	3 months and more		
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		

<* In terms of power transfer>

4	Customer Name			
5	Registration Code	< if allotted >	Valid up to	

< Registration code shall be as provided by SLDC >

6	Details of Transaction Party (Buyer) to Grid			
			Drawee Entity	
	Name of Entity			
	Status of Entity*			
	Utility in which it is Embedded			

< * In terms of ownership- State Utility/CPP/IPP/ ISGS/Discom/Consumer/specify, if any other >

7	Details of Drawee Connectivity with intra-State System			
			Drawee Entity	
	Name of Sub-station	Transmission		
		Distribution		
	Voltage Level	Transmission		
		Distribution		

< Distribution license, if required, may treat interface periphery as its connectivity points >

8	Concurrence Accorded for (Period from date ____ to date ____)					
	Date		Hours		Capacity (MW*)	
	From	To	From	To	Requested	Concurrence for

< MW* at point of injection >

9. No concurrence is being granted on account of _____ <only in case of rejection of concurrence>

< Concerned transmission/distribution licensee shall submit specific reasons of denial of concurrence in enclosure >

Place
Date

Signature (with stamp)
Name & Designation

Enclosure: < if any >

Copy to

- (1) Customer
- (2) Any other concerned.

ENCLOSURE (FORMAT- ST14(B))

DENIAL OF CONCURRENCE DETAILS (FOR BUYER)

(to be enclosed by concerned transmission/distribution licensee along with FORMAT –ST14(B))

Concerned transmission/distribution licensee Ref. No. _____ Date _____

1	Customer Application No.	< self generated by customer >	Date	
2	Period of Transaction	3 months and more		
3	Nature of Customer*	< seller/buyer/captive user/trader(on behalf of seller/buyer/captive user) >		

<* In terms of power transfer>

4	Customer Name			
5	Registration Code	< if allotted >	Valid up to	

< Registration code shall be as provided by SLDC >

6	No Concurrence Granted on account of							
	Network Corridor		Congestion Period				Margin/ Capacity Available	Margin/Capacity Applied by the Applicant
	Sub-station with Transformation Capacity	Electric Line/Link with Capacity	Date		Hours			
			From	To	From	To		
	Intra-State Transmission System							
	Intra-State Distribution System							
	Inter-State Transmission System							

7. No concurrence is being granted on account of

< Concerned transmission/distribution licensee may also enclose documents to support the reasons for denial of concurrence duly signed on each page >

Place
Date

Signature (with stamp)
Name & Designation